

Evaluation of the Environmental Cooperation for Peacebuilding Programme



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UNITED NATIONS ENVIRONMENT PROGRAMME

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Программа Организации Объединенных Наций по окружающей среде برنامج الأمم المتحدة للبيئة

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Table of Contents

| | |
|--|----|
| Abbreviations & Acronyms | 2 |
| I. Executive Summary | 3 |
| II. Introduction | 9 |
| III. Programme Description | 14 |
| IV. Evaluation Findings..... | 30 |
| V. Conclusions and Recommendations | 43 |
| Appendix 1: Description of Outputs Achieved..... | 51 |
| Appendix II: Evaluation Inputs..... | 66 |
| Appendix III: Terms of Reference..... | 78 |

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Abbreviations & Acronyms

| | |
|--------|---|
| DPA | Department for Political Affairs (UN) |
| DPKO | Department for Peace-Keeping Operations (UN) |
| ECP | Environmental Cooperation for Peacebuilding |
| GIZ | Gesellschaft für Internationale Zusammenarbeit |
| IPIECA | International Petroleum Industry Environmental Conservation Association |
| NGO | Non-Governmental Organisation |
| OECD | Organisation for Economic Cooperation and Development |
| PCDMB | Post-Conflict and Disaster Management Branch |
| UN | United Nations |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |

I. Executive Summary

I.1 Introduction

UNEP's Environmental Cooperation for Peacebuilding (ECP) programme was launched in 2008 within the Post-Conflict and Disaster Management Branch (PCDMB), based out of Geneva. It provides expertise and methods to UN bodies, to member states, to academics, and to civil society, to advance the opportunities for peace afforded by good stewardship of natural resources.

The stated objective of the project is “to strengthen the capacity of fragile States, regional organisations, UN entities and civil society, to assess and understand the conflict risks and peacebuilding opportunities presented by natural resources and environment in order to formulate more effective response policies and programmes across the spectrum of peace and security operations.”

The present evaluation was carried out in late 2015 and early 2016. It is a final evaluation of the second phase of the programme (2010-2012), and a mid-term evaluation of its third phase. It analyses the relevance, the effectiveness, efficiency, and sustainability of the activities undertaken, and uses analyses done since the launch of the programme in 2008 to give an overall assessment. It determines the factors that help or impede the achievement of intended results, and provides recommendations for the future.

I.2 Programme Description

The intended impact is that natural resources support durable peacebuilding at national and local levels through effective mitigation of potential conflict risks.

The programme outcomes defined through a consultative process of reconstructing the Theory of Change are as follows:

- ✓ **Knowledge:** Increased awareness, knowledge and know-how are used by international experts and organisations (including community of experts and practitioners on Environmental Peacebuilding) on addressing conflict risks and peacebuilding opportunities from natural resources.
- ✓ **Policy:** Increasing awareness of the role of natural resources in conflict and peacebuilding, translated into analytical methods guidance, and capacity for early warning, coordinated within the UN system and among member states.
- ✓ **Field programmes and processes:** Conflict prevention and peacebuilding programmes and processes by UN actors address natural resource risks and opportunities, empower women and restore livelihoods for ex/combatants, mitigate negative environmental effects, and further develop national capacity.

The programme was implemented by no more than four dedicated UNEP staff members at any point in time, supported by a network of personnel from the Branch, other parts of UNEP, and external experts with considerable experience in this area. The programme also drew technical guidance from a 10-member Expert Group on Conflict and Peacebuilding. Some 21 interventions were delivered, involving a range of initiatives from knowledge and research through to policy development and field work (see Appendix I for a summary of major outputs and outcomes by intervention). Thematic partnerships were also established by ECP on environmental peacebuilding, women and natural resources, climate change and security, extractive industries, peacekeeping and mediation.

The programme has been supported since 2008 by more than twelve donors, led by Finland. The direct extra budgetary funding received for Phase II of ECP (running from 2010 to 2012) was US\$7.5 M, and US\$6.1 M for Phase III (2013 to 2016).

The challenge, in terms of the **methodology**, of this evaluation is that the range of ECP interventions is highly diverse, and they operate in a continuum from global to national to local levels. Furthermore, the programme impact is defined within a complex web of national and international institutions where cross-cutting influences are prevalent. Another challenge is that the ECP programme was never externally communicated and marketed as a discrete programme itself. As a result, few individuals are knowledgeable about the full scope of the ECP programme – and most only have experience with the programme at the intervention level. For those specialised experts and partners with knowledge of the overall programme, it is highly appreciated and supported.

1.3 Evaluation Findings

The assessment score, applying the UNEP rating system, is highly satisfactory. The ratings demonstrate a consistently high performance. The lower scores are due to the issue of partner engagement and to the administrative management burden of the initiatives, particularly for the country programmes. Overall the programme is both highly integrated and innovative.

The **strategic relevance** of the programme is high due to the unique role that it plays within UNEP regarding peacebuilding. There had been little focus on how peacebuilding should include the physical environment and natural resources within the UN prior to 2008, where different agencies dealt with peacebuilding according to their sector-defined mandates. Over time this focus has emerged, and thanks to ECP it is now reflected in the work of peace-keeping operations, peacebuilding policies and UNDP programmes, for example.

The analysis of intervention **outputs** demonstrates a very deliberate and precise form of delivery, where the initiatives adapted fully to the constraints and opportunities that arose, and gave the necessary time for partner-dependent results to be achieved. The range of outputs is impressive considering the small size of the team and the breadth of subject matter covered.

The effectiveness of the programme in moving from **outcome to impact** is that it has achieved a significant asset base, from which it can now pursue more focused initiatives. For example, in the first outcome area, a knowledge base and self-sustaining community of practice has been created, as well as the basis for a new inter-disciplinary field of environmental peacebuilding. In the second outcome area, references to natural resources can be found in all peacebuilding reports of the UN Secretary General, and a UN guidance note on natural resources in post-conflict transitional setting has been endorsed by 38 UN agencies. The political economy of natural resource issues has become an established element of the conflict and development analysis tools of the UN. In the third outcome area the evaluation finds that five partnerships were created to take forward all of the field work in future.

The evaluation finds that the programme is dynamic and **efficient**, delivered by very few staff working long hours, taking full advantage of the fast evolving interest in the subject matter, linking resources and the drivers of peace. While awareness of the nexus between peace and the environment has arguably always existed, it is increasingly recognised as important for international cooperation and increasingly operationalised. The programme has responded rapidly, and even contributed to expand the growing demand for its guidance.

The principal constraint on efficiency, which is predictably the reverse side of ECP's strengths, has been its relative institutional isolation within UNEP. This isolation is due to three factors.

- ✓ Firstly it is due to the need to rely on extra-budgetary or voluntary donor funding, where the fundraising success of PCDMB led UNEP in Nairobi to focus its core Environment Fund on less well-supported donor priorities.

- ✓ Isolation is also caused by the political sensitivity of the issues (natural resources are often the implicit core of conflict and not an area where independent parties are welcome, for example in Afghanistan), where, as many respondents noted, the technical detail of the issues is often kept at arms' length of the political level.
- ✓ Even more importantly, isolation is related to the novelty of the idea that natural resources can be used proactively as an opportunity to resolve conflict – what one academic labelled the field of 'cooperative opportunities'¹. There is a decreasing but still considerable fragmentation in the international system² on how natural resources are taken into account, which constrains action. In the UN Department of Political Affairs, for example, there is still a focus on elite-level mediation, with a bias towards avoiding dealing with natural resources. Within the academic field, environmental law and environmental security have been contested, to be only gradually accepted as steps toward environmental peacebuilding.

ECP has compensated for this by adopting a catalytic role and generating important partnerships. ECP deliberately leveraged external resources through the creation of platforms (for example the Knowledge Platform), UN inter-agency programming mechanisms, or even the country programmes. The scale of resources mobilised by partners, for example in drafting the six original books of 150 case studies on natural resources and peacebuilding, or pushing through changes in UN peace-keeping, appear to be much larger than the actual donations received through official channels. Other examples include sustained advocacy which supported other agency initiatives (such as a senior official dealing with environmental issues in Department for Peace-Keeping Operations, DPKO), or eliciting sustained cooperation and support from the academic community through networks, events and publications.

In the few cases where the intended results have not been achieved, the cause is found to lie in the incompatibility between an entrepreneurial and highly collaborative approach, and the low incentives for collaboration in the UN inter-agency process.

Sustainability depends to a great extent on the will of other actors. There are some cases which have not delivered the expected institutional collaboration and joint programming at the field level. (the UN-EU Partnership on Land, Natural Resources and Conflict Prevention for example), or where those results are very much in the balance (the Nigeria peace-building effort), or where results were delayed (the Guidance on mediation).

Sustainability is made more likely by the fact that the results of the programme are of a versatile nature. An example is that of MAP-X³, an open data digital information system to relate natural resource extraction with social and environmental benefits and risks. As change takes time to translate into conflict sensitivity at an operational level, the tools and the concepts have gradually become accepted within the UN system through a gradual process. The observable process of change in UN peace-keeping towards taking account of environmental impact is evidence of the slow nature of this process.

¹ "An Unfinished Foundation: The United Nations and Global Environmental Governance", Ken Conca, Oxford University Press, 2016.

² The Security Council Report "Challenge of sustaining peace: Report of the Advisory Group of Experts on the Review of the Peacebuilding Architecture", 2015, spoke of a generalised misunderstanding of what peacebuilding means, and a fragmentation of the UN into silos.

³ Map-X is an online GIS supported platform designed to increase transparency in the extractives sector by including financial, social and environment parameters and by providing stakeholders with compliance monitoring tools. This project was developed at the global level in response to an explicit request from the g7+ partnership of fragile states, which includes Afghanistan and the Democratic Republic of Congo. It has already been presented to the Government of DRC and to the EITI multi-stakeholder group for endorsement to proceed with testing the prototype at the national level. Local level testing is also ongoing in Afghanistan within the framework of the World Bank's technical assistance programme. Funding the development and testing of the MAP-X prototype has been provided by a combination of the UN-World Bank Fragility and Conflict Partnership Trust Fund and the UNEP Partnership Development Trust Fund.

The **replicability** of the programme is considerable, although it is clear that not all the original activities are relevant today. UN policy is now fully updated in relation to peace-keeping, to the mandate of UNEP, to the illicit use of natural resources. ECP has been granted the necessary policy space, and the importance of focusing on internal UN policy has consequently decreased. The focus of effort could now shift to where demand is the greatest.

In overcoming the constraints to replicability, UNEP can increasingly count on its legitimacy as a knowledge hub in the area of natural resources. It can also count on its ability to deploy its expertise and tools in specific situations where it can make connections when there is a ‘continuum’ (this is arguably limited by UN rules and regulations).

Among the main **factors affecting performance** is the isolation described above. ECP also operates as a technical resource in a highly politicised field, where institutional interests are prevalent. Its focus has been exceptionally broad, which has created a risk for delivery, which would not be justified in the future.

The main **factors positively affecting performance** are the continuity of its staffing (retention of personnel in the core Geneva team, in the country programmes, but also among the external consultant and partner teams), and the highly tactical way in which the programme has selected its partners thanks to a good use of core funding and support from the highest levels of UNEP.

The products and services are consistently of high quality. The teams working on the programme have been given appropriate autonomy to identify and implement initiatives in a very entrepreneurial way, operating fully within the UNEP mandate to provide expertise to the rest of the UN and to the member states. Where risks were taken, they were covered in a systematic and well thought through manner.

Consistency has been remarkable even though the locus of control is situated outside PCDMB. Decision making for the follow-up lies with other agencies. While indirect influence is inherent to the nature of UNEP, which is not designed for direct implementation, it points to the importance of the processes through which ECP chooses its partners.

Over the 8 years of implementation ECP has avoided defining in concrete terms what success would look like in advance, to enable it to be adaptive, and has opted to follow a wide range of inter-connected tracks. The interventions have been tailored according to the needs and interests of partners, rather than being supply driven from a UNEP perspective. There is however no overall partner selection strategy.

I.4 Lessons Learned

A lesson learned across all ECP activities, is that natural resources create a common interest between opposite parties, and can also be used to empower particular groups, such as women, or indigenous populations. The force of this critical idea is the reason for which the initiatives have been adopted by a wide diversity of partners. It defines the extent of the applicability of this field. It is an interesting characteristic of the evolution of knowledge that such an intuitively simple idea had not until now been fully analysed in environmental studies nor in the peacebuilding area.

Another lesson learned is that external ownership of ECP outputs is considerably increased when ‘situations of continuum’ occur, in other words when ECP is able to respond to an acute need experienced either implicitly or explicitly by a partner organisation. This is a need for information about natural resources, conveyed in a cogent way, in a manner understandable by a peacebuilding target audience. When the need is not really there, even though the rhetoric may state that it is, the ECP initiatives fail to gain traction.

The overall lessons learned of the evaluation revolve around the fact that ECP, having passed a critical threshold of global awareness of ‘convergence’ around natural resources, has an opportunity to move to another level of engagement. Now that policies are emerging, and that there is greater acceptance of

UNEP's role and recognition of the importance of this subject, UNEP's future contribution will lie in deploying teams and expertise efficiently within conducive situations.

I.5 Recommendations

Five recommendations are derived from this evaluation

- ✓ **Recommendation 1: utilisation of the continuum model⁴.** *PCDMB should carry out an analysis of its partners prior to engaging with them through a particular initiative, and identify the latent or explicit need for expertise on natural resources.* The highly diverse threads of activity and the highly entrepreneurial approach adopted until now should be informed by stakeholder analysis for the sake of efficiency. Since the policy vacuum has been breached, it is imperative for the programme to identify in a strategic manner **those partners that are situated in a continuum scenario**. This means that it should prioritise partners where a need related to the partner's core work makes them identify taking natural resources into account as a strategic priority. This may also include cases where the link to natural resources is not fully recognised by the partner, initially.
- ✓ **Recommendation 2: commoditise audience-specific assessments:** *PCDMB should systematically consider providing **independent assessments** more widely as a type of service, where a high degree of neutrality is required.* These services must be communicated in such a way as to allow local communities and specialised stakeholders to understand and control the impacts of increasing resource scarcity or of the conduct of large industrial projects. It should build on its unique position in the international system to be a trusted partner. It should benefit from its expertise and its status as a UN project, and the fact that it has a flexible budget that is mutually agreed with the donor but only at a macro level with the facility to amend as and when desired. In this way it will help equalise the relations between the owners of natural resource assets, its partners, and the stakeholder populations⁵.
- ✓ **Recommendation 3: issue-driven network.** *PCDMB should seek to create an informal grouping of donors around environmental peacebuilding to enhance support and communication around this sensitive area.* ECP would engage in a frequent dialogue with those donors, non-UN partners and researchers that are willing and able to promote the natural resource angle in peacebuilding. The recommendation could lead, for example, to the creation of an informal group supported by professional networks, digital platforms and tools which would give the programme an expanded outreach beyond the current circle of active partners. This would help promote an institutional underpinning to compensate in the long term for the very personality-driven nature of the work so far.
- ✓ **Recommendation 4: private sector engagement.** *PCDMB should conduct a thorough review, with due consideration for its position within a UN agency, of its engagement with the private sector.* Where possible it should increase its engagement with the private sector. The experience of a few cases, most notably in Nigeria, should be considered, especially cases where those that control natural resources are business interests and local civil society actors, not the states (where states are active, it is often because they are guided by private actors, be they in a clandestine way or formally). Engaging with the private sector does not automatically entail receiving financing from that source, and this may in fact be exceptional. It is about recognising some of the concerns and risk management methods that are deployed by private sector actors to address the same issues as ECP. To engage with the private sector, ECP could connect with some of the in-

⁴ The concept of Continuum Model is used by this evaluation to characterise situations where addressing natural resource issues responds to a critical, if unidentified, need by one or more of the parties in a conflict, or in a potential conflict. This triggers rapid uptake of the contributions that may be made by PCDMB.

⁵ Comments by former senior representatives at Shell, on the generalised inability of large companies to engage in a meaningful manner with project affected populations.

dustry associations and with multi-stakeholder mechanisms, and public-private think tanks that are taking an active role in the good governance of natural resources. It should explore the possibilities that it could also use innovative knowledge tools such as MAP-X or the Guide for Mediation Practitioners as products which lead to the provision of ‘branded’ services in an easily replicable manner, capitalising on the investment of previous years.

- ✓ **Recommendation 5: Administration.** *UNEP should review the administrative operating space for PCDMB, especially in relation to the technical, administrative and resource needs created by diverse partnerships and conflict-related situations.* Some of the issues to be considered include the administrative potential for PCDMB to be able to deploy and operate its teams at country level, including through the allocation of additional core UNEP budgetary resources and extending the delegation of authority above US\$100,000. Ways of avoiding disconnects that have affected the uptake of PCDMB products and services in the past should be discussed as well as the possibility of working with faster modalities such as UNOPS. PCDMB needs to find administrative arrangements that allow it to be even more responsive to the wide variety of partners and situations related to environmental peacebuilding. Ways in which resources, especially time, can be better directed towards the achievement and reporting of outcome level results, rather than on the administration of inputs required to deliver an activity, should be considered.

A final suggestion is that PCDMB considers aligning the ECP streams of work more closely to the SDGs. The predominant features of the emerging streams of work are identified as three: an **advisory role**, for example in the area of peace-keeping and natural resource related crime; **catalytic projects**, for example in gender with other UN agencies; and **direct provision of field-level expertise** and teams, for example in mediation and mapping tools. The first stream would relate to the SDGs on basic needs (“good health and well-being”, “clean water”, “sustainable communities”), the second to empowerment (“reduced inequalities”, “gender equality”), and the third to governance (“peace justice and strong institutions”, and “partnerships”).

II. Introduction

II.1 Purpose of the Evaluation

This document is the final deliverable in the evaluation of the UNEP programme Environmental Cooperation for Peacebuilding (ECP). The programme was launched within the Post-Conflict and Disaster Management Branch (PCDMB) in 2008, and this evaluation covers the full programme with a focus on the period 2010-2015. It was implemented by Emery Brusset as sole evaluator during the period September 2015 to March, 2016.

The Terms of Reference (TOR) require the Evaluation to describe programme performance to date (in terms of relevance, effectiveness, efficiency, and sustainability), and to determine the likelihood of the programme achieving its intended outcomes and impacts. It also analyses the problems or challenges which the programme is encountering, and what corrective actions are required.

The evaluation has two primary purposes: (1) to provide evidence of results to meet accountability requirements, and (2) to promote programmatic and operational improvement, learning and knowledge sharing through lessons learned among UNEP and the main programme partners. Therefore, the evaluation identifies lessons of programmatic and operational relevance for future project and programme formulation and implementation.

The evaluation analyses the output to outcome relations within the programme, to help define the case studies which will generate the evidence for the overall findings.

The main substantive questions posed in the overall Terms of Reference for the evaluation are the following:

- ✓ Were the programme objectives achieved and/or are expected to be achieved (which was understood to refer to the level of outcomes in the Theory of Change)? Did the programme effectively respond to the evolving needs of UN, national and regional partners? To what extent were the programme outputs produced relevant and timely, credible, legitimate and well communicated to influence policy makers and other key audiences at the global and national levels? This question is answered in sections IV.1 to IV.3.
- ✓ Has the programme strengthened UNEP's role and capacity to position the environment within the peace and security policies and operations of the UN? Is UNEP better positioned to support the UN system to address conflicts over the environment and natural resources and partner with key UN departments and agencies? This question is answered in sections IV.4 to IV.5.
- ✓ Has the programme contributed to the overall goal of changing how the UN system understands and addresses the role of natural resources and the environment in conflict and peacebuilding by catalysing UN system awareness about the environmental and natural resource aspects of conflict, systematically improving the way the UN system understands and addresses these issues? Has the programme created new and continuing processes, institutions or changes in thinking that allow UN system to better understand and address the role of natural resources and the environment in conflict and peacebuilding? This question is answered in sections V.1.
- ✓ Has the programme built an evidence base and established a community of practice that can continue to develop largely independently? This question is answered in sections IV.2 and V.2.
- ✓ Has the programme helped to mobilise additional programmes and financial resources for dedicated country-level programmes on natural resources, conflict and peacebuilding? This question is answered in sections IV.4.

- ✓ Is there sufficient demand for UNEP to continue with the overall programme during the period 2016-2018 and how should this phase be structured? To what extent can the programme contribute to supporting the implementation of the goal 16 of the new Post-2015 Sustainable Development Goals? This question is answered in sections V.2 and V.3 on recommendations.

These questions are answered in a direct and synthetic form in section V.1.

A previous Mid-Term Review of the programme was done in June 2011 by Professor Stephen Longan, which partly overlaps with the present evaluation. Care was taken to build on the findings of this evaluation, so as to cover the full life cycle of the programme since its launch in 2008.

II.2 General Approach

Following the specifications set out in the TOR of the evaluation (see Appendix III), the approach adopted is based on eliciting a Theory of Change (ToC) from the programme, and on that basis analysing the activities carried out over the period evaluated by combining the core evaluation questions, the more detailed questions behind the evaluation criteria, and the evaluation ratings in Appendix III.

The approach, based on consultations with the UNEP Evaluation Unit, is to use **contribution analysis** captured through a theory of change model, grounded in a narrative and visual description of the causal links between outputs, outcomes, intermediate impacts and general impacts. The criteria used to structure the analysis are carefully aligned to the format proposed in the TOR.

A second design element was used, the **case study methodology**. It was decided not to opt to track the performance on the basis of the existing (and extensive) reporting and logical frameworks of the programme. This was decided for two reasons: the limits of linear definitions of programme monitoring; the limited use of presentations using chronological descriptions as formulated by the programme staff. The selection of cases to be studied from the total list of outputs is described below under evaluation methods.

Regarding the limits of linear models - It became clear for the evaluation in the Inception Phase that the planning tools were in fact more a hindrance than a help, in that the actual outcomes achieved (now more adequately captured in the ToC) did not necessarily correspond with the plan: some were altered due to circumstances, some were delayed but with no consequence on the ultimate impact, and some were unforeseen.

Moreover, the time-based presentation of the programme itself⁶, as we will see it in chapter III.1 on Programme Description, was not very relevant to the evaluation. While helpful in understanding the progressive evolution in the work delivered over the period 2008-2016, structuring the analysis by phases would have risked hiding the diversity of methods and the depth of subject matter covered, but more interestingly even the tactical ability of the programme to reach out to a wide variety of places and organisations.

The evaluation has consequently adopted a more descriptive approach based on the chains of objectives, where the individual activities may in fact be repeated over a number of different countries and organisations, but adjusted to particular circumstances. Over this ToC method we have overlaid a purposive sample of case studies.

The approach has been a consultative one, whereby findings were progressively developed over the course of the evaluation, through the joint elaboration of the theory of change, the presentation of emerging findings, through the Inception Report and a Note on Preliminary Findings.

⁶ The programme has been variously presented in pillars by types of outputs, by multi-year phases of funding, or by entry points in the cycle of conflict.

The documentation review led to the proposal of a theory of change, followed by the identification of the key hypotheses contained in this Theory. The first draft of this Inception diagram was followed up by ECP itself which then developed it further. A final consultation led to the formulation of the diagram contained in Chapter III.5. The assumptions were whittled down to a single framing hypothesis, which allowed the evaluation to create a typology of the outputs, presenting them on a scale which itself presented a sampling opportunity. This is further explained in Chapter II.2 on Methods.

The evidence contained in this report was drawn from an extensive cloud-based database of files, containing some 250 individual documents shared by ECP. To this should be added a growing body of academic literature (see Annex II.5), and some contextual material collected prior to the evaluation.

This information base was complemented by face to face interviews in Geneva, New York, Washington, Brussels, Kabul, Paris, Helsinki, in addition to a number of remote interviews with 62 key respondents (listed in Appendix II.1). A survey was issued to an additional 43 respondents, but only two responded⁷, which were integrated into the previous figure (their answers were analysed through the narrative they provided). The evaluator is confident that he has had access to all the desired information to reach his conclusions, and that the evaluation findings as stated below are accurate and based on material evidence.

II.3 Methods

The formulation of hypotheses is key to the design of the case study approach⁸. The case study method is a way of processing a large quantity of factors within a limited, bounded field of evidence. Specific theories about the intervention being evaluated were tested through the selection of specific cases. These theories revolved around the evidence found in the course of the Inception Phase about the uptake of the outputs by partners. The uptake was rated as either low or high, and case studies were then chosen in the three outcome areas identified in the reconstructed Theory of Change, one case with an apparent low uptake, and one with an apparent high uptake.

Six interventions from the list of 21 were selected as case studies and approved for the field phase (see Appendix 1 for a full list of the 21 interventions/outputs achieved). They were selected on the basis of the fact that they are representative of a spectrum of outputs and degrees of uptake, which range from those with a low level of uptake by the institutions targeted by the programme, to a high level of uptake. At least one case study was drawn from each of the main three outcomes identified in the reconstructed theory of change (See Section III on Programme Design):

The evaluator was requested to provide a score for the comparison of performance in the output-to-outcome causation. The scores are allocated on a scale of 0-5, where 5 reflects unique causation, and 0 reflects no influence of the output in the outcome area. The aim of this score was only to compare the utilisation made of the outputs achieved by UNEP as shown by documentary evidence at the Inception point in the evaluation. It did not represent an absolute numerical value, the numbering was only relative to itself, and is not presented here as it was proven during the primary data collection after Inception to be partly wrong (for example the delay in the Greening the Blue Helmets line of work was suddenly replaced in late 2015 by a flurry of outcomes in the peace-keeping sphere). The scoring⁹ was

⁷ This is a very low response rate. The most probable explanation is that the UNEP activities in which the respondents participated were comparatively small in relation to the overall workload of the respondent, or situated too far in the past. The very positive responses elicited from oral interviews imply that the low response rate does not reflect a negative perception of the programme. A reminder was sent to the respondents, but only two responses were received after that, one a survey form.

⁸ See for example “Case Study Research: Design and Methods”, Robert K. Yin, Sage 2009, Fourth Edition.

⁹ A total of six scoring categories were used:

- Score of 0: no noticeable influence
- Score of 1: some presence of the outputs in the outcome area
- Score of 2: a few secondary documents cite the outputs, use of concepts and terminology
- Score of 3: the output has become a recognised and used reference in the outcome area

based primarily on the documentation collected to date by the evaluator and on a limited set of interviews, and was therefore used to be indicative only as a basis for case selection and not a final conclusion of the output to outcome performance.

Each case study was analysed through primary data collection and in-depth interviews to elicit the evidence required to analyse the factors of success in their context, the practical assumptions made by the managers, the constraints and external variables, and the execution of the initiatives.

The case studies were:

- **Outcome Area 1: Knowledge**

The Environment and Peacebuilding Knowledge Platform.

The Platform is co-managed by UNEP and ELI out of Geneva and Washington, DC respectively. Interviews and analysis of the information available there could be combined with final interviews of ECP personnel. The Platform was founded on the basis of the 150 case studies and six books on natural resources and post-conflict peacebuilding by UNEP and ELI based on contributions from 225 experts. The case studies cover a range of natural resources, from high-value extractives such as oil, gas, minerals, metals and gems, to renewable resources such as forestry, fishing and agriculture, land and water. Today, the website serves as a global platform for sharing information, experiences and learning on addressing the linkages between natural resources, conflict and peace. It hosts a library containing 4,300 documents and regularly monitors news, events, jobs and new publications in the field. The knowledge platforms also supports a growing community of practice, including over 2,500 registered people from 80 different countries. The Environmental Peacebuilding Update is issued twice a month to these subscribers, containing a summary of the latest news and analysis from the field.

- **Outcome Area 2: Policy**

UN-EU Partnership on Land, Natural Resources and Conflict Prevention Global Partnership: The European Commission's Directorate-General for External Relations (RELEX) proposed to UNEP the establishment of a coordinated response regarding natural resource aspects of conflict prevention – a challenge as this cuts across the various mandates of UN agencies. Together with other UN entities consulted through the New York inter-agency framework, UNEP helped to design the contours of a Global Partnership on Land, Natural Resources and Conflict Prevention between the EU and UN. The Global Partnership is an international platform that was designed to identify best practice and offer assistance to countries to prevent and resolve resource conflicts in a multi-disciplinary manner. It is based on the ECP model of a combination of policy notes, joint agency guidance, and possible applications in the field. With an international secretariat based in New York, the partnership consists of seven UN agencies (UNEP, UNDP, HABITAT, DPA, PBSO, DESA and IOM) and the European Union. It combines and deploys the economic, social, political and environmental expertise of the partner agencies into joint assessments and integrated field programs that can tackle complex resource disputes.

Mediation: The UN Department of Political Affairs (DPA) and UNEP decided to capture the experience in mediating conflicts over extractive resources, land and water at both local and in-

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- Score of 4: the output has changed the conduct of key actors in the outcome area
 - Score of 5: the output has been the overriding factor of change in the outcome area

The outputs are ranked by adding the scores of uptake within all three outcome areas. The use of addition prevents a distortion due to small changes in weighting, when there is not enough rigour to justify such a wide variation.

ternational levels in a guidance document. A total of 40 mediation experts were involved in the process, and 24 specific case studies were analysed. After a relatively long gestation period of four years, the report “Natural Resources and Conflict: A Guide for Mediation Practitioners” (2015) was launched in February 2015 at a high level event in New York by the UN Deputy Secretary General Jan Eliasson. It is currently being presented in different fora, including at high-level events in Helsinki, Montreal, Geneva and Djibouti. The publication targets mediators, governments, companies and stakeholders to specific disputes.

- **Outcome Area 3: Field Programmes and Processes**

Greening the Blue Helmets: UNEP helped the UN Department of Peacekeeping Operations (DPKO) and the UN Department of Field Support (DFS) to develop an Environmental Policy for UN field missions in 2009. The policy set minimum standards and requirements for environmental performance, including on energy and water consumption, as well as waste production.

In 2012, three years after the adoption of the policy, UNEP, DPKO DFS and the Swedish Defense Research Agency (FOI) partnered to assess the overall level of policy implementation. Interviews were conducted with ten different peacekeeping missions to identify the range of positive practices adopted, together with the main barriers. The process also reviewed how peacekeeping operations could help prevent natural resources from contributing to instability and conflict relapse. The findings from the joint analysis were published in the third flagship ECP report “Greening the Blue Helmets: Environment, Natural Resources and UN Peacekeeping Operations” (2012). UNEP also offered the services of a senior environmental engineer (P4 level) to DPKO and DFS for a two year period from 2012-2014 to help design a plan and institutional partnership with UNEP for the full implementation of environmental policy and to follow up specific recommendations from the policy report.

The outputs revolving around technical assistance to member states represent an important illustration of the third type of outcome, with a focus on two cases where there is some form of substantial uptake, **Afghanistan and Nigeria**. New developments were observable on the ground.

III. Programme Description

III.1 Programme Context

Awareness of the influence of natural resources on conflict around the world has risen in the first decade of this century (as witnessed by an abundant literature, some of which is contained in the bibliography). There is also however a significant lack of capacity to take advantage of these linkages to reduce conflict risk and increase opportunities for peace. This lack of capacity extends from the lack of a good empirical base for action, to a lack of qualified personnel and of institutional mechanisms.

It is this gap which UNEP's Post-Conflict and Disaster Management Branch (PCDMB) has set out to fill, over the period 2008-2016. The Environmental Cooperation and Peacebuilding (ECP) programme has carried out three phases of work, of which the last two (2010 to 2016) are the subject of the present evaluation.

The PCDMB evolved from an initial UNEP task force to assess post-conflict contamination from the bombing campaign during the Kosovo conflict in 1999. First called the Post-Conflict Assessment Unit (PCAU), the original team conducted very sensitive field research, organised conferences on the environmental damage caused by armed conflict, and implemented an environmental clean-up project in Serbia. The "Environmental Cooperation for Peacebuilding" (ECP) programme was established within PCDMB in 2008. A significant shift in the objectives of PCDMB took place at this time, whereby the focus moved from providing technical field assessments, to also exercising policy influence at the global level.

Natural resources are defined by UNEP as the material sources of wealth (such as timber, fresh water, or a mineral deposit) that occur in a natural state, and have social or economic value - in other words assets on which economies and societies depend for their viability. The term conflict, on the other hand, rooted in the latin etymology of 'striking against each other', is used by UNEP to describe societal and statal forms of tension, be they latent, or overt (violent).

UNEP rapidly adopted the UN concept of the conflict cycle to organise its interventions around the nexus between natural resources and conflict, according to the typologies of intervention first described in the 1992 Secretary General's Report "An Agenda for Peace". These can be summarised as preventive diplomacy, peace-making, peacekeeping and peacebuilding, each one applied at a different stage, according to the intensity of a conflict¹⁰.

However, at the turn of the millennium, the UN's evolving peacebuilding architecture did not reflect the broad and complex role of natural resources across the peace and security continuum. As a result, the UN was insufficiently prepared to support lasting resolutions to resource conflicts or capitalise on the peacebuilding potential of natural resources and the environment.

In 2004 the UNEP report "Understanding Environment, Conflict and Cooperation" described the main dilemmas and the potential areas for further research and useful action. The focus of the effort was on highlighting the evidence base about the importance of the environment and natural resources for peace, and identified the lacking bodies of knowledge which would help advance a more informed role for international interventions in conflict situations.

In 2005 Finland's President Tarja Halonen, wrote to the UN Secretary-General Kofi Annan, noting this shortcoming. She offered to partner with UNEP to enhance understanding and capacity across the UN

¹⁰ The model that was used is contained on page 9 of the following report:
http://postconflict.unep.ch/publications/ECP/ECP_progress_report_2015.pdf

system to address conflict risks and peacebuilding opportunities from natural resources and the environment. Mr. Pekka Haavisto, former Finnish Minister for Environment and Development, also lent his political support to the idea, arguing that UNEP's extensive field assessment experience from 20 conflict affected countries needed to be systematically shared with the wider UN system as the foundation for a more comprehensive international response.

While natural resources are generally considered to be assets in order to achieve sustainable development, they can also specifically act as drivers of violent conflict and instability. The problem is especially acute in fragile states and post-conflict countries, which depend on natural wealth to stabilise and develop. These countries also have low capacity to capture the multiple benefits from natural resources without triggering new sources of conflict, causing major environmental degradation or creating the conditions in which natural resources seem to determine a poverty cycle known as the 'resource curse'.

III.2 Objectives and Components

The ECP programme was made possible by anchor funding from the Finnish Ministry of Foreign Affairs, towards the end of 2007, together with initial co-funding from Sweden. This anchor funding was then continued by Finland through two other successive phases in subsequent years, triggering additional contributions from some twelve other donors to specific areas of work¹¹. These in turn triggered through individual projects and initiatives, a significant mobilisation of co-financing¹², including from other UN bodies.

The general objective of the ECP programme is formulated as providing technical support to domestic, regional and international peace consolidation efforts. This is done through expertise made available to the UN, to regional and state organisations, about conflict risks and peace opportunities, associated with natural resources and the environment.

The advisory and analytical roles are central to the position which UNEP has taken in providing support to the wider UN system in prevention and peacebuilding.

However over time the approach has become more explicitly catalytic, as can be seen in the evolution in the formulation of the objectives at each one of the three successive phases:

- **Phase 1:** The specific objective of this phase, which ran from 2008 to 2010, was to strengthen the capacity of fragile States, regional organisations, UN entities, and civil society, to assess and understand the conflict risks and peacebuilding opportunities presented by natural resources and environment. The overall objective was to formulate more effective response policies and programmes, across the spectrum of international peace and security operations.
- **Phase 2:** The specific objective of this phase, which ran from 2010 to 2012, was to make Member States and the UN system better able to sustainably manage natural resources and the environment, with the general objective of contributing to peacebuilding, conflict prevention and transboundary cooperation.
- **Phase 3:** The specific objective of this phase, which runs from 2013 to 2016, is to strengthen the capacity of fragile states, regional organisations, UN agencies and civil society to assess and address the conflict risks and peacebuilding opportunities presented by natural resources within peace and security policies, plans and programmes. The general objective is to ensure that natural resource management contributes to building sustainable peace in fragile states, as well as to prevent natural resources from becoming a source of instability.

¹¹ By order of magnitude: European Union (Commission), Norwegian Royal Ministry of Foreign Affairs, Swedish International Development Agency, United Kingdom, UN Women, UN Department for Peace-Keeping Operations, Italy.

¹² Significantly one can note numerous other UN programmes, but also specialist bodies such as the International Committee of the Red Cross, and even UNEP core funding.

The wording indicates an increased emphasis on the actual management of the resources, hence on local reality. It is reflected in the presentations which ECP personnel make of the interventions today¹³, in addition to the increasing focus on the early stages of conflict interventions (conflict prevention and mediation) which are also described as arising later.

Table 1: ECP Pillars, Outputs and Outcomes Based on Reconstructed Theory of Change

| ECP Pillar | Interventions | Outcome |
|--|--|--|
| 1. Build evidence base and community of practice (PHASE 1) | 1) 150 peer reviewed case studies and 6 books published (ELI, McGill, Tokyo, others) | 1. Increased awareness, knowledge and know-how used by international experts and organizations on addressing conflict risks and peacebuilding opportunities from natural resources |
| | 2) Tools, platform and network for a new community of practice on Environmental Peacebuilding developed | |
| 2. Conduct policy analysis and strategic advocacy (PHASE 2) | 3) 6 flagship policy reports in partnership with UN actors containing advice and guidance material for addressing risks and opportunities from natural resources across the peace and security continuum. Themes cover peacebuilding (PBSO), peacekeeping (DPKO/DFS), mediation (DPA), international law (ILC/ICRC), reintegration of combatants (UNDP), and empowerment of women (PBSO, UNWOMEN, UNDP), | 2. Increasing awareness of the role of natural resources in conflict and peacebuilding, translated into analytical methods guidance, and capacity for early warning, coordinated within the UN system and among member states. |
| | 4) 1 UN guide on addressing natural resources in post-conflict transitions (UNDG/ECHA) and integration within UN Conflict and Development Analysis Toolkit (CDA) | |
| | 5) 6 guidance notes on addressing natural resources in conflict prevention disseminated. Themes cover land, renewable resources, extractive resources, and conflict-sensitivity. (UN-EU Partnership on Land, Natural Resources and Conflict Prevention – UNDP, PBSO, UNHABITAT, UNDESA, DPA, IOM) | |
| | 6) Evidence and technical support provided to global level policy making process, high-level panels and reports of UN Secretary General. | |
| 3. Catalyse field pilots and uptake (PHASE 3) | 7) Technical assistance and rapid response: Conflict Prevention and Peacebuilding (listed in appendix as 5 separate outputs: CAR, Sierra Leone, Afghanistan, DRC, Somalia) | 3. Conflict prevention and peacebuilding programmes and processes by UN actors address natural resource risks and opportunities, empower women and restore livelihoods for ex/combatants, mitigate negative environmental effects, and further develop national capacity |
| | 8) Technical assistance and rapid response: Mediation and Environmental Diplomacy (5 Outputs: Western Sahara, Haiti-Dominican Republic, Bougainville, Sahel, Nigeria) | |
| | 9) Technical assistance and rapid response: Peacekeeping (5 Outputs: DR Congo, Mali, South Sudan, Somalia, CAR). Technical assistance and rapid response: Peacekeeping | |

¹³ Interviews with ECP in Geneva

In reviewing the range of outputs and the implementation approach adopted by ECP, it is important to note that the PCDMB runs a number of country programmes. ECP itself usually works through existing UNEP programmes as well as other UN bodies, in particular UNDP, UNOPS and the UN Secretariat, particularly the Department for Peacekeeping Operations. UNEP has a policy of being an implementing body of last resort, where field implementation beyond catalytic or pilot activities are considered the primary responsibility of other UN entities. The preferred modality is to conduct research and send out either advisory or embedded expert teams to identify needs and help design follow-up projects by other UN resident agencies.

There are structural limits to how ECP can be present on the ground. UNEP's mandate, defined in General Assembly Resolutions, gave UNEP the functions of "keeping under review the world environment situation," "promoting international cooperation" and "reviewing the impact of national and international environmental policies". In addition to that, administrative complexity (around the procedures which have to be followed for procurement and deployment), and the sensitivity of the issues concerned (particularly marked where member states' practices are highlighted by the UN), are also cited by UNEP personnel as significant constraints on running its own operational interventions in countries.

There are only three to four dedicated staff and one junior professional officer (JPO) within ECP. These are normally supported by a small team of research assistants, interns and a roster of external expert consultants. In addition, the ECP programme relies on expertise and advice from a 10-member Expert Group on Conflict and Peacebuilding. The ECP programme also involves different UNEP staff as needed (primarily from PCDMB) to support field assessments and other operations, and often implements activities in partnership with other UN actors, institutes and non-governmental organizations (see section III.3 for a full list of ECP partners and stakeholders).

The ECP programme has not been externally communicated as a unique UNEP programme or brand, but rather the individual thematic reports and products of ECP, are the focus of marketing and advocacy. The role of the initiative is to catalyse other initiatives, and this defines the operational structure.

Given the wide-ranging scope of issues addressed by ECP (different aspects of the role of natural resources across conflict cycle), the programme has been designed to flexibly draw on internal UNEP experts as needed for individual projects and technical advisory missions. For example, this was the case for projects implemented in Haiti, Afghanistan, and DR Congo, which relied on an existing configuration of expertise both in Geneva and in the country. The Branch may even on occasion carry out related initiatives that are not directly managed by the ECP programme, but in which the ECP principles, lessons and good practices, constitute the basic approach. In these cases the ECP programme contributes both expertise and funding, as was the case for the major environmental assessment and environmental diplomacy project in the Ogoni areas of the Niger Delta in Nigeria.

III.3 Target Groups

The target groups selected by ECP have been primarily the UN Secretariat's departments dealing with peacebuilding and peacekeeping, the UN agencies and programmes whose development aims affect the management of natural resources (for example land ownership in the case of Habitat, extractive industry in the case of UNDP, or gender in the case of UN Women), and the academic community which defines the emerging field of environmental peacebuilding. There has also been a secondary focus on other development institutions, such as the World Bank, and on member states where and when these will be open to the activities. There has in fact been little done in relation to humanitarian aid, and, interestingly for such a programme, nor with private sector associations or businesses.

The reason for such a focus on the part of ECP is to be found in the nature of UNEP's mandate to advise member states and UN agencies through the provision of expertise, and to work through UN agen-

cies if reaching out to other actors. PCDMB, within UNEP, is seen as a Branch that is well considered externally but slightly higher risk because it works on high profile issues and conflict, and its managers have not felt empowered to work directly with a wide range of actors which would have been quite novel for UNEP. A secondary reason is a design assumption made by the managers of ECP, and validated over the years, that this emerging area of work first needed an institutional base within the UN and among member states before venturing into the sphere of other actors, such as the private sector.

The programme coincides with, and contributes directly to, the emergence of a new academic and professional community dealing with peacebuilding and natural resources. While ten years ago it would have seemed counter-intuitive to many that natural resources, seen as the purview of the private sector, should be part of conflict and peace interventions, this is now widely agreed, and intersects heavily with the agenda of climate change and sustainability.

This confluence of interests is increasing the demand coming from a wide range of actors, for UNEP to provide technical support and expertise. This includes requests from actors across all agencies and programmes of the UN, but also an increasingly wide range of organisations and venues in international relations. This allows UNEP to capitalise on the ground work done by ECP and gives it a legitimate place in the area of peacebuilding.

It is striking to observe the paradox between the very positive relevance of the programme and the continuously brittle nature of the resource base and the tricky timing of uptake. Many of the organisations and agencies interviewed have spoken of the interest of environmental peacebuilding to their work, but also the fact that vastly more influential factors have dictated the degree to which they sustained their engagement with ECP. This relates to factors as diverse as non-inclusive mandates, shifts in funding, internal institutional priority setting, or turnover of personnel. There has recently been a considerable drop in funding coming from the donors most likely to support this type of work (the Nordics, Canada, other UN agencies).

The interviews carried out have shown that the utilisation of ECP outputs is often triggered by the presence of individuals who personally clearly see the value of the contribution, and are willing to translate it into guidance or into resource allocations and change on the ground. There is an increasing potential of deploying the new knowledge into specific country level opportunities. At the same time the broader professional community is continually exposed to irregular funding and bureaucratic shifts, as well as to the movement of key individuals from the positions which allowed them to interface with ECP.

Most important however is the intense commitment within the community which sees the value of natural resources in the evolution of peacebuilding. Tracking the formal contributions made by donor or UN agencies should not hide the considerable effort and co-financing done 'in kind' by a dedicated group of individuals.

III.4 Implementation Milestones and Arrangements

If one were to visualise the programme, it would probably be best to see it as situated within a web of related initiatives, within which its goal is to create a critical mass dealing with peace as regards natural resources, or natural resources as regards peace. It sought to create a momentum for change across the UN system. This influences the design used for the present evaluation methodology, which is to visualise ECP as generating a series of activities which generate their own chains of results, up to a very high level of global impact.

This capability creation angle, and the policy influence, are explicitly present within the planning of ECP. By the end of phase 3, the ECP team aims for example to create a global centre of excellence in Geneva on managing natural resources and environmental threats in fragile states. This would have the capacity to deploy international experts from UN agencies, academia, civil society and non-government organisations to countries in need of international assistance.

The operating modality of the programme has been to respond to opportunities for intervention as they arise, particularly in the form of invitations from within the UN system, but not limited to the UN (as shown by the work with the International Committee of the Red Cross on international laws that protect the environment during armed conflict). ECP has adopted a catalytic role in triggering the interventions of other organisations at the research, policy, programming or implementation level.

In fact the programme has been periodically affected by delays outside UNEP's control, in the intended implementation of specific activities. Phase 2 was extended first for one year (until the end of 2012) and then further extended for another two years until the end of 2014 to finalise two outputs under the peacebuilding support component. Phase 3 itself started in August 2012, and was also extended by 16 months until the end of 2016 to use of additional funding from the Norwegian Framework Agreement to the Disasters and Conflicts Sub-programme.

These delays were due to interruptions or changes in the institutional context of ECP partners, in a period of rapid global evolution in this area. This was addressed by focusing most particularly on the responsive and highly collaborative nature of the work of ECP, which also makes it in turn more dependent on the availability and goodwill of its partners.

Within the broad objectives set in its documentation, ECP has used its resources in a tactical way, through its own expertise and access to external expertise, using the increasingly positive image of UNEP in the broader international debates, to make its contributions.

The long-term vision is to help the UN system and member states assess and address natural resource challenges across the full conflict cycle. Activities delivered by the programme would address short-term risks, while mobilising new sources of financing for longer-term and larger scale natural resource governance programmes that directly contribute to conflict prevention and peacebuilding goals. ECP also has an explicit goal of creating a community of practice of current and future practitioners which are supported by a global knowledge platform on Environmental Peacebuilding.

The direct extra-budgetary funding received for Phase II of ECP was US\$7.5 M, and US\$6.1 M for Phase III. Of this funding about 65% came from Finland, the remainder was given for specific projects by other donors and partners. The number of activities which have been carried out by ECP is surprisingly extensive, when considering the level of the funding and the small size of the team. The activities are presented as distinctive tasks, but clearly relate to threads of contacts and developments in the institutional environment of the programme, one leading to the other, as narrated for example in the Mission Reports.

Table 2 Project Costs and Co-financing Tables

Project Costs

| Component/sub-component/output | Estimated cost at design | Actual Cost | Expenditure ratio (actual/planned) |
|--------------------------------|--|--|------------------------------------|
| ECP-2: 2010-2014 | Rev.0: USD 9,980,725 (inclusive unsecured funding of USD 4,130,725) | Rev.7: USD 8,384,854 | .84 |
| ECP-3: 2012-2016 | Rv.0: USD 6,463,600 (inclusive unsecured funding of USD 2,120,000) | Rev.4: USD 6,378,436 (not including USD 640,000 of in-kind support from UNEP) | .98 |

Table 3a: ECP Phase 2: Co-financing

| Co financing (Type/Source) | UNEP own Financing (USD) | | Government (USD) | | Other* (USD) | | Total (USD) | | Total Dis- bursed |
|-------------------------------|-----------------------------|----------------|---------------------|------------------|------------------|------------------|------------------|-------------------|----------------------|
| | Planned | Actual | Planned | Actual | Planned | Actual | Planned | Actual | |
| - Grants | | | | | | | | | |
| - UNEP | 556,271 | 556,271 | | | | | 556,271 | 556,271 | 556,271 |
| - Finland | | | 3,901,672 | 4,080,470 | 2 JPOs | 2 JPOs | 3,901,672 | 4,080,470 | 4,080,470 |
| - DAO | | | | | 495,000 | 482,818 | 495,000 | 482,818 | 482,818 |
| - Norway | | | 611,146 | 848,190 | | | 611,146 | 848,190 | 848,190 |
| - Norway | | | 0 | 417,987 | | | 0 | 417,987 | 417,987 |
| - Norway | | | 0 | 438,394 | | | 0 | 438,394 | 438,394 |
| - UNDP | | | | | 0 | 802,895 | 0 | 802,895 | 802,895 |
| - EU | | | 337,762 | 232,256 | | | 337,762 | 232,256 | 232,256 |
| -DPKO (UNMIS) | | | | | 114,797 | 91,836 | 114,797 | 91,836 | 91,836 |
| -DPKO (UNSOA) | | | | | 123,799 | 123,799 | 123,799 | 123,799 | 123,799 |
| - Loans | | | | | | | 0 | 0 | |
| - Credits | | | | | | | 0 | 0 | |
| - Equity | | | | | | | 0 | 0 | |
| - In-kind sup. | 320,000 | 309,938 | | | | | 320,000 | 309,938 | 309,938 |
| - Other (*) | | | | | | | 0 | 0 | |
| - UNITAR | | | | | 108,250 | 108,250 | 108,250 | 108,250 | |
| - UNDP | | | | | 50,000 | 50,000 | 50,000 | 50,000 | |
| - ELI | | | | | 1,430,826 | 1,430,826 | 1,430,826 | 1,430,826 | |
| - UN Staff College | | | | | 100,000 | 100,000 | 100,000 | 100,000 | |
| Totals | 876,271 | 866,209 | 4,850,580 | 6,017,297 | 2,422,672 | 3,190,424 | 8,149,523 | 10,073,930 | 8,384,854 |

Table 3b: ECP Phase 3: Co-Financing

| Co financing (Type/Source) | UNEP own Financing (USD) | | Government (USD) | | Other* (USD) | | Total (USD) | | Total Dis- bursed |
|-------------------------------|-----------------------------|----------------|---------------------|------------------|------------------|------------------|------------------|------------------|----------------------|
| | Planned | Actual | Planned | Actual | Planned | Actual | Planned | Actual | |
| - Grants | | | | | | | | | |
| - UNEP | 250,000 | 250,000 | | | | | 250,000 | 250,000 | 250,000 |
| - Finland | | | 3,896,100 | 4,017,016 | | | 3,896,100 | 4,017,016 | 4,017,016 |
| - CPL | | | 0 | 99,842 | | | 0 | 99,842 | 99,842 |
| - Norway | | | 0 | 285,577 | | | 0 | 285,577 | 285,577 |
| - Norway | | | 337,762 | 285,500 | | | 337,762 | 285,500 | 285,500 |
| - Norway | | | 500,000 | 250,000 | | | 500,000 | 250,000 | 250,000 |
| - UNDA | | | | | 500,000 | 558,000 | 500,000 | 558,000 | 558,000 |
| - Concern | | | | | 0 | 362,501 | 0 | 362,501 | 362,501 |
| - MDTF/UNDG | | | | | 500,000 | 250,000 | 500,000 | 250,000 | 250,000 |
| - MDTF/WB | | | | | 300,000 | 75,000 | 300,000 | 75,000 | 75,000 |
| - Loans | | | | | | | 0 | 0 | |
| - Credits | | | | | | | 0 | 0 | |
| - Equity | | | | | | | 0 | 0 | |
| - In-kind sup. | 575,000 | 585,000 | | | | | 575,000 | 585,000 | 585,000 |
| - Other (*) | | | | | | | 0 | 0 | |
| - UN Women | | | | | 100,000 | 70,000 | 100,000 | 70,000 | |
| - UNDP | | | | | 100,000 | 150,000 | 100,000 | 150,000 | |
| - DPA | | | | | 50,000 | 35,000 | 50,000 | 35,000 | |
| - DPKO | | | | | 50,000 | 50,000 | 50,000 | 50,000 | |
| - DPKO | | | | | 50,000 | 50,000 | 50,000 | 50,000 | |
| - World Bank | | | | | 100,000 | 325,000 | 100,000 | 325,000 | |
| - ELI | | | | | 236,803 | 236,803 | 236,803 | 236,803 | |
| Totals | 825,000 | 835,000 | 4,733,862 | 4,937,935 | 1,986,803 | 2,162,304 | 7,545,665 | 7,935,239 | 7,018,436 |

Table 4 Financial management ratings

| Financial management components | | Rating | Evidence/ Comments |
|---|--|--------|---|
| Attention paid to compliance with procurement rules and regulations | | | Full compliance with the UN Procurement Rules when selecting vendors. |
| Contact/communication between the PM & Division Fund Managers | | | Co-location in Geneva allows complete and timely communication and contact. |
| PM knowledge of the project financials | | | Full knowledge of project financials |
| PM responsiveness to financial requests | | | Responsive |
| PM responsiveness to addressing and resolving financial issues | | | Responsive |
| Were the following documents provided to the evaluator: | | | These were shown and are available. |
| A. | Crystal Report | | |
| B. | All relevant project Legal agreements (SSFA, PCA, ICA) if requested | | |
| C. | Associated Financial reports for legal agreements (where applicable) | | |
| D. | Copies of any completed audits | | |
| Availability of project legal agreements and financial reports | | | Legal reports are available |
| Timeliness of project financial reports and audits | | | All financial reports were submitted in compliance with contractual requirements of the donor |
| Quality of project financial reports and audits | | | Standard UN format and quality maintained in the reports. |
| PM knowledge of partner financial expenditure | | | Standard UN format and quality maintained in the reports. |
| Overall rating | | | HS |
| | | | |

The formal reporting, which is reflected here, shows a high degree of quality control and accuracy of information. There are no obvious deficiencies in the budgets / financial planning. The most striking aspect is the extent of co-financing by UN agencies, and the continuity of funding from some donors, in particular Finland. The flexibility afforded by this type of financing has allowed the programme to be adaptive and to achieve a very high level of funds actually received, in direct relation to outputs achieved.

The continuation of programme results and the eventual impact of the programme are moderately dependent on financial resources due to the uptake of the guidance, knowledge and contacts afforded by the programme. The likelihood that adequate financial resources will be available to use outputs delivered and capacities built by the programme is highly dependent on the situation amongst partners. The evaluation notes a drop in the level of funding from traditional donors, but there is a substantive possibility to work more with private capital. There are no financial risks that may jeopardise sustenance of programme results.

Table 5a.: Programme summary, ECP Phase 2

| | | | |
|--|---|---|--|
| UNEP PIMS ID: | 632 | IMIS numbers: | |
| Sub-programme: | Disasters and Conflicts | Expected Accomplishment(s): | EA(a) |
| UNEP approval date: | 11/01/2010 | PoW Output(s): | 2010-2011: #211, #212, #213, #235 2012-2013: #211, #212, #215, #231 2014-2015: #211 |
| Expected Start Date: | 01/04/2010 | Actual start date: | 01/04/2010 |
| Planned completion date: | 31/12/2011 | Actual completion date: | 31/12/2014 |
| Planned project budget at approval: | US\$ 9,980,725 | Total expenditures reported as of [date]: | US\$ 8,384,854 |
| Planned Environment Fund (EF) allocation: | US\$876,271 | Actual EF expenditures reported as of [date]: | US\$866,209 |
| Planned Extra-budgetary financing (XBF): | US\$9,104,454 | Actual XBF expenditures reported as of [date]: | US\$7,518,645 |
| XBF secured: | US\$ 4,080,470 (Finland) US\$ 232,256 (EU) US\$ 848,190 (Norway) US\$ 417,987 (Norway) US\$ 438,394 (Norway) US\$ 482,818 (UN DAO) US\$ 802,895 (UNDP) US\$ 91,836 (DPKO) US\$ 123,799 (DPKO) | Leveraged financing: | US\$ 100,000 (UN SSC) US\$ 1,430,826 (ELI) US\$ 50,000 (UNDP) US\$ 108,250 (UNITAR) |
| First Disbursement: | | Date of financial closure: | |
| No. of revisions: | 7 | Date of last revision: | 07/05/2014 |
| Mid-term review/ evaluation (planned date): | N/A | Mid-term review/ evaluation (actual date): | June 2011 |
| Terminal Evaluation (actual date): | April 2016 | Date of last Steering Committee meeting: | |

Table 5b. Programme Summary, ECP Phase 3

| | | | |
|---|--|---|--|
| UNEP PIMS ID: | 1552 | IMIS numbers: | |
| Sub-programme: | Disasters and Conflicts | Expected Accomplishment(s): | EA(a) |
| UNEP approval date: | 10/10/2012 | PoW Output(s): | 2012-2013: #211, #212, #215 2014-2015: #211 |
| Expected Start Date: | 01/10/2012 | Actual start date: | 01/08/2012 |
| Planned completion date: | 31/07/2015 | Actual completion date: | 31/12/2016 |
| Planned project budget at approval: | US\$6,463,600 | Total expenditures reported as of [date]: | US\$ 7,018,436 |
| Planned Environment Fund (EF) allocation: | US\$825,000 | Actual EF expenditures reported as of [date]: | US\$835,000 |
| Planned Extra-budgetary financing (XBF): | US\$5,638,600 | Actual XBF expenditures reported as of [date]: | US\$6,183,436 |
| XBF secured: | US\$ 4,017,016 (Finland) US\$ 99,842 (CPL) US\$ 250,000 (TF/UNDG) US\$ 75,000 (TF/WB) US\$ 558,000 (UNDA) US\$ 285,577 (Norway) US\$ 285,500 (Norway) US\$ 250,000 (Norway) US\$ 362,501 (Concern) | Leveraged financing: | US\$ 70,000 (UN WOMEN) US\$ 150,000 (UNDP) US\$ 35,000 (UN DPA) US\$ 50,000 (DPKO) US\$ 50,000 (DPKO) US\$ 236,803 (ELI) US\$ 325,000 (World Bank) |
| First Disbursement: | | | |
| No. of revisions: | 4 | Date of latest revision: | 21/04/2016 |
| Mid-term review/evaluation (planned date): | N/A | Mid-term review/evaluation (actual date): | April 2016 |

Project Partners

Table 6. New Partnerships Established by ECP for Field Level Implementation of Good Practice

| Partnership | Partners | Objective | Initial Indicative Budget (USD) | Financing Committed |
|---|-------------------------|---|---------------------------------|---------------------|
| Environmental Peacebuilding Knowledge Platform | ELI | Collect and disseminate knowledge and research on the emerging field of environmental peacebuilding | 500,000 | 540,000 |
| Rapid Environment And Climate Technical Support Facility (REACT) | DPKO and DFS | Improve resource efficient practices of all UN peacekeeping missions | 6,900,000 | 6,900,000 |
| Promoting Gender-Responsive Approaches to Natural Resource Management for Peacebuilding | UN-WOMEN, UNDP and PBSO | Achieve women's empowerment in social, political and economic terms through natural resources in fragile states | 4,500,000 | 1,500,000 |
| Mapping and Assessing the Performance of Extractive Industries (MAP-X) | World Bank, EITI, g7+ | Increase transparency on the financial, social and environmental performance of the entire extractive industry value chain to reduce conflict and improve stakeholder trust | 2,000,000 | 600,000 |
| Climate Change and Security Initiative | EU | Improve national and local resilience to security implications of climate change | 6,000,000 | 6,000,000 |
| International Center for Environmental Diplomacy and Natural Resource Mediation | DPA | Provide technical assistance and mediation support in the resolution of resource conflicts | 5,700,000 | 0 |
| TOTAL | | | 25,600,000 | 15,400,000 |

III.5 Reconstructed Theory of Change

The programme as a whole offers a complex picture of inter-related initiatives, which are hard to analyse in discrete categories, not least because it is presented in its own documentation in different ways, which correspond to various reporting audiences and partners. The wide range of activities are alternatively grouped by ECP into the three phases of funding under which specific projects are grouped together (for example in the work plans), or into thematic areas (for example legal protection, or ex-combatants), or into the successive phases of the conflict cycle (for example mediation, peacekeeping, peacebuilding).

A theory of change approach allows for a focus on the overall effects of the programme on the ‘conflict and resource’ nexus. The difficulty in analysing interventions in the manner described by ECP is that these have tended to be structured according to the phases of funding rather than to a problem rooted in the reality of natural resources and conflict.

The chronological first phase of ECP can be described as primarily focused on collecting evidence from the field on the role of natural resources along the conflict lifecycle, and communicating it within the UN. The second phase can be conceived as more about supporting actors to review their current policies and practices, mainly through joint analysis and preparation of policy reports and recommendations. The third phase gives more emphasis to catalysing resources for joint projects to help actors in applying policy recommendations on the ground through technical assistance. The thinking of the ECP personnel gives increasing emphasis over time to the movement from the global level to the organisational response, and then to field implementation (see Table 1 above).

The activities create the starting point for a chain of effects which have been represented in the Theory of Change diagram 1.

While the representation of the Theory of Change describes the assumed causal links, it does not give a weighting to the different programme components, nor does it highlight the time dimension.

It is possible to conceive the programme as roughly built around the three phases, but where the phases are understood as three ways of seeking to achieve influence, rather than a chronological sequence: carrying out research to create an evidence base, supporting joint analysis for advocacy, and field implementation as a catalyst of funding and further change.

The three outcome areas are:

- **Knowledge:** Increased awareness, knowledge and know-how are used by international experts and organisations (including community of experts and practitioners on Environmental Peacebuilding) on addressing conflict risks and peacebuilding opportunities from natural resources.
- **Policy:** Increasing awareness of the role of natural resources in conflict and peacebuilding, translated into analytical methods guidance, and capacity for early warning, coordinated within the UN system and among member states.
- **Field programmes and processes:** Conflict prevention and peacebuilding programmes and processes by UN actors address natural resource risks and opportunities, empower women and restore livelihoods for ex/combatants, mitigate negative environmental effects, and further develop national capacity.

This is then broken down into a series of activities which are really analytical groupings of the daily work of ECP. These allow for the creation of a first level of results, which can be called outputs, which are discrete observable achievements. This is in fact a level of intervention which can easily be quantified, but which are not necessarily scripted in the planning.

An example of such a causal pathway could be, at the level of activities, the work done to respond to requests for technical assistance by the UN. This could lead to the generation of guidance for peace-keeping operations concerning environmental impact management.

At higher levels, the influence of ECP decreases as that of other actors increases, and the strength of that influence is then directly related to the nature of these external factors. For evaluation purposes, we have simplified the model so that these higher levels are captured in three broad types of outcomes: one type where information and analysis are made fully available to the relevant actors, one type where this knowledge is translated into normative material for the UN and member states to follow, and the third where actual practice on the ground changes.

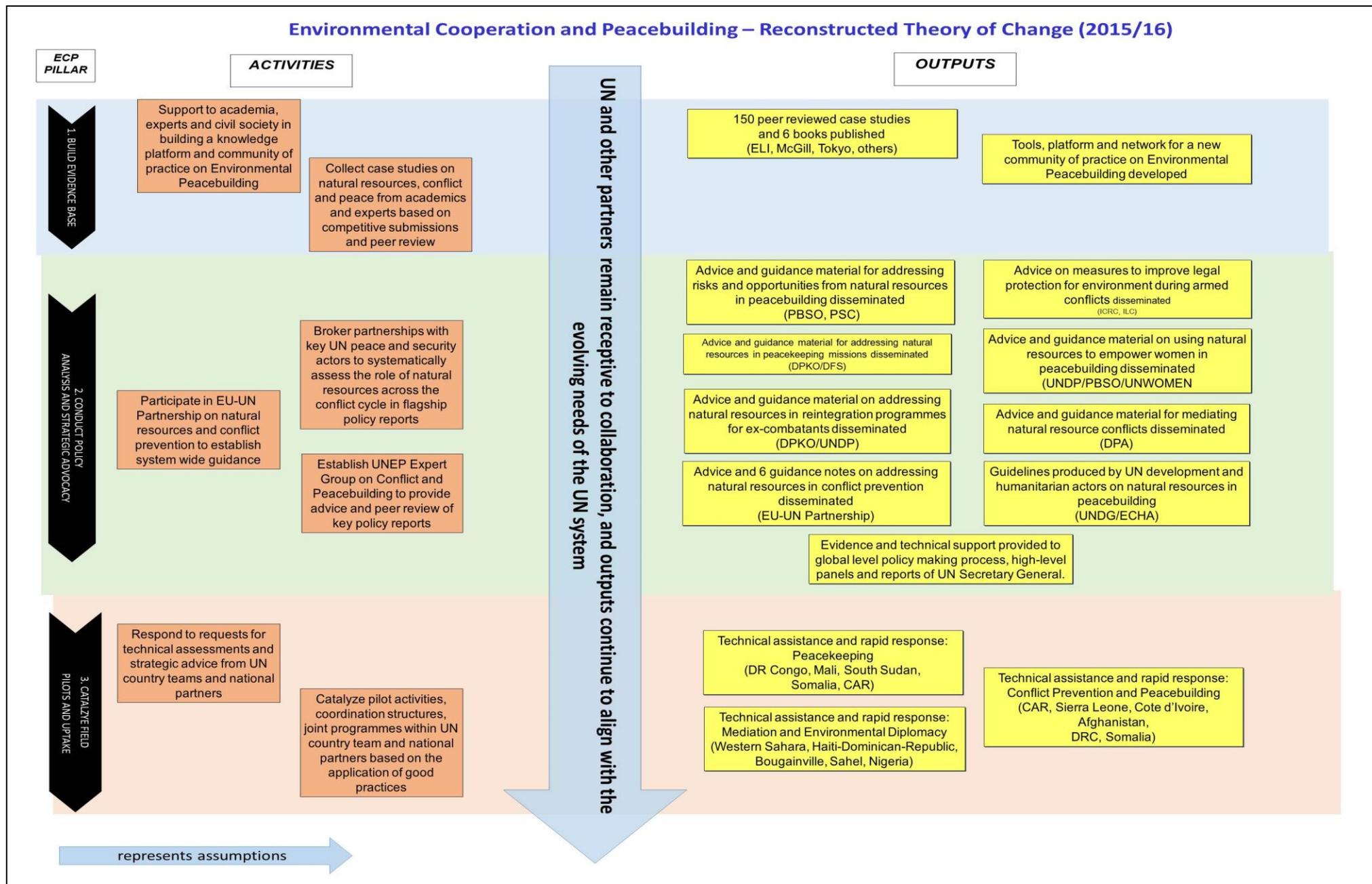
The first of these outcomes is designed to lead to the second and on to the third. At the same time they are to be treated as three parallel results to be placed on the same level as they are effects of the outputs being achieved at the lower level.

An example of this could be that of the adoption of new environmental safeguards by the UN peace-keeping operations, not solely because of the guidance drafted, but also due to high level policy support within the UN, through the Secretary General's office and the senior ranks of the organisation. This would be totally independent of the actual elaboration of the guidance, but have a mutually reinforcing causal effect.

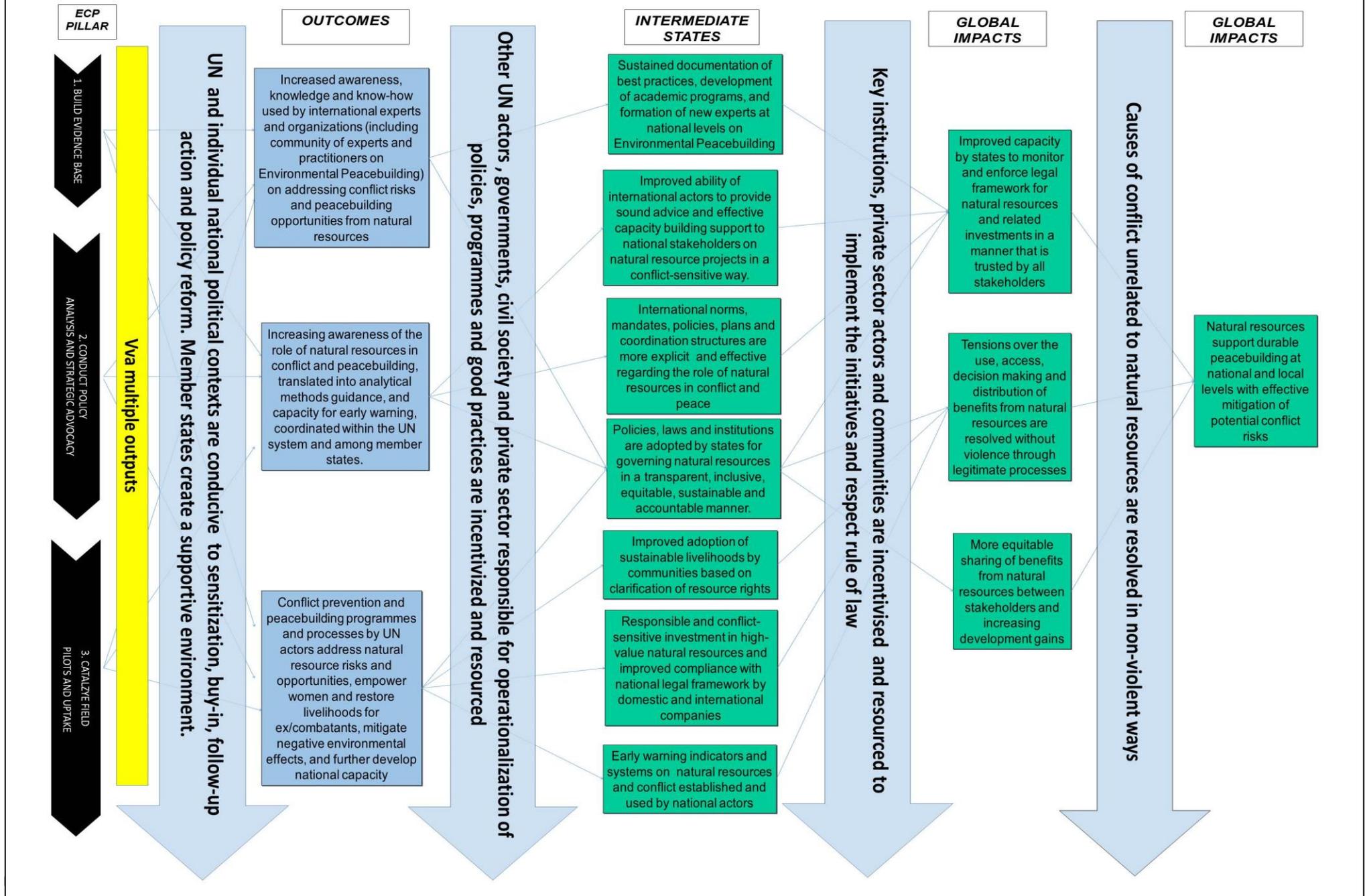
The higher levels of results can be multiple and related to different outcomes. They should be understood in terms of how they represent gradual integration of the changes achieved at the outcome level into the international system, and into the population specific impact which relate to UNEP's global mandate. This would be formulated, as per ECP's own goal identification, as the effect of the proper management of natural resources on peace.

The evaluation proceeds by testing this causal alignment. The proposed Theory of Change which is presented below as a first descriptive analysis of the causal pathways around which the programme was evaluated, going from activities on the left to the higher level intended impact. This is a reconstruction initially based on the documents analysed and the statements received, and does not as such follow the content in the same way as it is presented by ECP. It was reviewed by ECP, discussed and refined on the basis of additional evidence and in line with the evaluation methods of UNEP.

Diagram 1



Environmental Cooperation and Peacebuilding – Reconstructed Theory of Change (2015/16)



IV. Evaluation Findings

IV.1 Strategic Relevance

The programme is fully aligned to the Programme of Work, which defines the objective as minimising the threats posed by the environment and disasters to human well-being. It is interesting to note the evolution of the objective within the UNEP planning towards “promote a transition within countries... to use natural resources management” (using 2015 for the first part of this quote, and 2016-17 for the second part), indicating a clear tilt in the direction taken by ECP toward country implementation and toward a focus on natural resources within the environment. In this sense the relevance is not just about alignment, but even about leading the evolution of UNEP into the new century.

| Expected Accomplishment(s): | EA(a) |
|-----------------------------|---|
| PoW Output(s): | 2012-2013: #211, #212, #215 2014-2015: #211 2016-2017: #211 |

The work is hence at the vanguard of UNEP’s approach to risk and disruption. It has remained carefully within the bounds of UNEP’s defined unique proposition within the UN system. It has specifically increased the number of countries which UNEP assists (in particular through the country programmes, such as Afghanistan), the number of training courses, and contributed to the generation of recovery plans that prioritise natural resources. It has hence contributed significantly to all UNEP’s units of measure within the relevant sub-programme.

The programme was designed at a time when the notion of peacebuilding, and the understanding of conflict itself, was also broadened within international relations thinking (outside the ambit of UNEP), to include to a much greater extent the impact on the environment, and the influence of the environment on conflict. The ECP intervention was in that sense fully relevant to the international debates, and also to the range of options for action which were consequently appearing on the ground.

The emergence of the global frame of reference, and the importance of an institutional momentum, has appeared progressively over the life of the programme. This was strategically reflected in the performance analysis carried out within ECP.

The evaluation concludes that the programme’s design, implementation and monitoring have fully taken into consideration all the possible aspects of gender inequalities, in terms of access to, and control over, natural resources.

This was clearly evidenced in the types of guidance generated (for example as regards the environmental impact of peace-keeping), or in country analyses such as in Afghanistan in relation to community issues relating to natural resources, where gender inequalities were clearly marked. It is particularly present of course in one of the outputs of the programme, which is focused on improving gender balance in accessing natural resources (programme implemented jointly with UNDP and UN Women). The specific vulnerabilities of women and children to environmental degradation are fully analysed in the examples of Environmental and Social Impact Assessment seen by the evaluation, in particular in the Niger Delta.

There is a consistent effort across the programme to reflect the role of women, and the programme has lead to gender-responsive approaches to natural resource management currently being tested and documented through pilot projects in three conflict-affected countries. In November 2013, ECP, UNDP, UN Women, and the UN Peacebuilding Support Office (PBSO) published the joint policy report “Women and Natural Resources: Unlocking the Peacebuilding Potential”. As the first consolidated analysis of an

under-studied yet complex nexus of issues, the report reviewed key issues across three main categories of resources, including land, renewable resources and extractive resources.

Based on this analysis, the report recommended a number of entry points and strategies for peacebuilding practitioners to address risks and opportunities related to women and natural resource management, focusing on means to enhance political participation, improve protection and increase opportunities for economic empowerment at the individual, community and structural levels.

As such the intended results contribute fully to the realisation of international gender equality norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as regional, national and local strategies. It can also be said that here again ECP precedes the emerging priority given by the UN Secretary General to gender.

The programme has applied the UN Common Understanding on Human Rights Based Approaches. This is not always explicitly done and the sensitivity of natural resources has precluded a direct use of the terminology. It is however clear that the work of ECP distinguishes clearly between duty bearers and rights holders (for example the position adopted in the Nigeria clean-up case), and that it is in some cases, such as the project on International Humanitarian Law, directly engaging in human rights. The programme is fully in line with the UN Declaration on the Rights of Indigenous People, and has pursued the concept of free, prior and informed consent as part of its normative work around impact assessment and consultations.

The ECP 2014 Annual Progress Report recommended a clearer logic of intervention than had been used until then, with greater emphasis on the outcomes achieved at the global level, in turn influencing actors down to a more local field implementation level. The Report goes on to state that:

“Based on this theory of change, the programme logframe should be reformulated from a thematic orientation to an outcome orientation, along these suggested steps in the change pathway. At the same time, the flexibility and demand-driven nature of the current logframe should not be lost – as this is a key strength of the UNEP/ECP approach.”

The present evaluation concurs with the relevance of this recommendation of further capturing this downward influence, which the evaluator draws from the observation of the global-to-local strategy frequently adopted within the individual projects in the documentation accessed for the evaluation. There is also value in the multiplicity of entry points used by ECP.

Going one step further, the evaluation concludes with the following statement: natural resources are today more evidently key to a number of organisations, at the sub-national, national and international level, particularly profit-based ones. To reach this new focus the programme has delivered more particularly on creating a space of legitimacy within the UN system, to reach out to the national and sub-national level. This space is now created, leading the evaluation to conclude that there is a need for a change of programming horizon.

The only limitation to this relevance within the UN has been the limited personnel presence of PCDMB in New York, and in Nairobi, where many of the key decisions are made. Whilst Geneva is a recognised hub of humanitarian assistance, a sector which has had limited engagement with ECP outside the International Humanitarian Law project, New York is important for the peacebuilding architecture, and Nairobi for a complete understanding by UNEP of the unique role it is coming to play in natural resources and conflict. The personnel of PCDMB have been universally praised, leading all the respondents to emphasise the need for a greater presence within the UN’s policy making.

This would mean that the Theory of Change faces a new challenge today (as opposed to where it was a few years ago) in terms of translating global evidence and policy into practice, requiring a shift away from the UN, where UNEP meets some core structural challenges, to engaging with other actors. The current UN policy making processes are now in a position to take into account natural resources for

peacebuilding to a much greater way, thanks to the new guidance¹⁴, new positions (for example the creation of a temporary Assistant Secretary General position dealing with the environmental consequences of peacekeeping), and a new perception.

This would indicate an unmet need to engage with key actors beyond the UN, now that UNEP is considered a legitimate actor in this very new field of natural resources and conflict. This challenge to the strategic relevance of the programme can be represented as a shift still to take place toward country needs and private sector partnerships. This would lead to an adjustment of the original theory of change, focusing on the needs of new actors in this area, highlighting the importance of the overall assumption about buy-in.

IV.2 Achievement of Outputs

A careful review of the documentation shows that the following activities have been carried out in a very satisfactory manner over the 8 years of ECP:

1. **Technical expertise:** has been provided to a wide range of organisations in preparing analyses, reports and guidance at the global level. This extends to the World Bank, the UN Peacebuilding Support Office, UN Department of Peacekeeping, UN Department of Political Affairs, etc.
2. **Training:** has been delivered, either using an existing content which has been adjusted to present aspects on natural resource management (for example training for peacekeepers), or specifically around a new practice (for example on the Guide for Mediation Practitioners, training to NATO, e-learning for UN Staff College and UNITAR).
3. **Field assessments and advice:** Advisers are routinely deployed to the field, as was the case in Haiti to cover natural resources in the border zone, or within the UN peacekeeping missions in Central African Republic and Mali on resource efficiency and environmental impact, or within the UN County Team as evidenced by work in Afghanistan and DR Congo.
4. **Catalytic partnerships leading to field demonstration projects:** ECP has used ongoing initiatives to which it adds new resources to ensure that the field activities of UN partners are more sensitive to the concerns of natural resource management. During the programme, six new thematic partnerships were established by ECP on environmental peacebuilding, women and natural resources, climate change and security, extractive industries, peacekeeping and mediation covering 2016-2018 for a total budget of USD 25.6 million.
5. **Global advocacy and outreach:** Participation or the actual launch of events and conferences has been a privileged way for ECP to publicise its products. Part of this effort is captured in online networks and resources, notably the Environmental Peacebuilding Knowledge Platform.
6. **Evidence base:** Catalysing the development of an evidence base (150 case studies) based on contributions from 225 experts. This formed the initial basis for an online knowledge platform and community of practice on Environmental Peacebuilding (over 2500 practitioners).
7. **Synergistic support to and collaboration with related initiatives:** There is an extensive practice within ECP to link up to other related events and communities, such as with the work of the International Law Commission.
8. **UN policy processes:** Contributing to different reports of the UN Secretary General and other high level panels related to peace and security is a singular activity which speaks to the contribution which ECP has made to the rebalancing of the overall UN agenda, a powerful way of legitimising its work within the UN family. A total of 6 flagship policy reports were generated by the programme, 1 UN-wide guidance endorsed by 38 different UN agencies, and 6 guidance notes endorsed by the EU-UN Partnership. ECP also influenced the content of 4 reports of the

¹⁴ A point emphasised by Stephen Jackson, Chief of Policy Planning at UN DPA.

Secretary General on Peacebuilding, 1 high-level panel on peacekeeping and 1 report of the advisory group of experts on peacebuilding.

9. **Leveraging resources:** New resources were leveraged with some limited seed funding, catalysing the creation of new projects where there had in the past only been a limited institutional focus. This was most particularly the case on peacebuilding work in Sudan.
10. **Community of practice and expert group:** The creation of a roster and Expert Group on Conflict and Peacebuilding, which can be seen as an emanation of the creation of a professional community of practice, but also serves to generate a critical mass within broader debates and possibly future operations.

Outputs by Case Study:

1 Peacebuilding Knowledge Platform: In 2010 ECP established a partnership with the Environmental Law Institute, plus some academic bodies, toward a global research programme on natural resources and post-conflict peacebuilding. Over a period of four years, a total of 150 original case studies from 60 conflict-affected countries around the world were developed, with contributions from 225 experts. The case studies cover a range of natural resources, from high-value extractives such as oil, gas, minerals, metals and gems, to renewable resources such as forestry, fishing and agriculture, land and water.

The 150 case studies have been published in six volumes by Routledge. Under an “open access” publishing agreement, the cases are freely available through the Environmental Peacebuilding Knowledge Platform. The last book (on governance) was released for publication in May 2016, and a Synthesis is under consideration.

2 Peacekeeping: UNEP helped the UN Department of Peacekeeping Operations (DPKO) and the UN Department of Field Support (DFS) to develop an Environmental Policy for UN field missions in 2009. The policy set minimum standards and requirements for environmental performance, including on energy and water consumption, as well as waste production.

In 2012, three years after the adoption of the policy, UNEP, DPKO DFS and the Swedish Defense Research Agency (FOI) partnered to assess the overall level of policy implementation. Interviews were conducted with ten different peacekeeping missions to identify the range of positive practices adopted, together with the main barriers. The process also reviewed how peacekeeping operations could help prevent natural resources from contributing to instability and conflict relapse. The findings from the joint analysis were published in the third flagship ECP report “Greening the Blue Helmets: Environment, Natural Resources and UN Peacekeeping Operations” (2012). UNEP also offered the services of a senior environmental engineer (P4 level) to DPKO and DFS for a two year period from 2012-2014 to help design a plan and institutional partnership with UNEP for the full implementation of environmental policy and to follow up specific recommendations from the policy report.

3 Mediation: The UN Department of Political Affairs (DPA) and UNEP decided to capture the experience in mediating conflicts over extractive resources, land and water at both local and international levels in a guidance document. A total of 40 mediation experts were involved in the process, and 24 specific case studies were analysed. After a relatively long gestation period of four years, the report “Natural Resources and Conflict: A Guide for Mediation Practitioners” (2015) was launched in February 2015 at a high level event in New York by the UN Deputy Secretary General Jan Eliasson. It is currently being presented in different fora, including at high-level events in Helsinki, Montreal, Geneva and Djibouti. The publication targets mediators, governments, companies and stakeholders to specific disputes.

The guide was developed in response to UN General Assembly Resolution 65/283 on strengthening the role of mediation in the peaceful settlement of disputes, conflict prevention and resolution. In particular, operational paragraph 11, requesting the development of more guidance for effective mediation.

4 UN-EU Global Partnership: The European Commission’s Directorate-General for External Relations (RELEX) proposed to UNEP the establishment of a coordinated response regarding natural resource aspects of conflict prevention – a challenge as this cuts across the various mandates of UN agencies. Together with other UN entities consulted through the New York inter-agency framework, UNEP helped to design the contours of a Global Partnership on Land, Natural Resources and Conflict Prevention between the EU and UN.

The Global Partnership is an international platform that was designed to identify best practice and offer assistance to countries to prevent and resolve resource conflicts in a multi-disciplinary manner. It is based on the ECP model of a combination of policy notes, joint agency guidance, and possible applications in the field. With an international secretariat based in New York, the partnership consists of seven UN agencies (UNEP, UNDP, HABITAT, DPA, PBSO, DESA and IOM) and the European Union. It combines and deploys the economic, social, political and environmental expertise of the partner agencies into joint assessments and integrated field programs that can tackle complex resource disputes.

5 Nigeria: When the government started a reconciliation process between the local communities and Shell, UNEP was requested to produce an independent environmental assessment of Ogoniland using a scientific field-based methodology, supported by environmental diplomacy tools and techniques. The work began with an independent technical assessment of the oil contamination in Ogoniland in order to provide a common and impartial information base to all parties. The assessment, released in 2011, was the largest and most technically complex ever conducted by UNEP.

Over a 14-month period of active field work, the UNEP team examined more than 200 locations, surveyed 122 kilometers of pipeline rights of way, reviewed more than 5,000 medical records and engaged over 23,000 people at local community meetings. The assessment process itself was an excellent example of environmental diplomacy in practice, using all of the lessons learned from the ECP evidence base and policy reports. Not only did it have a strict technical focus building on UNEP’s neutrality, but the very data collection and sampling process was used to engage stakeholders and build confidence in the overall reconciliation effort.

6 Afghanistan: The ECP programme and the UNEP team in Afghanistan were requested by the UN Country Team and the EU-UN Global Partnership to assess the ways in which natural resource management—the institutions, policies and practices that govern land, water, forests, minerals, hydrocarbons—interact with violent conflict in Afghanistan. The final report “Natural Resource Management and Peacebuilding in Afghanistan” (2013) makes recommendations on how the government and the international community can maximise conflict prevention and peacebuilding opportunities through better management of natural assets.

As a follow-up to the report, UNEP provided technical assistance to integrate key risks and opportunities linked to natural resources into UN planning processes, and outlined a follow-up capacity building programme. UNEP promoted the sharing of technical information across the UN country team, and a more strategic and coordinated approach towards the range of needed actions. Active outreach and advocacy was also conducted with a number of key development partners including the European Union, the US, the UK, Canada, Finland and the World Bank. There are emerging synergies, driven by the UNEP country team, with community development projects that are keen to integrate natural resources into their programming, as a part of their increasing effort to become conflict sensitive.

The analysis of these outputs demonstrates a very deliberate and precise form of delivery, where the initiatives adapted fully to the constraints and opportunities that arose, and gave the necessary time for partner-dependent results to be achieved. The range of outputs is impressive considering the small size of the team and the breadth of subject matter covered.

IV.3 Effectiveness

The general observation to be made across the case studies is that once the outputs are delivered, often to a very high quality (as can be observed by the evaluator for example through independent work done with the World Bank, or simply the quality of the material produced), ECP becomes highly dependent on the goodwill of the partner organisations for continuity. This is in line with UNEP's classical methods and mandate, where UNEP is above all a normative body working through the operational arms of the UN.

Yet this continuity of interest in the outputs is the key to progressing along the pathways of the Theory of Change, from actions to achieving impact. This goodwill of partners, however, has proven to be fickle in a number of cases, prolonging the flow from the 'left' to the 'right' of the theory of change.

The evaluation has examined the intended outcomes and intermediate impacts for the six case studies as presented in the Theory of Change. It is clear for the Knowledge Platform, for example, that only five books have been produced at the time of evaluation, but that a sixth is just published, reflecting the difficulty of mobilising writers for such a large research exercise. Similarly, the dissemination of guidance material (as opposed to formal compulsory guidance within the UN) for peacekeeping operations is still severely hampered by the lack of knowledge management instruments within DPKO, and the low priority accorded to this area until the end of 2015. The UN-EU Partnership on Land, Natural Resources and Conflict Prevention interestingly stumbled in its initial stages, but nevertheless contributed to significant developments such as a collaboration with the World Bank on extractive industries (leading to new potential in Afghanistan), and the creation of related positions with job descriptions concerning natural resource and conflict within UNDP. In Nigeria all the correct activities have been pursued, but progress is blocked by a stalling in the creation of the implementing body which will be in charge of the environmental clean-up in Ogoniland.

The vanishing point of this good degree of effectiveness, however, is situated at the level of intermediate impact of the Theory of Change. This is particularly true for the lower end of that, where the implementation of new initiatives should take place. In our case studies there are few cases of changes in implementation (field partnerships and related activities are planned for example in the area of gender and conflict or peacekeeping but not yet implemented – see table 2 below) and the initiatives which have been carefully framed by UNEP's research and advice have still to take place.

This has all to do with the dynamics within the targeted partners. In Afghanistan for example there is considerable funding becoming available due to the favourable development at the constitutional level, but the operational space to implement initiatives is reduced (even the conduct of evaluation interviews was severely constrained by the security situation). More importantly, the key partner which was consistently supported by UNEP, the National Environment Protection Agency, is limited by scarce resources and the competition of other Ministries. The 'Intermediate Steps' described in the lower part of the Theory of Change are not necessarily compromised, but clearly delayed.

The more detailed explanation of effectiveness is structured into two sub-sections:

1. Evaluation of the achievement of outcomes as defined in the reconstructed Theory of Change.

These are the first-level outcomes expected to be achieved as an immediate result of programme outputs. In most cases, they are achieved when programme outputs are used by the primary, intended users

of the outputs. For this programme, the main question is to what extent the programme has contributed to the following direct outcomes:

- International organisations are increasingly calling on the resources put forward by ECP to undertake conflict prevention and peace-building activities. Of particular importance is the number of times key documents or text drafted by ECP is quoted (most notably in Financial Times of 16 March 2016 regarding the environmental impact which Shell is called upon to deal with or the Washington Post article of 22 March 2016¹⁵ on how resource exploitation can fuel violent conflict).
- Post-conflict countries and fragile states have integrated conflict risks and peacebuilding opportunities from natural resources and the environment into conflict prevention and peacebuilding plans, and these have been implemented through joint programmes and catalytic activities;
- UN peace operations have increased the use of resource-efficient practices, technologies and behaviours while reducing the mission's environmental footprint in order to protect health, reduce demands on natural resources and improve operational effectiveness. They also have monitored illegal resource exploitation and trade, and linked DDR programmes to natural resource restoration and management;
- Tensions within or between countries over disputed natural resources are reduced while cooperation over their joint management is increased through a tailor-made environmental diplomacy/mediation process using natural resources as platforms;
- UN DPA has better defined "Conflict resources" and developed corresponding sanction processes;
- The ICRC guidelines for military manuals and instructions on the protection of the environment during armed conflict have been improved due to UNEP technical inputs;
- Action has been catalysed and relevant UN policies, guidelines, programmes and training courses have been informed by documented and disseminated best practices in the transparent, equitable and sustainable management of natural resources in fragile States and regions; and
- A new discipline of environmental peacebuilding has been catalysed including the development of a global knowledge sharing platform and a community of practice.

2. Assessment of the likelihood of impact:

The evaluation has assessed within the six case studies to what extent the programme has to date contributed, and is likely in the future to further contribute, to intermediate states, and the likelihood that those changes in turn to lead to positive changes in the natural resource base. The TOR also asked that the evaluation also consider the likelihood that the intervention may lead to unintended negative effects (programme documentation relating to Environmental, Social and Economic Safeguards).

The six "intermediate states" defined in the Theory of Change are:

- Sustained documentation of best practices, development of academic programs, and formation of new experts at national levels on Environmental Peacebuilding

The actual programme outputs (books, digital presence, events, training processes) have connected firmly to the emerging area of academic interest, and contributed through direct causal attribution to the generation of a new discipline of environmental peacebuilding. This attribution is evidenced by the identity of the members of this community, which have, for the majority, been exposed to or interacted with ECP. There are many instances of documents, policy statements and discourse where the ECP phraseology is being used and is becoming ingrained.

¹⁵ https://www.washingtonpost.com/news/energy-environment/wp/2016/03/22/how-exploiting-the-earth-can-fuel-violent-conflict/?postshare=441458738522850&tid=ss_fb

- Improved ability of international actors to provide sound advice and effective capacity building support to national stakeholders on natural resource projects in a conflict-sensitive way.

The focus on natural resources has been imitated and further developed by other actors such as UNDP, or member state bilateral organisations such as Swiss Development Cooperation. There are also a number of agencies, such as the National Environmental Protection Agency in Afghanistan or the clean-up agency which will be established for Bodo, Nigeria, which can be directly related to the work of UNEP and ECP.

- International norms, mandates, policies, plans and coordination structures are more explicit and effective regarding the role of natural resources in conflict and peace

While this is more diffuse, the evaluation notes the work done in International Humanitarian Law, and the adoption by the World Bank of the Map-X capability to be tested in DR Congo and Afghanistan. This fits for example within the World Bank's own framework of the Extractive Industry Value Chain. There is also an increasing focus on mediation in relation to natural resources, as reflected by the quotes from Rio Tinto used in this report, and the work of the Crisis Management Initiative in Finland.

- Policies, laws and institutions are adopted by states for governing natural resources in a transparent, inclusive, equitable, sustainable and accountable manner.

The impact of the ECP work in this area is more limited. This is due to the very political nature of natural resources within the national borders, rather than to the quality of ECP work. In Afghanistan for example the bodies which work most directly with PCDMB-ECP are not the powerful Ministries of Mining and Energy, and in Nigeria there is a heavy dependence of the PCDMB initiative on the internal power brokering around the Presidency and the politics of environmental damage in Ogoniland.

- Improved adoption of sustainable livelihoods by communities based on clarification of resource rights

Here again the level of local impact has not yet been achieved. While agencies are now taking resources into account in their own programming (as could be observed by the evaluator during a workshop in Kabul), and while there are concrete plans for cleaning up in Nigeria, the actual physical changes on the ground remain to be observed.

- Responsible and conflict-sensitive investment in high-value natural resources and improved compliance with national legal framework by domestic and international companies. Early warning indicators and systems on natural resources and conflict established and used by national actors

The private sector is becoming more acquainted with the norms promoted by UNEP, and the risks are becoming clearer. This is clearly connected in a recent FT article as regards Shell in Nigeria¹⁶ which quotes the Environmental and Social Impact Assessment. It is also reflected by German cooperation in Afghanistan, for example in efforts on gemstones supply chains.

IV.4 Efficiency

The recognition by the programme of the challenges it faces, and the use of a highly opportunistic and needs driven modality, have meant that it has been well positioned to deliver results in what has to be seen as an environment which overall is superficially welcoming, but structurally complex. While all stakeholders echo the conclusion that there are linkages between natural resources and conflict, and that

¹⁶ "Shell Faces UK Test Case Over Nigeria Environmental Report", Financial Times 2 March 2016, William Wallis and Anjali Raval.

there is a lack of capacity, the actual manner in which these partners engage with the ECP goals is often challenging.

The evaluation finds that the programme is dynamic and efficient, delivered by very few staff working long hours, taking full advantage of the fast evolving interest in the subject matter, linking resources and the drivers of peace. The single achievement of editing six volumes on this topic with some 225 authors would warrant in many research organisations or consultancies much higher resources than were available to ECP. The focus on guidance will also lead to multiple impact, as can be evidenced in the notes of the conferences at which, to take one example, the Guide for Mediation Practitioners was launched. The good reception that is given to it by widely varied agencies mean that the resources allocated, even if there were delays, will achieve the maximum level of outcomes.

While awareness of the nexus between peace and the environment has arguably always existed, it is increasingly recognised as important for international cooperation and increasingly operationalised. The programme has responded rapidly, and even contributed to expand the growing demand for its guidance. This context explains the wide range of actions undertaken, as listed in our theory of change, and the concerted effort by the programme to achieve impact through a great number of highly interrelated causal pathways.

ECP has in fact benefited from three significant assets that have allowed it to achieve greater results with the given amount of resources, in a number of areas:

- Continuity in personnel, which is easy to notice in the recurrence of names of staff within the projects. This is not only as regards the UNEP Post-Conflict and Disaster Management Branch, but also in the actual partners in the projects, in particular in the academic field. This has allowed for retention of institutional memory and a substantive progress in the evidence based policy work.
- Flexibility in the mandate and choice of targets to engage with. The management structure is in fact highly decentralised, based on the trust and track record of the projects, of ECP and of the Branch itself in a highly technical and diplomatically sensitive field.
- The unearmarked funding and yet engaged role of the main funder, the Finnish Ministry of Foreign Affairs. The relationship between ECP and the Ministry personnel, has been highly symbiotic. As evidenced by the Mission Reports, this is characterised by clear normative direction and direct interest on the part of the Ministry, but also real subsidiarity in the tactical selection of the interventions by ECP staff.

The programme has consequently been efficient by triggering funds from other donors, triggering counterpart funds for initiatives of interest (for example with UN Women), and generating capacities which others can then use without incurring the original investment. This has made it, from a donor perspective, cost-efficient, and highly relevant to a number of other donor programmes.

IV.5 Sustainability and Replication

The Terms of Reference define sustainability as the probability of continued long-term programme-derived results and impacts after programme funding and assistance ends. The degree to which ECP controls the quality and utilisation of outputs varies, and this has a direct effect on its ability to achieve the kinds of intermediate effects referred to in the preceding section.

While utilisation of outputs is the highest in the ‘knowledge’ end of the case studies selected for this evaluation (the guidance, the research, the knowledge platform), it is lowest in the interagency UN processes (the UN-EU Partnership, but also the peacekeeping outputs), and even lower at the country level, where it is arguably the most relevant.

PCDMB and ECP have always planned the outputs with clear exit points (training on mediation, for example), and it has done its best to implement measures of mitigation of the effects of buy-in by partners (in Afghanistan it has deliberately maintained contact with a wide variety of partners, such as

NGOs interested in conflict sensitivity, or bilateral programmes implemented by GIZ). At the same time the drive to work with the most natural partners as defined by the UNEP mandate has not encouraged consistent and systematic thinking about uptake. The documentation reviewed by the evaluation show that while there has been considerable effort in planning for outcomes and impact, and analysis of risks, there has been very little stakeholder analysis.

The core issue is one of the level of interest within the selected partners. While there is an increasingly positive perception of the importance of natural resources and the environment in peacebuilding, this does not always translate into actual resource allocations. Other priorities, in particular a bewildering prevalence of management restructuring (outside PCDMB, it is crucial to note) and shifting donor priorities, have meant that initiatives which looked initially very promising such as the UN-EU Partnership or the work of ECP in Haiti and in Sierra Leone, were discontinued.

Sustainability is made more likely by the fact that the main outputs of the programme are of a versatile nature. An example is that of MAP-X, a digital information system to relate natural resource extraction with social and environmental drivers. The tools and the concepts have gradually become accepted within the UN system. Change takes time to translate into conflict sensitivity at an operational level. The slow rate of change in UN peace-keeping towards taking account of environmental impact is evidence of the long time it takes to translate conflict sensitivity into changes at an operational level'

The potential for replicability of the programme across time and geographical areas is considerable, although it is clear that not all the original activities are relevant today, as the tools and concepts are now accepted wisdom within the UN and there is no need to continue the advocacy effort. In particular, as regards this last point, UN policy in relation to peace-keeping, to the mandate of UNEP and to the illicit use of natural resources, is now fully accepted. The focus of effort will probably now shift to where need is the greatest, which this evaluation considers to be the private sector.

In overcoming the constraints to replicability, UNEP can increasingly count on its legitimacy as a knowledge hub in the area of natural resources, and on its ability to deploy its expertise and tools in specific situations where it can make connections when there is a 'continuum' (this is arguably limited by UN rules and regulations).

IV.6 Factors Affecting Performance

In the country case studies covered by the evaluation, one finds important illustrations of the need for flexibility. For example in Nigeria the oil companies have come to realise the importance of a significant measure to address the negative perception of their role in relation to the environmental and social damage in the Niger Delta. The local populations however have seen their efforts stalled, while the effort to address the impact through a multi-stakeholder process is there to be made. This shows that it would be self-defeating to try to capture the intended effects through a linear planning framework. This would have to be drawn up in advance, through a strict link between the intermediate impact and the outputs. PCDMB was able to create such a link through experimentation and innovation, between the first Environmental Impact Assessment and the high-level mediation effort. It made good tactical use of its scientific expertise and connections (including to the local academic community) and its political level relations at the highest level of the international system.

This downward influence to changes on the ground however has run into challenges in the course of attempts at obtaining support from partners. These challenges appear to be due roughly to three factors: to unpredictable shifts in resource allocations by ECP partners (including donors, such as in the European Commission in relation to the UN-EU Partnership on Land, Natural Resources and Conflict Prevention), to changes in personnel and shifting institutional interests of partners (for example the UN-DPA delay in working on the Mediation Guidance), and to changes in the perceived marginal value of natural resource concerns to the main policies of these partners (where DPKO had, until the end of 2015, not been able to operationalise the strategic importance of the environment, to ensure mission acceptance by the general public).

Good performance will in most likelihood continue to occur at the level of Intermediate States and Global Impact, due to the value of the outputs and their increasing policy relevance. Lower performance is not so much due to the quality of ECP outputs, but rather to the fact that the initiatives do not fit well into the compartmentalised and funding driven reality of the partner. For example the Haiti peacekeepers could have prevented distrust and conflict by being more aware of their environmental footprint in Haiti, which contributed to a disastrous cholera outbreak. This awareness was constrained by factors outside ECP's influence.

This has been identified by ECP personnel as a failure of accountability by key partners in the way in which an official policy or commitment to reform fails to be translated from the global level to the field – a weakness which creates delays, even a break in the causal links between 'outputs' and 'results'. From the point of view of the evaluation this leads to a questioning of the judicious selection of the partners which ECP wishes to invest most effort in.

The principal weakness of the programme, which is predictably the reverse side of its strengths, has been its relative institutional isolation within UNEP, leading to some reduced efficiency. This isolation is due to three factors.

- ✓ Firstly it is due to the need to rely on extra-budgetary or voluntary donor funding, where the fundraising success of PCDMB led UNEP in Nairobi to focus its core resources on less well-supported donor priorities.
- ✓ Isolation is also caused by the political sensitivity of the issues (natural resources are often the implicit core of conflict and not an area where independent parties are welcome, for example in Afghanistan), where, as many respondents noted, where technical issues are kept at arms' length from political ones.
- ✓ Even more importantly, isolation is related to the novelty of the idea that natural resources can be used proactively as an opportunity to resolve conflict – what one academic labelled the field of 'cooperative opportunities'. There is a decreasing but still considerable fragmentation in the international system on how natural resources are taken into account in conflict situations which constrains action. For example, within the Government of Finland, the principal donor, relations with UNEP are dealt with through the Ministry of Environment, while the funding came from the Policy Division of the Ministry of Foreign Affairs. In the UN Department of Political Affairs, there is still a focus on elite-level mediation, with a bias to avoid dealing with natural resources. Within the academic field, environmental law and environmental security have been contested, to be only gradually accepted as steps toward environmental peacebuilding.

ECP has compensated for this by adopting a catalytic role. The managers of ECP deliberately leverage external resources through the creation of platforms (for example the Knowledge Platform), UN inter-agency programming mechanisms, or even the country programmes. The scale of resources mobilised by partners, for example in drafting the five original books, or pushing through changes in UN peacekeeping, can be assumed to be much larger than the actual donations received through official channels. Other examples are the triggering of other agency initiatives (such as an Assistant Secretary General dealing with environmental issues in DPKO), or eliciting sustained cooperation and support from the academic community through networks and publications.

Table 7: Evaluation Ratings

| Criterion | Summary Assessment | Rating |
|---|---|---------------|
| A. Strategic relevance | Identified and expanded on issues of relevance to environmental needs and UNEP mandates | HS |
| B. Achievement of outputs | All outputs were achieved, some were delayed, quality was consistently high | HS / S |
| C. Effectiveness: Attainment of programme objectives and results | The ability to influence key actors and policies was disproportionate to the resources available | S |
| 1. Achievement of direct outcomes | Most outcomes were achieved to the greatest degree possible, although the sphere of influence of UNEP was limited in some areas | S |
| 2. Likelihood of impact | Impact at the policy and institutional level is visible during the life of the programme. | S |
| 3. Achievement of programme goal and planned objectives | The programme goals contained in the documentation and represented in the TOR were not all achieved, but other valuable results were | MS |
| D. Sustainability and replication | | HL |
| 1. Financial | The programme continues to be one of UNEP's most successful at extra-budgetary fundraising and leverages the resources of other organisations | HL |
| 2. Socio-political | The definition of the need for ECP outputs is increasing as mandates shift and international interest increases | HL |
| 3. Institutional framework | ECP is fully integrated within PCDMB and is well supported at the highest levels of UNEP | HL |
| 4. Environmental | The programme contributes through the work of a large number of organisations to better environmental safeguards | HL |
| 5. Catalytic role and replication | The programme is essentially catalytic in its approach with other partners. | HS |
| E. Efficiency | The drive and very embedded nature of the teams guarantees a good level of efficiency. | HS |
| F. Factors affecting programme performance | | |
| 1. Preparation and readiness | The activities are mutually supportive and synergistic, staff retention is high, strategic planning good | HS |
| 2. Programme implementation and management | The high number of activities may constrain the degree to which implementation is pushed through | S |
| 3. Stakeholders participation and public awareness | Stakeholder participation is high, but the visibility of ECP, PCDMB and UNEP is more limited outside the | S |

| Criterion | Summary Assessment | Rating |
|---|---|-----------|
| A. Strategic relevance | Identified and expanded on issues of relevance to environmental needs and UNEP mandates | HS |
| B. Achievement of outputs | All outputs were achieved, some were delayed, quality was consistently high | HS / S |
| | first circle | |
| 4. Country ownership and driven-ness | The fickle nature of governmental policy in relation to the environment affects performance | MS |
| 5. Financial planning and management | The weight of UN procedures is a constraint on an otherwise very well managed programme | S |
| 6. UNEP supervision and backstopping | UNEP is monitoring this programme which is however isolated from the rest of the organisation | MS |
| 7. Monitoring and Evaluation | M&E methods follow the design models proposed within donor practice, and do not align with the very adaptive nature of management | MS |
| a. M&E Design | Limited to log frames and to narrative notes | MS |
| b. Budgeting and funding for M&E activities | Not budgeted | |
| c. M&E Plan Implementation | This aspect was part of compliance but not fully prioritised | MS |
| Overall programme rating | | HS |

The ratings demonstrate a consistency in high performance. The lower scores are due to the issue of partner ownership and to the administrative management burden of the initiatives, particularly for the country programmes. Overall the programme is both highly integrated and innovative.

V. Conclusions and Recommendations

V.1 Main Findings

The present section summarises the answers to the key questions presented in the Terms of Reference as the underlying questions of the evaluation.

- Were the programme objectives achieved and/or are expected to be achieved? Did the programme effectively respond to the evolving needs of UN, national and regional partners? To what extent were the programme outputs produced relevant and timely, credible, legitimate and well communicated to influence policy makers and other key audiences at the global and national levels?

The three outcome areas defined in the Theory of Change capture the wide range of objectives pursued by ECP, which sought to achieve change in the area of natural resource governance and conflict. Priority was given first to addressing the needs of the UN and secondly to the academic community which is contributing to the increasing legitimacy of this emerging field. Whilst the increasing interest in the political economy of conflict is intensifying the spotlight on the nexus between natural resources and peacebuilding, it is undeniable that the programme made its own significant contribution, particularly within the UN system.

The programme did not start from a position of strength within the UN, since UNEP's non-operational role and complete absence from the conflict and peace area of intervention did not immediately support the emergence of ECP. It was through the persistent effort of a few individuals within the UN and amongst donor countries and member states that gave UNEP's its chance to operate in this highly relevant area.

The programme outputs were highly relevant, timely and credible, whether they were in research, information technology, catalysing field pilot projects, or simply providing advice to the highest levels of the UN. While some of the outputs were delayed, such as the EU-UN Partnership, they did not fail to lead to specific outcomes, some of them taking new shapes to this day, such as the MAP-X collaboration with the World Bank.

The communication of the programme suffered from a lack of political level lobbying, due to the weaker position of the environmental and peacebuilding constituencies in international relations. This reverberated into a reduced ability to use the high quality evidence base which the programme created, or helped create, in appropriate areas. This was due according to a number of senior representatives in a number of international organisations from different parts of the globe, to the tardy realisation by donors of the importance of this area, and to the more marginal position of the environmental and safeguards within member states (be they in Nigeria or in Afghanistan).

The current strategy of UNEP, which is to act as an advisor to the UN Country Teams and to operate on a regional or global level rather than a country-specific one, was a significant constraint. This made it dependent on the agenda set by other agencies, which may choose to prioritise their own access to funding, or not to give importance to peacebuilding.

- Has the programme strengthened UNEP's role and capacity to position the environment within the peace and security policies and operations of the UN? Is UNEP better positioned to support the UN system to address conflicts over the environment and natural resources and partner with key UN departments and agencies?

UNEP had a very limited capacity in this area prior to 2008, and was seen as an interloper when it did produce significant findings which affected the conduct of peacebuilding, as reported by a senior government official. By first concentrating on the creation of a solid evidence base through studies conducted in Haiti, Sierra Leone, Nigeria, and Afghanistan, and then also building up a community of knowledge and a significant publication base, UNEP developed a sustainable knowledge base from

which to engage with key stakeholders. Its work in New York and in international conferences connected with, and reinforced, the latent interest within those forums for natural resources.

New impetus is now emerging from unforeseen quarters, such as Canada¹⁷ and Ukraine¹⁸ or DPKO¹⁹. It is understood that UNEP may be restructuring its work to take more account of sudden onset disasters and conflict. The work of ECP will provide a solid foothold for such a shift in policy.

- Has the programme contributed to the overall goal of changing how the UN system understands and addresses the role of natural resources and the environment in conflict and peacebuilding by catalysing UN system awareness about the environmental and natural resource aspects of conflict, systematically improving the way the UN system understands and addresses these issues? Has the programme created new and continuing processes, institutions or changes in thinking that allow UN system to better understand and address the role of natural resources and the environment in conflict and peacebuilding?

While the issue of attribution of cause to effect is as difficult to verify in this area as in many other areas of governance and peacebuilding, it is clear that there has been a shift within the UN on how the issues of natural resources are considered, and that UNEP's work in this area has been a significant factor in that shift.

This is the case, for example, with the creation of new capabilities in DPKO and Department for Field Services (a separate Department designed to service peace-keeping), such as the Rapid Environment And Climate Technical Support Facility (REACT), which has led to a growing impact awareness and reporting in peacekeeping. Whilst the UN-EU Partnership on Land, Natural Resources and Conflict Prevention was beset by programming difficulties, the evaluation was able to trace and verify the range of significant claims made in the paper "Task Team Report: Strategic Review" written by personnel involved in the activity, which listed no less than fourteen changes in the UN understanding of the issues. This has further evolved since this paper was written in April 2014, gaining traction at the highest levels of the UN.

It should be noted however that the international context is favourable. There is increasing interest in some quarters for what has been labelled 'threat financing' relating to terrorist networks, to the illicit trade in minerals, in the prevalence of fraud and corruption in natural resource extraction which hampers directly development, and in the rise of societal concerns around large footprint projects. This recognition of 'threat financing' reflects broader geopolitical and cultural shifts, which are reflected in similar changes within the UN system. It is likely to be further reinforced by the overall shift in development assistance towards the private sector, thinking that is, for example, enshrined in the OECD Development Aid Committee publications.

- Has the programme built an evidence base and established a community of practice that can continue to develop largely independently?

The number of publications and the digital Knowledge Platform are only a part of the evidence base which is being established. The evaluation notes also the generation of a number of guidance notes (or technical briefs of a normative nature) which will generate further reporting and analysis by field operations.

The more significant achievement of the programme however has been to contribute directly to the organisation of an active community of researchers across the globe with an interest in natural resources and conflict matters. The emerging field of 'environmental peacebuilding' will be able to pull together

¹⁷ Canada will host a side event during the UN Environmental Assembly on mapping, monitoring and mediating conflicts in the extractive sector in fragile states

¹⁸ For example the Ukraine resolution on the role of peacebuilding presented for the UNEA 2 in 2016.

¹⁹ The evaluator could refer to a multitude of documents, not least a Concept Paper prepared by DPKO on combatting illicit trafficking in the Democratic Republic of Congo, which is explicitly related to UNEP's work, issued by 'CLJAS' in February 2016.

elements from areas previously as isolated as Environmental and Social Impact Assessment for large industrial projects, Member State, NGO and UN analysis of the resource implications of conflict, on the continual evolution of evaluation methods as they relate to peacebuilding, and on the growing body of international law dealing with the environment.

Even more significantly, it can be argued that ECP's work relates directly to the shift within development research toward political economy analysis (one can quote here the work of Paul Collier and Mary Kaldor), the shift within the private sector to the area of social risk (one can cite the work of IPIECA on operating in conflict zones for the oil and gas industry), and the increasing regulatory and media focus on integrity in supply chains (for example the Dodd Frank Act in the United States, or the UK Modern Slavery Act). These will continue to support the growing area of environmental peacebuilding, giving it considerable sustainability.

- Has the programme helped to mobilize additional programmes and financial resources for dedicated country-level programmes on natural resources, conflict and peacebuilding?

It is remarkable to observe that, outside any reporting provided by ECP, the activities undertaken have contributed explicitly to other initiatives by other groups, drawing on their own revenue streams. This is particularly the case, in the case studies selected, for the work done in Afghanistan to encompass natural resources undertaken by GIZ, for the academic publications by the work invested by the Environmental Law Institute in Washington, or in the creation of new positions and new programmes within DPKO.

By raising the profile of the issues and by ably cooperating with existing structures, such as within the World Bank, UNEP has been able to affect and refine the work of other institutions. The creation of MAP-X, which builds on UNEP's expertise in mapping, is informing the World Bank's dialogue with Member States about the conflict sensitivity of their Extractive Industry Value Chain, where the Bank's own methodology was also advocating for the use of mapping systems.

It is however clear that the engagement of UNEP with the private sector, which remains the overwhelming owner and steward of natural resources, has been practically non-existent. The few managers involved in societal risk and environmental clean-ups who have collaborated with ECP and were interviewed by the evaluator²⁰ have confessed to not really understanding the nature of UNEP's work, and not fully realising the connections to the investment requirements of their own businesses.

- Is there sufficient demand for UNEP to continue with the overall programme during the period 2016-2018 and how should this phase be structured? To what extent can the programme contribute to supporting the implementation of the goal 16 of the new Post-2015 Sustainable Development Goals?

There is clear evidence in the interviews conducted of a willingness amongst donors to continue to support the programme over the period 2016-2018, in spite of significant budget cuts in donor planning. There has been significant restructuring both within the UN (for example the case of UNDP whose natural resource team has now been restructured into a number of different departments) and the EU (where the External Action Service is dealing with the issues of peacebuilding in a fragmentary way). Budget cuts and institutional restructuring contribute to creating uncertainty.

The evaluation concludes that, in light of the shift towards a more 'resource aware' agenda in international cooperation, but also in light of these institutional limitations, UNEP should restructure itself to be able to work more extensively with private sector actors. This will not necessarily mean working for multinational companies such as the International and National Oil Companies, or with specific conflict prone assets. It should be conceived strategically in light, for example, of the growth of impact investment, of industry association interest in the negative social impact of poor practices in production. A more modest objective could be enhancing UNEP's role as an independent and trusted broker of information.

²⁰ Senior staff members representing Shell and Rio Tinto.

A recent publication highlights this need very well. Leif Wenar's 'Blood Oil: Tyrants, Violence and the Rules that Run the World' makes the case that the financial taxation of international resource industries separates governments from the public by reducing the importance of revenue which these countries draw from the economic activity of the population, and focusing their attention on the large companies which have the necessary resources to undertake large investments. This creates an opportunity for predatory behaviour in relation to natural resources. Should these companies not see an interest in guaranteeing some form of good governance, or should they not perceive the populations surrounding their investments as stakeholders, the consequences for development can be dire. As a result, all the work of the UN's development agencies in these situations could be seen as no more than conversations about the order of deck chairs on a sinking ship.

The promotion of peaceful and inclusive societies for sustainable development, providing access to justice for all, and building effective, accountable and inclusive institutions at all levels (which are the terms of Sustainable Development Goal 16), is intuitively directly related to natural resource governance. UNEP is, in this context, a powerful actor which is hindered by the nature of its positioning within the UN as a non-operational body.

At the same time the status of the UN offers it a good position to act as an independent broker. It can be argued for example that in Afghanistan, UNEP's role in safeguarding natural resources in the interest of the general population can give it a newfound legitimacy which could survive the possible downfall of the Government in future fighting.

The programme is most directly related to Sustainable Development Goal 16, which relates to the promotion of just, peaceful and inclusive societies. The relevant targets for ECP are:

1. Significantly reduce all forms of violence and related death rates everywhere
2. By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime
3. Substantially reduce corruption and bribery in all their forms
4. Develop effective, accountable and transparent institutions at all levels
5. Ensure responsive, inclusive, participatory and representative decision-making at all levels
6. Broaden and strengthen the participation of developing countries in the institutions of global governance
7. Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements
8. Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime

While ECP's work, in the future, can be seen to be contributing to all these aspects, it would seem that the second and fifth in particular would be the most amenable to influence. This is due to the evolving role of the programme towards becoming an intermediary, providing technical expertise, mediation and information, as part of its capacity building (eighth target here).

V.2 Lessons Learned

Two lessons can be drawn across all ECP activities. These have been selected on the basis of their usefulness in relation to the recommendations, rather than as part of the broader learning generated by ECP. One will be called the convergence model, and the other the continuum model.

The first lesson drawn by the evaluation is that natural resources create a common interest between opposite parties, and can be used to empower particular disadvantaged groups, such as women, or indigenous populations.

This can be called the “convergence” lesson. Two examples of convergence speak to both ends of the spectrum on this subject, one hypothetical, the other an outcome of the activities of ECP on mediation. Much international coverage is being given to the political economy of Brazil and Indonesia and to the role which the practices of the wood industry plays in fanning tensions in previously forested areas. The inconsiderate exploitation of precious wood is directly impacting indigenous populations, and displacing groups towards hastily built urban areas, causing disquiet and disruption. The phenomenon is also directly related to the broader global issues of climate change, which affect all humanity on a global and easily measurable scale. A proper focus on the decisions made to exploit these natural resources would stabilise the local conditions in Indonesia and protect the identity of indigenous groups, and improve national resource governance. It would also contribute to reducing climate change and pollution, internationally. The current structure of exploitation creates perverse incentives which are divergent with the common good.

At the other end of the spectrum, the evaluation case study level, this was also the observation made by the Finnish organisation Crisis Management Institute, as well as by a senior representative of Peace Parks Expeditions. The Finns noted that their programme in Libya benefits actively from this factor of convergence, which is applying elements of the Guidance on Mediation elaborated by ECP. Oil, gas, and water resources have been a major source of economic strength in the country over the past years. They have the potential to become a common interest in the increasingly centrifugal nature of conflict in Lybia, leading to abundant prosperity for all ‘if only the parties would just accept to calm down’. This single quality of natural resources being a factor of convergence gives UNEP a basis for the continuation and even expansion of its work in the context of many conflicts today.

Another lesson learned (which could be called the “continuum” lesson) is that the interest in, and external ownership of, ECP outputs is considerably increased when a particular set of conditions occur. This discovery about the nature of ownership came from a recurrent pattern across all the outputs. The initial core assumption about uptake led the evaluator to concentrate, through the interviews and the analysis of documents, on the factors that trigger a continuation of the outcomes by the partner organisations, be they Member States, civil society, academic bodies, or UN agencies. The one recurring pattern was the existence of a need to resolve a particular problem confronted by the partner, and the discovery that good stewardship of natural resources would answer that need.

All the case studies where there is degree high level of uptake, demonstrate such a phenomenon. The utilisation of the digital platform called MAP-X, for example, is a way of compiling large amounts of information which provide governments with a clear and policy-relevant basis for assessing the impact of mining concessions. It could become a highly effective communication tool in the negotiations between large operating companies, governments, and the general public because it conveys in simple visual form large amounts of technical information.

Similarly, the creation of a significant body of literature documenting the manner in which natural resources and conflict impact peace and stability is creating the evidence base required by specialists in international law or in peacebuilding. It allows for the generation of more universal and theoretical models, leading to the structuring of this literature into a number of identifiable bodies of knowledge. Lastly, the failure of the UN-EU platform to continue is an example of an absence of such a continuum between the ECP outputs and the needs of the environment, due to the fact that fundraising, restructuring and country based programming precluded the development of a sustained need.

The case studies do show however that these needs must be carefully analysed. While there may appear to be a congruence between the interests of the parties and the provision of UNEP services, the reality may be deceptive. This happened, for example, when Shell’s need to improve its image in the Niger Delta through a high profile effort coincided with a need for Ogoni political groups to achieve progress in resolving some of their grievances in relation to the oil industry and the government. A UNEP environmental impact assessment provided the basis for a tripartite negotiation between the oil companies, the Ogoni and the Government. However the persistence of a conflicting interest, within the policy making process of some of the parties, has considerably delayed the outcome, and may scupper the negotiation in the end.

We would label, for the sake of practicality, such occurrences of a simultaneous need and a solution through the creation of an evidence base as ‘situations of continuum’, when two separate dynamics are connected through the natural resource / conflict continuum. There may be other ways of understanding this phenomenon, but it can best be described as an output offered by UNEP meeting a gap generated by the interests of certain key partners in that given context. This gap is recognised by the partners in the course of their exposure to the work of UNEP-PCDMB, leading them to seek out UNEP’s outputs and promote their useage..

The overall lessons learned of the evaluation revolve around the fact that ECP, having passed a critical threshold of awareness which is amply evidenced by the number of high level UN policy documents and general publications, is facing an opportunity to move to another level of engagement. Now that policies are emerging, and that there is greater acceptance of UNEP’s role and recognition of the importance of this subject, UNEP’s future contribution will lie in deploying teams and expertise efficiently with new actors.

V.3 Recommendations

Five recommendations are derived from this evaluation

- ✓ **Recommendation 1: utilisation of the continuum model**²¹. *PCDMB should carry out an analysis of its partners prior to engaging with them through a particular initiative, and identify the latent or explicit need for expertise on natural resources.* The highly diverse threads of activity and the highly entrepreneurial approach adopted until now should be informed by stakeholder analysis for the sake of efficiency. Since the policy vacuum has been breached, it is imperative for the programme to identify in a strategic manner **those partners that are situated in a continuum scenario**. This means that it should prioritise partners where a need related to the partner's core work makes them identify taking natural resources into account as a strategic priority. This may also include cases where the link to natural resources is not fully recognised by the partner, initially.
- ✓ **Recommendation 2: commoditise audience-specific assessments: PCDMB** should systematically consider providing **independent assessments** more widely as a type of service, where a high degree of neutrality is required. These services must be communicated in such a way as to allow local communities and specialised stakeholders to understand and control the impacts of increasing resource scarcity or of the conduct of large industrial projects. It should build on its unique position in the international system to be a trusted partner. It should benefit from its expertise and its status as a UN project, and the fact that it has a flexible budget that is mutually agreed with the donor but only at a macro level with the facility to amend as and when desired. In this way it will help equalise the relations between the owners of natural resource assets, its partners, and the stakeholder populations²².
- ✓ **Recommendation 3: issue-driven network.** *PCDMB should seek to create an informal grouping of donors around environmental peacebuilding to enhance support and communication around this sensitive area.* ECP would engage in a frequent dialogue with those donors, non-UN partners and researchers that are willing and able to promote the natural resource angle in peacebuilding. The recommendation could lead, for example, to the creation of an informal group supported by professional networks, digital platforms and tools which would give the programme an expanded outreach beyond the current circle of active partners. This would help promote an institutional underpinning to compensate in the long term for the very personality-driven nature of the work so far.
- ✓ **Recommendation 4: private sector engagement.** *PCDMB should conduct a thorough review, with due consideration for its position within a UN agency, of its engagement with the private sector.* Where possible it should increase its engagement with the private sector. The experience of a few cases, most notably in Nigeria, should be considered, especially cases where those that control natural resources are business interests and local civil society actors, not the states (where states are active, it is often because they are guided by private actors, be they in a clandestine way or formally). Engaging with the private sector does not automatically entail receiving financing from that source, and this may in fact be exceptional. It is about recognising some of the concerns and risk management methods that are deployed by private sector actors to address the same issues as ECP. To engage with the private sector, ECP could connect with some of the industry associations and with multi-stakeholder mechanisms, and public-private think tanks that are taking an active role in the good governance of natural resources. It should explore the possibilities that it could also use innovative knowledge tools such as MAP-X or the Guide for Media-

²¹ The concept of Continuum Model is used by this evaluation to characterise situations where addressing natural resource issues responds to a critical, if unidentified, need by one or more of the parties in a conflict, or in a potential conflict. This triggers rapid uptake of the contributions that may be made by PCDMB.

²² Comments by former senior representatives at Shell, on the generalised inability of large companies to engage in a meaningful manner with project affected populations.

tion Practitioners as products which lead to the provision of ‘branded’ services in an easily replicable manner, capitalising on the investment of previous years.

- ✓ **Recommendation 5: Administration.** *UNEP should review the administrative operating space for PCDMB, especially in relation to the technical, administrative and resource needs created by diverse partnerships and conflict-related situations.* Some of the issues to be considered include the administrative potential for PCDMB to be able to deploy and operate its teams at country level, including through the allocation of additional core UNEP budgetary resources and extending the delegation of authority above US\$100,000. Ways of avoiding disconnects that have affected the uptake of PCDMB products and services in the past should be discussed as well as the possibility of working with faster modalities such as UNOPS. PCDMB needs to find administrative arrangements that allow it to be even more responsive to the wide variety of partners and situations related to environmental peacebuilding. Ways in which resources, especially time, can be better directed towards the achievement and reporting of outcome level results, rather than on the administration of inputs required to deliver an activity, should be considered.

A final suggestion is that PCDMB considers aligning the ECP streams of work more closely to the SDGs. The predominant features of the emerging streams of work are identified as three: an **advisory role**, for example in the area of peace-keeping and natural resource related crime; **catalytic projects**, for example in gender with other UN agencies; and **direct provision of field-level expertise** and teams, for example in mediation and mapping tools. The first stream would relate to the SDGs on basic needs (“good health and well-being”, “clean water”, “sustainable communities”), the second to empowerment (“reduced inequalities”, “gender equality”), and the third to governance (“peace justice and strong institutions”, and “partnerships”).

Appendix 1: Description of Outputs Achieved

In this appendix we review in a descriptive form (in other words with no particular performance analysis) the achievement of each area of activity of the programme, divided into the elements identified in the Inception Phase, and represented in the Theory of Change.

The six case studies used for this report are described in sections 1, 6, 7, 10, 11 and 17.

1 Global Research Programme on Natural Resources and Post-Conflict Peacebuilding

Output

In 2010 ECP established a partnership with the Environmental Law Institute, plus some academic bodies, toward a global research programme on natural resources and post-conflict peacebuilding. Over a period of four years, a total of 150 original case studies from 60 conflict-affected countries around the world were developed, with contributions from 225 experts. The case studies cover a range of natural resources, from high-value extractives such as oil, gas, minerals, metals and gems, to renewable resources such as forestry, fishing and agriculture, land and water.

The 150 case studies have been published in six volumes by Routledge. Under an “open access” publishing agreement, the cases are freely available through the Environmental Peacebuilding Knowledge Platform. The last book on governance was released for publication in May 2016, and a Synthesis is under consideration.

Outcome

The cases have been referenced in a number of high profile publications from the United Nations, the World Bank, the African Development Bank (AFDB), the International Panel on Climate Change (IPCC), the International Law Commission (ILC) and the Organisation for Economic Cooperation and Development (OECD). They also formed the basis for a TED talk entitled “Natural resources and peacebuilding: Is the United Nations united?”.

The lessons learned are being used as the basis for programming in a number of countries by a range of different stakeholders, including by the International Dialogue on Peacebuilding and Statebuilding (IDPS) and members of the G7+ group of fragile states. In particular, ECP presented key lessons learned to the High-level Seminar “From Peacebuilding to Statebuilding – African Experiences” held in Helsinki under the chairmanship of Pekka Haavisto, Minister for International Development, Finland. UNEP reports 43,000 downloads of the case studies from its website, and the numbers are continually increasing. It is referenced as well as in specific guidance by a number of donors including AfDB, EU, USAID, DFID, Finland, Norway, Sweden, and AusAID (now DFAT).

2. Environmental Peacebuilding Knowledge Platform

Output

The Environmental Peacebuilding Knowledge Platform was launched in November 2013, on the International Day for Preventing the Exploitation of the Environment during War and Armed Conflict. The website²³ serves as a global platform for sharing information, experiences and learning on addressing the linkages between natural resources, conflict and peace. It hosts a library containing 4,300 documents and regularly monitors news, events, jobs and new publications in the field.

Outcome

A community of practice has emerged rapidly in the wake of the 150 case studies which established the credibility of the field, including over 2,500 registered people from 80 different countries, and is continually expanding. The Environmental Peacebuilding Update is issued twice a month to these subscribers, containing a summary of the latest news and analysis from the field.

The Knowledge Platform consistently has 5,000 to 8,000 page views per month, with visitors from 185 countries. It is directly referenced at the top of the rankings by four research engines on the internet when typing Environmental Peacebuilding. The most discussed topics on the Platform include extractive resources, renewable resources, land issues, governance and different conflict causes. In total, some 43,000 case studies have been downloaded from the Platform in the first two years of operation. The first survey of the community of practice was conducted during August-October 2015.

3. Courses and Training

Output

The evidence base generated in the early stages of the programme has been used in a range of academic courses and training sessions on natural resources, conflict and peacebuilding. ECP collaborated with the University of Eastern Finland in 2014 to deliver a dedicated module on Environmental Security within the annual course on Multilateral Environmental Agreements and Diplomacy.

In order to help create a corps of experts and practitioners, ECP has also partnered with Columbia University to establish a Certificate Programme on Environment, Peace and Security. This accredited programme is offered over a period of two terms to both senior students and practitioners.

ECP has also worked with the Environmental Law Institute and a number of other institutions to establish a new academic field, to be known as Environmental Peacebuilding. This emerging field is defined as “the process of governing and managing natural resources and the environment to help lay the foundation for enduring peace.” An Environmental Peacebuilding Academy was established consisting of 30 leading professors that seek to offer course content and collaborate in the development of curricula for Environmental Peacebuilding.

The Al-Moumin Distinguished Lecture and Award was also established to recognize leading thinkers who are shaping the field of environmental peacebuilding. This annual lecture and award is co-sponsored by the Environmental Law Institute, American University, and UNEP, and is named in honor of Dr. Mishkat Al-Moumin, Iraq’s first Minister of Environment.

²³ <http://www.environmentalpeacebuilding.org>

Outcome

A training has been delivered for the NATO school in Oberammergau, Germany, while the first courses were delivered in Finland and the United States (the number and origin of participants is not recorded). The first Al-Moumin awards have been given to Michael Ross, Jon Barnett and Liz Alden Wiley. A number of events have been held to launch this area based on the original premise that natural resources, however deep the divisions in a conflict, are prized by all sides and as such constitute an opportunity for peace.

4. UN Peacebuilding Commission

Output

In order to support the UN Peacebuilding Commission in its task, UNEP collected and analysed field evidence on conflict risks and peacebuilding opportunities from a range of sources, including UNEP field assessments in 14 case studies. The work was synthesized in the report “From Conflict to Peacebuilding: The Role of the Natural Resources and the Environment” (2009). UNEP also seconded a senior staff member (P4 level) to the Peacebuilding Commission Support Office (PBSO) from 2008 to 2010 to act as a technical focal point on natural resources and to serve as a conduit for UNEP expertise into the PBSO and PSC.

Outcome

These findings were considered by the Peacebuilding Commission at a dedicated working group on lessons learned. Since this meeting, different member states have noted that the report and UNEP’s work on these issues has helped to “open the political space” for countries to discuss sensitive peace and security issues linked to land and natural resources that were once considered “no go” areas.

The publication led to a greater recognition of the complex linkages between natural resources and conflicts, as well as their positive role in supporting peacebuilding processes. One of the contributions lies in the angle taken to address the question as to why the peace and security community should analyse natural resources and respond to the spectrum of risks and opportunities - a question that remains relevant today for both interagency processes as well as intergovernmental constituencies.

The report has been widely cited across a range of UN publications as well as in academic literature. Most importantly, the successive reports by the Secretary-General on Peacebuilding in the Immediate Aftermath of Conflict in 2009, 2010, 2012 and 2014 have given an increasing level of attention to natural resources in peacebuilding. A significant outcome came in the 2010 report, when the Secretary-General called on Member States and the United Nations system “to make questions of natural resource allocation, ownership and access an integral part of peacebuilding strategies.”

In November 2012, the g7+ group of 20 fragile and conflict-affected states formally recognised addressing natural resources as a major factor to achieve stabilisation. They noted the need for improving their own governance of natural resources and related revenues, but also highlighted the role played by the international community in combating illegal resource exploitation. The g7+ secretariat requested a formal partnership with UNEP (including an MOU) to develop a strategy and related tools on natural resource risks and opportunities in fragile states.

Most recently, and illustrating the long-term relevance of the report, the UNEP report was referenced by the Advisory Group of Experts in their report “The Challenge of Sustaining Peace” to the Security Council in June 2015, urging governments to commit to different transparency and governance initiatives linked to natural resources. Building on the recommendations of the report, UNEP, PBSO and

other partners have also assessed and addressed key natural resource challenges at the country level on a pilot basis.

5. International Law

Output

UNEP, the Environmental Law Institute and the International Committee of the Red Cross (ICRC) established a partnership to conduct an authoritative review of the legal protection given to the environment during armed conflict. Some twenty-three senior legal experts and specialists were brought together in Nairobi to review international law and precedent-setting legal cases across four bodies of law: humanitarian, criminal, human rights and environmental. The output of this process was published in the second flagship policy report of the ECP programme: “Protecting the Environment During Armed Conflict – An Inventory and Analysis of International Law” (2009). The goal of the review was to catalyze both the ICRC and the International Law Commission to give more attention to this topic within their respective programmes of work, with a longer term view of establishing new norms and guidelines by these bodies.

Outcome

Based on the direct recommendation of the report, the International Law Commission (ILC) formally adopted the topic into its long-term programme of work in 2011, and appointed Marie G. Jacobsson of Sweden as Special Rapporteur for the topic in 2013. She adopted a three-year work programme running over the period 2014-2016, focusing on identifying and analysing legal provisions and potential gaps for protecting the environment before, during and after armed conflicts. She will produce a final report in 2016 recommending new norms and principles for protecting the environment during all phases of conflict.

The report also informed the on-going process of the ICRC to determine “whether, and to what extent, international humanitarian law (IHL) as it exists today continues to provide an appropriate response to the humanitarian problems arising in armed conflicts.”

The final results of the review covered four themes: protection for persons deprived of liberty; international mechanisms for monitoring compliance with IHL and reparation for victims of violations; protection of the natural environment and finally the protection of internally displaced persons. The conclusions of the internal study were then debated at the 31st Conference late in 2011 and ultimately – and largely on the basis of state support – two of the four areas were chosen to be the focus of the ICRC’s work going forward, these were the protection of persons deprived of liberty and the better implementation of existing IHL. These priorities were based on consultations with member states which sought to gauge the level of support for each thematic area. During the consultations, member states were cautious about protection of the natural resources and the environment out of fear that new laws would lead to an increase in liability and compensation claims for environmental damage.

Nevertheless some states were interested in pursuing environmental protection. Following the conference, the Nordic governments and their Red Cross societies made a pledge to continue work on the environment

In addition to this pledge, the ICRC also undertook to review and update the Guidelines for Military Manuals and Instructions on the Protection of the Environment in Times of Armed Conflict (1996) as recommended by the UNEP/ELI/ICRC report. A revised version of the guidelines is under development by the ICRC, which is expected to be published in early 2016 with a key peer review role for UNEP.

The ECP programme has been credited for helping to provide the technical justification and for building the political interest needed to kick-start both processes. Both of these outcomes are normative milestones in the conduct of military operations which minimise environmental impacts and related risks.

6. International Peacekeeping Operations

Output

UNEP helped the UN Department of Peacekeeping Operations (DPKO) and the UN Department of Field Support (DFS) to develop an Environmental Policy for UN field missions in 2009. The policy set minimum standards and requirements for environmental performance, including on energy and water consumption, as well as waste production.

In 2012, three years after the adoption of the policy, UNEP, DPKO DFS and the Swedish Defense Research Agency (FOI) partnered to assess the overall level of policy implementation. Interviews were conducted with ten different peacekeeping missions to identify the range of positive practices adopted, together with the main barriers. The process also reviewed how peacekeeping operations could help prevent natural resources from contributing to instability and conflict relapse. The findings from the joint analysis were published in the third flagship ECP report “Greening the Blue Helmets: Environment, Natural Resources and UN Peacekeeping Operations” (2012). UNEP also offered the services of a senior environmental engineer (P4 level) to DPKO and DFS for a two year period from 2012-2014 to help design a plan and institutional partnership with UNEP for the full implementation of environmental policy and to follow up specific recommendations from the policy report.

Outcome

The report has been instrumental in raising awareness on the topic and catalysing a partnership between UNEP, DPKO and DFS to implement the recommendations in different peacekeeping missions. Pilot assessments activities have taken place in Somalia, South Sudan, DR Congo, Central African Republic and Mali. More information on these deployments is available in section 4 of this report. An e-learning programme on natural resources and the environment for peacekeepers was developed and launched by ECP and UNITAR in 2013 (<http://www.unitar.org/ptp/gbh>).

The impact of ECP’s work in this sector is also demonstrated through the recent report in June 2015 by the Secretary-General’s High-level Independent Panel assessing the relevance and effectiveness of UN peace operations. The panel recognised the increased need to minimise environmental impacts of peacekeeping operations, and the importance of implementing the Environmental Policy for UN field missions.

The collaboration between UNEP, DPKO and DFS led in September 2015 in the appointment of Mr. Franz Baumann as Special Adviser on Environment and Peace Operations to the Under Secretary General of DFS. Drawing on the expertise available in the United Nations system, especially at UNEP, he assisted DFS in developing the environmental portfolios for all UN field missions. His first action as Special Adviser was to establish a three year partnership with UNEP to implement the environmental policy and the environmental recommendations of the UNEP report. DFS will provide USD 6.9 million of financing to UNEP to create a technical assistance facility on Greening the Blue Helmets.

7. Mediation and Environmental Diplomacy

Output

The UN Department of Political Affairs (DPA) and UNEP decided to capture the experience in mediating conflicts over extractive resources, land and water at both local and international levels in a guidance document. A total of 40 mediation experts were involved in the process, and 24 specific case studies were analysed. After a relatively long gestation period of four years, the report “Natural Resources

and Conflict: A Guide for Mediation Practitioners” (2015) was launched in February 2015 at a high level event in New York by the UN Deputy Secretary General Jan Eliasson. It is currently being presented in different fora, including at high-level events in Helsinki, Montreal, Geneva and Djibouti. The publication targets mediators, governments, companies and stakeholders to specific disputes.

The guide was developed in response to UN General Assembly Resolution 65/283 on strengthening the role of mediation in the peaceful settlement of disputes, conflict prevention and resolution. In particular, operational paragraph 11, requesting the development of more guidance for effective mediation.

Outcome

Field work to test the content of the UN Resource Mediation Guide has been conducted by UNEP in Nigeria, Bougainville, the Sahel region and between Haiti and the Dominican Republic. A roster of senior environmental diplomats has also been established, including Erik Solheim, current chair of the OECD Donor Assistance Commission, Pekka Haavisto, Former Finnish Minister of Environment and Development Cooperation, and Philippe Roch, former State Secretary, Swiss Agency for the Environment, Forests and Landscape.

UNEP and DPA have also developed training modules based on the guide which have been piloted with the Crisis Management Initiative in Helsinki in March 2015 and at the induction training of new UN Peace and Development Advisors in May 2015.

The various launch events that have been conducted have also been used as an opportunity to gauge the need for follow-up. There has been general support for a new global initiative that can: (i) provide technical mediation and conflict prevention support on natural resource conflicts to stakeholders, in particular for “track 2” processes; (ii) conduct technical assessments and political economy analysis to inform the stabilization approach of peacekeeping and peacebuilding missions; (iii) conduct research and identify good practice on resource conflict mediation and conflict prevention in fragile and weaker states; and (iv) provide training programs for Regional Organizations and select member states on the prevention and resolution of natural resource conflicts. Crisis Management Institute indicated that it has been using the manual in an implicit manner in structuring a mediation effort revolving around natural resources in Libya.

8. Women and Natural Resources

Output

UN Women, UNDP and PBSO agreed in 2011 to launch a joint initiative triggered by a UNEP visit, inspired by the evidence base collected in the ECP research on the nexus between resources, conflict and gender issues. The partners conducted interviews with 45 experts and field practitioners, and reviewed over 200 academic journal articles, reports, books and other reference materials. An extensive peer review process was also conducted, involving more than 20 leading experts. The findings from this joint analysis led to the publication of “Women and Natural Resources: Unlocking the Peacebuilding Potential” (2013).

Outcome

As a follow-up to this report, the four UN partners are designing a follow-up project and partnership to pilot test the recommendations in the field in order to develop operational guidance and good practice. The work of UNEP in this area has provided technical evidence, analysis and frameworks to enable peacebuilding actors to develop strategies for empowering women through the sustainable management of natural resources in the context of peacebuilding. UNEP will help select proposals with the best demonstration of conflict prevention impact, and built on a good gender analysis.

The government of Finland provides an initial grant of EUR 500 000 to the follow-up project. They are actively seeking support of other Nordic countries to bring the overall project budget up to EUR 4.5 million.

9. Ex-Combatants

Output

UNEP and UNDP investigated how different natural resource sectors can be an important catalyst in the immediate aftermath of conflict for generating jobs for ex-combatants and returnees, as well as opportunities for longer-term livelihoods. The joint report entitled “The Role of Natural Resources in Disarmament, Demobilization and Reintegration – Addressing Risks and Seizing Opportunities” (2013) presented findings from field interviews conducted with a broad range of stakeholders, as well as a thorough desk review of relevant publications, through an analysis of 13 case studies.

Outcome

This report provided an initial response to the Secretary-General’s repeated calls that more attention be given to natural resources in disarmament, demobilisation and reintegration (DDR) programmes. The report had a major impact on international DDR standards. In particular, the report was formally adopted by the UN Inter-Agency Working Group on DDR as the basis for developing a new global standard and operational guide on natural resources.

The report has also been used as the basis for modules on land and natural resources for international DDR training programmes, including by the Folke Bernadotte Academy in Sweden. UNDP also initiated pilot projects to field test the guide in both Afghanistan and South Sudan. The work of UNEP has paved the way for DDR programmes to be standardised, taught and implemented with a sensibility for natural resources globally, regionally and nationally.

10. UN-EU Partnership on Land, Natural Resources and Conflict Prevention

Output

The European Commission’s Directorate-General for External Relations (RELEX) proposed to UNEP the establishment of a coordinated response regarding natural resource aspects of conflict prevention – a challenge as this cuts across the various mandates of UN agencies. Together with other UN entities consulted through the New York inter-agency framework, UNEP helped to design the contours of a Global Partnership on Land, Natural Resources and Conflict Prevention between the EU and UN.

The Global Partnership is an international platform that was designed to identify best practice and offer assistance to countries to prevent and resolve resource conflicts in a multi-disciplinary manner. It is based on the ECP model of a combination of policy notes, joint agency guidance, and possible applications in the field. With an international secretariat based in New York, the partnership consists of seven UN agencies (UNEP, UNDP, HABITAT, DPA, PBSO, DESA and IOM) and the European Union. It combines and deploys the economic, social, political and environmental expertise of the partner agencies into joint assessments and integrated field programs that can tackle complex resource disputes.

Outcome

The Partnership began by identifying good practices and developing a series of six guidance notes and online training modules on conflict prevention linked to land, extractive industries and renewable resources. These notes present 45 country case studies on natural resources and conflict prevention strategies. The Partnership has worked to apply these lessons at the field level on a pilot basis in Afghanistan and the Great Lakes.

To institutionalise the lessons learned and good practices identified by the EU-UN Partnership, UNEP brokered the adoption of a UN-wide guidance note on Natural Resource Management in Transition Settings. The note was supported by 38 UN agencies, funds and programmes. It was formally endorsed by the principals of the UN Development Group (UNDG) and the Executive Committee on Humanitarian Affairs (ECHA). The adoption of this document is an important milestone for the UN system in terms of highlighting risks and opportunities from natural resources in conflict prevention and peace consolidation.

The ECP are in discussions with the EU-UN Partnership to establish a UN hub and coordination platform for UN deployments to address natural resources conflicts. In 2011, the RELEX underwent a major transformation into the EU External Action Service (EEAS). With this change, the EU-UN partnership lost the opportunity to receive funds for follow-up projects in the field from the key RELEX funding instrument. As the UN agencies then became more focused on funding concerns, the collaborative spirit and strategic nature of the partnership weakened. Other policy achievements should be noted however, such as the technical cooperation with the World Bank on conflict prevention in the extractive industries value chain (EIVC). In particular, UNEP and other members of the EU-UN Partnership worked with World Bank during 2014-2015 to identify common conflict drivers across the value chain, as well as approaches for conflict prevention. Lessons from four countries were included: Chile, Zambia, DR Congo and Peru. The findings have informed UNEP's decision to increase the amount of technical work it conducts with the extractive industries, with a focus on environmental safeguards and compliance monitoring.

This initial work then catalysed direct collaboration between UNEP and the World Bank on the MAP-X initiative. MAP-X is an open data initiative requested by the G7+ group of countries to “support stakeholders in the extractives sector to consolidate, analyze and visualize transparency data and other contextual information as a contribution to good governance and conflict prevention.”

The World Bank and UNEP are supporting the initiative to improve stakeholder access to and use of transparency data in the extractives sector in order to strengthen informed participation, dialogue and decision making. The expected result is improved quality of stakeholder consultation, dialogue, and resource concession contracts, more equitable benefits sharing, and enhanced performance monitoring of the sector. There is a clear opportunity in Afghanistan, based on this country's environmental agency's request for support in understanding its natural resources. It could be combined with a number of peacebuilding initiatives being launched in the country, where natural resources are recognised as a major factor of conflict.

The MAP-X initiative consists of three main components: a) a national open data platform for the extractives sector that could be tailored made to local needs, owned by stakeholders, and reinforce existing processes; b) an open data standard and workflow process for consolidating, validating, reconciling and licensing the data by key Ministries, companies and communities; c) a capacity building programme for stakeholders to comply with the standard, manage the workflow and use the open data platform in an effective manner.

11. Afghanistan

Output

The ECP programme and the UNEP team in Afghanistan were requested by the UN Country Team and the EU-UN Global Partnership to assess the ways in which natural resource management—the institutions, policies and practices that govern land, water, forests, minerals, hydrocarbons—interact with violent conflict in Afghanistan. The final report “Natural Resource Management and Peacebuilding in Afghanistan” (2013) makes recommendations on how the government and the international community can maximise conflict prevention and peacebuilding opportunities through better management of natural assets.

As a follow-up to the report, UNEP provided technical assistance to integrate key risks and opportunities linked to natural resources into UN planning processes, and outlined a follow-up capacity building programme. UNEP promoted the sharing of technical information across the UN country team, and a more strategic and coordinated approach towards the range of needed actions. Active outreach and advocacy was also conducted with a number of key development partners including the European Union, the US, the UK, Canada, Finland and the World Bank. There are emerging synergies, driven by the UNEP country team, with community development projects that are keen to integrate natural resources into their programming, as a part of their increasing effort to become conflict sensitive.

Outcome

Following the election of the President Ashraf Ghani in 2014, and although many other factors were probably at play (including a significant World Bank project) the government identified responsible and sustainable development of the mining sector as a top political priority. The new Minister of Mines and Petroleum set forward to develop a master plan for the extractives sector in a conflict-sensitive and inclusive manner. To support this work, he requested the UN country team to present a range of technical assistance options that could be provided.

In response, UNEP deployed two technical field missions to Kabul in April and May 2015. Following consultations, UNEP agreed to develop a project on environmental safeguards in partnership with its counterpart the National Environmental Protection Agency (NEPA) and the Ministry of Mines and Petroleum, which a field visit showed has been strengthened by UNEP’s presence. The project will continue to build the capacity of NEPA to fulfill its statutory role as the primary environmental safeguarding authority, including the creation of a better digital information system (see MAP-X in the previous section). It will also focus on providing national stakeholders with the transparency tools needed to access concession information and monitor environmental compliance. This work will be conducted as part of a larger joint programme with UNDP and will include the pilot deployment of the MAP-X initiative together with the World Bank.

12. Sierra Leone

Output

To help the government and UN country team understand potential conflict risks and peace opportunities from natural resources moving forward, ECP deployed various teams of experts to conduct an assessment and identify urgent policy priorities. One of the key risks identified was the low capacity of the Environmental Protection Authority (EPA). UNEP established a dedicated project within the UN Joint Vision for Sierra Leone. Working in collaboration with UNDP, FAO and DPA, a new position of “Environmental Affairs Officer” was established within the UN country team to implement the project

with funding from DPA and technical support from UNEP. A “South-South” cooperation approach was adopted with the Southern African Institute for Environmental Assessment (SAIEA), based in Windhoek, Namibia.

Outcome

The work demonstrated how critical it is to build national capacity for environmental management, monitoring and enforcement in the context of large-scale mining investments. The project found that the EIA process itself can also be effectively used as an instrument for community dialogue and trust building between stakeholders. Transparent and inclusive management of the natural resource sector from an early stage can help to build confidence in the wider political process of peace consolidation. After two years of successful capacity building investments by UNEP, the work was eventually taken over by UNDP as part of its country programme for Sierra Leone.

13. Central African Republic

Output

In 2008-2009, ECP worked with the Peacebuilding Commission Support Office (PBSO) and the government to assess conflict risks and peacebuilding opportunities from natural resources. This work fed into the Strategic Framework for Peacebuilding in 2011. The report focused on the need to reform the country’s security sector, and to ensure that resource management offers livelihood and employment opportunities, in particular for ex-combatants. Within the assessment process, UNEP also highlighted the urgent need to secure and demilitarise resource rich areas and establish transparent systems for revenue management to avoid any potential contribution to future conflict financing.

However, before such measures could be implemented, the country relapsed into conflict in 2012 supported in part by financing from natural resources, in particular illicit exploitation of diamonds and wildlife. A ceasefire between the Seleka rebels and "anti-balaka" militias was agreed in 2014, paving the way for the deployment of a UN peacekeeping mission (MINUSCA).

The peacekeeping mission has requested ECP to advise on how it could comply with the 2009 Environmental Policy, given the limited supply of goods and services, technical capacity, and environmental infrastructure in the country. UNEP recommended a range of energy efficiency measures to reduce overall demand, as well as a series of investments to improve the management of liquid and hazardous waste. There has not been follow up by DPKO in this country, for structural reasons mainly related to the absence of incentives for energy savings and waste management. The new peacekeeping mandate in the CAR (S/RES/2217 (2015) included two key paragraphs under the heading of Illicit exploitation and trafficking of natural resources.

A position for Natural Resource Officer attached to Civil Affairs within the Peacekeeping mission has been created at the end of 2015 to focus on the implementation of this mandate. UNEP has been requested for advice on the TOR of the position and to identify potential candidates from its roster of experts, including consideration of an internal secondment.

Outcome

The Security Council has recently mandated MINUSCA to support the CAR authorities to develop a nationally owned strategy to tackle the illicit exploitation and trafficking networks of natural resources

which continue to fund and supply armed groups. This may be loosely related to the broad work carried out by UNEP. a P5 'natural resources expert' starting in budget year 2016.

14. Democratic Republic of Congo

Output

In late 2014, the Special Representative of the Secretary General (SRSG) Martin Kobler requested UNEP to conduct an analysis of the illegal exploitation and trade in natural resources benefitting both armed groups as well as organised criminal groups. The analysis would inform SRSG Kobler's report to the UN Security Council debate in March 2015. The ECP team partnered with the Norwegian Center for Global Analysis in conducting the work. The study released in February 2015 found that MONUSCO is no longer dealing with a political insurgency but mainly facing criminal groups involved in well organised large scale smuggling and laundering operations. The networks of these criminal groups are well embedded in the DRC and neighbouring countries. The report found that the market value of illegal natural resource exploitation and environmental crime in eastern DRC is valued at over USD 1.25 billion per year.

The report recommended that MONUSCO modify its approach by tackling environmental crime as one of the key conflict drivers, with an expanded focus to include criminal networks. A request was made by the Extractive Industry Transparency Initiative secretariat in Kinshasa for UNEP to begin work on a new phase including the MAP-X initiative.

Outcome

Many of the findings and underlying research conducted for the report helped shape the renewal of the MONUSCO mandate in Security Council Resolution 2211 of March 2015.

DRC has been identified as a suitable pilot country for testing the MAP-X initiative due to the pioneering transparency work conducted to date. Furthermore, the numerous ongoing transparency themes such as contract disclosure, beneficial ownership, production figures, Artisanal and Small Scale Mining (ASM) and commercial forestry are of interest to assess the full range of functions that could be offered by MAP-X. However, for the MAP-X initiative to be successful it must be designed and deployed in a manner that is tailored made to local needs, owned by stakeholders, and can reinforce existing processes rather than duplicate them. UNEP, the World Bank and the EITI deployed a joint mission to DRC in October to consult 60 stakeholders from the EITI Multi-stakeholder Group on how MAP-X could be field tested and deployed to support ongoing processes.

15. Mali

Output

The Multidimensional Integrated Stabilisation Mission in Mali (MINUSMA), authorised in 2013, received technical expertise from UNEP in June 2013 on a range of topics, including environmental assessment, environmental management, camp design, waste management, water use and energy generation.

Outcome

UNEP's recommendations were integrated into an environmental action plan by a full-time environmental environmental advisor, appointed by MINUSMA. The environmental advisor was responsible

for overseeing the implementation of the recommendations by UNEP and reporting to the Security Council on compliance with the mandate. Actions to mitigate priority environmental risks are underway, and UNEP stands ready to provide further assistance as needed.

16. Somalia

Output

The insecurity in Somalia is directly linked to the control of natural resources by armed groups or businesses. It was estimated that every year the sale of charcoal provided USD 15 million to finance their operations. In response to charcoal being used as a conflict resource, the UN Security Council banned export and import of charcoal from Somalia. In 2013, the UN sanctions committee requested UNEP to advise on best alternatives to deal with confiscated charcoal stocks by member states. UNEP provided options for the utilisation or destruction of Somali charcoal, taking into consideration cost and environmental implications.

Outcome

These recommendations were further translated by the Security Council into a formal guidance note for countries.

17. Nigeria

Output

When the government started a reconciliation process between the local communities and Shell, UNEP was requested to produce an independent environmental assessment of Ogoniland using a scientific field-based methodology, supported by environmental diplomacy tools and techniques. The work began with an independent technical assessment of the oil contamination in Ogoniland in order to provide a common and impartial information base to all parties. The assessment, released in 2011, was the largest and most technically complex ever conducted by UNEP.

Over a 14-month period of active field work, the UNEP team examined more than 200 locations, surveyed 122 kilometers of pipeline rights of way, reviewed more than 5,000 medical records and engaged over 23,000 people at local community meetings. The assessment process itself was an excellent example of environmental diplomacy in practice, using all of the lessons learned from the ECP evidence base and policy reports. Not only did it have a strict technical focus building on UNEP's neutrality, but the very data collection and sampling process was used to engage stakeholders and build confidence in the overall reconciliation effort.

Outcome

The assessment was used to advance the dialogue between stakeholders on an appropriate clean-up programme in the area. Since 2014, a number of meetings have been held between UNEP, the Ogoni community, Shell and the government to move the clean-up negotiations forward. High-level environmental diplomacy support has been provided by Eric Solheim, the former Norwegian Minister for Development Cooperation & Environment, and current chair of the OECD Development Assistance Committee.

The process reached a critical political milestone following the election of President Buhari in April 2015. One of the President's key commitments during his first 100 days in office is to initiate the clean-

up of oil contaminated sites across Nigeria and to implement the recommendations of the UNEP report. Negotiating parties have agreed on a one billion dollar roadmap for the clean-up programme, and are currently discussing the immediate next steps.

The stakeholder meeting in Abuja on 28-29 July 2015 reached several key decisions, including;

1. The oil companies represented in SPDC Joint Venture (Shell, Total, Agip and NAPIMS – representing the government) will, based on a pro rata scheme, pay US 900 million during an estimated implementation period of 5 years. The remaining US 100 million will be covered by the refinery (US 50 million) and the indigenous / local operator in Ogoniland (US 50 million). This reference to an indigenous / local operator in Ogoniland is based on the Gazette for HYPREP of July 2014 and will need to be clarified. The largest share should come from the government, based on the pro rata scheme.
2. A concern for the contributing oil companies has been the lack of a trust-worthy and transparent trust fund management. The UN system proposed to establish a tailor-made UN Trust Fund for this purpose. While other stakeholders welcomed this idea, it was rejected by the Government. This proposed solution is therefore to establish an escrow account or a ‘special purpose vehicle’, which can be compared to an internal trust fund with the oil companies. This escrow account or ‘special purpose vehicle’ would be supervised by a board of trustees.
3. The inauguration of the Trust Fund has not yet taken place but based on latest information from Abuja, it is planned for the first half of 2016..

In addition to these direct outcomes at the national level, the work in Nigeria also catalyzed a new partnership between UNEP and Norway’s Oil for Development (OfD) programme that will focus on environmental safeguards and capacity building for the 13 priority client countries served by the OfD programme.

18. Haiti

Output

During 2012-2013, ECP and the UNEP team in Haiti worked with both governments, exploring challenges and opportunities for cooperation through field visits and analysis of the detrimental activities undertaken by local populations along the border between Haiti and the Dominican Republic.

The final report “Haiti-Dominican Republic: Environmental Challenges in the Border Zone” (2013) highlighted a range of challenges along the border zone. The report was published in French, Spanish and English and signed by Ministers of the Environment from both countries.

Outcome

The recommendations in the report were supported by both governments and it became an important technical foundation for a new bi-national peace and development programme, developed by the UN country teams in both countries. Donor fund raising to support the bilateral plan is underway. There was not sufficient funding available for UNEP to take the recommendations forward, but the project was eventually integrated into the bilateral plan with the hope that other funding sources would be made available. This second round of fund raising is still ongoing.

20. The Sahel

Output

In 2009 ECP partnered with IOM, OCHA, UNU, and CILSS to investigate the implications of climate change for livelihoods, conflict and migration across the Sahel region. The resulting report “Livelihood Security: Climate Change, Migration and Conflict in the Sahel” (2011) identifies 19 hotspots where climatic changes have been most severe over the past 20 years. It concludes that climate change effects on resource availability have already led to migration, and increased competition over scarce resources in some of the hotspots. The report recommends that regional cooperation is one important measure for diffusing tensions, managing the risks, and curtailing the possibility of conflicts, especially given the highly mobile pastoral groups that frequently move across borders.

Outcome

The study has had an important impact in development and security planning for the region. Many of the recommendations were included within the UN’s Regional Integrated Strategy for the Sahel adopted in 2014.

Perhaps more importantly, the study sparked the interest of the European Union and the Instrument contributing to Stability and Peace. In particular, as suggested by ECP during the consultation process for the instrument, one of the key objectives of its Article 5, focusing on global, trans-regional and emerging threats, is to address the “global and trans-regional effects of climate change having a potentially destabilising impact on peace and security”.

This eventually led UNEP and the EU to develop a climate change and security partnership covering the period 2016-2019 with an initial budget of EUR 5.4 million. At the national level, UNEP will develop and deploy a state-of-the-art methodology to help stakeholders map and prioritise climate change and security hotspots in two countries. UNEP will then help key national stakeholders identify the most suitable combination of physical and institutional investments to reduce specific security threats.

At the local level, UNEP will work directly with communities to pilot test innovative approaches to measuring and building resilience to a range of different climate change and security risks. A combination of different approaches to build resilience will be tested ranging from ecosystem restoration and improved resource management, to the development of social capital and early warning mechanisms, to training, monitoring and local institution building. UNEP will either provide additional funding to help existing climate change adaptation projects understand and address security risks, or help scale-up existing good practices.

Findings and best practices will be documented and communicated to the relevant global and trans-regional institutions to improve the knowledge base and further inform more effective field-level policies and programmes. This will ensure the partnership has a global reach and influence beyond the boundaries of the pilot countries.

21. Support to the UN Secretariat and Office of the UN Secretary General

In addition to this list of specific outputs, UNEP also provided systematic support to the UN secretariat in New York and to the Office of the Secretary General. In particular, this covered:

- Annual drafting of the SG’s message for the International Day Preventing the Exploitation of the Environment during War and Armed Conflict on 6 November
- Sanctions effectiveness working group

- Open Working Group for the Sustainable Development Goals
- UNDG working group on transitions
- UN Task Team on Conflict Prevention
- Other meetings and high-level processes on peace and security as required

This has not been scored as it represents an input into a highly exposed policy area. Comments received during the visit to New York demonstrate that, with continued support by member states, the environment, natural resources and conflict nexus is increasingly accepted as an element of policy making for the UN.

Appendix II: Evaluation Inputs

Annex 1: Project Identification Table

ECP PHASE 2

| | | | |
|--|---|---|--|
| UNEP PIMS ID: | 632 | IMIS numbers: | |
| Sub-programme: | Disasters and Conflicts | Expected Accomplishment(s): | EA(a) |
| UNEP approval date: | 11/01/2010 | PoW Output(s): | 2010-2011: #211, #212, #213, #235 2012-2013: #211, #212, #215, #231 2014-2015: #211 |
| Expected Start Date: | 01/04/2010 | Actual start date: | 01/04/2010 |
| Planned completion date: | 31/12/2011 | Actual completion date: | 31/12/2014 |
| Planned project budget at approval: | US\$ 9,980,725 | Total expenditures reported as of [date]: | US\$ 8,384,854 |
| Planned Environment Fund (EF) allocation: | US\$876,271 | Actual EF expenditures reported as of [date]: | US\$866,209 |
| Planned Extra-budgetary financing (XBF): | US\$9,104,454 | Actual XBF expenditures reported as of [date]: | US\$7,518,645 |
| XBF secured: | US\$ 4,080,470 (Finland) US\$ 232,256 (EU) US\$ 848,190 (Norway) US\$ 417,987 (Norway) US\$ 438,394 (Norway) US\$ 482,818 (UN DAO) US\$ 802,895 (UNDP) US\$ 91,836 (DPKO) US\$ 123,799 (DPKO) | Leveraged financing: | US\$ 100,000 (UN SSC) US\$ 1,430,826 (ELI) US\$ 50,000 (UNDP) US\$ 108,250 (UNITAR) |
| First Disbursement: | | Date of financial closure: | |
| No. of revisions: | 7 | Date of last revision: | 07/05/2014 |
| Mid-term review/ evaluation (planned date): | N/A | Mid-term review/ evaluation (actual date): | June 2011 |
| Terminal Evaluation (actual date): | April 2016 | Date of last Steering Committee meeting: | |

ECP PHASE 3

| | | | |
|--|--|---|--|
| UNEP PIMS ID: | 1552 | IMIS numbers: | |
| Sub-programme: | Disasters and Conflicts | Expected Accomplishment(s): | EA(a) |
| UNEP approval date: | 10/10/2012 | PoW Output(s): | 2012-2013: #211, #212, #215 2014-2015: #211 |
| Expected Start Date: | 01/10/2012 | Actual start date: | 01/08/2012 |
| Planned completion date: | 31/07/2015 | Actual completion date: | 31/12/2016 |
| Planned project budget at approval: | US\$6,463,600 | Total expenditures reported as of [date]: | US\$ 7,018,436 |
| Planned Environment Fund (EF) allocation: | US\$825,000 | Actual EF expenditures reported as of [date]: | US\$835,000 |
| Planned Extra-budgetary financing (XBF): | US\$5,638,600 | Actual XBF expenditures reported as of [date]: | US\$6,183,436 |
| XBF secured: | US\$ 4,017,016 (Finland) US\$ 99,842 (CPL) US\$ 250,000 (TF/UNDG) US\$ 75,000 (TF/WB) US\$ 558,000 (UNDA) US\$ 285,577 (Norway) US\$ 285,500 (Norway) US\$ 250,000 (Norway) US\$ 362,501 (Concern) | Leveraged financing: | US\$ 70,000 (UN WOMEN) US\$ 150,000 (UNDP) US\$ 35,000 (UN DPA) US\$ 50,000 (DPKO) US\$ 50,000 (DPKO) US\$ 236,803 (ELI) US\$ 325,000 (World Bank) |
| First Disbursement: | | | |
| No. of revisions: | 4 | Date of latest revision: | 21/04/2016 |
| Mid-term review/ evaluation (planned date): | N/A | Mid-term review/ evaluation (actual date): | April 2016 |

Annex 2: List of Persons Met and of Survey Respondents

| Name | Position | Organisation |
|-----------------------------|---|--|
| 1 Agborsangaya-Fiteu, Ozong | Senior Operations Officer, Fragility, Conflict Unit | World Bank |
| 2 Azad, Najeebullah | Country Programme Assistant, Afghanistan | UNEP |
| 3 Bashari, Mujtaba | Biodiversity Expert | UNEP |
| 4 Blazevic, Ivan | Programme Officer | UNEP |
| 5 Boyer, Glaucia | Policy and Partnerships Specialist | UNDP |
| 6 Briggs, Barnaby | Formerly Head of Social Performance | Shell |
| 7 Brinkman, Henk-Jan | Chief, Policy Planning and Application | PBSO |
| 8 Brissette, Isabelle | Manager, Risk and Human Rights, Group Security | Rio Tinto |
| 9 Brooking, Steve | Chief of Staff a.i. | UNAMA |
| 10 Brown, Michael | Consultant | UNEP |
| 11 Brown, Oli | Senior Programme Officer, Disasters and Conflict | UNEP Environmental Law Inst. |
| 12 Bruch, Carl | Senior Attorney | DPKO |
| 13 Burihabwa, Ntagahoraho | Policy and Planning Officer | UNEP |
| 14 Carbon, Michael | Senior Evaluation Officer | UNEP |
| 15 Cherchari, Marie | First Secretary | Belgium Embassy |
| 16 Conca, Ken | Professor | American University |
| 17 Dawes, Marcia | Policy Planning Officer | OCHA |
| 18 Decorte, Filiep | Programme Officer | Habitat |
| 19 Dilger, Robert | Programme Director | GIZ Crisis Management Initiative, Finland |
| 20 Eronen, Oskari | Senior Manager | University of Port Harcourt |
| 21 Fakae, Barineme | Professor | Belgium Embassy |
| 22 Frankinet, Bénédicte | Ambassador | UNMISS |
| 23 Gryzbowski, Fernando | Environmental Engineer Member of Parliament, former Minister of Development at the Ministry of Foreign Affairs | Finland |
| 24 Haavisto, Pekka | Programme Officer | UNEP |
| 25 Halle, Silja | Civil Affairs, Environment | DPKO UN Department for Political Affairs |
| 26 Harvey, Joanna | Chief, Policy Planning and Guidance | ATR Consulting |
| 27 Jackson, Stephen | Managing Director | UNEP |
| 28 Jasim-Falher, Anne | Manager of ECP | Estelle Levin Ltd |
| 29 Jensen, David | Researcher | Finnish Ministry of Foreign Affairs University of Port Harcourt |
| 30 Jorns, Angela | Ambassador, Mediterranean, Middle East, North Africa | DPKO Crisis Management Initiative, Finland |
| 31 Jortikka-Laitinen, Tiina | Professor | University of Geneva |
| 32 Kakulu, Iyeneme | Policy and Planning Officer | UNEP |
| 33 Kontogeorgos, Tomas | Senior Manager, Lybia | Columbia University |
| 34 Krekshi, El, Maruan | PhD Candidate | OCHA |
| 35 Lacayo, Martin | Liaison Officer, Post-Conflict Issues | Government of Afghanistan |
| 36 Lehtonen, Matti | Professor | UNEP |
| 37 Levy, Marc | Humanitarian Affairs Officer Deputy Director, National Environment Protection Agency | UNEP |
| 38 Mansouri Khorzani, Neda | Energy and Engineering Programme Manager, Post-Conflict and Disaster Branch | UNEP |
| 39 Modaqiq, Wali | Coordination Officer | UNDP |
| 40 Morton, Andrew | | |
| 41 Muzaffary, Fazlur | | |

| | | | |
|----|-------------------------|---|-------------------------------------|
| 42 | Pachoud, Gerald | Programme Officer, on secondment to the UN | Former Ministry of Foreign Affairs |
| 43 | Partow, Hassan | Senior Programme Officer | UNEP |
| 44 | Pretorius, Corli | Partnerships Coordination Officer | UNEP |
| 45 | Pyykkö, Juha | Director, Unit for Int. Environmental Policy | Finnish Ministry of Foreign Affairs |
| 46 | Ruoho, Elina | Administrator, Unit for Int. Environmental Policy | Finnish Ministry of Foreign Affairs |
| 47 | Seirstad, Dag | Senior Extractives Expert | UNEP |
| 48 | Rajadhyaksha, Joya | Partnerships Coordination Officer | DPKO/DFS |
| 49 | Scanlon, Andrew | Country Manager, Afghanistan | UNEP |
| 50 | Sherzad, Mohammad Haris | Nat Climate Change Adaptation Specialist, Afghanistan | UNEP |
| 51 | Schreuder, Johannes | Policy Officer | PBSO |
| 52 | Senzanonna, Daniele | Policy Officer | European Commission |
| 53 | Siappoush, Nikki | Political Affairs Officer | UN-DPA |
| 54 | Sidorowicz, Sergiusz | Policy and Planning Officer | DPKO |
| 55 | Slotte, Henrik | Chief, Post-Conflict and Disaster Management Branch | UNEP |
| 56 | Solheim, Erik | Director, OECD Development Aid Comm, Ex Minister | OECD |
| 57 | Tahirzada, Zabiullah | Deputy Programme Director | GIZ |
| 58 | Thummarukudy, Muralee | Senior Programme Officer | UNEP |
| 59 | Unruh, John | Associate Professor | McGill University |
| 60 | Upla, Pauliina | Junior Professional Officer | UNEP |
| 61 | Walters, Todd | Executive Director | Peace Parks Expeditions |
| 62 | Wickramasuriya, Nayela | Head of External Affairs | Turquoise Mountain |
| 63 | Zaidi, Asif | PCDMB Operations Manager | UNEP |

Annex 3: Evaluation Programme of Work

The present schedule proposes approximate dates which have been discussed with ECP and some programme staff. It represents an aggressive planning aiming to finish the evaluation in March.

1. 1 July to 30 November: Formulation of the Inception Report and Preliminary Findings Note
2. 30 November to 4 December: visit to New York and Washington DC (done).
3. 15 January: preparation of subsequent visits, sending out of survey electronically to key stakeholders.
4. 13 January to 15 January: visit to Geneva to participate in MAP-X discussions with the World Bank, conduct of in-depth interviews.
5. 25 January to 29 January: visit to Afghanistan.
6. 2 to 12 February: follow-up interviews in Paris and remotely.
7. 15 to 19 February: visit to Helsinki for final validation of policy evidence.
8. 7 March: submission of draft report.
9. 9 March: evaluation debriefing in Geneva
10. 30 March: end of the evaluation.

Annex 4. Evaluation Ratings

The Evaluation will provide individual ratings for the evaluation criteria described in section II.4 of these TORs. Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In this Annex, ratings are presented together in a table, with a brief justification, cross-referenced to the findings in the main body of the report.

| Criterion | Summary Assessment | Rating |
|---|---|--------|
| A. Strategic relevance | Identified and expanded on issues of relevance to environmental needs and UNEP mandates | HS |
| B. Achievement of outputs | All outputs were achieved, some were delayed, quality was consistently high | HS / S |
| C. Effectiveness: Attainment of programme objectives and results | The ability to influence key actors and policies was disproportionate to the resources available | S |
| 1. Achievement of direct outcomes | Most outcomes were achieved to the greatest degree possible, although the sphere of influence of UNEP was limited in some areas | S |
| 2. Likelihood of impact | Impact at the policy and institutional level is visible during the life of the programme. | S |
| 3. Achievement of programme goal and planned objectives | The programme goals contained in the documentation and represented in the TOR were not all achieved, but other valuable results were | MS |
| D. Sustainability and replication | | HL |
| 1. Financial | The programme continues to be one of UNEP's most successful at extra-budgetary fundraising and leverages the resources of other organisations | HL |
| 2. Socio-political | The definition of the need for ECP outputs is increasing as mandates shift and international interest increases | HL |
| 3. Institutional framework | ECP is fully integrated within PCDMB and is well supported at the highest levels of UNEP | HL |
| 4. Environmental | The programme contributes through the work of a large number of organisations to better environmental safeguards | HL |
| 5. Catalytic role and replication | The programme is essentially catalytic in its approach with other partners. | HS |
| E. Efficiency | The drive and very embedded nature of the teams guarantees a good level of efficiency. | HS |
| F. Factors affecting programme performance | | |
| 1. Preparation and readiness | The activities are mutually supportive and synergistic, staff retention is | HS |

| Criterion | Summary Assessment | Rating |
|--|---|--------|
| A. Strategic relevance | Identified and expanded on issues of relevance to environmental needs and UNEP mandates | HS |
| B. Achievement of outputs | All outputs were achieved, some were delayed, quality was consistently high | HS / S |
| | high, strategic planning good | |
| 2. Programme implementation and management | The high number of activities may constrain the degree to which implementation is pushed through | S |
| 3. Stakeholders participation and public awareness | Stakeholder participation is high, but the visibility of ECP, PCDMB and UNEP is more limited outside the first circle | S |
| 4. Country ownership and driven-ness | The fickle nature of governmental policy in relation to the environment affects performance | MS |
| 5. Financial planning and management | The weight of UN procedures is a constraint on an otherwise very well managed programme | S |
| 6. UNEP supervision and backstopping | UNEP is framing this programme which is however isolated from the rest of the organisation | MS |
| 7. Monitoring and Evaluation | M&E methods follow the design models of donor frames, and do not align with the very adaptive nature of management | MS |
| a. M&E Design | Limited to log frames and to narrative notes | MS |
| b. Budgeting and funding for M&E activities | No information | |
| c. M&E pPlan Implementation | This aspect was part of compliance but not fully prioritised | MS |
| Overall programme rating | | HS |

The Terms of Reference stipulate the following methodological points:

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

Ratings on sustainability. All the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will be the lowest rating on the separate dimensions.

Overall project rating. The overall project rating should consider parameters ‘A-E’ as being the most important with ‘C’ and ‘D’ in particular being very important.

Annex 5: General Bibliography

- “Assessing and Restoring Natural Resources in Post-Conflict Peacebuilding”, David Jensen and Steve Lonergan Editors, Earthscan 2012
- “Assessment of Energy, Water and Waste Reduction Options for Mogadishu AMISOM Camp and Support Base in Mombasa”, UNEP, DFS, UNSOA, 2010
- “Assessment of Environmental ‘Hot Spots’ in Iraq”, UNEP, 2005
- “Ending Wars, Consolidating Peace: Economic Perspectives”, Mats Berdal and Achim Wennmann ed., Routledge 2010.
- “Blood Oil: Tyrants, Violence, and the Rules that Run the World”, Leif Wenar, OUP, 2016.
- “From Conflict to Peace-Building, The Role of Natural Resources and the Environment”, UNEP, 2009
- “Fuelling War: Natural Resources and Armed Conflict”, Philippe Le Billon, Routledge, March 2005.
- “Greed and Grievance: Economic Agendas in Civil Wars”, Mats Berdal and David Malone ed. Lynne Rienner 2000
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- “Land and Post-Conflict Peacebuilding”, John Unruh and Rhodri Williams, Earthscan 2013
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- “Livelihoods, Natural Resources and Post-Conflict Peacebuilding”, Helen Young and Lisa Goldman, Earthscan 2015
- “Local Business, Local Peace: the Peacebuilding Potential of the Domestic Private Sector”, Jessica Banfield, Canan Kündüz and Nick Killick eds, International Alert 2006.
- “Natural Resources and Conflict – A Guide for Mediation Practitioners”, UNEP, 2015
- “Natural Resource Management and Peacebuilding in Afghanistan”, United Nations Country Team in Afghanistan, 2013

“Oil Wars” Mary Kaldor, Terry Lynn Karl, Yahia Said eds. Pluto Press 2007

“Profiting from Peace: Managing the Resource Dimensions of Civil War”, Karen Ballentine and Heiko Nitzschke ed. Lynne Rienner 2005.

“Promoting Ecosystems for Disaster Risk Reduction and Climate Change Adaptation – Discussion Paper”, UNEP, 2015

“Protecting the Environment During Armed Conflict – an Inventory and Analysis of International Law”, UNEP, 2009

“Sierra Leone, Environment, Conflict and Peace-Building Assessment”, UNEP, 2010

“The Role of Natural Resources in Disarmament, Demobilisation and Reintegration – Addressing Risks, Seizing Opportunities”, UNEP, UNDP, 2013

“The Ultimate Weapon is No Weapon: Human Security and the New Rules of War and Peace”, Shannon Beebe and Mary Kaldor, Public Affairs 2010

“Water and Post-Conflict Peacebuilding”, Erika Weinthal and Mikiyasu Nakayama, Earthscan 2013

“Women and Natural Resources: Unlocking the Peace-Building Potential”, UNEP, UN Women, UN-PBSO, UNDP, 2013

Annex 5: UNEP Bibliography

A. Evidence-based Policy Reports (40-100 pages):

1. From Conflict to Peacebuilding: The Role of Natural Resources and the Environment (Joint UNEP and PBSO). Published in February 2009.
http://postconflict.unep.ch/publications/pcdmb_policy_01.pdf
2. Protecting the Environment During Armed Conflict: An Inventory and Analysis of International Law (Joint UNEP and ICRC). Published in November 2009.
http://postconflict.unep.ch/publications/int_law.pdf
3. Greening the Blue Helmets: Environment, Natural Resources and UN Peacekeeping Operations (Joint UNEP, DPKO and DFS). Published in May 2012.
http://postconflict.unep.ch/publications/UNEP_greening_blue_helmets.pdf
4. Women and Natural Resources: Unlocking the Peacebuilding Potential (Joint UNEP, UN-Women, UNDP and PBSO). Published in November 2013.
http://postconflict.unep.ch/publications/UNEP_UN-Women_PBSO_UNDP_gender_NRM_peacebuilding_report.pdf
5. Sustaining Peace and Security: The Role of Natural Resources in Disarmament, Demobilization and Reintegration Programmes (Joint UNEP and UNDP). Published in December 2013.
http://postconflict.unep.ch/publications/UNEP_UNDP_NRM_DDR.pdf
6. Natural Resources and Conflict: A Guide for Mediation Practitioners (Joint UNEP and DPA). Published in February 2015.
http://postconflict.unep.ch/publications/UNDPA_UNEP_NRC_Mediation_full.pdf

B. Books and Case Studies from the Field (200-400 pages):

1. High-Value Natural Resources and Post-Conflict Peacebuilding. Edited by Päivi Lujala and Siri Aas Rustad. (UNEP and ELI). 30 case studies, Earthscan, Published in January 2012.
<http://www.environmentalpeacebuilding.org/publications/books/high-value-natural-resources-and-post-conflict-peacebuilding/>
2. Assessing and Restoring Natural Resources in Post-Conflict Peacebuilding. Edited by David Jensen and Steve Lonergan. (UNEP and ELI). 22 case studies, Earthscan, Published in October 2012.
<http://www.environmentalpeacebuilding.org/publications/books/assessing-and-restoring-natural-resources-in-post-conflict-peacebuilding/>
3. Land and Post-Conflict Peacebuilding. Edited by Jon Unruh and Rhodri Williams. (UNEP and ELI). 21 case studies, Earthscan, Published in May 2013.
<http://www.environmentalpeacebuilding.org/publications/books/land-and-post-conflict-peacebuilding/>
4. Water and Post-Conflict Peacebuilding. Edited by Jessica Troell, Mikiyasu Nakayama, and Erika Weinthal. (UNEP and ELI). 19 case studies, Earthscan, Published in February 2014.

<http://www.environmentalpeacebuilding.org/publications/books/water-and-post-conflict-peacebuilding/>

5. Livelihoods and Natural Resources in Post-Conflict Peacebuilding. Edited by Helen Young and Lisa Goldman. (UNEP and ELI). 19 case studies, Earthscan, Launch date: Q2 2015.

<http://www.environmentalpeacebuilding.org/publications/books/livelihoods-natural-resources-and-post-conflict-peacebuilding/>

6. Governance, Natural Resources, and Post-Conflict Peacebuilding. Edited by Carl Bruch, Carroll Muffett, and Sandy Nichols. (UNEP and ELI). 38 case studies, Earthscan, Launch date: Q2 2015.

<http://www.environmentalpeacebuilding.org/publications/books/governance-natural-resources-and-post-conflict-peacebuilding/>

C. UN Wide Guidance Notes and Toolkits (30-60 pages):

1. UN Development Group: Guidance note on addressing natural resources in post-conflict transitional settings (UNDG with UNEP). Published in January 2013.

http://postconflict.unep.ch/publications/UNDG-ECHA_NRM_guidance_Jan2013.pdf

2. UN-EU Guidance note: Managing and preventing conflicts over renewable resources (UNEP with EU-UN Partnership on Land, Natural Resources and Conflict). Published in September 2012.

http://postconflict.unep.ch/publications/GN_Renewable_Consultation.pdf

3. UN-EU Guidance note: Managing and preventing conflicts over extractive resources (DPA and EU-UN Partnership on Land, Natural Resources and Conflict). Published in September 2012.

http://postconflict.unep.ch/publications/GN_Extractive_Consultation.pdf

4. UN-EU Guidance note: Managing and preventing conflicts over land (UN-Habitat and EU-UN Partnership on Land, Natural Resources and Conflict). Published in September 2012.

http://postconflict.unep.ch/publications/GN_Land_Consultation.pdf

5. UN-EU Guidance note: Strengthening capacity for conflict sensitive natural resource management (UNDP and EU-UN Partnership on Land, Natural Resources and Conflict). Published in September 2012.

http://postconflict.unep.ch/publications/GN_Capacity_Consultation.pdf

6. UN-EU Guidance note: Conflict Prevention in Resource Rich Economies (UNDP and EU-UN Partnership on Land, Natural Resources and Conflict). Published in September 2012.

<http://www.unep.org/disastersandconflicts/Portals/155/dnc/docs/ecp/land%20toolkit.pdf>

7. UN-EU-World Bank Discussion paper: Preventing Conflict in Resource-Rich Countries: The Extractive Industry Value Chain as a Framework for Conflict Prevention. Published June 2015.

<http://www.un.org/en/land-natural-resources-conflict/pdfs/UN-WB%20Value%20Chain,%20extractive%20and%20conflict%20prevention%20discussion%20paper.pdf>

D. Field Assessments (60-100 pages):

1. Sierra Leone: Environment, Conflict and Peacebuilding. (UNEP). Published in 2010.

http://postconflict.unep.ch/publications/Sierra_Leone.pdf

2. Assessment of Energy, Water and Waste Reduction Options for the Proposed AMISOM HQ Camp in Mogadishu, Somalia and the Support Base in Mombasa, Kenya. Published in February 2010.

http://postconflict.unep.ch/publications/unep_dfs_unsoa.pdf

3. DR Congo: Post-Conflict Environmental Assessment (UNEP). Chapter on environment, conflict and peacebuilding. Published in October 2011.

<http://www.unep.org/drcongo/>

4. Rwanda: From Post-Conflict to Environmentally Sustainable Development (UNEP). Chapter on environment, conflict and peacebuilding. Published in November 2011.

<http://www.unep.org/disastersandconflicts/Introduction/PostCrisisEnvironmentalAssessment/Rwanda/tabid/55739/Default.aspx>

5. Livelihood Security: Climate Change, Migration and Conflict in the Sahel (UNEP, IOM, OCHA, UNU, CILSS). Published in November 2011. http://www.unep.org/pdf/UNEP_Sahel_EN.pdf

6. Natural Resource Management and Peacebuilding in Afghanistan (UNEP and EU-UN Partnership on Land, Natural Resources and Conflict). Published in May 2013.

http://www.unep.org/disastersandconflicts/portals/155/countries/Afghanistan/pdf/UNEP_Afghanistan_NRM.pdf

7. Haiti and Dominican Republic: Environmental Challenges in the Border Zone (UNEP and UNDP). Published in June 2013.

http://postconflict.unep.ch/publications/UNEP_Haiti-DomRep_border_zone_EN.pdf

8. Experts' background report on Illegal Exploitation and Trade in Natural Resources Benefitting Organized Criminal Groups and Recommendations on MONUSCO's Role in Fostering Stability And Peace in Eastern DR Congo (2015).

http://postconflict.unep.ch/publications/UNEP_DRCongo_MONUSCO_OSESG_final_report.pdf

Appendix III: Terms of Reference

Objective and Scope of the Evaluation

This evaluation exercise combines a Terminal Evaluation of the ECP Phase 2, which is undertaken after completion of the phase, and a Mid-term Evaluation of the ECP Phase 3, undertaken approximately 1.5 years before expected completion of the phase. The TORs will further refer to this combined evaluation exercise as “the Evaluation”. The Evaluation will assess programme performance to date (in terms of relevance, effectiveness and efficiency), and determine the likelihood of the programme achieving its intended outcomes and impacts, including their sustainability. It will also assess whether phase 3 of the programme is on track, what problems or challenges the programme is encountering, and what corrective actions are required. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote programmatic and operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and the main programme partners. Therefore, the evaluation will identify lessons of programmatic and operational relevance for future project and programme formulation and implementation.

It will focus on the following sets of **key questions**, based on the programme’s intended outcomes, which may be expanded by the evaluation consultant as deemed appropriate:

Were the programme objectives achieved and/or are expected to be achieved? Did the programme effectively respond to the evolving needs of UN, national and regional partners? To what extent were the programme outputs produced relevant and timely, credible, legitimate and well communicated to influence policy makers and other key audiences at the global and national levels?

Has the programme strengthened UNEP’s role and capacity to position the environment within the peace and security policies and operations of the UN? Is UNEP better positioned to support the UN system to address conflicts over the environment and natural resources and partner with key UN departments and agencies?

Has the programme contributed to the overall goal of changing how the UN system understands and addresses the role of natural resources and the environment in conflict and peacebuilding by catalysing UN system awareness about the environmental and natural resource aspects of conflict, systematically improving the way the UN system understands and addresses these issues? Has the programme created new and continuing processes, institutions or changes in thinking that allow UN system to better understand and address the role of natural resources and the environment in conflict and peacebuilding?

Has the programme built an evidence base and established a community of practice that can continue to develop largely independently?

Has the programme helped to mobilize additional programmes and financial resources for dedicated country-level programmes on natural resources, conflict and peacebuilding?

Is there sufficient demand for UNEP to continue with the overall programme during the period 2016-2018 and how should this phase be structured? To what extent can the programme contribute to supporting the implementation of the goal 16 of the new Post-2015 Sustainable Development Goals?

Main Audiences of the Evaluation

The Evaluation will be targeted primarily at the ECP programme team, UNEP senior managers (Director of DEPI, Head of the PCDMB) and the Disasters and Conflicts Sub-programme Coordina-

tor. Another important audience for the Evaluation will be the main partners of the programme including the main donors (DPKO/DFS, UN DPA, Finland, Norway, EU, ELI, IcSP etc.).

Secondary audiences of the evaluation will be governments, academia, international organizations and other actors active in the field of environmental peacebuilding.

Overall Approach and Methods

The Evaluation of the Programme will be conducted by one independent, senior consultant under the overall responsibility and management of the UNEP Evaluation Office in consultation with the ECP Programme Manager and the Sub-programme Coordinator of the Disasters and Conflicts Sub-programme.

It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine programme achievements against the expected outputs, outcomes and impacts. The consultant should maintain close communication with the programme team and promote information exchange throughout the evaluation process in order to increase their (and other stakeholder) ownership of the evaluation findings.

The findings of the evaluation will be based on the following:

(a) **A desk review of:**

Relevant background documentation, such as UN policy documents, UNEP publications predating the ECP programme, ECP phase 1 publications etc.

Programme design documents (including minutes of the Project Review Committee meetings); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplements and Annexes), the logical framework and its budget;

Programme reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;

Programme outputs: numerous publications supported by the programme

Mid-Term Review of phase 2 of the programme and Working Papers and Country Case Studies prepared for the Disasters and Conflicts Sub-programme Evaluation.

Interviews (individual or in group) with:

UNEP ECP Programme Manager and other programme staff;

UNEP Fund Management Officers;

Programme partners, including DPKO/DFS, DPA, UN-Habitat, UNDP, EU, ILC, IISD, UNITAR, ELI, Universities of Columbia, Tokyo, McGill, Duke, Maryland and California, NATO;

Donors: Finland, Norway, EU

Other relevant resource persons in UNEP and outside UNEP

Interviews will be conducted in Geneva and via Skype or telephone.

Field visits

The evaluation consultant will visit two post-conflict countries supported by the ECP programme to interview Government officials, the UNCT and other programme partners. The countries will be selected in consultation with PCDMB during the inception phase – based on current political and security conditions. Likely candidates may include Mali (on peacekeeping), Central African Republic (on peacebuilding and peacekeeping), Afghanistan (on peacebuilding) and Haiti (mediation/diplomacy). If security or political conditions are not conducive for field visits, alternative visits to Nairobi and New York will be considered.

Key Evaluation principles

Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different

sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

The Evaluation will assess the programme with respect to a **minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting programme performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and programme monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultant can propose other evaluation criteria as deemed appropriate.

Ratings. All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

Baselines and counterfactuals. In attempting to attribute any outcomes and impacts to the ECP programme, the evaluators should consider the difference between *what has happened with, and what would have happened without, the Programme*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended programme outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the programme. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about programme performance.

The “Why?” Question. As this Evaluation combines both a Terminal Evaluation and a Mid-term Evaluation, attention should be given to identifying implementation challenges and risks to achieving the expected programme objectives and sustainability, as well as to learning lessons from experience. Therefore, the “Why?” question should be at the front of the consultant’s mind all through the evaluation exercise. This means that the consultant needs to go beyond the assessment of “what” the programme performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the programme. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the evaluation consultant to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “where things stand” at the time of evaluation.

Communicating evaluation results. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key programme stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Once the consultant has obtained evaluation findings, lessons and results, the Evaluation Office will share the non-confidential findings and lessons with the key. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

Evaluation criteria

A. Strategic relevance

The evaluation will assess, in retrospect, whether the objectives and implementation strategies of the ECP programme were consistent with global, regional and national environmental issues and needs.

The evaluation will also assess the programme's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of programme approval. UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities (known as Sub-programmes), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the Sub-programmes. The evaluation will assess whether the programme makes a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013 and MTS 2014-2017. The magnitude and extent of any contributions and the causal linkages should be fully described.

The evaluation should assess the programme's alignment / compliance with UNEP's policies and strategies. The evaluation should provide a brief narrative of the following:

1. *Alignment with the Bali Strategic Plan (BSP)*²⁴. The outcomes and achievements of the programme should be briefly discussed in relation to the objectives of the UNEP BSP.
2. *Gender balance*. Ascertain to what extent programme design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance Human Rights (HR) & GE?
3. *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns*. Ascertain to what extent the programme has applied the UN Common Understanding on HRBA. Ascertain if the programme is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
4. *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the programme that could be considered as examples of South-South Cooperation.
5. *Safeguards*. Whether the programme has adequately considered environmental, social and economic risks and established whether they were vigilantly monitored. Was the safeguard management instrument completed and were UNEP environmental, social and economic safeguard requirements complied with?

Based on an analysis of programme stakeholders, the evaluation should assess the relevance of programme interventions to key stakeholder groups.

B. Achievement of Outputs

The evaluation will assess, for each component, the programme's success in producing the programmed outputs and milestones as presented in the Project Logical Frameworks and Project Delivery Plans in the ProDocs, both in quantity and quality, as well as their usefulness and timeliness.

²⁴ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

Briefly explain the reasons behind the success (or failure) of the programme in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of results). If any outputs or milestones were abandoned or added and this was approved through a formal Project Revision, the evaluation should still consider the reasons for changing outputs or milestones and decide how this would affect the evaluation rating.

C. Effectiveness: Attainment of Objectives and Planned Results

The evaluation will assess the extent to which the programme's objectives were effectively achieved or are expected to be achieved.

The **Theory of Change** (ToC) of a project or programme depicts the causal pathways from outputs (goods and services delivered by the programme) through outcomes (changes resulting from the use made by key stakeholders of programme outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required in-between programme outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the programme has a certain level of control) or assumptions (when the programme has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.

The evaluation will reconstruct the ToC of the ECP programme based on a review of programme documentation and stakeholder interviews. The evaluators will be expected to discuss the reconstructed TOC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of drivers and assumptions described in the TOC. This exercise will also enable the evaluation consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during programme implementation).

The assessment of effectiveness will be structured in three sub-sections:

(a) Evaluation of the achievement of outcomes as defined in the reconstructed ToC.

These are the first-level outcomes expected to be achieved as an immediate result of programme outputs. In most cases, they are achieved when programme outputs are *used* by the primary, intended users of the outputs. For this programme, the main question will be to what extent the programme has contributed to the following direct outcomes (tentative list):

Post-conflict countries and fragile states have integrated conflict risks and peacebuilding opportunities from natural resources and the environment into conflict prevention and peacebuilding plans, and these have been implemented through joint programmes and catalytic activities;

UN peace operations have increased the use of resource-efficient practices, technologies and behaviours while reducing the mission's environmental footprint in order to protect health, reduce demands on natural resources and improve operational effectiveness. They also have monitored illegal resource exploitation and trade, and linked DDR programmes to natural resource restoration and management;

Tensions within or between countries over disputed natural resources are reduced while cooperation over their joint management is increased through a tailor-made environmental diplomacy/mediation process using natural resources as platforms;

UN DPA has better defined "Conflict resources" and developed corresponding sanction processes;

The ICRC guidelines for military manuals and instructions on the protection of the environment during armed conflict have been improved due to UNEP technical inputs;

Action has been catalysed and relevant UN policies, guidelines, programmes and training courses have been informed by documented and disseminated best practices in the transparent, equitable and sustainable management of natural resources in fragile States and regions; and

A new discipline of environmental peacebuilding has been catalysed including the development of a global knowledge sharing platform and a community of practice.

(b) **Assessment of the likelihood of impact using a Review of Outcomes to Impacts (ROtI) approach²⁵.**

The evaluation will assess to what extent the programme has to date contributed, and is likely in the future to further contribute, to [intermediate states], and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being. The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (programme documentation relating to Environmental, Social and Economic Safeguards).

(c) **Evaluation of the achievement of the formal programme objectives as presented in the Project Documents for phase 2 and phase 3 (see paragraphs 8-10).**

This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely contribution of the project to the objective.

The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR & GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR & GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

D. Sustainability and upscaling

Sustainability is understood as the probability of continued long-term programme-derived results and impacts after programme funding and assistance ends. The Evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the programme while others will include contextual circumstances or developments that are not under control of the programme. The evaluation will ascertain that the programme has put in place an appropriate exit strategy and measures to mitigate risks to sustainability. The evaluation should also verify to what extent follow-up work has been initiated and how programme results will be sustained and enhanced over

²⁵ Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

Four aspects of sustainability will be addressed:

Socio-political sustainability. Are there any social or political factors that may influence positively or negatively the sustenance of programme results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for programme results to be sustained? Are there sufficient awareness, interest, commitment and incentives to use and continue using programme outputs after programme support has ended? Did the programme successfully hand over its outputs to ensure continued dissemination and use? Was capacity building conducted for key stakeholders in this regard? How did the programme promote positive sustainable changes in attitudes, behaviours and power relations between stakeholders? Were HR & GE integrated in the programme in a manner that would increase the likelihood of sustainability of programme results?

Financial resources. To what extent are the continuation of programme results and the eventual impact of the programme dependent on financial resources? What is the likelihood that adequate financial resources²⁶ will be available to use outputs delivered and capacities built by the programme? Are there any financial risks that may jeopardize sustenance of programme results?

Institutional framework. To what extent is the sustenance of the results dependent on issues relating to institutional frameworks and governance? How robust are the institutions in the supported countries, such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining programme results and to lead those to impact on environmental resources and services?

Environmental sustainability. Are there any environmental factors, positive or negative, that can influence the future flow of programme benefits? Are there any programme outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of programme benefits? Are there any foreseeable negative environmental impacts that may occur as the programme results are being up-scaled?

Catalytic role and upscaling. The *catalytic role* of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP then relies on networks and partnerships to upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by the ECP programme, namely to what extent the programme has:

- (a) *catalyzed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;
- provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
- contributed to *institutional changes*, for instance institutional uptake of programme-demonstrated technologies, practices or management approaches;
- contributed to *policy changes* (on paper and in implementation of policy);
- contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
- created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the programme would not have achieved all of its results).

²⁶ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

Upscaling is defined as replication of programme results and lessons learned on a larger scale, beyond the geographical or thematic area in which the programme directly intervened, and funded by other sources than programme funding. The evaluation will assess the approach adopted by the programme to promote replication effects and determine to what extent actual replication has already occurred, or is likely to occur in the near future. What are the factors that may influence upscaling of programme results and lessons?

E. Efficiency

The evaluation will assess the cost-effectiveness and timeliness of programme execution. It will describe any cost- or time-saving measures put in place in attempting to bring the ECP programme as far as possible in achieving its results within its (constrained) secured budget and (extended) time. It will also analyse how delays have affected execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the programme will be compared with that of other similar interventions within or outside the programme, and explanations will be sought for any large differences discovered.

The evaluation will give special attention to efforts by the programme teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase programme efficiency. For instance, it would be interesting to see to what extent the ECP programme has collaborated with other UNEP Disasters and Conflicts Sub-programme interventions in particular the country programmes in Afghanistan and Sudan, and the ENVSEC initiative.

F. Factors and processes affecting programme performance

Preparation and readiness. This criterion focusses on the quality of programme design and preparation. Guiding questions are:

- (a) Were the Project Documents clear and realistic to enable effective and efficient implementation?
- (b) Were the programme's objectives and components clear, practicable and feasible within its timeframe?
- (c) With hindsight, was the implicit Theory of Change of the programme valid? What elements worked out as expected and what elements didn't? Were all critical drivers and assumptions identified and taken into account in the intervention logic? What external factors promoted and/or hindered the implementation of programme activities and/or the use of programme outputs?
- (d) What were the advantages/disadvantages of bringing quite distinct components under the same programmatic umbrella?
- (e) Were potentially negative environmental, economic and social impacts identified?
- (f) Were programme stakeholders²⁷ adequately identified and were they sufficiently involved in programme development and ground-truthing e.g. of proposed timeframe and budget?
- (g) Were adequate programme management arrangements in place?
- (h) Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to programme implementation? Were the capacities of partners properly considered when the programme was designed?
- (i) Were counterpart resources (funding, staff, and facilities) and enabling legislation assured?
- (j) Were lessons from other relevant projects and programmes properly incorporated in programme design?

²⁷ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- (k) What factors influenced the quality-at-entry of programme design, choice of partners, allocation of financial resources etc.? Were design weaknesses mentioned in the Project Review Committee minutes at the time of programme approval adequately addressed before ProDoc approval?

Programme implementation and management. This includes an analysis of implementation approaches used by the programme, its management framework, the programme's adaptation to changing conditions and responses to changing risks including safeguard issues (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in programme design, and overall performance of programme management. The evaluation will:

- (a) Ascertain to what extent the implementation mechanisms outlined in the project documents have been followed and were effective in delivering programme milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?

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

Assess the role and performance of the teams and working groups established and the programme execution arrangements at all levels.

Assess the extent to which programme management responded to guidance provided by the UNEP Expert Advisory Group on Conflict and Peacebuilding.

Identify operational and political / institutional problems and constraints that influenced the effective implementation of the programme, and how the programme tried to overcome these problems.

Stakeholder participation, cooperation and partnerships. The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both programme partners and target users of programme products (such as other UNEP entities, other UN bodies, national governments etc.). The ToC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in programme decision making and activities. The evaluation will specifically assess:

- (a) the approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in programme design and at critical stages of programme implementation. What were the strengths and weaknesses of these approaches with respect to the programme's objectives and the stakeholders' motivations and capacities?
- (b) How was the overall collaboration between different functional units of UNEP involved in the programme? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?
- (c) Was the level of involvement of the Regional, Liaison and Out-posted Offices in programme design, planning, decision-making and implementation of activities appropriate?
- (d) Has the programme made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Documents? Have complementarities been sought, synergies been optimized and duplications avoided?
- (e) What was the achieved degree and effectiveness of collaboration and interactions between the various programme partners and stakeholders during design and im-

plementation of the programme? This should be disaggregated for the main stakeholder groups identified in the Inception Report.

- (f) To what extent has the programme been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives such as UN-EC partnership on natural resources and conflict, Greening the Blue Helmets, Mediating Natural Resource Conflicts (with DPA) and the Environmental Peacebuilding Initiative, to build stronger coherence and collaboration between participating organisations?
- (g) How did the relationship between the programme and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for programme performance, for UNEP and for the stakeholders and partners themselves? Do the results of the programme (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

Communication and public awareness. The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the ECP programme to communicate the programme's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the Inception Report. Did the programme identify and make use of existing communication channels and networks used by key stakeholders? Did the programme provide feedback channels?

Country and multilateral agency ownership and driven-ness. The evaluation will assess the degree and effectiveness of involvement of multilateral partner agencies (PBSO, DPKO/DFS, DPA/MSU, EU etc.) and, ultimately, government agencies from supported countries in the programme, in particular those who are involved as programme partners and/or are programme beneficiaries:

- (a) To what extent have other multilateral agencies assumed responsibility for the programme and provided adequate support to programme execution, including the degree of cooperation received from the various UN and EU bodies involved and/or targeted by the programme?
- (b) How and how well did the programme stimulate ownership of programme outputs and outcomes by targeted UN and EU bodies?
- (c) To what extent have national governments assumed responsibility for the programme and provided adequate support to programme execution, including the degree of cooperation received from the various public institutions involved in the programme?
- (d) How and how well did the programme stimulate country ownership of programme outputs and outcomes?

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

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the programme and its partners;
- (b) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of coopera-

tion agreements etc. to the extent that these might have influenced programme performance;

Present the extent to which co-financing has materialized as expected at programme approval (see Table 1). Report country and multilateral co-financing to the programme. The evaluation will provide a breakdown of final actual costs and co-financing for the different programme components (see tables in Annex 4).

Describe the resources the programme has leveraged/catalysed since inception and indicate how these resources are contributing to the programme's ultimate objectives. Leveraged resources different from co-financing in that they are additional resources that are not destined to fund the programme itself, but have become available to partners and other stakeholders to promote use and upscaling of programme outputs. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. An example would be that one of the fragile states supported by the programme would have developed a natural resources management programme and acquired funding for this programme with the help of the ECP programme.

Assess how the financing structure and strategy of the ECP programme has affected the execution of the programme.

The Evaluation will also assess the extent to which HR & GE were allocated specific and adequate budget in relation to the results achieved.

Finally, the Evaluation will analyse the effects on programme performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by UNEP to prevent such irregularities in the future.

Supervision, guidance and technical backstopping. The purpose of supervision is to verify the quality and timeliness of programme execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during programme execution. Such problems may be related to programme management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make.

The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

- (a) The adequacy of programme supervision plans, inputs and processes;
The realism and candour of programme reporting and the emphasis given to outcome monitoring (results-based management);
The appropriateness of steering arrangements of the programme. How well did the different guidance and backstopping bodies, such as UNEP's Expert Group on Conflict and Peacebuilding, play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

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

- (a) *M&E Design.* The evaluators should use the following questions to help assess the M&E design aspects:
Arrangements for monitoring: Did the programme have a sound M&E plan to monitor results and track progress towards achieving programme objectives? Have the responsi-

- bilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?
- How well was the programme logical framework (original and possible updates) designed as a planning and monitoring instrument?
- SMART-ness of indicators: Are there specific indicators in the logframe for each of the programme objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
- To what extent did the programme engage key stakeholders in monitoring? Which stakeholders (from groups identified in the Inception Report) were involved? If any stakeholders were excluded, what was the reason for this?
- Was sufficient information collected on specific indicators to measure progress on HR & GE (including sex-disaggregated data)?
- Did the programme appropriately plan to monitor risks associated with Environmental Economic and Social Safeguards?
- Arrangements for Evaluation: Have specific targets been specified for programme outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding programme partners to fully collaborate in Evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

M&E Plan Implementation. The Evaluation will verify whether:

- the M&E system was operational and facilitated timely tracking of results and progress towards programme objectives throughout the programme implementation period;
- Half-yearly Progress (in PIMS) & Financial Reports were clear, complete and accurate;
- Risk monitoring (including safeguard issues) was regularly documented;
- the information provided by the M&E system was used during the programme to improve programme performance and to adapt to changing needs; and
- the programme found ways to report on its achievements despite the confidentiality requirements of some of its activities.

G. The Evaluation Team

For this Evaluation, the Evaluation Team will consist of one, senior consultant. The evaluation consultant should have extensive evaluation experience, including of large, global, multi-phased programmes and using a Theory of Change approach; and a good understanding of conflict prevention and peacebuilding around natural resources and the environment. (S)he should have environmental programme management experience in fragile states; and experience in managing partnerships, knowledge management and communication.

By undersigning the service contract with UNEP/UNON, the evaluation consultant certifies that (s)he has not been associated with the design and implementation of the ECP programme in any way which may jeopardize his/her independence and impartiality towards judging programme achievements and programme partner performance. In addition, (s)he will not have any future

interests (within six months after completion of the contract) with the programme's executing or implementing units.

H. Evaluation Deliverables and Review Procedures

The evaluation consultant will prepare an **Inception Report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the programme context, programme design quality, a draft reconstructed Theory of Change of the programme, the evaluation framework and a tentative evaluation schedule.

It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the programme context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed programme design assessment matrix):

- Strategic relevance of the programme;
- Preparation and readiness;
- Financial planning;
- M&E design;
- Complementarity with UNEP strategies and programmes;
- Sustainability considerations and measures planned to promote up-scaling.

The Inception Report will present a draft, desk-based reconstructed Theory of Change of the programme. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the programme need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of programme effectiveness, likelihood of impact and sustainability.

The Inception Report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the Project Documents and discussion with the programme team (see Annex 9 for some guidance).

The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the Evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluators are encouraged to make use of multimedia formats in the gathering of information e.g. video, photos, sound recordings. Together with the full report, the evaluators will be expected to produce a 2-page summary of key findings and lessons, following a template provided by the Evaluation Office.

The Inception Report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

The Inception Report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

When data collection and analysis has almost been completed, the evaluation consultant will prepare a short (6-10 pages) **note on preliminary findings and recommendations** for discussion

with the programme team. The purpose of the note is to allow the consultant to receive guidance on the relevance and validity of the main findings emerging from the Evaluation.

The main Evaluation Report should be brief (no longer than 40 pages – excluding the Executive Summary and Annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the Evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

Review of the draft Evaluation Report. The evaluation consultant will submit a zero draft report to the UNEP EO for comments and revise the draft as requested by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the Programme Manager, who will alert the EO in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the other programme stakeholders, including UNEP PCDMB and DEPI management, the Disasters and Conflicts Sub-programme Coordinator and key external programme partners interviewed during the evaluation, for their review and comments. They may provide feedback on any errors of fact and highlight the significance of such errors in any conclusions. It is also very important that UNEP management, the Sub-programme Coordinator and key partners provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation consultant for consideration in preparing the final draft report, along with its own views.

The evaluation consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The consultant will prepare a **Response to Comments**, listing those comments not or only partially accepted that could therefore not or only partially be accommodated in the final report. (S)He will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

Submission of the final evaluation report. The final report shall be submitted by Email to the Director of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP and main programme stakeholders. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.

As per usual practice, the UNEP EO will prepare a **Quality Assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultant. The quality of the report will be assessed and rated against the criteria specified in Annex 3.

The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on evaluation ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the programme.

At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table to be completed and updated at regular intervals by the Programme Manager. After reception of the Recommendations Implementation Plan, the Programme Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six months until the end of the tracking period. As this is a Mid-term Evaluation for phase 3 of the ECP programme, speedy implementation of the recommenda-

tions is key and the period over which recommendation implementation will be tracked is therefore limited to one year, with two update points at 6 and 12 months after completion of the implementation plan.

I. Logistical arrangements

This Evaluation will be undertaken by one independent, senior evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the Evaluation. It is, however, the consultant's responsibility to arrange for his/her travel, visas, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP ECP Programme Manager and programme team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultant to conduct the Evaluation as efficiently (but independently) as possible.

J. Schedule of the Evaluation

Table 7 below presents the tentative schedule for the Evaluation.

Table 7. Tentative schedule for the Evaluation

| Milestone | Deadline |
|--|-----------------------|
| Evaluation consultant contract signed | 15 June 2015 |
| Inception Report | 31 July 2015 |
| Evaluation Missions (Geneva, two fragile states) | August-September 2015 |
| Telephone interviews, surveys etc. | August-September 2015 |
| Note on preliminary findings and recommendations | 30 September 2015 |
| Zero draft report | 31 October 2015 |
| Draft Report shared with UNEP Programme Manager | 15 November 2015 |
| Draft Report shared with stakeholders | 15 December 2015 |
| Final Report | 15 February 2016 |

K. Assessment of Quality of Evaluation Deliverables and Process

Evaluation Title:

Terminal Evaluation: Environmental Cooperation for Peacebuilding

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

| | UNEP Evaluation Office Comments | Draft Report Rating | Final Report Rating |
|--|--|---------------------|---------------------|
| Substantive report quality criteria | | | |
| <p>A. Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)</p> | <p>Draft report: Initially the Executive Summary did not meet the EOU guidelines.</p> <p>Final report: The final Exec Summary is well organised and covers all required elements – it is possible for senior management to gather all the key points of the evaluation and have a balanced overview of the findings from this summary.</p> | 3 | 5 |
| <p>B. Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?</p> | <p>Draft report: This is a complex project to evaluate and the draft report lacked a strong structure which made the presentation of information more challenging</p> <p>Final report: In the final report a great deal of wide ranging information is presented in an accessible manner.</p> | 4 | 6 |
| <p>C. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?</p> | <p>Draft report: The challenges with structuring the evaluation report run across all these evaluation criteria and therefore reduces the rating of the draft report.</p> <p>Final report: The final report situates the ECP project within UNEP's overall work.</p> | 4 | 5 |
| <p>D. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?</p> | <p>Draft report: The Achievement of Outputs section had been omitted at draft stage.</p> <p>Final report: An acceptable way of presenting the achievement against outputs was found in the final version.</p> | 3 | 5 |

| | | | |
|---|--|---|---|
| <p>E. Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?</p> | <p>Draft report: There were challenges at the draft stage of how to present a great deal of information in a readable diagram.</p> <p>Final report: The Project and Evaluation Managers worked on diagrammatic solutions.</p> | 3 | 5 |
| <p>F. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?</p> | <p>Draft report: The draft report showed a good understanding of this field and the consultant was able to articulate the effectiveness of the project well.</p> <p>Final report: The consultant has a strong understanding of, and experience in, this field and was able to articulate the effectiveness well.</p> | 4 | 5 |
| <p>G. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?</p> | <p>Draft report: Covered well, although more detail was gathered once the draft report was circulated and reviewed.</p> <p>Final report: Covered well.</p> | 4 | 5 |
| <p>H. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?</p> | <p>Draft report: The draft report focussing largely on staffing in its assessment of efficiency and financial information was missing at this stage.</p> <p>Final report: Financial information was gathered by the end of the evaluation but little analysis was done on the financial data.</p> | 3 | 3 |
| <p>I. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?</p> | <p>Draft report: Covered well.</p> <p>Final report: Covered well.</p> | 4 | 4 |
| <p>J. Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?</p> | <p>Draft report: Covered well.</p> <p>Final report: Covered well.</p> | 4 | 4 |
| <p>K. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?</p> | <p>Draft report: Recommendations for the future were not ready for articulation at draft stage, which is reasonable given the timing of feedback and review processes.</p> <p>Final report: The final recommendations are adequate given the complexity of making recommen-</p> | 4 | 5 |

| | | | |
|---|---|----|----|
| | dations for projects that are not going to continue in their current status, but where the body of work is likely to continue within alternative programmatic structures. | | |
| L. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable? | Draft report: Final report: | 4 | 4 |
| Report structure quality criteria | | | |
| M. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included? | Draft report: The structure was lacking at draft stage. Final report: | 3 | 6 |
| N. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described? | Draft report: The consultant adopted a robust approach to case selection and this was well articulated at draft stage. Final report: | 5 | 6 |
| O. Quality of writing: Was the report well written? (clear English language and grammar) | Draft report: The consultant has a slightly unusual use of vocabulary that expressed levels of enthusiasm that might have obscured the objective nature of the work, if not edited. Final report: | 3 | 6 |
| P. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc. | Draft report: Final report: | 3 | 6 |
| OVERALL REPORT QUALITY RATING | | 58 | 80 |

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

| | UNEP Evaluation Office Comments | | Rating |
|---|---------------------------------|--|--------|
| Evaluation process quality criteria | | | |
| Q. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel? | | | 6 |
| R. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected? | | | 5 |
| S. Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions? | | | 6 |
| T. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project? | | | 5 |
| U. Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report? | | | 6 |
| V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments? | | | 6 |
| W. Participatory approach: Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated? | | | 6 |
| X. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised? | | | 6 |
| OVERALL PROCESS RATING | | | 46 |

Rating system for quality of evaluation reports

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

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

