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# Terminal Evaluation Report

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## UNDP-GEF Project: Strengthening Capacities to Mainstream and Monitor Rio Convention Implementation Through Policy Coordination

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GEF Project ID: 6973 / UNDP Project ID: 5332

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<b>Country:</b>	Guyana
<b>Region:</b>	Latin America and Caribbean
<b>Focal Area:</b>	Multifocal area/Cross-Cutting Capacity Development (GEF-6)
<b>GEF Agency:</b>	United Nations Development Programme (UNDP)
<b>Executing Agency:</b>	Ministry of Natural Resources (2016-2020) Environmental Protection Agency (2021-2022)

## Opening Page

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### PROJECT DETAILS:

<b>Project Name:</b>	Strengthening Technical Capacities to Mainstream and Monitor Rio Convention Implementation Through Policy Coordination	
<b>Project ID:</b>	UNDP PIMS: 5332	GEF Project ID: 6973
<b>Country:</b>	Guyana	
<b>Region:</b>	Latin America and Caribbean	
<b>Focal Area:</b>	Multi-focal areas/ Cross-Cutting Capacity Development Strategy (GEF-6)	
<b>GEF Strategic Objectives:</b>	CCCD1: Integrate global environmental needs into management information systems CCCD5: Update NCSAs	
<b>Funding Source:</b>	GEF Trust Fund (GEF 6)	
<b>Implementing Agency:</b>	United Nations Development Programme	
<b>Implementation Modality:</b>	<b>Support to the</b> National Implementation Modality	

### TERMINAL EVALUATION DETAILS:

<b>Terminal Evaluation Timeframe:</b>	May - October 2022
<b>TE Consultants:</b>	Francis Hurst and Anna Mohase
<b>TE Reporting Language:</b>	English

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The Terminal Evaluation Final Report is the final deliverable of the Terminal Evaluation.

The Terminal Evaluation Final Report is a Contractual deliverable of the Terminal Evaluation and once accepted becomes an integral part of the project management cycle and documentation.

The Terminal Evaluation is initiated by the UNDP commissioning unit and is independent of the Implementing and Executing Agencies .

The opinions expressed in this document are based on the information gathered throughout the evaluation process and as such, represent the authors' points of view, which are not necessarily shared by the Implementing and Executing Agencies or by the project partners and beneficiaries.

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## Executive Summary

### Project Information Table

Project Details		Project Milestones	
Project Title	Strengthening Technical Capacities to Mainstream and Monitor Rio Convention Implementation Through Policy Coordination	PIF Approval Date:	20/03/2015
UNDP Project ID (PIMS #):	5332	Approval date (MSP):	21/04/2016
GEF Project ID:	6973	ProDoc Signature Date:	30/06/2016
UNDP Atlas Business Unit, Award ID, Project ID: Project Output ID:	0096369 00100292	Date Project Manager hired:	01/12/2016
Country/Countries:	Guyana	Inception Workshop:	13/10/2016
Region:	Latin America and Caribbean	Mid-Term Review Completion Date:	N/A
Focal Area:	Cross-Cutting Capacity Development Strategy (GEF6), Multi-focal areas	Terminal Evaluation Completion date:	Expected 30/03/2020 Revised 30/09/2021 Actual 28/10/2022
GEF Operational Programme or Strategic Priorities/Objectives:	CCCD1: Integrate global environmental needs into management information systems CCCD5: Update NCSAs	Planned Operational Closure Date:	30/06/2020 Revised 31/12/2021
Trust Fund:	GEF Trust fund		
Implementing Partner (GEF Executing Entity):	Ministry of Natural Resources and Environment (MNRE) – Project Document Department of Environment (Office of the President) – at project start Environmental Protection Agency – since 31/05/2021		
NGOs/CBOs involvement:	N/A		
Private sector involvement:	N/A		
Geospatial coordinates of project sites:	<b>Project Site</b>	<b>Latitude</b>	<b>Longitude</b>
	Mabaruma	8°12'14.87"N	59°46'39.28"W
	Anna Regina	7°15'48.96"N	58°28'58.74"W
	Vreed-en-Hoop	6°48'39.49"N	58°11'31.70"W
	Georgetown	6°48'4.61"N	58° 9'18.45"W
	Kuru Kururu	6°32'13.25"N	58°11'48.68"W
	Swan Village	6°30'41.24"N	58°11'57.07"W
	Moraikobai Village	6° 9'17.96"N	57°58'40.72"W
	Orealla	5°47'44.68"N	56°43'27.25"W
	Bartica	6°24'15.56"N	58°37'32.97"W
	Mahdia	5°16'28.95"N	59° 6'17.35"W
	Lethem	3°21'58.75"N	59°47'51.99"W
	Linden	6° 0'41.80"N	58°18'32.25"W
	Berbice [New Amsterdam]	6°14'35.28"N	57°30'49.14"W
Lichfield	6°23'29.96"N	57°30'50.41"W	

### Project Finance

PDF/PPG	at approval (US\$M)	at PDF/PPG completion (US\$M)
GEF PDF/PPG grants for project preparation	0.05	0.033285
Co-financing for project preparation	0	0
<b>Project</b>	<b>at CEO Endorsement (US\$M)</b>	<b>at TE (US\$M)</b>
[1] UNDP contribution:	0.05	0.050502
[2] Government:	1.2261	1.240629
[3] Other multi-/bi-laterals:	0	0
[4] Private Sector:	0	0
[5] NGOs:	0	0

[6] Total co-financing [1 + 2 + 3 + 4 + 5]:	1.2761	0
[7] Total GEF funding:	1.050	0.8486
[8] Total Project Funding [6 + 7]	2.3261	2.139731

### Project description

1. Guyana is a small English-speaking lower middle-income, developing country located on the north-eastern edge of South America with a geographic area of about 215,000 km<sup>2</sup>. Guyana's geographic location, and a low-lying coastline extending approximately 432 km, makes it vulnerable to natural hazards such as tropical storms, flooding and landslides that are exacerbated by climate change.
2. Key land degradation issues Guyana is facing are floods, droughts, saltwater intrusion and natural resource utilization in mining, forestry and agriculture<sup>1</sup>. Flooding is particularly problematic for Guyana. A flood in 2005 resulted in damages estimated at 59% of Guyana's gross domestic product (UNEP, 2010). Recurrent floods along the Coast continue to negatively impact the livelihoods, health, and well-being of citizens<sup>2</sup>.
3. The project was intended to address four barriers identified in the 2007 National Capacity Self-Assessment (NCSA) report which were: limited over-arching statutory power to effectively carry out mandates; inadequate institutional capacity of agencies; limited human resources for environmental and natural resources management, and; differing priorities of various Agencies.
4. To address these barriers the project had a long-term goal to *strengthen a set of important capacities for Guyana to make better decisions to meet and sustain global environmental obligations*. This was further articulated in two project objectives: *to strengthen technical capacities for mainstreaming and monitoring the achievement of Rio Convention objectives* and *to update the National Capacity Self-Assessment (NCSA)*.
5. This was to be achieved through implementing four components:
6. **Component 1:** Strengthening institutional capacities to mainstream and monitor Rio Convention implementation through development policies, programmes and plans focusing on creating and strengthening long-term mechanisms to address weaknesses in institutional arrangements, as well as the policy and the legal frameworks. Key to this component was the creation of the integrated Environmental Information Management and Monitoring System (EIMMS). This would require the strengthening of the institutional construct and the associated management regime for collecting, creating, and transforming data and information into knowledge.
7. **Component 2:** Strengthening technical capacities for mainstreaming and monitoring Rio Conventions focusing on strengthening the technical capacities of key stakeholders, technical staff, and decision-makers that directly and indirectly affect obligations under the Rio Conventions. Best practices and innovations from this component's activities would form the basis of trainings and "learn-by-doing" activities to create and use knowledge to achieve global environmental outcomes.
8. **Component 3:** Improving awareness of global environmental values which would focus on a set of activities designed to strengthen awareness and understanding of the wider population of the project. This component was to address the institutional sustainability of project outputs by raising an overall understanding and greater value of how addressing global environmental obligations under the Rio Convention contribute to addressing important and immediate socio-economic development priorities. The outputs and activities under this component would take a multi-pronged approach to reach a good cross-section of the population.
9. **Component 4:** Updating of the National Capacity Self-Assessment. In the eight years since the NCSA was undertaken, there have been a number of important policy and institutional changes that have emerged as a basis of the change in political leadership. This would address the new Government's development agenda emphasizing Green Development, the updating of the NCSA was to serve as an opportunity to reconcile and update the capacity challenges necessary to support the government's pursuit of Green Development in tandem with the fulfilment of Rio Convention obligations.
10. According to the Project Document the Project Preparation Grant (PPG) totalled US\$ 54,750 (including the PPG fee in amount of \$4,750). The Global Environmental Facility (GEF) grant for the main (medium-sized) project was US\$ 1,050,000. Co-financing was US\$ 1,276,100. The GEF Agency Fee was US\$ 99,750. The total MSP project costs were put at US\$ 2,425,850 for a planned duration of four years.

<sup>1</sup> UNEP. (2010). National Environmental Summary.

<sup>2</sup> Source: Project Document.

11. The project was part of a “suite” of projects designed around the same time and with considerable similarities in their approach to mainstreaming and cross-cutting capacity development as well as very poor strategic results frameworks. Project financing for these Cross-Cutting Capacity Development (CCCD) projects was outside the System for Strategic Allocation of Resources (STAR) allocation.

#### Evaluation Ratings Table

<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>
M&E design at entry	U
M&E Plan Implementation	MS
Overall Quality of M&E	MS
<b>2. Implementing Agency (IA) Implementation &amp; Executing Agency (EA) Execution</b>	<b>Rating</b>
Quality of UNDP Implementation/Oversight	MU
Quality of Implementing Partner Execution	MU
Overall quality of Implementation/Execution	MU
<b>3. Assessment of Outcomes</b>	<b>Rating</b>
Relevance	S
Effectiveness	MU
Efficiency	MU
Overall Project Outcome Rating	MU
<b>4. Sustainability</b>	<b>Rating</b>
Financial sustainability	UL
Socio-political sustainability	UL
Institutional framework and governance sustainability	UL
Environmental sustainability	UA
Overall Likelihood of sustainability	UL

#### Summary of findings, conclusions and lessons learned

12. There were substantial weaknesses in the project’s design, largely in the strategic approach and how that was translated into the project Strategic results framework (SRF) through a logical hierarchy of activities, outputs, outcomes and an objective. This made the project very “product” orientated rather than a series of activities and outputs leading towards an outcome or result which would be a situational and systemic change.
13. The project’s implementation has been challenging due to a mix of design weaknesses, inefficiencies and external factors. During the project inception there was a change in the National Implementation Modality (NIM) implementation arrangements due to governmental institutional changes and the Implementing Partner (IP) became the Department of Environment (DoE) (including the Project Management Unit (PMU)) under the Office of the Presidency. Following a change in government in 2020 the PMU the DoE was merged with Office of Climate Change (OCC) and the PMU was dissolved. Project implementation was transferred to OCC and then to the Environmental Protection Agency (EPA), under the Department of Environment and Climate Change (DECC) with some loss of project memory, as staff were released from contract. The functions of the PMU, project implementation remained with the EPA until the end of the project. These changes and a hiatus during the uncertainty of the government changes had a significant impact on the project’s activities.
14. There were internal weaknesses in the financial management. The project management costs exceeded the Project Document and AWP approved (ATLAS) budgets although this is not reflected in the final Combined Delivery Report (CDR). This was due to the planned part-time PMU becoming full time, payments for PMU services and payments of sitting allowances for Working Groups and other group activities. When the IP and PMU were transferred to the EPA the existing PMU Contracts were terminated. The PMU became a part time arrangement under the EPA with relevant EPA staff called upon for *ad hoc* activities as needed. A number of activities (principally piloting activities) were cancelled, and the new IP took the decision to focus on delivering and establishing the EIMMS following a strategic decision by the Office of the President and the UNDP GEF Agency.

15. The project’s SRF had significant weaknesses for the purpose of GEF M&E towards results. The indicators were poorly phrased, did not meet SMART<sup>3</sup> criteria and, in many instances, simply restated baselines, deliverables, activities and targets. Furthermore, the number of indicators placed a substantive and confusing M&E burden on the project. Risks identified in the SES were not tracked in the PIR or by the PB and financial risks identified by the PB (e.g. financial, performance of the EIMMS Contract, etc.) were not entered into the risk register. M&E ratings were unrealistically optimistic. Following the transfer of the IP to the EPA these risks are identified and the management response was reasonable by cancelling a number of outputs (e.g. piloting the mainstreaming activities in a high value sector plan, etc.) in order to focus primarily on the EIMMS and the NCSA report.
16. Based on the SRF it is hard to judge the results with any certainty. Process results such as changes in the institutional working practices, inter-agency communication, collaboration and data sharing, civil society participation in environmental issues, etc., do not appear to have measurably changed. The project has produced a number of reports but feedback from TE respondents did not provide any measures of how these had affected their current working practices or changed the nature of the agency relationships with regards to collaborative governance and a free flow of information. The project received a one-year extension in order to develop the EIMMS. The NCSA report has been delivered and the EIMMS is currently technically ready and according to respondents it is to a very high technical standard. However, further training will need to be carried out to operationalise the “backroom” functions and collaborative arrangements will need to be made between data providers to ensure that there is regular updating.
17. Total expenditures of the GEF project grant reported in the UNDP CDRs through to 30th December 2021 is US\$ 863,560, 79% of the US\$ 1,100,000 GEF budget.
18. Project management costs from the GEF funds were US\$ 85,000 in the Project Document or 8.8% of the total GEF budget which is inconsistent with the 10% threshold<sup>4</sup> for project management costs. In the event, US\$ 72,573 (8%) was expended on project management. However, it is not clear whether this was achieved by using funds from the technical components to finance the PMU.

Recommendations summary table

Rec #	TE Recommendation	Entity Responsible	Time frame
A	Category 1: Project closure		
A.1	Form a high-level decision-making Working Group/ Committee with the powers to make decisions on behalf of their respective agencies to develop a “road map” for operationalising the EIMMS. The Working Group/ Committee should be made up of individuals who can make decisions on the MoAs, access of the EIMMS to data sets and timeframe to operationalise it. The Working Group should be mandated to make recommendations on environmental data sharing and regulatory reform in the interests of collaborative governance. Representation from a few selected civil society groups would be advisable to understand their expectations and information needs.	EPA (GLSC, MNR, GFC, OCC). UNDP to support. Civil society organisation(s)	Q4 2022
A.2	Organise training for agency personnel to use the “backroom” functions of the EIMMS. Personnel should be specifically selected for their existing information and technology experience.	EPA	Q4 2022
A.3	Prepare a short user manual for public consumption on using the “front room” functions of the EIMMS. A list of civil society and peripheral agencies (e.g. health and Universities) should be drawn up and contacted.	EPA	Q4 2022

<sup>3</sup> SMART: Specific, Measurable, Attributable, Relevant, Time-Bound

<sup>4</sup> A threshold of 5% applies for projects with the total GEF budget above 2 million USD. Projects with lower total GEF grants can have project management costs (PMC) up to 10% of the budget subtotal (budget subtotal means total in technical outcomes).

A.4	Improve the legacy/ sustainability plan to ensure that the project outputs are sustainable. This should be done with the participation of the agencies involved in the project and should include clear timebound targets and milestones.	DECC	Q4 2022
A.5	The Capacity Development Scorecard (Tracking Tool) sent separately in pdf format to the TE has the wrong date (11/0/2022) and phase of the project cycle is "6". UNDP does not use this classification. The Scorecard should read: Terminal Evaluation Stage. This should be corrected in the final document submitted with the final draft of the TE report.	UNDP, DECC, EPA	Q4 2022
B	<b>Category 2: UNDP</b>		
B.1	Review the human resource needs of the UNDP CO to ensure that they are appropriate for the work load of projects. Ensure that M&E processes are prioritised within the staffing compliment and review M&E procedures in relation to GEF projects.	UNDP CO	Q4 2022
B.2	As a general rule, PMU staff should not be utilised as technical assistance. The utilisation of project management staff to carry out technical assistance activities (unless engaged specifically as a subject matter specialist within a PMU team for that specific purpose)	UNDP	-
B.3	PMU staff should only attend overseas conferences if they are specifically arranged by the GEF Operational Programme. In all other instances' priority should be given to national government or agency staff and other stakeholders.	UNDP/IA	-
B.4	Develop standard operational guidelines for UNDP GEF projects to store and update project records to ensure that the "project memory" is correctly handed over during any necessary changes in project implementation changes.	UNDP	Immediate
B.5	GEF funds that are allocated to the technical components should not be used for the project management services. The Joint Consultative Group on Policy (JCGP) on contracting government personnel disallows direct payments to government staff for their additional work on donor-supported development projects.	UNDP	Immediate
B.6	There should be standard procedures for establishing a Project Board/ Steering Committee developed. These should be included in the Project Document using the standard UNDP-GEF template and state not just who should be on the PB/ SC, but also who should not be a member of the SC.	UNDP	Immediate
B.7	Provide standard guidance for issues raised during independent audits of projects which should be recorded in the PIR Risk Assessment.	UNDP	Immediate
C	<b>Category 3: UNDP-GEF</b>		
C.1	Provide clearer guidelines and scrutiny of project SRF. A cross-cutting aspect of UNDP-GEF projects is encouraging a culture of M&E, an understanding that projects are interacting with complex and unpredictable systems and an adaptive management approach is critical and may be an important outcome of a project in itself.	UNDP-GEF	2022
C.2	Develop clear guidance on objectives, outcomes, outputs and indicators based on the GEF-5 Focal Area Strategies, The Global Environmental Facility, pp. 106 – 107 (or more recent guidance <sup>5</sup> ).	UNDP-GEF	2022

<sup>5</sup> Undated, Monitoring Guidelines of Capacity Development in GEF Operations, Capacity Development Initiative, Global Support Programme, National Capacity Self-Assessment.

C.3	Phrases such as “ <i>gender-equality issues will be considered to the extent that they are appropriate</i> ” should be recognised as a “ <b>red flag</b> ” in a Project Document and prompt a more critical assessment of the design’s responsiveness to gender. Compartmentalisation of gender and environmental issues is contrary to UNDP-GEF policy and not helpful in addressing environmental challenges and implementing the Rio Conventions.	UNDP-GEF	
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## List of acronyms and abbreviations

CBD	Convention on Biological Diversity
CBO	Community-Based Organisation
CCCD	Cross-Cutting Capacity Development
CDR	Combined Delivery Report
CEO	Chief Executive Officer
CSO	Civil Society Organization
DECC	Department of Environment and Climate Change
DoE	Department of Environment
EA	Executing Agency
EIMMS	Environmental Information Monitoring and Management System
EPA	Environmental Protection Agency
FPIC	Free & Prior Informed Consent
GDP	Green Development Programme
GEF	Global Environment Facility
GFC	Guyana Forestry Commission
GGMC	Guyana Geology and Mines Commission
GLSC	Guyana Lands & Surveys Commission
HDI	Human Development Index
IA	Implementing Agency
IC	International Consultant
IUCN	International Union for the Conservation of Nature
LCDS	Low Carbon Development Strategy
MEA	Multi-lateral Environmental Agreement
M&E	Monitoring and Evaluation
MMRCI	Mainstream and Monitor Rio Convention Implementation Through Policy Coordination
MNR	Ministry of Natural Resources
MSP	Medium-Sized Project
NC	National Consultant
NCSA	National Capacity Self-Assessment
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NPC	National Project Coordinator
OCC	Office of Climate Change
PA	Project Assistant
PAC	Protected Areas Commission
PB	Project Board (National Steering Committee)
PC	Project Coordinator (Project Manager)
PD	Project Director
PIF	Project Information Form
PMU	Project Management Unit
PPE	Personal Protection Equipment
PPG	Project Preparation Grant
SDG	Sustainable Development Goals
SRF	Strategic Results Framework (log frame)
STAP	Scientific & Technical Advisory Panel
STAR	System for Strategic Allocation of resources
TE	Terminal Evaluation
TOC	Theory of Change
TOR	Terms of Reference
UNFCCC	United Nations Framework Convention on Climate Change
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme

## 1.0 Introduction

### 1.1 Purpose and objective of the Terminal Evaluation

19. The UNDP and GEF monitoring and evaluation (M&E) policies and procedures require all UNDP-implemented and GEF-funded projects to undergo a Terminal Evaluation (TE) upon completion of implementation. Therefore, UNDP has commissioned the TE by contracting an independent evaluation team consisting of a National Consultant (NC) and an International Consultant (IC). The TE was conducted following the UNDP-GEF Monitoring and Evaluation Policy and facilitated by the UNDP Country Office, Guyana.
20. The purpose of the “Strengthening Technical Capacities to Mainstream and Monitor Rio Convention Implementation Through Policy Coordination”<sup>6</sup> Project TE as per TORs (Annex 1), is to assess the achievement of project results and to draw lessons that can both improve the sustainability of the benefits from this project, and aid in the overall enhancement of UNDP and Government programming.

### 1.2 Scope

21. The evaluation focuses primarily on assessing the performance of the project in light of the accomplished outcomes, objectives and effects using the evaluation criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported and GEF-financed Projects<sup>7</sup>. These are:

**Relevance:** assesses how the project relates to the development priorities at the local, regional and national levels for climate change and is coherent with the main objectives of GEF focal areas. It also assesses whether the project addressed the needs of targeted beneficiaries at the local, regional and national levels.

**Effectiveness:** measures the extent to which the project achieved the expected outcomes and objectives, how risks and risk mitigation were being managed, and what lessons can be drawn for other similar projects in the future.

**Efficiency:** the measure of how economically resources (funds, expertise, time, etc.) are converted to results. It also examines how efficient were partnership arrangements (linkages between institutions/ organizations) for the project.

**Impact:** examines the positive and negative, primary and secondary long-term effects produced by the development intervention, directly or indirectly, intended or unintended. It looks at whether the project has achieved the intended changes or improvements (technical, economic, social, cultural, political, and ecological). In GEF terms, impact / results include direct project outputs, short to medium-term outcomes, and longer-term impact including global environmental benefits, replication effects and other local effects including on communities.

**Sustainability:** is the ability of the project interventions to continue delivering benefits for an extended time after completion; it examines the project’s sustainability in financial, socio-political, institutional framework and governance, environmental terms.

22. Using these evaluation criteria, the terminal evaluation covers all activities supported by UNDP-GEF and completed by the project management unit (PMU) and Government agencies as well as activities that other collaborating partners including beneficiaries participated in.
23. The temporal scope of the TE covers all activities of the project beginning with the Project Identification Form (PIF) dated March 2015 through to the evaluation in May - October 2022 (approximately two months before the anticipated project closure).
24. The evaluation has been conducted in an ethical and participatory manner and in order to provide evidence-based information that is credible, reliable and useful.

### 1.3 Methodology

25. As stated above, the Evaluation adopted a participatory and consultative approach ensuring close engagement with government counterparts, UNDP Country Office, Executing Agency, the PMU, and key stakeholders based at the local level (state, local communities, NGOs, private sector).
26. Key aspects of the evaluation approach included:
  - Defining the scope of the Evaluation’s focus:* through discussions with the PMU and UNDP and partner agencies, the areas and extent of inquiry to be defined.

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<sup>6</sup> Henceforth referred to as the “CCCD Rio Project” or “the project”.

<sup>7</sup> [http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

*Emphasis on constructive analytical dialogue:* with the project partners; providing the project participants with an opportunity to explain the strategies applied to date, the challenges that have been faced and the inevitable nuances that affect a project. In this way the Evaluation is able to deepen the partner's conceptual understanding of the key issues underlying the project and the driving forces that have shaped, and continue, shaping events.

*Critical analysis of the project design:* the original design and strategic approach was challenged against best practices and in light of the project's experience to consider whether there were flaws in its logic and approach or whether there were assumptions, known or unknown, that have not proven correct.

*Critical reflection on the measures of project success:* measuring progress and performance against the indicators provided in the project's Strategic Results Framework (SRF) with the participation of the project partners and reflecting on their relevance and adequacy.

*Assessment of the project's performance and impact to date:* analysing the performance and progress against the indicators and reasonably expected impacts of the project's implementation.

*An examination of process:* critically examining the project's actions and activities to ensure that there was sufficient effort in ensuring that elements of capacity building and participation, establishing processes and mechanisms, that would enable the targets to be achieved in the longer term rather than being expedient.

*Synthesizing plausible future impacts:* using analytical methods to identify plausible future outcomes resulting from the impact of the project in the future and how these might affect the project's Theory of Change<sup>8</sup> (ToC)<sup>9</sup>.

*Jointly defining the conclusions and recommendations with the PMU and UNDP:* ensuring that there is a common understanding of any weaknesses or shortcomings in the project's implementation and an understanding of the reasons for, and the appropriate detail of, any recommended actions that might be necessary.

27. The methodology used is detailed in Annex 14.
28. Gender was considered through participation and inclusion by incorporating gender and women's rights dimensions into the evaluation approach, method and analysis to determine how the project affected men and women differently.
29. As directed in the 2020 GEF Terminal Evaluation guidelines, specific Evaluation Rating Criteria were used for the following aspects of the project's implementation and results:

Project Implementation:

Monitoring and Evaluation: design at entry, implementation, and overall assessment of M&E.

Implementing Agency (UNDP) and Executing Agency, overall project oversight / implementation and execution.

Project Results (outcomes):

Relevance, Effectiveness, Efficiency and overall project outcome.

Sustainability: financial, socio-political, institutional framework and governance, environmental, overall likelihood of sustainability.

30. Project performance was evaluated and rated using the criteria of relevance, effectiveness, efficiency and impact using the standard rating scales (Table 1). The primary reference points for assessing the performance were the indicators and targets set out in the SRF, with consideration given to contextual factors.
31. As a medium-sized project (MSP) there was no mandatory requirement for a Mid-term Review (MTR).

#### 1.4 Data collection and analysis

32. An initial document review was carried out to define the scope and focus of the TE<sup>10</sup>. This was followed by a consultation phase in which stakeholders were interviewed through remote interviews with the country's PMU, UNDP, key stakeholders and beneficiaries. Field missions with visits to field sites and interviews with stakeholders unable to access the internet were carried out by the NC.
33. The data collection tools included structured interview guides for discussions with beneficiaries based on the evaluation questions matrix (Annex 5 & 6). These were structured according to different stakeholder

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<sup>8</sup> Theory of Change Primer A STAP document, December 2019

<sup>9</sup> At the time of the project's formulation it was not a requirement to include a ToC in the Project Document. However, the TE will reconstruct a plausible ToC for the project.

<sup>10</sup> 45 project related documents and reports as well as Excel tables, minutes, peripheral documents, etc.

groups. The tools were developed by the evaluators focusing on the evaluation criteria and major outcomes planned and adjusted after a scoping exercise carried out during the inception phase.

34. Generally, information obtained from interviews was cross-checked against more than one source and project documents where possible<sup>11</sup>. A detailed account of the data collection and analysis is provided in Annex 14.

### 1.5 Ethics

35. The evaluation was conducted following the UNEG Ethical Guidelines for Evaluators (Evaluation Consultant Code of Conduct Agreement - attached Annex 8 & 9).
36. The rights and dignity of all stakeholders were respected, including interviewees, project participants (project, UNDP, Government staff), beneficiaries (beneficiary institutions and communities) and other evaluation stakeholders including co-financing partners. The evaluators explained and preserved the confidentiality and anonymity of the participants so that those who participate in the evaluation are free from external pressure and that their involvement in no way disadvantages them.
37. The final report of the evaluation does not indicate a specific source of citations or qualitative data to preserve this confidentiality. The confidentiality of stakeholders was ensured throughout and consultation processes were appropriately contextualised and culturally sensitive, with attention given to issues such as gender empowerment and fair representation for vulnerable groups, wherever possible.
38. Whilst every effort was made to reflect the inputs of stakeholders fairly and accurately in the report, the evaluation ratings, conclusions and key recommendations are those of the evaluators, they do not necessarily reflect the opinions and views of the Implementing and Executing Agencies or other project partners. As such they are not binding on any individual or institutional stakeholder.

### 1.6 Audit trail

39. The final draft of the TE report is accompanied by an “audit trail” of the evaluation process, the review comments to the draft report compiled along with responses from the TE team and documented in an annex separate from the main report.

### 1.7 Limitations to the evaluation

40. At the time of commissioning, the reported active cases of Covid-19 in Guyana were high and travel was not possible. However, due to a number of reasons, by the time the evaluation interviews with stakeholders took place, close to normal conditions had returned. To aid the evaluation process a substantive NC was engaged to assist with the interviews and conduct any field visits as well as the analysis and reporting.
41. Access to internet, in order to facilitate remote interviews has proved problematic and has particularly limited the access to remote area stakeholders. Where necessary phone interviews have been carried out.
42. The TE concluded that the project’s SRF was of very poor quality providing little utility by way of monitoring and evaluation. With just four objective indicators, each with little utility, and no outcome indicators described, and poorly phrased objective and outcomes, measuring the impact of the project intervention is challenging.
43. The changes within government, necessitating a change in the implementation arrangements, has resulted in a fragmented collective project memory and record. This has been further exacerbated by the delay in carrying out the TE. Given the time frame between the project ending and the TE it would be advisable for the UNDP CO to hold a workshop with those parties involved in the project and the evaluation process to discuss the findings and in particular, the role of M&E in project implementation.

### 1.8 Structure of the Terminal Evaluation report

44. This report is structured in line with the guidance given on conducting TEs of UNDP-GEF projects and in accordance with the TE Terms of Reference (ToR) provided in Annex 1:

**Section 1** provides an executive summary which gives basic information on the project, a brief description of the project and its progress to date, the TE ratings and achievement table, summary of conclusions and recommendations.

**Section 2** provides a description of the review process and methodology.

**Section 3** describes the background and context of the CCCD Rio Project including the problems that the project sought to address, the objectives, outcomes and means of monitoring and evaluation, the implementation arrangements, a timeline and key milestones as well as a summary of project stakeholders.

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<sup>11</sup> Additional documents were provided by some stakeholder after the first draft was reviewed and were subsequently included in the final draft.

**Section 4** presents the main findings of the TE on all aspects including the project’s strategy, its progress towards results, the performance of its implementation and efficiency of adaptive management as well as assessing the sustainability of the project outcomes and the TE conclusions, recommendations and main lessons.

Table 1 Terminal Evaluation Ratings Scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
<p>6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or no or minor shortcomings</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings</p> <p>2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings</p> <p>1 = Highly Unsatisfactory (HU): severe shortcomings</p> <p>Unable to Assess (U/A): available information does not allow an assessment</p>	<p>4 = Likely (L): negligible risks to sustainability</p> <p>3 = Moderately Likely (ML): moderate risks to sustainability</p> <p>2 = Moderately Unlikely (MU): significant risks to sustainability</p> <p>1 = Unlikely (U): severe risks to sustainability</p> <p>Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability</p>

## 2.0 Project Description

### 2.1 Project start and duration, including milestones

45. The Project Identification Form (PIF) was approved on 20<sup>th</sup> March 2015 for incorporation into the GEF Council Work Programme for the GEF-6 replenishment cycle. A project preparation phase followed to develop the Project Document and GEF CEO endorsement was granted on 21<sup>st</sup> April 2016. The Project Document was signed by the Government of Guyana on 30<sup>th</sup> June 2016, the official start date of the project. The inception workshop was held until the 13<sup>th</sup> October 2016. The delay in starting the project and unavoidable delays that were encountered during the 2020 Covid-19 pandemic and issues related to the elections and changes in government resulted in the project requesting<sup>12</sup> and being granted (30<sup>th</sup> June 2020<sup>13</sup>) an eighteen-month extension giving a revised closing date of the 31<sup>st</sup> December 2021.
46. The CCCD Rio Project was not financed from the System of Transparent Allocation of Resources (STAR). Instead, the funding came from an additional allocation of GEF financing, as such it would have had less national input than a project identified under the STAR<sup>14</sup>.

<sup>12</sup> Letter dated 29/04/2020, Office of the Presidency Department of Environment.

<sup>13</sup> Approval date of extension by the CEO of UNDP-NCE.

<sup>14</sup> Information from a key respondent interview.

Table 2 Project timeline and key dates

<b>Preparation</b>	
Received by GEF	26 August 2014
PIF approved	20 March 2015
CEO approval of Project Document	21 April 2016
<b>Implementation</b>	
Project Document signature & official start-up	30 June 2016
Appointment of Project Manager	12 December 2016
Inception workshop	13 October 2016
COVID pandemic lockdown	March – Aug 2020
National elections	March - August 2020
PMU moved to the Office of the President, OCC/DECC	30 November 2020
PMU moved to EPA	12 February 2021
18 months no-cost extension approval	30 June 2020
Planned project end	30 June 2020
Revised (expected) project end	30 December 2021
Terminal Evaluation	May – September 2022

## 2.2 Development context

47. Guyana is a small English-speaking lower middle-income, developing country located on the north-eastern edge of South America with a geographic area of about 215,000 km<sup>2</sup>. Guyana’s geographic location, and a low-lying coastline extending approximately 432 km, makes it vulnerable to natural hazards such as tropical storms, flooding and landslides that are exacerbated by climate change.
48. The mainland is divided by three major river systems: Essequibo, Demerara, and Berbice Rivers, all of which flow into the Atlantic Ocean. There are 365 small islands located in the river systems. Inland are savannahs, mountain ranges, and a vast tropical rainforest that covers 86 percent of the total land area. Guyana is well endowed with natural resources, fertile agricultural land, and diversified mineral deposits. The economy is primarily natural resource-based, with agriculture (mainly sugar and rice), shrimp, bauxite, gold, and timber accounting for 60% of the output in the productive sectors<sup>15</sup>.
49. Guyana’s population in 2014 was estimated at 763,900. The major ethnic groups are East Indian-Guyanese, (about 43.4 percent of the population) and the Afro-Guyanese (about 30.2 percent). The other major groups are mixed ethnicity (16.7 percent), and indigenous peoples<sup>16</sup> (9.2 percent). The indigenous people’s legally hold 29,000 km<sup>2</sup>(13%) of Guyana’s land<sup>17</sup>. 90% of indigenous groups live in the country’s remote interior. Mining on this land leads to considerable conflict. While indigenous groups hold the title to the land, they do not have rights to any subsoil minerals. While they do have veto rights over medium and small-scale mining, if the mining is deemed to serve in the public interest, the government can overturn the veto.
50. According to the Project Document, in 2014, despite its rich resources, Guyana was one of the poorest countries in the Caribbean. Guyana’s GDP in 2014 was \$3.228 billion. Guyana also faced issues of poverty and inequality. The Human Development Index (HDI) for Guyana is 0.682 (2022) ranking the country 122 out of 187 countries. It is estimated that around 30% of the population is classified as extremely poor. Poverty averages for the country do not reflect the disparities between rural and urban areas, 19% in urban areas compared with 74% in rural interior areas.
51. Guyana’s emigration rate is also one of the highest worldwide; 55% of Guyana’s citizens live abroad with high rates of emigration of tertiary educated citizens aged 25 and older, leading to national capacity constraints and limiting Guyana’s ability to grow and develop both economically, and socially.
52. Guyana also struggles with human health issues. Aside from high rates of HIV and AIDS, Guyana has one of the highest maternal mortality rates in the Caribbean, with 280 deaths per 100,000 live births. Additionally, the infant mortality rate is the 66th highest in the world, with 34.45 deaths per 1,000 live births (CIA, 2015). Partially contributing to these statistics is the limited number of doctors. In 2010, Guyana had 0.21 physicians per 1,000 people.

<sup>15</sup> Government of Guyana. (2014). Guyana National Land Use Plan. Guyana Lands and Surveys Commission, MNRE, European Union.

<sup>16</sup> The Project Document uses the term “Amerindians”, the TE refers to Indigenous Peoples or indigenous groups.

<sup>17</sup> CIA Factbook, 2015

53. Issues such as burning of sugar cane fields, burning of household wastes, improper waste disposal at landfills, increasing number of vehicles and traffic, unauthorized small-scale industrial activities, and the combustion of fuels, air quality has declined and presents a threat to human health.
54. The Government of Guyana has undertaken numerous initiatives to address socio-economic issues. One major effort is the Green Development Plan which aims to “transform Guyana’s economy to deliver greater economic and social development for the people of Guyana.” Although the Green Development Plan has replaced the Low Carbon Development Strategy, this change is largely in name only as the concept of the LCDS and national vision for sustainable development remains unchanged. Other efforts to address the country’s developmental priorities include: a) the drafting of a National Health Strategy (2013-2020) which entails the creation of an enabling framework for the integrated delivery of quality, effective and responsive health services and prevention measures to improve the physical, mental and social wellbeing of all citizens; b) implementation of the UNDP-funded Hinterland Electrification by Renewable Energy Pilot Project to develop the capacity of Amerindian communities for use of renewable energy; and c) National Energy Strategic Plan (2014-2018) that outlines the Guyana Energy Agency plans and actions for sustainable energy over the five-year period.
55. Guyana’s forests are considered an integral part of the Guyana Shield. Approximately 86% of Guyana’s total land area is still forested. Guyana’s biodiversity includes approximately 8,000 plant species and more than 1,000 species of terrestrial vertebrates. 15% of the flora species are estimated to be endemic to Guyana. While deforestation rates are low, Guyana’s species are still facing threats. The 2015 IUCN Red List states that Guyana has six critically endangered, nine endangered, and 49 vulnerable animal species.
56. Gold mining has become the most prominent pressure on forests. Besides deforestation, its impacts include the removal of topsoil and the pollution of watercourses. Mining has historically been, and remains, a threat to forests, soils and water in Guyana. Other factors that contribute to deforestation in Guyana are the conversion of forest for agricultural activities, infrastructure development such as roads, and fires.
57. Key land degradation issues Guyana is facing are floods, droughts, salt water intrusion and natural resource utilization in mining, forestry and agriculture<sup>18</sup>. Flooding is particularly problematic for Guyana. A flood in 2005 resulted in damages estimated at 59% of Guyana’s gross domestic product (UNEP, 2010). Recurrent floods along the Coast continue to negatively impact the livelihoods, health, and well-being of citizens<sup>19</sup>.

### 2.3 Problems that the project sought to address

58. The Project Document presents a confused identification of the threats and barriers heavily relying on the 2007 National Capacity Self-Assessment (NCSA) report. While these were still relevant at the time of the Project Document’s formulation, the document itself, is weak in its description of the threats and barriers the project is intended to address. According to the Project Document the 2007 NCSA identified the following barriers:
  - limited over-arching statutory power to effectively carry out mandates;
  - inadequate institutional capacity of agencies;
  - limited human resources for environmental and natural resources management;
  - differing priorities of various Agencies.
59. The Project Document<sup>20</sup> then states that the main *institutional* barriers identified in the 2007 NCSA were:
  - Duplication of responsibilities
  - Limited financial resources
  - Limited human resources
  - Lack of equipment and other resources Limited research capacity
  - Fragmentation of available data
  - Limited stakeholder involvement
60. In the section specifically relating to barriers the Project Document provides a further, but still hard to follow, analysis of the barriers and threats:
  - “The most significant systemic barrier is the fragmented, sector-based approach to commitments under the Rio+ Conventions” (p. 25, para. 124).
  - “Another barrier that limits Guyana’s ability to achieve global environmental objectives is the silo-approach that is prevalent among national environmental agencies” (p. 25, para.125).

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<sup>18</sup> UNEP. (2010). National Environmental Summary.

<sup>19</sup> Source: Project Document.

<sup>20</sup> Project Document, p. 11, para. 39

- *“Further complicating this barrier is inadequate capacity to execute coordinated actions. When inter-institutional cooperation exists, the lack of skilled manpower combined with inadequate funding limits coordinated actions regarding the Conventions”* (p. 26, para. 127).
- *“At the institutional and systemic levels, inadequacies in legal and regulatory frameworks present major hindrances to meeting environmental obligations”* (p. 26, para. 128).
- *“A more recent barrier is the uncertainty of roles. The recent institutional and personnel changes for natural resources management and climate change resulted in uncertainty about the policy direction for coordination on climate change”* (p. 26, para. 129).
- *“Another barrier relates to data availability. Currently, there is poor management of data and information in Guyana”* (p. 26, para. 130).
- *“Finance is a challenge that is faced by many countries, and Guyana is no exception”* (p.26, para. 131).
- *“Barriers related to public stakeholders include low public awareness and education on issues related to the Rio Conventions, and the resulting limited public sector resources to allow effective retention of skills needed for managing the Rio Conventions on biodiversity and land degradation”* (p. 26, para. 132).
- *“Finally, limited monitoring and irregular enforcement of regulations presents another barrier for Guyana”* (p. 26, para. 133).

61. While the presentation may be an issue of style, the barrier analysis makes it hard to understand the barrier, the cause and effect relationships and therefore to identify a particularly component of the project’s strategy to addressing a specific barrier; it lacks clarity.

#### 2.4 Immediate and development objectives and expected results

62. The Project Document is confusing. It has a “long-term goal”: *To strengthen a set of important capacities for Guyana to make better decisions to meet and sustain global environmental obligations obligations [sic].*

63. However, within the SRF of the Project Document it describes the project’s objective as:

- To strengthen technical capacities for mainstreaming and monitoring the achievement of Rio Convention objectives.
- To update the National Capacity Self-Assessment (NCSA)<sup>21</sup>.

#### 2.5 Expected results

64. The project has four components:

**Component/ Outcome 1:** Strengthening institutional capacities to mainstream and monitor Rio Convention implementation through development policies, programmes and plans.

**Output 1.1:** Assessment of policy framework and institutional arrangements for mainstreaming and monitoring of Rio Convention implementation.

**Output 1.2:** Formulate by-laws and operational guidance to mainstream Rio Conventions into policies.

**Output 1.3:** Undertake targeted institutional reforms for Rio Convention monitoring and mainstreaming.

**Output 1.4:** Strengthen an institutional mechanism for the long-term monitoring of Rio Convention implementation.

**Output 1.5:** Resource mobilization strategy.

**Output 1.6:** Test the mainstreaming and monitoring exercises through a high value programme and/or plan.

**Component/ Outcome 2:** Strengthening technical capacities for mainstreaming and monitoring Rio Conventions.

**Output 2.1:** In-depth assessment of technical skills and know-how needed to integrate Rio Conventions into policies, programmes, and plans.

**Output 2.2:** Training programme and material.

**Output 2.3:** Training on analytical skills and methodologies to mainstream and monitor Rio Convention implementation.

**Output 2.4:** Improving awareness of global environmental values.

**Component/ Outcome 3:** Improving awareness of global environmental values.

**Output 3.1:** Stakeholder dialogues on the value of Rio Conventions.

**Output 3.2:** Brochures and articles on the Rio Conventions.

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<sup>21</sup> These are essentially outputs or even a deliverable in the case of the NCSA.

**Output 3.3:** Public service announcement on environmentally friendly behavior.

**Output 3.4:** Improved educational curricula and use in classes.

**Component/ Outcome 4:** Updating of the National Capacity Self-Assessment.

**Output 4.1:** Updated assessments of capacity challenges to meet and sustain Rio Convention obligations, building upon GEF focal area enabling activities.

**Output 4.2:** Capacity Development Strategy and Action Plan.

65. A fifth component was included for project management.

66. The Project Document does not define any recognisable outcomes. Indeed, the Project Document is unusually weak in defining the intervention and expected results to the point that; it is hard to determine just what the project was to achieve, at least from the perspective of monitoring and evaluation. The important point being, with a small budget, limited period for implementation, and without very clear objectives and outcomes, the project design needed to be very clear and concise with regards the logical hierarchy of activities, outputs, outcomes and objectives. Furthermore, the selection and phrasing of indicators was very weak. Without this clarity there were considerable risks that things could go wrong or that external events could very easily derail the project.

*“At the end of the project, an institutional mechanism will have been strengthened to more effectively access and create new knowledge that reconciles and institutionalizes global environmental priorities within national sustainable development priorities. This project will have strengthened and helped institutionalize commitments under the Rio Conventions by demonstrating practicable and cost-effective approaches to better information management, monitoring, and decision-making to increase delivery of global environmental benefits. In addition to the installation of the integrated EIMMS and training on its use, the project will help institutionalize this system by demonstrating its value and financial sustainability to stakeholders, as well as facilitating the appropriate legislative and institutional reforms.*

*While the objective of this project is about making better decisions and taking better actions for the global environment through the pursuit of sustainable development, this project will produce additional co-benefits. The capacities strengthened under the project will help Guyana to improve their national reporting to the three Rio Conventions, as well as to other multilateral environmental agreements of which Guyana is signatory as well as on the Millennium Development Goal 7”<sup>22</sup>.*

67. The normal logical hierarchy of activities, outputs, outcomes and objective are not clearly stated and various anticipated benefits are mixed up creating an ambiguity from which it is difficult to describe an expected critical pathway for the project. An analysis of the expected results is provided in section 4.2.

## 2.6 Main stakeholders

Table 3 Project Document stakeholder assessment

Stakeholder	Mandate	Possible roles in project execution
Ministry of Natural Resources	Oversee policy coordination of the various environmental agencies, and institutions (EPA, GGB, GGMC, GFC, PAC, GLSC and WMA) except the OCC.	As the executing government agency, MNR will be responsible for overall implementation of the project and establishment of the EIMMS.
Government Agencies and Institutions	These include bodies with particular mandates for Guyana’s natural resources and environment or bodies whose work impacts the environment. Further information is found in paragraphs <b>Error! Reference source not found.</b> to <b>Error! Reference source not found.</b>	<ul style="list-style-type: none"> <li>• Participation in capacity building working group meetings</li> <li>• Contributions to capacity needs assessment</li> <li>• Participation in policy and finance core team</li> <li>• Participation in high-level policy dialogue events</li> <li>• Participation in national stakeholders’ fora</li> <li>• Contribution to identify type and format of environmental information</li> <li>• Contribution to the determination of appropriate environmental information channels and flow</li> <li>• Contribution to national level Rio Convention mainstreaming</li> <li>• Contribution to national level long-term mainstreaming strategy</li> <li>• Beneficiaries of mainstreaming activities</li> <li>• Beneficiaries of awareness raising and skill development activities</li> </ul>

<sup>22</sup> Project Document p. 45, para. 169 - 170

Stakeholder	Mandate	Possible roles in project execution
Provincial and Local Government	These stakeholders are responsible for planning, development, and implementation at the community levels. They work closely with the NGOs and CBOs.	<p>Their roles would be to support the implementation of the project at the local levels. They can support the project activities and also benefit from the project capacity building activities.</p> <ul style="list-style-type: none"> <li>• Participation in national stakeholders' fora</li> <li>• Participation in learning networks</li> <li>• Participation in learning activities</li> </ul>
NGOs	These would include organizations active in project landscapes, such as Conservation International, World Wildlife Fund, the Guyana Marine Turtles Conservation Society, and the Guyana Amazon Tropical Birds Society.	<p>Their roles would be to work in collaboration with MNR to implement activities of the project. Additionally, they can be potential financial or technical partners, providing needed data and information and at the same time benefit from the project</p> <ul style="list-style-type: none"> <li>• Participation in learning events</li> <li>• Participate in developing strategy for replication and up-scaling of</li> </ul>
Private Sector	Development project proponents and investors whose operations are regulated by the EPA, in terms of environmental management. These stakeholders are among the main users of ecosystem services	<p>They can be potential financial and technical partners, and sources of data and information.</p> <ul style="list-style-type: none"> <li>• Participation in national stakeholders' fora</li> <li>• Participation in learning events</li> </ul>
Academia and Research Institutions	These centres of knowledge creation offer important comparative advantages of providing new data and information for better planning and decision-making to protect the global environment. These organizations include the University of Guyana and Centre for the study of Biological Diversity	<ul style="list-style-type: none"> <li>• Repositories of environmental data and information, and creators of knowledge</li> <li>• Participation in learning events and national stakeholder fora.</li> </ul>
Indigenous People	These include a range of social actors that promote the interest of indigenous people such as the National Toshao Council, North Rupununi District Development Board, and South-Central People's Development Association	<ul style="list-style-type: none"> <li>• Participation in national stakeholders' fora</li> <li>• Participation in learning events</li> </ul>
Coastal populations (rural communities)	This includes individuals who face the greatest threat from the negative impacts of climate change and flooding	<ul style="list-style-type: none"> <li>• Participation in national stakeholders' fora</li> <li>• Participation in learning events</li> </ul>
Gender	These include a range of social actors that serve to promote the interest of gender, such as the Guyana Women and Gender Equality Commission, Women Affairs Bureau, and Men Affairs Bureau	<ul style="list-style-type: none"> <li>• Participation in national stakeholders' fora</li> <li>• Participation in learning events</li> </ul>

## 2.7 Theory of change

68. The original Project Document was written prior to GEF guidelines requiring a Theory of Change (ToC) as an integral part of developing the project intervention strategy. Page 47 of the Project Document provides a figure which might describe the anticipated project pathways and is provided below in Figure 1, but this is confusing. The TE has attempted to retrofit a ToC (Figure 2). However, given that the Project SRF does not provide adequately phrased outcomes, outputs and indicators, the retrofitted ToC carries the assumption that this was the intention of the design.

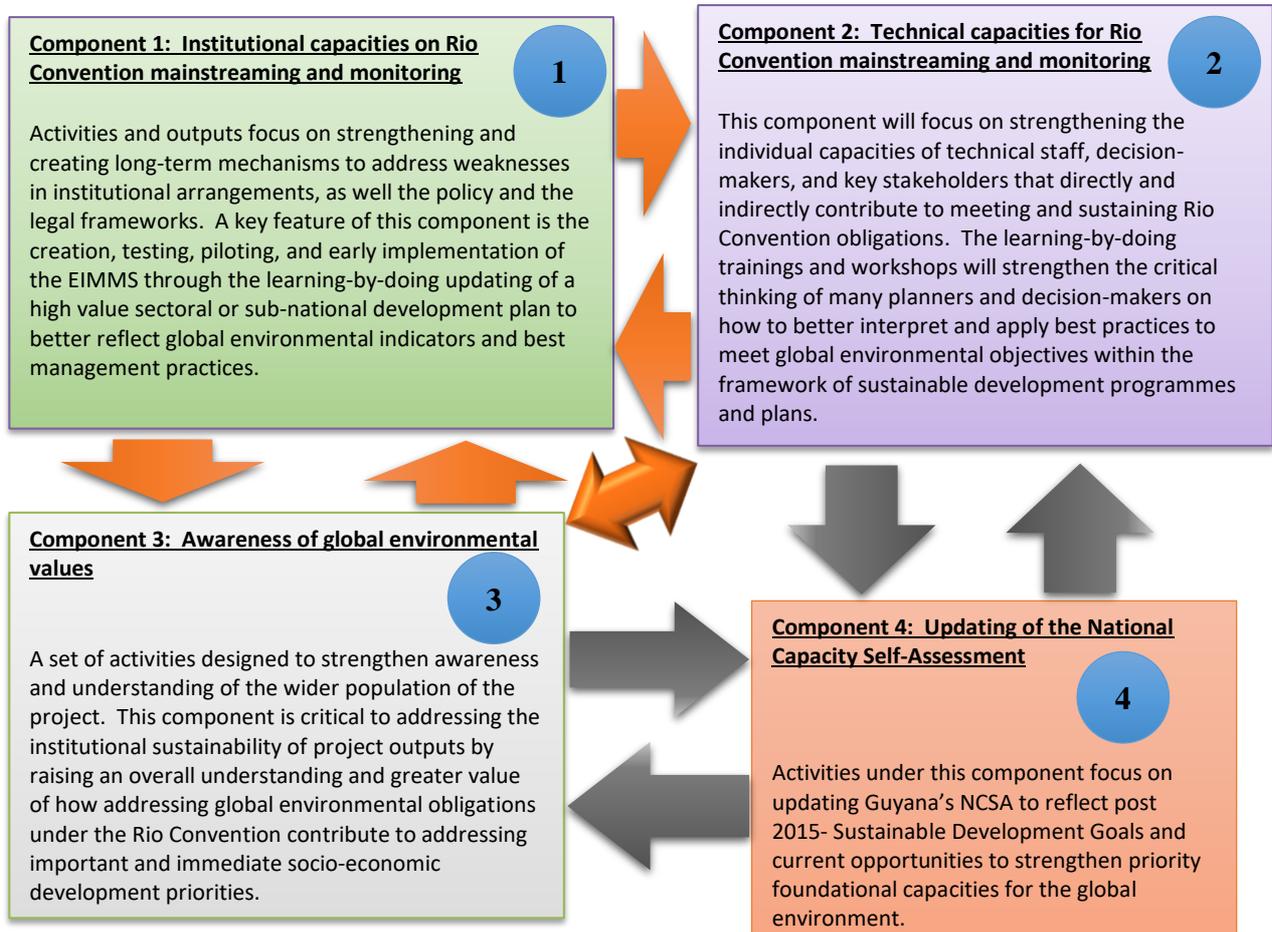
69. The essential distinctive elements of ToC compared to other approaches in project planning and management<sup>23</sup> are to:

- identify specific causal links among outputs and outcomes, with evidence;
- describe the causal pathways by which interventions are expected to have effect, and identify indicators to test their validity over time, and;
- be explicit about assumptions about these causal pathways, which includes an analysis of barriers and enablers as well as indicators of success.

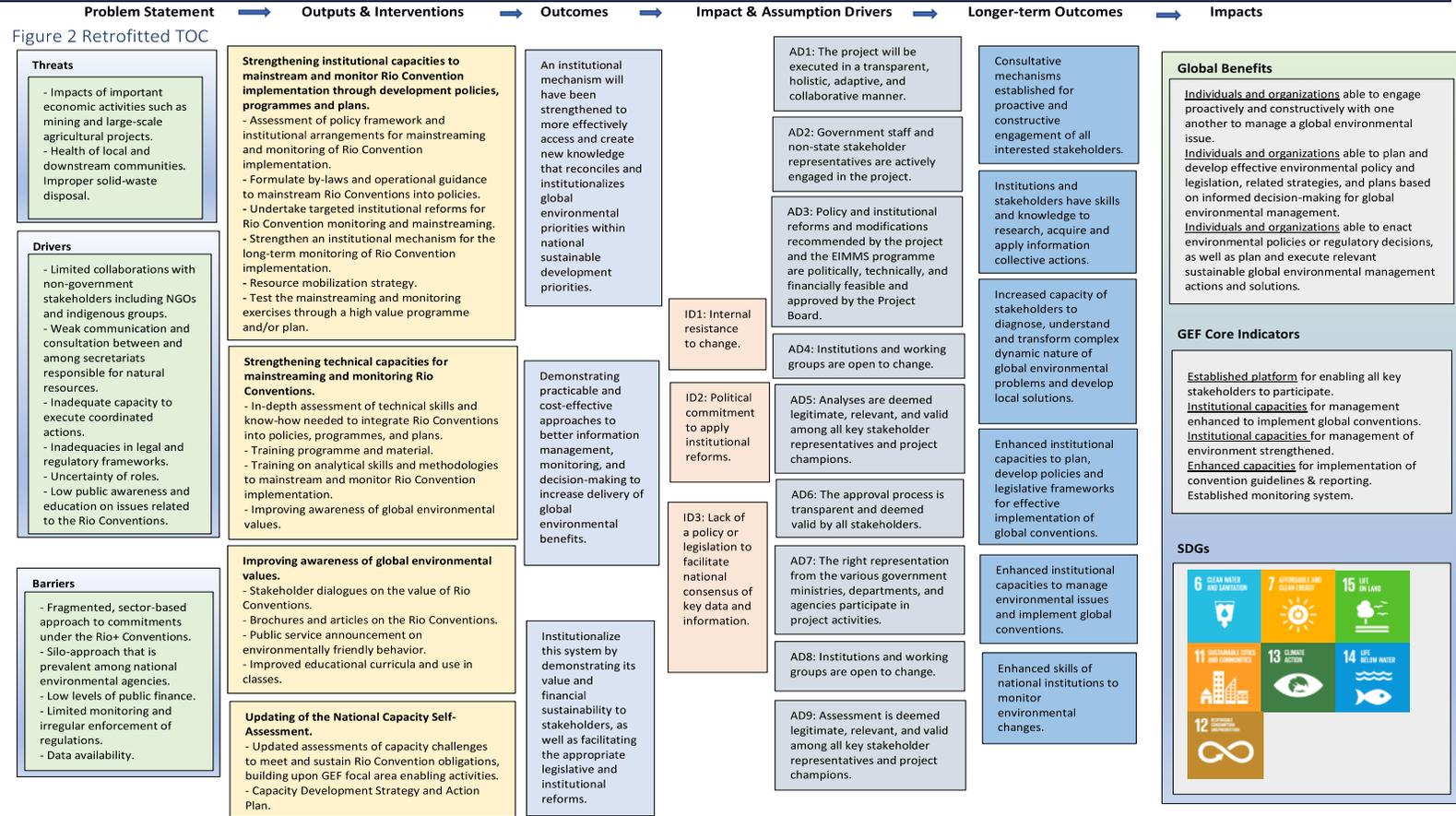
<sup>23</sup> Theory of Change Primer A STAP document, December 2019

70. A TOC is useful, in this sense, because it sets out the causal pathways from intervention through to the long-term impacts as well as identifying the key drivers shaping the system. A more detailed account of its use is given in the Scientific and Technical Advisory Panel (STAP) guidelines.

Figure 1 Overview of the project's components



Long-term goal to strengthen a set of important capacities for Guyana to make better decisions to meet and sustain global environmental obligations.  
 Project objectives: i) to strengthen technical capacities for mainstreaming and monitoring the achievement of Rio Convention objectives and ii) to update the National Capacity Self-Assessment (NCSA).



## 3.0 Findings

### 3.1 Project formulation and design

71. The strategy, set out in the Project Document, is confusing. It is clear that the project intended to facilitate data sharing and to update the NCSA report, raise awareness of the Rio Conventions, build capacity amongst key agencies and other stakeholders. However, document itself is at times confusing and difficult to understand<sup>24</sup> in a way that can be easily translated into project implementation and provide a framework for monitoring and evaluation. The GEF guidance for CCCD projects is provided for GEF 5<sup>25</sup> and GEF 6<sup>26,27</sup> and the project strategy does appear to align with these; albeit after several readings. However, in terms of a guiding strategic document; it lacks clarity and coherence, an observation which was repeated by a number of key informants who stressed that the Project Document was difficult to follow.
72. Within the narrative of the Project Document it is possible to identify GEF 6 Strategic Objectives:
- CCCD-1: To integrate global environmental needs into management information systems and monitoring.
  - CCCD-2: To strengthen consultative and management structures and mechanisms.
  - CCCD-3: To integrate MEAs' provisions within national policy, legislative, and regulatory frameworks.
  - CCCD-4: To pilot innovative economic and financial tools for Convention implementation.
  - CCCD-5: Updating of NCSAs.
73. However, this does not translate to the project's SRF, which is the projects primary adaptive management and monitoring and evaluation tool and there are expectations in the Project Document which do not appear in the SRF in a meaningful way and neither are they supported in the budget available suggesting that the design was formulaic in nature<sup>28</sup>. For instance:

*"The innovativeness of this project stems from its strategy of engaging stakeholders from the local level to the top decision-making level. The transformative nature of this project rests largely on negotiating coordination and collaboration agreements among agencies and non-state stakeholders to share data, information, and knowledge. The project seeks to facilitate improved collaboration and engagement of stakeholders with comparative expertise and knowledge that is intended to yield better quality data, information and knowledge to apply best practices. The ability of the project to transform the current culture of competitiveness among government agencies and non-state stakeholders is expected to facilitate greater validity and legitimacy of the policy and decision-making"<sup>29</sup>.*

74. Sits incongruously alongside:

*"The cost-effectiveness of the project is first exemplified by the relatively low project management costs, which are estimated at US\$ 218,100 over the 48 months of implementation, and that are financed by the GEF, UNDP and Government. This low cost is attributed to the expectation that over the course of the project's implementation, partner organizations with comparative advantages in particular project activities will be recruited to carry out particular activities. Examples are the National Center for Educational Resource Development on training, Iwokrama that has good ties with local communities and indigenous peoples, and the Private Sector Commission that plays an important role in supporting the active engagement of the private sector in public development projects"<sup>30</sup>. This allows for the project*

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<sup>24</sup> Both in its content, attention to detail and quality. For instance, the Table of Contents is not updated with a mismatch with the actual page numbers, sentences remain unfinished and there is a "Men Affairs Bureau" mentioned (p. 7) among other notable errors in the document.

<sup>25</sup> GEF-5 Focal Area Strategies, The Global Environmental Facility, pp. 99 - 107

<sup>26</sup> GEF-6 PROGRAMMING DIRECTIONS, (Extract from GEF Assembly Document GEF/A.5/07/Rev.01, May 22, 2014), and <https://www.thegef.org/sites/default/files/events/CCCD%20Presentation%20Nov%202016.pdf>

<sup>27</sup> Undated, Monitoring Guidelines of Capacity Development in GEF Operations, Capacity Development Initiative, Global Support Programme, National Capacity Self-Assessment.

<sup>28</sup> There are very similar Project Documents for similar CCCD projects in Ukraine, Solomon Islands, Costa Rica, Tajikistan and Jordan. An online GEF presentation mentions 5 more projects: Cote d'Ivoire, Burkina Faso, Togo, Sri Lanka and Afghanistan

<sup>29</sup> Project Document, p. 6, para. 9.

<sup>30</sup> This also contradicts the results of the interview where this interviewee provided feedback of limited or minimal

*to recruit a part-time project coordinator and part-time project assistant to coordinate project activities*<sup>31</sup>.

75. Given that these expectations would require considerable changes in institutional cultures, policies, regulatory instruments, and operational practices, the project was always going to need strong leadership from a substantive and technically experienced Project Manager, skilled in very high-level communication and with considerable authority to drive change and build coalitions of interest. A part time and diffuse management structure was unlikely to achieve these expectations.

### 3.2 Analysis of results framework

76. Section 2.6 describes the ToC and notes that this project was designed before it was mandatory to include a ToC in the PPG phase. However, Figure 2 provides a retrofitted ToC. As stated above, the project aims are clear: strengthen institutional capacities to mainstream Rio Conventions, strengthen technical capacities, improve awareness of global values, and update the NCSA report. However, it lacked realism in terms of driving change across a range of agency and institutional stakeholders. It was noted in section 3.1 that there were a number of other very similar Project Documents in existence and this Project Document has a generic feel to it. For instance, it relies to a large extent on Consultant reports and Working Groups to drive changes across a range of different institutions and agencies as well as non-state actors, which the Project Document identifies as being insular; *“another barrier that limits Guyana’s ability to achieve global environmental objectives is the silo-approach that is prevalent among national environmental agencies”*<sup>32</sup>. There was a high likelihood that these very same institutional cultures and working practices described in the Project document would persist resulting in bureaucratic<sup>33</sup> and inherently conservative approach leading to an inertia in creating the necessary changes.
77. Furthermore, in terms of project strategy that is; the means to translate these into a set of discrete activities leading to outputs, how the outputs would add up to outcomes and how those outcomes contributed to the objective is vague. The SRF has a “long-term goal”, two objectives, five components (including “project management”), four outcomes (components), and sixteen outputs. The outcomes are identical to what are termed components (except Project Management). Apart from four poorly articulated objective indicators (actually two outputs and two deliverables), the stated outcomes are measured through output indicators which are themselves poorly worded and resembling either deliverables or activities. In effect, there are no outcome indicators which is problematic because the TE assesses performance and impact based upon the outcome-level indicators.
78. The SRF was unnecessarily complicated and confusing. Notwithstanding the quality of the indicators selected, it had 4 objective-level indicators, no outcome-level indicators and 61 output-level indicators<sup>34</sup>, 46 baselines and 126 targets. The SRF runs to 20 pages in the Project Document (pp. 99 – 118). To add to this perplexing list; there are 54 risks and assumptions – none of which are carried through to any discernible risk register and some of them might be considered “killer assumptions<sup>35</sup>”. Many of these are repeated sufficient times across the SRF that they should have triggered specific and explicit mitigating strategies. Annex 13 provides the risks and assumptions extracted from the SRF.
79. Furthermore, the SRF reads more as a set of discrete instructions or complicated workplan, rather than a tool to understand if the project is a) performing and, b) having the predicted impact. Matching “indicators” to base lines and subsequent targets is not possible with any clarity as most “indicators” appear to have multiple baselines and targets, even if one refers back to the project strategy. Even then the baselines and targets are hard to match to the indicators as they appear to be shared. For instance, the output 1.3

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engagement with the project suggesting that ownership, in these fields, was lacking from the inception as they were also listed as a key stakeholder in the design of the project.

<sup>31</sup> Project Document, p. 60, para. 254.

<sup>32</sup> Project Document, p. 25, para. 125

<sup>33</sup> This was mentioned by a number of respondents during interviews, noting that the process was very controlled, there was little feedback and each subject area specialist commented on their area but there appeared to be little cross-cutting interactions.

<sup>34</sup> Including one which just reads “Formulated and...”, Output 1.2, p. 101.

<sup>35</sup> An assumption which, if it doesn’t hold true, would critically and catastrophically threaten the project’s outcomes. For instance; “internal resistance to change” – something that should have been explicitly recognised with targeted activities to mitigate the risk/assumption.

indicator has three baselines and nine targets. This would make it extremely difficult for project management (PMU), project oversight (Project Board) and project assurance (UNDP) to periodically assess the performance, progress and impact of the project.

### 3.2.1 Indicators

80. The four objective-level indicators<sup>36</sup> are either outputs or deliverables. Furthermore, the wording of the indicators is incorrect as they contain adjectives such as “strengthened”, “improved” and “updated”. Arguably, they might be describing an outcome, but as indicators they lack utility and are not fit for purpose. In the case of component / outcome 4 the indicator, target and outcome are the same thing.
81. In terms of implementation and adaptive management the project’s SRF would likely result in a very output-driven approach to project management with a focus on deliverables and not outcomes.

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<sup>36</sup> The SRF is further confusing because the space normally reserved for objective indicators is filled with what are termed “outcome indicators”. However, these are not allocated to components or indeed specific outcomes, notwithstanding the quality of the phrasing of the indicator.

Table 4 SMART analysis of indicators

Indicator	End-of-Project Target	TE SMART Analysis					TE Comments
		S	M	A	R	T	
Objective: To strengthen technical capacities for mainstreaming and monitoring the achievement of Rio Convention objectives. To update the NCSA.							
Strengthened environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions	There is an increase in the appreciation and awareness of the Rio Conventions among technical staffs in and outside of the government as well as the general public  Rio Convention obligations are being better implemented through an integrated system of data and information management	Q	Q	Q	Q	Q	The indicator and the target are the same and both are very similar to the component or outcome 1; <i>Strengthening institutional capacities to mainstream and monitor Rio Convention implementation through development policies, programmes and plans.</i> By way of a metaphor, this was the equivalent of monitoring fuel consumption on an aeroplane journey by checking whether the engines were running or stopped. Furthermore, the indicator includes adjectives: “strengthened”.
Institutional and technical capacities are strengthened for enhanced to create knowledge and mainstream Rio Conventions within national development frameworks	Increased capacity within relevant stakeholder groups to handle data and information relevant to the Rio Convention	Q	Q	Q	Q	Q	As above; component or outcome 2; <i>Strengthening technical capacities for mainstreaming and monitoring Rio Conventions.</i>
Improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives	There is an increase in coordination between government groups and other stakeholders	Q	Q	Q	Q	Q	There does not appear to be a logical connection between the indicator, target and the component or outcome 3 <sup>37</sup> ; <i>Improving awareness of global environmental values.</i>
Updated NCSA Action Plan and Final Report	NCSA Action Plan and Final Report updated	Q	Q	Q	Q	Q	Component or outcome 4; <i>Updating of the National Capacity Self-Assessment.</i> Indicator and target share the same words but in a different sequence and the component/ outcome and are essentially the same as the component/ outcome.

SMART: Specific, Measurable, Attributable, Relevant, Time-Bound

Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria

<sup>37</sup> Assuming that this indicator is associated with outcome 3.

### 3.3 Assumptions and risks

82. There was no specific risk log provided in the Project Document. Section C.3.c<sup>38</sup> provides a narrative account of the risks and assumptions identified during the project's design but doesn't rate their impact or likelihood in any meaningful way because they are poorly articulated and prioritised. This is not particularly helpful to the PMU, Implementing Agency, Project Board and UNDP. These are repeated in the SRF in various forms along with the assumptions. This makes it hard to evaluate and hard for the PMU and UNDP to track throughout the project cycle. The risks identified in the Project Document have been placed in a standard table by the TE, it is important to note that this was not the case in the Project Document<sup>39</sup> which did not present risks in a tabular format and the TE has provided ratings where these were not given in the Project Document. The risks provided in the Project Document were not included in the PIR until 2019.
83. The 2020 Covid-19 pandemic could not have been foreseen but was added to the PIR in 2020, 2021 and mitigation measures were put in place as much as practicable.
84. Four risks identified in the Environmental and Social Review Criteria<sup>40</sup> were not carried through to the project risk log, ATLAS or the PIRs:
- Low Risk 1: There is likelihood that the project would exclude potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them.
  - Moderate Risk 2: Duty-bearers may not have the capacity to meet their obligations in the project.
  - Moderate Risk 3: There a risk that rights- holders do not have the capacity to claim their rights.
  - Moderate Risk 4: There has been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned.
85. Considerable attention was given, in the Project Document, to the issue of capacity building and the capacities for absorption at the agency level. However, this was not "flagged" as a risk and no mitigation, except perhaps the "learning-by-doing" workshops upon which the Project Document, and a number of other very similar Project Documents placed so much store.

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<sup>38</sup> Project Document, p. 63, para. 209 - 216

<sup>39</sup> The TE has extracted from the narrative (verbatim) the risk rating and any mitigation measures as presented in the Project Document.

<sup>40</sup> Project Document, Annex 5, p. 140

Table 5 Risk analysis

Risk in Project Document	Rating	Mitigation in Project Document	TE comment
<i>"Additionally, due to the recent changes in government...,"...</i>	High (TE) Not rated in PD	<i>"...during the project implementation, a working group will be established to further analyze and define risks and assumptions".</i>	This risk was not developed and describe. It was not logged in the ATLAS Risk Register (at least in the PIR) until 2020 and subsequently appears in the 2021 rated Substantial. The risk of institutional restructuring- as a risk relevant in most GEF projects - was not articulated as such in the PD. In the event, the transfer of the PMU to the EPA provided a degree of mitigation along with the cancellation of a number of project activities and a focus on the EIMMS and NCSA report.
<i>"Perhaps the most important risk to the project is institutional agreements and arrangements of coordination, cooperation, and collaboration among agencies, commissions, the Office of Climate Change, and other ministries. Currently, there is limited sharing of information or collaboration among ministries and agencies. This is particularly evident in the environment sector where many stakeholders' mandates overlap and their objectives conflict".</i>	Substantial (TE) Not rated in PD	<i>"This risk is moderated by the existence of the Multi-Stakeholder Steering Committee, which enjoys important commitments. However, this body is focused on the LCDS and its mandate and membership may require reorienting. This risk is also diminished by the project's strategic design to involve diverse stakeholders in workshops to increase cooperation and undertake select institutional reforms to increase coordination".</i>	"Perhaps" and "important" are not useful risk ratings. This risk was always going to be substantial given the situational analysis in the Project Document and mitigating it was critical to the project's outcomes and would have required specific interventions and arguably more than the establishment of Working Groups. Mitigation would have necessitated a facilitation tool or exercise run at a high level of decision-makers to drive the changes to institutional cultures and working practices (e.g. Scenario Planning or Horizon Scanning, etc.). The risk does not appear in the PIR. The Multi-Stakeholder Group did not have an active role in the project and yet this project was intended to drive institutional changes. Establishing additional working groups to those that are already established carries a high risk that the participants would not have the authority to drive changes through at this level.
<i>"Another significant risk lies in agencies, commissions, and ministries' willingness to change their internal business models, specifically in line with recommendations that better integrate Rio Convention obligations. This internal resistance to change is a natural human condition and reflects people's comfort with known policies and procedures".</i>	Substantial (TE) Not rated in PD	<i>"However, the basis for this project is that these policies and procedures could be improved. The activities of this project were strategically selected and designed to take into account these existing "business-as-usual" approaches, and to facilitate a process by which they could be improved incrementally. Most, if not all, of the activities under this project call for such incremental modifications to be made. These will not be dictated by external expertise, but rather facilitated by experts and independent advisors in order that stakeholders discuss and come to consensus agreements themselves. This approach serves to strengthen the ownership and</i>	This is poorly articulated in the Project Document. In fact, this risk is substantial and related, if not the same as, to the previous risk. Mitigation would have required a high-level decision-making body, possibly giving considerably more weight to the PB to address the need for a multi-agency collective approach and common vision for the project. The risk does not appear in the PIR.

		<i>legitimacy of the decisions reached in these stakeholder consultations, workshops, or other project exercises. For this reason, the project makes the implicit assumption that stakeholders will give the benefit of the doubt to the design of the project activities, be open to new and opposing perspectives, and actively participate in the project to negotiate issues and recommendations towards a consensus. Additionally, one of the aims of the project is to help raise awareness and understanding of Rio Convention mainstreaming”.</i>	
<i>“Related to the risk of political commitment is a risk that some stakeholders will express concern that this CCCD project (and any project that does not fall under the LCDS) will be a distraction to their work”.</i>	Moderate (TE) Not rated in PD	<i>“This project will help minimize this risk by investing time to engage key stakeholders on the value of the project during the PPG phase. The MNR will consult with the Office of Climate Change in the Office of the President, as well as convene a special meeting of the Multi-Stakeholder Steering Committee”.</i>	The risk does not appear in the PIR. It is unclear just how much time was invested during the PPG phase, however, the project activities were likely to place a considerable time and work burden on Civil Servants and this likely manifest itself in the need to create a fulltime PMU and to pay sitting allowances for the Members of the Working Groups, as such it was a risk with considerable financial implications for the project. The risk does not appear in the PIR. Furthermore, it would affect the MoAs and the approach taken to secure these as well as the clarity of MoA and which agency the MoA would have been signed with given that the then DoE had no legal standing or power other than its political power.
<i>“Also contributing to risks of deficient political commitment are financial concerns. Given that project results emerge through external financing and support, key project results must be sufficiently institutionalized if the larger outcomes are to be sustainable. There may be insufficient commitment to implement project recommendations for post-project activities. A main reason for this is that they may be relatively low commitment to institutionalize some project result in the absence of new external financing”.</i>	Substantial (TE) Not rated in PD	<i>“For this reason, the project includes a specific output on resource mobilization to address the issue of financial sustainability. Another project design feature to address this issue is that the demonstrated value of the project may strengthen the Government’s greater appreciation of the recommendations, and therefore more likely to support their approval for post-project implementation”.</i>	Not reported in the PIR. The donor roundtable was cancelled in the 2020 PIR. The risk does not appear in the PIR. Risk remains.

<p><i>“Another facet of financial risks is general financial limitations. This risk is moderate given that cash co-financing may be limited, taking into account that donors are currently vested in climate change issues under the LCDS”.</i></p>	<p>Moderate (PD)</p>	<p><i>“In order to minimize the risk of limited financial resources, the project includes a resource mobilization strategy. Additionally, during the PPG phase, consultations were undertaken to identify potential sources of co-financing. This risk is moderate given that cash co-financing may be limited, taking into account that donors are currently vested in climate change issues under the LCDS”.</i></p>	<p>Substantial (TE). Given that the PMU was fulltime and reportedly<sup>41</sup> running over budget for the first two years of operation this was a substantial internal risk to the project’s operating capacity. The risk does not appear in the PIR.</p>
<p><i>“Another risk is high staff turnover due to emigration”.</i></p>	<p>Substantial (TE) Not rated in PD</p>	<p><i>“In order to minimize the risk of staff turnover and loss of institutional memory, the many stakeholder engagement exercises of the project are designed to engage a large number of government staff and other stakeholder representatives. This is intended to come as close as possible to the minimum baseline level of shared understanding and knowledge on critical global environmental issues and best practices”.</i></p>	<p>The TE questions the benefits, given the limited resources of the project, in trying to reach such a large number of stakeholders (700 unique stakeholders<sup>42</sup>). It may have been more cost-effective and less risky to focus on a small number of key high-level decision-makers to address issues of <i>intra</i> and <i>inter-agency</i> governance at a level where turnover was less likely and decisions could be made. The risk does not appear in the PIR.</p>
<p><i>“Finally, a risk to project objectives is the potential resistance from politically entrenched sectors that have considerable influence in Guyana. This risk is distinct from internal resistance to change. The resistance underlying this risk is due to stakeholders’ goals, priorities, and relative power”.</i></p>	<p>Substantial (TE) Not rated in PD</p>	<p><i>“This project makes the assumption that line ministries, agencies, and other relevant government authorities will avail themselves of key representatives to the development of the EIMMS and other reforms, as well as to training and public awareness activities. The consultations undertaken to develop the project, as well as the participatory approach of the project will minimize the risk of non-stakeholder participation”.</i></p>	<p>The TE considers that this assumption was wrong and should have been linked to the financial resources available to the project and this was borne out by the high PMU costs and the need to pay sitting allowances for the Working Groups. This risk was always going to be substantial given the situational analysis in the Project Document and mitigating it was critical to the project’s outcomes and would have required specific interventions and arguably more than the establishment of Working Groups. Mitigation would have necessitated a facilitation tool or exercise run at a high level of decision-makers to drive the changes to institutional cultures and working practices (e.g. Scenario Planning or Horizon Scanning, etc.). The risk does not appear in the PIR.</p>

<sup>41</sup> Reportedly in the PB Minutes of Meetings but in the CDR and General Ledger Expenditures this does not appear to be the case except in 2018.

<sup>42</sup> Project Document, p. 6, para. 11.

### 3.4 Lessons from other relevant projects

86. The Project Document does not mention any other relevant projects that might have shaped the design of this project. However, the TE has already noted that there appears to be a suite of similarly designed projects (see section 3.1) and that the design has the appearance of being formulaic in nature.
87. It does list a number of projects<sup>43</sup> which are either directly related to the CCCD project or are broadly supportive. However, it does not articulate any reasonable collaboration or coordination plan. The mentioned projects, some of them with Focal Points in participating agencies are not mentioned in the PB minutes, there are no co-financing linkages and they were not mentioned by key respondents during interviews (Annex 15 provides a description of the linked projects discussed in the Project Document). The reasons for this may be several: some of these projects had ended by the time the project was implemented, it may reflect a generic approach in the writing of the Project Document and, it may reflect a weakness in the PMU to reach out and integrate the CCCD project within the framework of other ongoing sector projects.

### 3.5 Planned stakeholder participation

88. The Project Document gives the impression of a broad participation in the project design; *“The PPG Mission took place between 17 and 21 August 2015 and included individual consultations. These consultations served to engage participants (i.e., stakeholder representatives from state authorities, academia, non-governmental organizations, and the private sector) on their expectations of the project and to initiate in earnest a transparent and collaborative approach to project design. A total of 34 individuals (representing 13 institutions) provided information on issues they considered relevant to the project design. The meetings provided important context to national environmental priorities and constraints”*<sup>44</sup>.
89. However, the Project Document is at times confusing and verbose<sup>45</sup>, making it hard to understand exactly what was being planned. The approach placed great emphasis on *“taking an adaptive collaborative management approach to execution”* without ever describing or providing any real innovative guidance on exactly what a “collaborative adaptive management approach” would entail.
90. It would appear to be the case that; this would rely heavily upon the Technical Working Groups and Policy Dialogue Groups<sup>46</sup>. In which case, there was a very real risk that this intended broad stakeholder participation would become bureaucratic in nature and possibly; even partisan, in defending individual stakeholder interests as opposed to addressing an adaptive change (see Annex 12 for a comparison between adaptive and technical changes). Something which would be necessary to mainstream the three Rio Conventions within sectors policies, planning and working practices; given that the Rio Conventions have at their heart, system resilience and; *“resilience is determined not only by a systems ability to buffer or absorb shocks, but also by its capacity for learning and self-organisation to adapt to change”*<sup>47</sup>.
91. In addition to overlooking the likelihood that participation would place considerable strain on stakeholders, especially civil servants, this may be why payment of “stipends” or “sitting allowances” were necessary to stimulate stakeholder participation in the Working Groups and why; when these payments were stopped in 2019, many respondents reported that Working Group attendance fell off dramatically.

### 3.6 Gender responsiveness of project design

92. Gender responsiveness in the project design is not convincing. The Project Document refers to the “GEF requirements for mainstreaming gender issues in projects”<sup>48</sup>. However, these appear to be the guidelines for incorporating gender at the GEF corporate level and not specific advice for projects. UNDP has considerable guidance on project gender responsiveness, therefore it seems strange that the design referred to corporate-level guidelines.

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<sup>43</sup> Project Document, pp. 80 - 82

<sup>44</sup> Project Document, p. 64, para. 218

<sup>45</sup> For instance: p. 65, para. 221 *“Taking into account the strategic complementarities of the project with other development partners and partner agencies, consultations during the project preparation phase was successful in leveraging significant the possibility of additional co-financing to be leveraged during project implementation”* – appears to be more of a vague aspiration than a firm commitment and has commonalities with the language in at least five of the other CCCD Project Documents of the time.

<sup>46</sup> Strengthening Technical Capacities to Mainstream and Monitor Rio Convention Implementation through Policy Coordination, Combined Report Policy Dialogues and Workshops. Oneil G. Greaves, Public Administration Specialist

<sup>47</sup> Gunderson, L.H. and Holling, C.S. Eds. (2002). *Panarchy: Understanding transformations in human and natural systems*. Washington, DC. Island Press.

<sup>48</sup> Project Document p. 140

93. As with some other parts of the document, it appears to lack clarity; *“This will include facilitating gender balance inclusive project will foster gender equality in environmental management and women’s empowerment and participation in environmental management”*<sup>49</sup>.
94. At most, the design was gender targeted through the disaggregation of gender in some indicators (e.g. Working Groups attendance). However, gender does not appear to have been a significant issue in the various reports produced by the project and it is not unreasonable to have expected a more analytical approach to the effects of the three Rio Conventions foci – biodiversity, climate change and land degradation – on women given that; women play an important role in the management of biodiversity and in rural circumstances women often have a high dependency on biodiversity and other natural resources for their livelihood security and its sustainable management is of real and practical concern to them. Therefore, the impacts of climate change and land degradation may be unequally felt across disadvantaged or marginalised sections of society.

### 3.7 Social and Environmental Safeguards

95. As mentioned (section 3.3), the Social and Environmental (SES) Criteria<sup>50</sup> related to indigenous people. The SES is of its time. More recently projects have been tasked with paying greater attention to the safeguarding procedures, however, at the time this project was designed there was less thought given to the process. In many ways, the SES highlights a paradox in this project; climate change, land degradation and biodiversity and the UN Conventions established for them, have very real relevance to indigenous people. However, they are arguably the least empowered stakeholders able to manage them and if the project was to address the Conventions from an indigenous peoples’ perspective then it would have required a magnitude of resources much greater than was available in the budget.
96. The SES provides an accurate and robust assessment of the social and environmental issues; however, it is hard to see where this was then incorporated into the design of the project, supporting the impression that the design was formulaic. It should also be noted that the sign off of the SES requires three signatories and two of these are the same person.

### 3.8 Project Implementation

#### 3.8.1 Implementation arrangements

97. In order to evaluate the implementation of the project it is important to document the background political and institutional changes that occurred during the timeframe of the project.
98. Implementation, as set out in the Project Document, was through a National Implementation Modality (NIM), with the MNR being the lead Executing Agency. The UNDP Country Office is the GEF Implementing Agency providing project assurance and oversight, and would also carry out procurement and human resources services<sup>51</sup> and was responsible for auditing<sup>52</sup>.
99. The Project Document also stated that the Executing Agency would assign a National Project Director (NPD) to chair the Project Board and make available its staff and network of experts to participate in all relevant project activities. The part-time Project Coordinator (PC) would be recruited to work with the National Project Director to oversee the implementation of project activities by project partners. A Project Assistant (PA) was to be recruited on a part-time basis to support the implementation and coordination of project activities. While the PC would work out of the MNR’s offices, the PA would be based in the UNDP Country Office.
100. The project Inception Workshop was held in 2016 and the project was under the Department of Environment<sup>53</sup> which is different from the Project Document which places the Implementing Partner (IP) and PMU under the MNR, specifically, within the Department of Environment (DoE). These arrangements persisted until 2020, when *Guyana was in a state of transition as a result of the concluded March 2020 general elections which resulted in the swearing in of a new government. With the change in administration, a hold was placed on all on-going projects relating to the environment. Additionally, the IP, the Department of Environment was merged with the Office of Climate Change and the PMU was dissolved. Direct*

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<sup>49</sup> Project Document p. 140

<sup>50</sup> Now the Social and Environmental Safeguarding Procedure, <https://www.undp.org/publications/undps-social-and-environmental-screening-procedure-sesp>

<sup>51</sup> The UNDP provided direct project services in accordance to the Standard Letter of Agreement between UNDP and the Government of Guyana for the provision of project support.

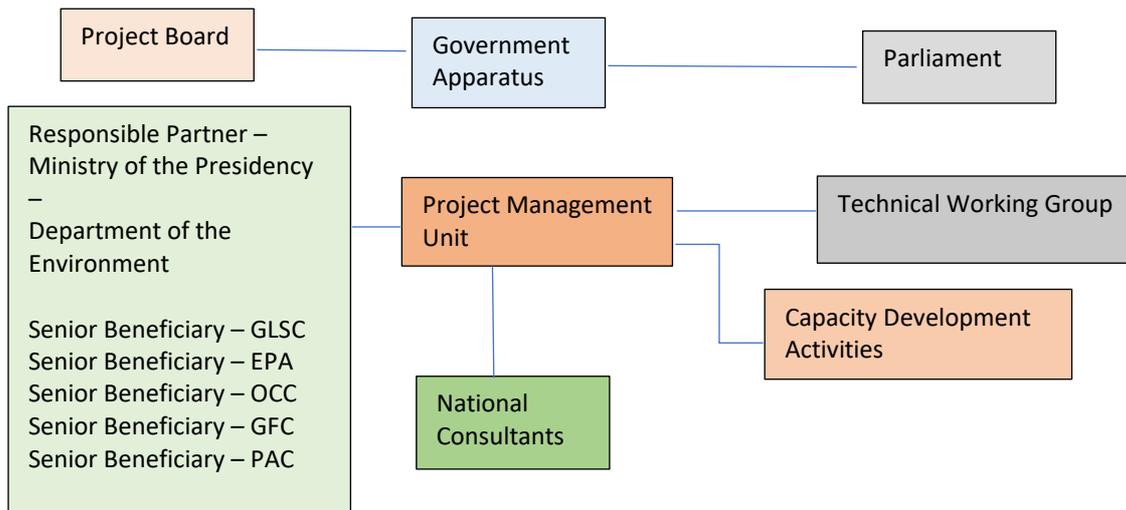
<sup>52</sup> Source: Project Document

<sup>53</sup> Project Inception Report, 10/31/2016

implementation was moved to the Office of the President after the Department of Environment was dissolved<sup>54</sup>. A second change was made to the implementation arrangements in 2021 when the implementation responsibilities and the PMU, at least its functions, were transferred to the Environmental Protection Agency (EPA)<sup>55</sup> under the Office of the President. No specific structure was established but the responsibilities to implement the remaining activities were given to the Multilateral Environmental Agreements (MEAs) Programme Area and the Information Technology (IT) and Geographic Information Systems (GIS) Unit.

101. The project implementation arrangements, as set out in the Inception Report are provided below (Figure 2).

Figure 3 Implementation arrangements in the Inception Report



102. Therefore, there were significant changes in the project’s implementation arrangements at the start-up of the project, in 2020 and again in 2021. An important aspect of this was that the DoE was not a Focal Point for any Rio Convention, although the Ministry of the President, under which the department sat, had oversight over the Rio Convention Focal Points, it is an agency that is not assigned a specific budget and it is not responsible of any Act relating to the Conventions.

103. Furthermore, following the inception phase a decision was made to have a fulltime PMU within the DoE. When the PMU was moved to the EPA it reverted to having a part-time PMU team consisting of key EPA staff due to the exhaustion of the project management budget.

### 3.8.2 Adaptive management

104. Significant changes have taken place within the project. This change in implementation arrangements was due to a larger institutional reorganisation taking place within the MNR. The subsequent changes in the implementation arrangements were for similar reasons following the change of government in 2020.

105. Shortly following the inception phase<sup>56</sup> the PMU appears to have been made full-time, although this is confusing. The PB minutes state that “approximately US\$ 101,000 has been allocated to be spent on project management”<sup>57</sup>, the Project Document allocates US\$ 29,500 to project management in 2017 and the actual budget reported is US\$ 44,304. In terms of adaptive management, the project implementation has been very much along the lines of the Project Document. Indeed, given the very prescriptive nature of the Project Document this is understandable and it would be hard to see how the project could be adaptive without deviating considerably from the agreed monitoring and evaluation pathways, which is why the SRF lacks utility as a M&E tool and is constraining.

<sup>54</sup> UNDP Annual Report 2020

<sup>55</sup> Transfer of Project Implementation for the Project Entitled “Strengthening Technical Capacities to Mainstream and Monitor Rio Convention Implementation Through Policy Coordination” (Rio Mainstreaming Project), Office of the President, February, 12<sup>th</sup>, 2021

<sup>56</sup> The Inception Report states that the PMU will be part-time.

<sup>57</sup> PB Minutes of the 4<sup>th</sup> Meeting 30 November 2017.

106. Following the 2020 change in government the second major adaptive change is made with the transfer of the PMU to the OCC under the Office of the President, OCC and then subsequently to the EPA.
107. At this point a number of rational adaptive decisions are made to reduce the number of activities by the Office of the President and the UNDP CO, given the poor performance of parts of the project (see section 3.8.2). A decision is made to focus on completing the EIMMS and to discontinue those activities which are unlikely to be completed by the project's end and the PMU is reduced to a part-time management team<sup>58</sup>. Outputs and activities relating to them that were dropped from the AWP included the updating of the training manual, the mainstreaming pilot activities, resource mobilisation strategy and most of the technical Working Groups except the one related to the EIMMS.

### 3.8.3 Risk management

108. Risk management in the Project Document is weak (see table 5). At the start of the project the PIR do not record any risks (2018, 2019). In 2020 a risk rating of Substantial is recorded in the PIR due two risks identified: the changes in government and the Covid-19 pandemic. Reasonable responses are provided in the PIR for both risks. However, there does not appear to be a substantive response to the institutional risk from the PMU given that the PIR proposes such measures, for instance, there is no risk management plan and strategy for outreach to the incoming government and communications plan with departments developed. Notably, the issues relating to the project's finances, as reflected in the Audit Reports and the Minutes of Meetings from the Project Board are not raised in the PIRs even though the EIMMS, a considerable output and component is clearly experiencing difficulties. The 2021 PIR provides no risk rating but identifies the ongoing pandemic with reasonable mitigation. The institutional changes are also identified and updated, but there is still no mention of the EIMMS and the challenges this considerable output is facing. The 2022 PIR rating is Substantial citing delays due to the pandemic, the changes in government, transition in institutional arrangements, loss of the original PMU staff and delays affecting the TE.
109. The TE concludes that risk management has been inconsistent but overall has improved between 2021 and 2022, although issues relating the EIMMS, for instance, because of its overall importance to the project's objective have been overlooked and reduced the overall impact of the project. Notwithstanding, the decision to focus on the EIMMS and to engage a new Contractor should be considered as effective risk management.

### 3.8.4 Actual stakeholder participation and partnership arrangements

110. Stakeholder participation appears to have taken place mainly through the Working Groups. Component 1 relied heavily on external Consultants. A number of respondents have stated that the project Consultants were apart from agency stakeholders and there was little feedback. Interactions appear to have been mainly through the Working Groups with peer review for accuracy of reports but little in the way of a cross-fertilisation of ideas and problem-solving interactions.
111. Given that there were a large number of statutory agencies stakeholders and partners with differing mandates, agendas, institutional cultures, and operational practices the project did not have a mechanism to bring these different interests together for a common purpose. In this sense the process appears to have been bureaucratic<sup>59</sup> in nature and it is likely that this led to participants interacting from the perspective of their, legitimate, institutional or sector interests, but not with a view to finding common ground and solving non-rule-based problems. The PMU does not appear to have been able to provide the facilitation and coalition-building necessary to move forwards from the "institutional silo" situation<sup>60</sup> originally described in the Project Document.
112. This appears to have carried through in terms of project governance in the PB. While there is broad statutory representation on the PB (DoE, UNDP, PAC, GLSC, EPA/DoE, MNR and OCC), the focus appears to have been mostly on the project and not the outcomes and objectives. The TE posits that this might be related to the PMU also being represented on the PB and in particular the PMU struggling with technical aspects of project outputs such as the EIMMS. The 5<sup>th</sup> PB meeting (26 April 2018) was actually chaired by the PC<sup>61</sup>.
113. For the avoidance of doubt, the PMU should not be on the PB. They can provide non-executive services for the PB, but they should not be members of it. The PB is essentially the primary and strategic executive of the project and should have oversight of the PMU.

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<sup>58</sup> PB Minutes of the 14<sup>th</sup> Meeting 15 April 2021 & PIR 2021

<sup>59</sup> This was a recurring theme with interview respondents.

<sup>60</sup> Project Document, p. 25, para. 125, p. 126, para. 126, p. 89, p. 90.

<sup>61</sup> Chairing the PB in the absence of the PD were included in the PC's ToR.

114. The Project does appear to have had some success with education, producing a Teachers Manual<sup>62</sup>, perhaps because this did not challenge any existing *status quo* between agencies more directly involved in the three Conventions.
115. The relevance of non-state actors, while they have benefited from the training, appears to have been low<sup>63</sup>. The project does not seem to have demonstrated the relevance of the Rio Conventions, especially towards indigenous communities in terms of representing their interests and making the Conventions relevant against a range of very real concerns about environmental security, poverty, land and resource tenure, accountability and transparency. One respondent pointing out that assistance and training of Civil Society Organisations to gain accreditation to attend the Conference of Parties (COP) meetings would have been more useful and relevant to them. However, all agreed that the EIMMS if working would be very beneficial because currently information was hard to acquire, statutory responsibility was very bureaucratic and diffuse across a range of agencies making it hard to obtain real-time data. Therefore, they were very supportive of the idea of the EIMMS.
116. While the project has reached out to a wide cross-section of stakeholders, it has been the nature of their participation which has been less effective. There is likely no single cause for this, rather it is a mix of the formulaic project design, the lack of a specific tool or mechanism to facilitate a more cognitive participation and a mismatch between the technical experience of the PMU<sup>64</sup> and the complexity of the environment sector and players.
- 3.8.5 Project finance and co-finance
117. According to the Project Document the PPG totalled US\$ 54,750. The GEF grant was US\$ 1,050,000. Co-financing was US\$ 1,226,100<sup>65</sup>. The GEF Agency Fee was US\$ 95,000<sup>66</sup>. The total project costs were put at US\$ 2,330,850.
118. Total expenditures of the GEF project grant reported in the UNDP CDRs through to 30th December 2021 is US\$ 863,560, 79% of the US\$ 1,100,000 GEF budget. Project management costs were US\$ 135,000 in the Project Document or 13.9% of the total GEF budget which is inconsistent with the 10% threshold<sup>67</sup> for project management costs. In the event, US\$ 72,573 (8%) was expended on project management. However, it is not clear whether this was achieved by using funds from the technical components to finance the PMU.
119. The distribution of spending overall, across the three components, does not exceed the indicative budget in the Project Document according to the figures provided in Combined Delivery Report (CDR), spending by component does not exceed the thresholds, in fact it remains well within them, overall. However, by year, there is considerable variance between the approved budget (Project Document), approved budget (ATLAS) and the General Ledger (GL) Expenditures although in the CDR this does not exceed the budget components. This also appears to be reflected in the annual audit reports which do not indicate any significant issues, however, issues are being reported in the PB meetings; *“Concerns included payment to government staff and approval of full-time staff; which should have been from the GEF office in Panama”*<sup>68</sup>.
120. This contrasts with the minutes of the PB which indicate that budget revisions were either necessary or taking place. This is perplexing because there are a number of decisions taking place which would have significant budgetary implications, for instance: *“at this juncture the UNDP representative inquired of when reports from the workshops would be provided. In response it was stated that this discussion was slated under an upcoming item on the agenda. However, it was added that this activity was to be absorbed by the project staff to facilitate their continued payment for the duration of the project as full-time staff, pending*

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<sup>62</sup> The Rio Conventions, Training Manual for Teachers, 2019.

<sup>63</sup> A number of CSOs contacted responded that they may have attended Working Groups or some of the training but they couldn't offer much information on the objectives or outcomes of the project. Others, while listed as stakeholders in the project were confused about the aims and objectives, some did not respond.

<sup>64</sup> “The project staff executed some of the Project’s technical work, this reduced the need to hire additional Consultants to undertake associated tasks”, Project Audit Report 2020.

<sup>65</sup> The GEF website states co-financing was US\$ 1,276,100

<sup>66</sup> The GEF website states this was US\$ 99,750

<sup>67</sup> A threshold of 5% applies for projects with the total GEF budget above 2 million USD. Projects with lower total GEF grants can have project management costs (PMC) up to 10% of the budget subtotal (budget subtotal means total in technical outcomes).

<sup>68</sup> Audit Report, 26 April 2018

*approval of that proposal*<sup>69</sup> and *“additionally, as it was not possible for part-time staff to implement a project of this magnitude, the decision was made with the input of the board to transition the staff to full-time. Thus, it necessitated the need to identify areas where the project staff could support project implementation. This was again taken to UNDP and the project board for approval, along with a breakdown of the finances to be utilised to support the full-time project staff. Therefore, some of the staff salaries would be paid under the local consultant budget line, as there is no remaining monies in the Project management line, and staff would now undertake some of the existing activities of the project*<sup>70</sup>.

121. The issue of the project management budget being exhausted is raised again in 2021; *“the Chair from Office of the President advised that the budget line for project management was pretty much exhausted and that in the past, because the PC and PA provided technical services, part of their payments were covered under technical budget lines”*<sup>71</sup>.
122. According to the 2017 Annual Audit Report the UNDP wrote to the DoE on the 14 March 2018 to state that *“(GEF) funds that are allocated to the technical components will not be used for the project management services”*. Further, the 2017 Audit notes that; *“the Joint Consultative Group on Policy (JCGP) on contracting government personnel, which disallows direct payments to government staff for their additional work on donor-supported development projects”*<sup>72</sup>, the audit finding that a payment totalling US\$ 6,274.06 had been made to six government staff.
123. However, in the 2019 Annual Audit Report (for the year 2018) this appears to be approved by the PB, DoE, UNDP and the RTA<sup>73</sup> (of that time<sup>74</sup>) to “balance” the budget by utilising technical assistance funds for supporting project management without any budget revision.
124. This is not reflected in the CDR General Ledger account which shows that there was approximately 30% of the project management budget remaining.
125. This suggests that there were weak internal financial controls and poor internal financial management; and not only was the practice of supporting the PMU through funds intended for technical expertise financially questionable, it had technical repercussions as a significant number of respondents (state and non-state) have commented that the PMU while well-qualified, did not have the appropriate technical expertise and experience in the environment sector.
126. The Project Document recorded US\$ 1,226,100 of government co-financing. The total recorded government co-financing at the time of the TE is US\$ 1,240,629 and UNDP co-financing US\$ 50,503 (Table 7 & 8) including additional leveraged co-financing of US\$ 165,032. Co-financing was not tabulated at the time of the 6<sup>th</sup> PB meeting<sup>75</sup> as there was a request for project partners to do so. According to the figures provided to the TE the MNR and EPA provided the exact amount of co-financing offered in the Project Document.

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<sup>69</sup> Project Board, Minutes of Meetings, 7 August 2018

<sup>70</sup> Project Board, Minutes of Meetings, 30 April 2019

<sup>71</sup> Project Board, Minutes of meetings, 15 April 2021

<sup>72</sup> Audit Report 2017, p. 22

<sup>73</sup> Letter from the Ministry of the Presidency to the Auditor General dated “March 2020”. /UN:73/2020

<sup>74</sup> There was a change in the RTA in 2021

<sup>75</sup> Project Board, Minutes of Meetings, 30 April 2019

Table 6 Project Budget and General Ledger Expenditures

Component 1	YR 1 2016	YR 2 2017	YR 3 2018	YR 4 2019	YR 5 2020	YR 5 2021	Total
<b>Project Document</b>	<b>\$109,000</b>	<b>\$161,000</b>	<b>\$111,000</b>	<b>\$124,000</b>	<b>\$95,123</b>	<b>\$112,249</b>	<b>\$505,000</b>
Actual		\$55,560	\$138,434	\$112,818	\$47,125	\$93,270	\$447,206
Variance	\$109,000	\$105,440	-\$27,434	\$11,182	\$47,998	\$18,979	\$198,188
	-100.00%	-65.49%	24.72%	-9.02%	-50.46%	-16.91%	-11.44%
<b>Component 2</b>							
<b>Project Document</b>	<b>\$41,000</b>	<b>\$45,500</b>	<b>\$52,500</b>	<b>\$31,000</b>	<b>\$36,672</b>	<b>\$25,000</b>	<b>\$170,000</b>
Actual	\$403	\$217	\$43,388	\$866	\$12	\$19,948	\$64,834
Variance	\$40,597	\$45,283	\$9,112	\$30,134	\$36,660	\$5,052	\$125,126
	-99.02%	-99.52%	-17.36%	-97.21%	-99.97%	-20.21%	-61.86%
<b>Component 3</b>							
<b>Project Document</b>	<b>\$83,500</b>	<b>\$47,000</b>	<b>\$43,500</b>	<b>\$66,000</b>	<b>\$86,915</b>	<b>\$21,741</b>	<b>\$240,000</b>
Actual		\$10,090	\$102,348	\$63,770	\$35,669	\$21,741	\$233,618
Variance	\$83,500	\$36,910	-\$58,848	\$2,230	\$51,246	\$0	\$63,792
	-100.00%	-78.53%	135.28%	-3.38%	-58.96%	0.00%	-2.66%
<b>Component 4</b>							
<b>Project Document</b>	<b>\$0</b>	<b>\$0</b>	<b>\$27,500</b>	<b>\$22,500</b>	<b>\$1,500</b>	<b>\$0</b>	<b>\$50,000</b>
Actual	\$0	\$0	\$16,829	\$23,205	\$294	\$0	\$40,328
Variance	\$0	\$0	\$10,671	-\$705	\$1,206	\$0	\$9,965
	0.00%	0.00%	-38.80%	3.13%	-80.41%	0.00%	-19.34%
<b>Project Management</b>							
<b>Project Document</b>	<b>\$29,000</b>	<b>\$29,500</b>	<b>\$29,500</b>	<b>\$47,000</b>	<b>\$2,000</b>	<b>\$7,926</b>	<b>\$135,000</b>
Actual	\$1,618	\$8,762	\$47,933	\$14,642	\$3,617	\$1,000	\$77,573
Variance	\$27,382	\$20,738	-\$18,433	\$32,358	-\$1,617	\$6,926	\$62,044
	-94.42%	-70.30%	62.49%	-68.85%	80.85%	-87.38%	-42.54%
<b>Totals</b>							
<b>Project Document</b>	<b>\$262,500</b>	<b>\$283,000</b>	<b>\$264,000</b>	<b>\$290,500</b>	<b>\$222,210</b>	<b>\$166,916</b>	<b>\$1,100,000</b>
Actual	\$2,021	\$74,629	\$348,933	\$215,301	\$86,717	\$135,959	\$863,560
Variance	\$260,479	\$208,371	-\$84,933	\$75,199	\$135,493	\$30,957	\$236,440
	-99.23%	-73.63%	32.17%	-25.89%	-60.98%	-18.55%	-21.49%

Table 7 Co-financing Project Document vs actual

Co-financing type	UNDP financing (US\$ mill.)		Co-financing type	Government (US\$ mill.)		Co-financing type	Partner Agency (US\$ mill.)		Total	
	Planned	Actual		Planned	Actual		Planned	Actual	Planned	Actual
Grants			Grants			Grants			\$0	\$0
Loans/concessions			Loans/concessions			Loans/concessions			\$0	\$0
In-kind			In-kind	\$1,226,100	\$1,240,629	In-kind			\$1,266,100	\$1,240,629
Cash	\$50,000	\$50,502	Cash			Cash			\$50,000	\$50,502
Other			Other			Other			\$0	\$0
<b>Totals</b>	<b>\$50,000</b>	<b>\$50,502</b>	<b>Totals</b>	<b>\$1,226,100</b>	<b>\$1,240,629</b>	<b>Totals</b>	<b>\$0</b>	<b>\$0</b>	<b>\$1,316,100</b>	<b>\$1,291,131</b>

Table 8 Co-financing by type

Sources of Co-Financing		Type of Co-financing		Amount (US\$)
Partner Agencies	MNR	In-kind	Recurrent expenditures	\$550,000
	EPA	In-kind	Recurrent expenditures	\$330,000
	GLSC	In-kind	Recurrent expenditures	\$356,155
	OCC	In-kind	Recurrent expenditures	\$4,474
Donor Agency		Cash	Grant	\$50,502
<b>Total</b>				<b>\$1,291,131</b>

Table 9 Annual Work Plan and actual expenditure

	2016		2017		2018		2019		2020		2021	
	AWP	Actual	AWP	Actual	AWP	Actual	AWP	Actual	AWP	Actual	AWP	Actual
Component 1	\$109,000	\$0	\$161,000	\$55,560	\$200,142	\$138,435	\$140,163	\$112,818	\$95,123	\$47,125	\$112,249	\$93,270
Component 2	\$41,000	\$403	\$45,500	\$217	\$55,413	\$43,388	\$40,000	\$866	\$36,672	\$12	\$25,000	\$19,948
Component 3	\$83,500	\$0	\$47,000	\$10,090	\$128,640	\$102,348	\$58,787	\$63,770	\$86,915	\$35,669	\$21,741	\$21,741
Component 4	\$0	\$0	\$0	\$0	\$35,000	\$16,829	\$33,500	\$23,205	\$1,500	\$294	\$0	\$0
Component 5	\$29,000	\$1,618	\$29,500	\$8,762	\$31,470	\$47,933	\$8,294	\$14,642	\$2,000	\$3,617	\$7,926	\$1,000
Total	\$262,500	\$2,021	\$283,000	\$74,629	\$450,665	\$348,933	\$280,744	\$215,301	\$222,210	\$86,717	\$166,916	\$135,959

### 3.8.6 Monitoring and evaluation, design at entry

Issue	Rating
M&E at entry	Unsatisfactory
M&E implementation	Moderately Unsatisfactory
M&E overall rating	Moderately Unsatisfactory

127. Notwithstanding the earlier comments related to the M&E plan, it was prepared using the standard UNDP-GEF template<sup>76</sup>. The estimated cost for implementation of the M&E plan, as recorded in the Project Document, is US\$ 42,000 which is approximately 4% of the GEF grant. Allocation of 5% for M&E is consistent with UNDP's current guidance for GEF-7 projects (based on the July 2020 project document template).

128. The description of the M&E framework and the SRF; the principal M&E tool for a GEF project fall well below a reasonable standard. The statement that the *“project outcomes will be measured through a set of output, process, and performance indicators. Constructed using SMART design criteria, these indicators were developed to coincide with each major project activity”*<sup>77</sup> is incorrect. There were only 4 very poorly worded outcome indicators (which in themselves were simply restating deliverables/ targets or activities) and had shared baselines and end of project (EOP) targets. The SRF was extremely lengthy with an unmanageable number of poorly worded indicators having the same weaknesses as the outcome indicators, baselines and targets. It was, in effect, an activity or work plan and not a SRF. The SRF would have placed a significant M&E burden on project management, oversight and assurance with very little utility in demonstrating progress towards results and project impact.

### 3.8.7 Monitoring and evaluation, implementation

129. Despite the poor quality of the SRF, no changes were made to the indicators at the Inception Report and the inadequacies of the SRF were not picked up on. PIR ratings, partly due to the confusing SRF indicators and partly, it must be assumed, due to unrealistic assessments of the project's progress. The DO ratings<sup>78</sup> in the PIR were: MS<sup>79</sup> 2018, MS 2019, MS 2020, MS 2021, U<sup>80</sup> 2022 the IP ratings were: MU 2018, MS 2019, MS 2020, MU 2021, U 2022 and the PIR risk ratings<sup>81</sup> were M<sup>82</sup> 2018, L<sup>83</sup> 2019, L 2020, L 2021, S<sup>84</sup> 2022. The most accurate assessment of the project's progress<sup>85</sup> appears to be the PB Minutes of Meetings where individuals from the different partner agencies were raising technical issues and process issues (such as the evaluation of the effectiveness of training). However, this is not translated into any adaptive actions by the PMU.

130. Two Annual Reports were produced by UNDP (2017 and 2020<sup>86</sup>). These are similarly over-optimistic in their assessment of the project's performance and progress towards results.

131. A Mid-Term Review (MTR) was proposed in 2019<sup>87</sup>, however, although it is mentioned in a number of subsequent meetings one is never commissioned, the likely cause being the Covid-19 pandemic, although the TE raises the issue that a remote MTR would still have been useful to identify many of the challenges the project was facing.

132. Apart from the issues related to project performance, financial implications and delivery of outputs and results, there was little to indicate whether the project activities and outputs were having an impact. For instance; *“The composition of three working groups has been fully completed and they are functioning very well, in fact this is very good model to be replicated in similar projects that allow for peer reviews and*

<sup>76</sup> Project Document p. 72 - 73

<sup>77</sup> Project Document p. 6, section A.2, para. 11

<sup>78</sup> Ratings: MS = Moderately Satisfactory, MU = Moderately Unsatisfactory

<sup>79</sup> Moderately Satisfactory

<sup>80</sup> Unsatisfactory

<sup>81</sup> Risk ratings: M = Moderate risk, L = Low risk

<sup>82</sup> Moderate

<sup>83</sup> Low

<sup>84</sup> Substantial

<sup>85</sup> Accurate in the sense that it aligns with the feedback from interview respondents.

<sup>86</sup> 14<sup>th</sup> February 2018 Annual Report: January – December, 2017 Project Number: 00100292 2020 Annual Report (March 2021)

<sup>87</sup> Project Board, Minutes of Meeting, 31 October 2019

*capacity building at the same time*<sup>88</sup>. This is not reflected in the feedback from interviews who appear to have been confused with their role, as remarked by *“the Board member proposed that involvement of participants should be out of self-interest and not ‘quid pro quo’*<sup>89</sup>, which was linked to the “stipend” paid by the project to encourage attendance. In other instances, activities were reported as being completed with little indication of whether they had produced a desired effect. For example: PIR 2020; *“Two surveys were completed in 2018, including a baseline on knowledge of Rio Convention by the general public and technical agencies. A follow up surveys will be completed in 2021. The baseline reports were also completed in 2018”* and PIR 2021: *“In the survey, conducted at the beginning of the project, respondents indicated a 62% female and 37% male gender balance”*. It does not indicate either the absorption and retention of knowledge of the Rio Conventions or whether there was any change in the gender ratios or differences in interest and a host of other variables necessary to evaluate the efficacy of activities.

133. The Capacity Development Scorecard is reproduced twice in the Project Document (pp. 34 -46 and pp. 87 – 98). It is also a means of verification at the objective or outcome level in the project SRF, although the baseline score from the Project Document score is not entered as a baseline, suggesting that the Project Document did not fully understand the scorecard, nor the M&E process. However, the scorecard was not updated until after the first draft of this report<sup>90</sup> was submitted. It was not updated at the mid-term nor the TE<sup>91</sup>. The issue is not raised in the PM nor the PIRs, until it was raised in the final (2022) PIR by the RTA.

### 3.8.8 Monitoring and evaluation, overall assessment

134. Risks identified in the SES and other risks, which should have been identified (see section 3.8.3) and correctly rated both in the project design (e.g. a change in government) or during the implementation (e.g. financial risks, the non-performance of the EIMMS Contract, etc.), were never carried through to a risk register where they could be monitored and responded to.

135. Financial risks raised in the annual audits were being raised in the PB. They were not being transferred to the risk monitoring (e.g. in the PIRs), they do not appear to be acted upon and they appear to be “balanced” *ex post facto* by drawing down on technical assistance budget lines to avoid a budget revision.

136. The combined effects of the poor M&E design, the lack of any changes to the M&E framework and the unrealistic reporting would have resulted in an Unsatisfactory rating. However, the affirmative action that took place in 2021 with the intervention of the Office of the President and the UNDP CO; and a more realistic assessment of the position of the project, particularly with regards to key deliverables such as the EIMMS and rational set of concrete actions to address performance and impact issues suggests that an overall Moderately Unsatisfactory rating is more appropriate.

### 3.8.9 UNDP implementation/ oversight

Issue	Rating
UNDP implementation/ oversight	Moderately Unsatisfactory
Implementing Partner execution	Moderately Unsatisfactory
Overall Implementation/ execution	Moderately Unsatisfactory

137. According to the Project Document implementation was through NIM with UNDP Support Services; *“this project will be implemented through the National Implementation Modality (NIM) as per the NIM project management implementation agreed by UNDP and the Government of Guyana. The UNDP Country Office will act as the GEF Implementing Agency and will perform procurement and human resource services.*

138. *The UNDP will provide direct project services in accordance to the Standard Letter of Agreement between UNDP and the Government of Guyana for the provision of project support services”*.<sup>92</sup>

139. The UNDP appears to have struggled to exert its oversight on the project. It appears, based on the PB Minutes of Meetings already cited in this report, to have struggled to exert legitimate oversight control over the PMU up until 2021. This is reflected in, *inter alia*: the poor internal financial controls, the failure to carry out *due diligence* on the EIMMS technical expertise Consultancy, or the apparent poor performance of the technical Consultancies, much of which is documented in the PB minutes but not reflected in the PIR and

<sup>88</sup> PIR 2019, p. 6

<sup>89</sup> PB Minutes of Meetings, 30 January 2018

<sup>90</sup> The TE received the completed Scorecard on the 13/10/2022

<sup>91</sup> The TE received the updated Tracking Tool Capacity Scorecard on 13<sup>th</sup> October 2022.

<sup>92</sup> Project Document, p. 82, para. 281 - 282

the absence of any follow-through for the MTR first raised in the 10<sup>th</sup> PB meeting in October 2019 as well as the under-estimation, or misidentification, of risks.

140. Implementing the project appears to have been time-consuming and challenging (institutionally, procedurally, technically<sup>93</sup>) both for the CO and at the regional level. The TE understands that the CO reduced its staff compliment in 2017 which may also have affected its ability to provide an effective oversight role (e.g. financing the PMU, poor performance and *due diligence* on the first EIMMS contract, etc.). The TE also notes that the UNDP CO was raising these issues with the IP and through the PB, but until 2021, this appears to have been ineffective. Ultimately, the UNDP and the RTA approved the use of technical assistance funds to finance the project management<sup>94</sup>.

#### 3.8.10 Implementing partner execution

141. The MNRE was the Implementing Partner in the Project Document. However, at the project's start up in 2016 the MNR had become the MNRE and the DoE created. The Implementing Partner became the Ministry of the Presidency with the PMU being placed in the DoE<sup>95</sup>. Shortly after the project's start up the PMU became full-time with significant cost implications to the project. Following the changes in government in 2020 the PMU was passed to the OCC under the Office of the President and implementation carried out through the newly formed Department of Environment and Climate Change (DECC). It was then transferred from the Office of the President to the EPA where it remained until the close of the project<sup>96</sup>. The Project Document was re-signed, in May 2021, to accommodate this transfer.

142. While under the DoE relations between the PMU and UNDP appear to have been strained as UNDP attempted to apply reasonable and legitimate oversight controls on the project. Internal financial controls and budgeting was weak and a great deal was made about the selection of national Consultants. However, the EIMMS Contract was awarded to a foreign entity and it would appear that this was either not known by the PMU or the UNDP and the PB were not made aware. According to key informants there was sufficient capacity already in Guyana and there was no need to engage an international Consultant to carry out the work<sup>97</sup>. While the PMU was within the DoE the financial management was poor and rules were often broken (see this report section 3.8.4, para. 87).

143. The DoE was not a budget agency, but it had other budget agencies under its remit. Furthermore, it was not responsible for any statutory Act related to the environment. Given that this was a project which would require considerable authority to drive high-level change amongst a range of agencies (with their own budgets and some responsible for specific Acts<sup>98</sup>) and to facilitate a common vision and purpose amongst stakeholders, it would appear that there was a mismatch between the IP and the likelihood of achieving the project's results. This was borne out by a sufficient number of stakeholder respondents who challenged some of the technical outputs and reported a very bureaucratic approach to stakeholder participation in the Working Groups, as well as the need to pay "stipends" for attendance and very little feedback was provided on their inputs.

144. As noted in section 3.8.7, this situation changes dramatically in 2021 when the IP is transferred to the Office of the President and the EPA becomes the PMU on a part time<sup>99</sup> basis. A more realistic and results-orientated approach is taken. Realistic in that it cancels some of the activities which appear to be under-performing and focuses on the EIMMS. Furthermore, it appears to have both the authority and technical capacities as well as a better systemic understanding of the needs of the EIMMS and the concerns of the other stakeholders in order to negotiate agreements.

#### 3.8.11 Operational and coordination issues

145. In summary, the IP and PMU were poorly located for much of the project lacking the systemic understanding of the sector and the three Conventions and without budget and the motivation of responsibility for a specific Act.

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<sup>93</sup> This particularly relates to the EIMMS, however, feedback from key respondents indicate that there is quite considerable technical capacities available nationally, as was demonstrated by the Contractor who completed the EIMMS.

<sup>94</sup> Letter from the Ministry of the Presidency to the Auditor General dated "March 2020". /UN:73/2020

<sup>95</sup> Project Inception Report, p. 4

<sup>96</sup> To be clear, the project has not officially closed until the TE is completed and as such must produce a 5<sup>th</sup> PIR in 2022.

<sup>97</sup> This was also raised during the 14<sup>th</sup> Board meeting on 15 April 2021.

<sup>98</sup> For instance, some agencies had revenue interests in data management and sharing or had already invested in data management systems themselves which would need to be carefully negotiated.

<sup>99</sup> Sometimes described by respondents as an *ad hoc* basis to the PMU.

146. Internally, project management appears weak within the IP and PMU. UNDP appears to try and exercise its legitimate oversight controls on the project but with limited effect. The PMU did not appear to understand UNDP-GEF procedures and the minutes of the PB indicate that there was a breakdown in the communication between the PMU and the EA. This situation was not made any better by the PM being a Member of the PB and on one occasion chairing a PB meeting.
147. With the change of the IP and the PMU in 2021 there is a more realistic approach the project management, decisive actions are taken, albeit in reducing the number of outputs to focus on a small number of key deliverables and the likelihood of a sustainable data sharing system, arguably the most important output of the project, are greatly increased, given the short period of time remaining before project closure.
148. Without this adaptive management in 2021 it is probable that the rating would have been much lower for the IP.

### 3.9 Project results

#### 3.9.1 Progress towards objective and outcomes and progress to impact

Objective	Rating
<ul style="list-style-type: none"> <li>To strengthen technical capacities for mainstreaming and monitoring the achievement of Rio Convention objectives.</li> <li>To update the National Capacity Self-Assessment (NCSA).</li> </ul>	Moderately Unsatisfactory
Outcome 1	Rating
Strengthened environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions.	Moderately Satisfactory
Outcome 2	Rating
Institutional and technical capacities are strengthened for enhanced to create knowledge [sic] and mainstream Rio Conventions within national development frameworks.	Moderately Unsatisfactory
Outcome 3	Rating
Improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives.	Unsatisfactory
Outcome 4	Rating
Updated NCSA Action Plan and Final Report.	Satisfactory
Overall Outcome	Rating
Overall outcome	Moderately Unsatisfactory

149. Assessing progress towards the objective and outcomes is problematic given the dysfunctional nature of the project's SRF. There are, as already noted, four indicators at the objective and outcome level although they lack utility, simply restating the outcome. In order to do this, the TE has had to assume which indicator and baseline is associated with which outcome, a somewhat imprecise and unusual step.
150. Component/ outcome 1: The project has now developed the EIMMS and it is ready to be rolled out. Technically, the system is of a very high quality and as long as there are agreements for sharing the data it should be able to harvest real-time data and this will be well-received and beneficial to a broad cross-section of stakeholders. Eight MoAs<sup>100</sup> were to have been signed between agencies to facilitate data sharing<sup>101</sup>, but these have not yet been operationalised and tested and those seen by the TE appear to be between the partner agency and the now dissolved DoE and not the EPA which houses the EIMMS.
151. However, it is less clear to what extent the project has changed the institutional cultures of agencies with regards to collaboration on data sharing although this was expressed by several respondents, there was also little concrete evidence to suggest that there has been a significant change in the circumstances surrounding data sharing.

<sup>100</sup> Environmental Protection Agency, Civil Defence Commission, Guyana Energy Agency, Guyana Forestry Commission, Ministry of Public Infrastructure, National Agricultural Research and Extension Institute Public Sector Commission, Tourism and Hospitality Association of Guyana.

<sup>101</sup> These have addressed issues such as data to be shared, commercial aspects of data, data security, etc.

152. Component/ outcome 2 and 3<sup>102</sup>: In interviews with stakeholders some expressed that they had participated in training and some of the Working Groups. However, their role appears to have been to review work rather than open-ended dialogues. A number of informants expressed the view that the project, and the Consultants, prior to 2021, had a “closed view” and they “weren’t listening to the agencies technical expertise”. Many of the respondents said that they had not seen the final outputs and none of them were able to distinguish an output or deliverable, a changed working practice of improved area of stakeholder participation that was currently in use or taking place.
153. The project has produced a number of documents, many of them based on the workshops<sup>103</sup> and dialogue sessions: Rio Conventions Training Manual for Teachers<sup>104</sup>, Combined Policy Dialogues and Workshops, Considerable effort was expended on the first Consultancy for the EIMMS, UNCCD report, etc. There is little evidence of the project having “*demonstrating practicable and cost-effective approaches to better information management, monitoring, and decision-making to increase delivery of global environmental benefits*”<sup>105</sup> which presumably was the purpose of the “*learning by doing*” approach espoused by the project’s design.
154. The M&E Consultancy appears to conflagrate project M&E with longer-term process and impact M&E. Many of the conclusions and recommendations appear generic in nature or there does not appear to be any follow up implementation<sup>106</sup>.
155. A stipend was paid to the participants of these Working Groups which was stopped in 2018 and according to respondents; attendance fell dramatically afterwards. Furthermore, it was observed that the participants often lacked the seniority and authority to really make decisions and after sitting allowances were disallowed by UNDP, different participants attended subsequent meetings suggesting that there was little by way of continuity. It was also stated that the PMU and the various Consultants were not open to receiving the opinions and experience of participants raising the question of the level and quality of participation/consultation.
156. Component/ outcome 4: The project did produce the NCSA Report in 2020.
157. Given the high expectations of the Project Document the impact of the project is low in overall outcomes. However, the EIMMS, if the MoAs can be effectively operationalised, will have a significant impact on the institutional capacity to develop data-driven national policies and plans, stakeholder access to data, transparency and accountability as well as on the Focal Agencies ability and efficiency in reporting to the Conventions and the national ability to negotiate at the COPs.
158. An assessment of the outputs is given in Annex 16.

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<sup>102</sup> Components/ outcomes 2 and 3 are dealt with together here because it is difficult to distinguish between the two outcomes and which activities were contributing to them.

<sup>103</sup> For instance, the UNCCD report states that 10 workshops were carried out between August 2017 and June 2018.

<sup>104</sup> The Project Document stated that the manual “*is adopted and integrated within teaching curricula at the secondary school level*”. The TE is unable to confirm this because there was no response from any stakeholders related to education.

<sup>105</sup> Project Document, p. 4

<sup>106</sup> For instance; the UNCCD report identifies the need for CSOs gaining accreditation to attend the COP meetings, but there is no concrete action to follow this up, the High Value Sector National Forest Sector Plan is selected for “pilot mainstreaming activities” which are subsequently abandoned in 2021.

Table 10 Progress towards results/ impact

Objective:					
<ul style="list-style-type: none"> <li>To strengthen technical capacities for mainstreaming and monitoring the achievement of Rio Convention objectives.</li> <li>To update the National Capacity Self-Assessment (NCSA).</li> </ul>					
Outcome	Indicator	Baseline	EOP target	EOP Status	TE Assessment
	Date	2016	2021 (June 2021)	2022 (August)	
Strengthened environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions.	<p>There is an increase in the appreciation and awareness of the Rio Conventions among technical staffs in and outside of the government as well as the general public.</p> <p>Rio Convention obligations are being better implemented through an integrated system of data and information management.</p>	<p>Requirements of the Rio Conventions are not adequately incorporated in sectoral development planning.</p> <p>Guyana’s environmental information monitoring and management system is inadequate.</p>	<p>There is an increase in the appreciation and awareness of the Rio Conventions among technical staffs in and outside of the government as well as the general public.</p> <p>Rio Convention obligations are being better implemented through an integrated system of data and information management.</p>	<p>There are 8 Memoranda of Agreement (MoA) on data sharing between agencies. However, these MoUs are between the DoE and other agencies.</p> <p>The EIMMS is developed and ready to be used. Software still needs to be procured to replace the license loaned by the company that developed the system. However, the system developed is a reportedly very good.</p> <p>Other key agencies appeared to be unaware of the status of the EIMMS which does not bode well for the roll out of the system because it will depend in part upon data harvesting of agreed data sets.</p>	<p><b>Partially achieved will still need to be embedded in the agency operational practices.</b></p> <p><b>MODERATELY SATISFACTORY</b></p>
Institutional and technical capacities are strengthened for enhanced to create knowledge [sic] and mainstream Rio Conventions within national development frameworks.	Increased capacity within relevant stakeholder groups to handle data and information relevant to the Rio Convention.	Despite the availability of scientific knowledge, the data are not sufficiently used in the formulation of strategies or policy instruments.	Increased capacity within relevant stakeholder groups to handle data and information relevant to the Rio Convention.	Working Groups were established in 2018. However, these were directly related to project outputs and have not been active since 2019. Training was carried out across a range of issues and this was appreciated by participants.	<p><b>Partially achieved with sustainability concerns.</b></p> <p><b>MODERATELY UNSATISFACTORY</b></p>
Improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives.	There is an increase in coordination between government groups and other stakeholders.	There is little inter-ministerial coordination on the implementation of natural resource and environmental policies <sup>107</sup> .	There is an increase in coordination between government groups and other stakeholders. However, this does not evidently amount to mainstreaming in as much as there are no remaining working groups or committees remaining which will continue to drive a more collaborative governance.	There is little evidence to support this, either in the means of verification or the feedback from respondents to the TE. There has been no alignment of regulatory Acts with regards the three Rio Conventions, nor is there evidence of policy conformity. The project has held numerous workshops and trainings and produced a great deal of awareness material. However, there is little evidence that this has been taken up in the policies and working practices of the various agencies.	<p><b>Not achieved with sustainability concerns for project activities.</b></p> <p><b>UNSATISFACTORY</b></p>
Updated NCSA Action Plan and Final Report.	NCSA Action Plan and Final Report updated.	<i>NCSA last updated in 2007 (TE retrofitted baseline).</i>	NCSA Action Plan and Final Report updated.	Completed	<p><b>Achieved.</b></p> <p><b>SATISFACTORY</b></p>

### 3.9.2 Relevance

Issue	Rating
Relevance	Satisfactory

159. Environmental challenges are highly relevant to Guyana as recognised by the GDP and other policies and resilience (environmental, social and economic) is at the core of the three Conventions. The Project Document made a strong case for the relevance, at least of the three Conventions, but also for some components of the project’s design, noting the Low-Carbon Development Strategy (LCDS) and the subsequent Green State Development Strategy (GSDS) as well as the NBSAP and action plans related to the UNCCD and UNFCCC. Other supporting policies included the: Integrated Coastal Zone Management Action Plan (2000), National Development Strategy 2001-2010, National Climate Change and Adaption Policy and Implementation Plan (2001), National Poverty Reduction Strategy (2001-2005), National Environmental Action Plan (2001-2005), National Protected Area Strategy (2005), National Policy on Access to Genetic Resources and the Fair and, Equitable Sharing of Benefits Arising from their Utilization (2008), and the National Agriculture Sector Climate Change Adaptation Policy (2009).

160. The project’s objective was also aligned to the main barriers identified in the NCSA (2007).

161. Furthermore, the project was relevant to the:

**UNDAF Outcome(s): Outcome 1:** National policies, strategies, and plans for disaster risk reduction, management of natural resource, and access to clean energy and services developed, implemented, monitored, and evaluated.

**UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:** Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded.

**Expected CP Outcome(s): Outcome 3:** Improved functional capacity of key natural resources and disaster risk management institutions.

162. The project was aligned, albeit within the constraints of the design and the limitations of the implementation already set out in this report, with the CCCD Programme Objectives:

**CCCD Development Strategy Objective 1 A:** Enhancing the capacities of stakeholders to engage throughout the consultative process.

**CCCD Development Strategy Objective 2 B:** Generating, accessing and using information and knowledge.

**CCCD Development Strategy Objective 3 C:** Strengthening capacities to develop policy and legislative frameworks.

**CCCD Development Strategy Objective 4 D:** Strengthening capacities to implement and manage global Convention guidelines.

**CCCD Development Strategy Objective 5 E:** Enhancing capacities to monitor and evaluate impacts and trends.

163. Relevance to stakeholders is more problematic to evaluate. Arguably, the three Rio Conventions have considerable and existential relevance to the stakeholders identified addressing, as they do, the issues of resilience in socio-ecosystems goods and services critical to life. However, the project’s design does not appear to frame these issues in a way that had relevance and created synergies with these stakeholders. It may be that this was because the design set the project’s impact at a scale well in excess of the material resources and implementation capacities of the IP.

164. Scale is critical in project design. This project attempts to address “the whole problem” rather than scaling the expectations to those that can be reasonably delivered within the project’s temporal and resource envelope. This would support the TE’s findings that the design is generic and may speak more to the expectations of the CCCD programme rather than the practicalities and realities of the national situation.

### 3.9.3 Effectiveness

Issue	Rating
Effectiveness	Moderately Unsatisfactory

165. The TE argues that the expectations of the project’s design and the scale at which it attempted to interact with a complex and dynamic, largely unpredictable system was ineffective. This was compounded by an ineffective implementation which used a business-as-usual approach, a “technical fix” (e.g. formal Working Groups and technical reports), to address an adaptive challenge and effect an adaptive change (see Annex 12).
166. As a result, the project was always going to be highly vulnerable to external drivers (e.g. changes in government, institutional restructuring, etc.) and the inherent conservative nature of agencies and legitimate self-interests and agency mandates which would likely cause an inertia in respect to change.
167. The generic nature of the project design was unable to be tailored to the specific national challenges and needs. Furthermore, without making explicit the issues of scale in the design, the project’s resources were inconsistent with what it was attempting to do. For instance, broad, “whole system” participation was never going to be possible within the financial, material and human resources, nor within existing working practices and the temporal framework of the project<sup>108</sup>.
168. Once again, this comes back to the design approach; and not just the specific and generic design limitations of this project. A more nuanced and invested, nationally-owned and expert-guided design approach would more likely define not just a project solution, but also the appropriate means and manner to achieve it.
169. Therefore, the project’s objective(s): *to strengthen technical capacities for mainstreaming and monitoring the achievement of Rio Convention objectives and to update the National Capacity Self-Assessment (NCSA)* are not objectives, they are things, the activities, that need to be done to achieve collaborative governance across a range of stakeholder interests towards a common good. The objective(s) are in fact; outcomes (or even an output in the case of the NCSA) which may be necessary to achieve the objective.
170. A more effective approach would have been to recognise the limitations of the project financial envelope, to make explicit that co-financing ordinarily (in most GEF projects) has limitations in terms of capital investment and use external expert technical assistance to help to solve the problems and not necessarily provide the solutions.
171. Arguably, aligning the various “players”, in a landscape where there are inequalities in resources as well as the ability(ies) to control a process, towards a common objective; a common and collectively identified public good is an adaptive challenge. Therefore, a collaborative governance<sup>109</sup> approach rather than the “business as usual”, formulaic approach would have been a more effective means to engage with the system through a project.
172. This mismatch between the challenge and proposed solution (Project Document) is evident in the apparent reluctance to find common ground, the protection of legitimate self-interests and weak non-state participation.
173. Given the financial and material resources available to the project, a more effective approach would require higher-level decision-making participation on a specific component of the system, such as the need to share data between agencies and broad public access to data. This would have been sufficient to align the Operational Programme expectations with the national needs and expectations without having to attempt a “whole systems solution”. “Solving” the “problem”, if externally and impartially facilitated, would be more likely to develop the means to address other issues and future challenges, as they arise.

#### 3.9.4 Efficiency

Issue	Rating
Efficiency	Moderately Unsatisfactory

174. There were inefficiencies in both the design and the operational aspects of the project.
175. Design inefficiencies included, *inter alia*: the confusing strategic approach, a mismatch between project resources and expectations leading to a “whole systems approach” and a focus on outputs and not outcomes.
176. Operational inefficiencies included, *inter alia*: the positioning of PMU in an agency without a budget and limited statutory power in relation to the three Conventions<sup>110</sup>, a “business-as-usual” approach to driving

<sup>108</sup> It is important to note that the effectiveness of the project may have been higher if the project had not run out of money.

<sup>109</sup> For a background on collaborative governance see, *inter alia* Chris Ansell, Alison Gash, Collaborative Governance in Theory and Practice, *Journal of Public Administration Research and Theory*, Volume 18, Issue 4, October 2008, Pages 543–571, <https://doi.org/10.1093/jopart/mum032>

<sup>110</sup> The TE also recognises that the positioning of the PMU tasked with driving change in the implementation of three

change, ineffective non-state participation, weak project management and lengthy procurement processes as well as weak *due diligence* related to the procurement of technical services related to the EIMMS and the use of technical component funds on project management<sup>111</sup>.

177. Throughout much of the project’s lifetime there has been unrealistic M&E and poor identification and tracking of existing and emerging risks as well as weak financial management resulting in delays and cost implications and leading to activities such as the mainstreaming into a high-value sector plan being cancelled in 2021.

178. The TE notes that in 2021 when the PMU is transferred to the EPA there is an appropriately ruthless efficiency in the planning and operation of the project executed by the PB which, until this point, was lacking in the project’s management and oversight. This involves an objective assessment of the project’s performance and likelihood of achieving its expected results and a realistic plan to deliver on a number of critical outputs. This was largely led by the DEEC and the UNDP with the 14<sup>th</sup> PB meeting being co-chaired by both of these parties.

### 3.9.5 Overall project outcome

Issue	Rating
Relevance	Satisfactory
Effectiveness	Moderately Unsatisfactory
Efficiency	Moderately Unsatisfactory
Overall outcome	Moderately Unsatisfactory

179. Based on the project records and the respondents to the TE interviews the project had a poor design and strategic approach. The operational approach by the PMU lacked sufficient efficiency and effectiveness to deliver coherent outputs. Furthermore, many of these outputs do not appear to have relevance to stakeholders or to have been adopted and integrated into the working practices of the project partners.

180. Although project management appears to improve with the transfer of the project implementation responsibilities, a move which allowed a more effective working relationship between Executing Agency (DECC) and Implementing Agency (UNDP) with subsequently more effective project oversight and assurance. The prior weak project management has led to inefficiencies in delivery of the project and at times, poor progress. This has been exacerbated by external events such as the changes in government, however, it is worth noting that the project management issues pre-date the change in government and the Covid-19 pandemic, as does the move to request a project extension; the project was going to need extra time even before these externally generated constraints.

181. At times the M&E has been poor and the PB and UNDP CO appear to have been unable to execute their oversight and project assurance role on the project in a timely manner.

182. The weak SRF makes it hard to assess the project outcomes without providing them with an *ex post facto* and spurious legitimacy and coherence. However, based on the normal outcome-level expectations of a GEF-financed project the results are moderately unsatisfactory.

### 3.9.6 Country ownership

183. While the three Rio Conventions and their effective implementation have very real relevance to Guyana and all stakeholders expressed a critical need for information sharing and transparency as a means to meeting, not just the national obligations to the Conventions, but also to improving social, economic and environmental policy, planning and management as well as building resilience into the national system, the TE does not find a high level of country ownership in the project.

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international Conventions was always going to be challenging given that the Focal Points for each of the Conventions lay in separate agencies, all responsible for different statutory Acts related, one way or another, to all three Conventions plus a range of other MEAs, in which case it would have been necessary to locate the PMU at a higher level than a department with very limited financial and human resources and no specific responsibility for an associated Act.

<sup>111</sup> For instance, in 2018 a member of the PMU attended a Conference in Antwerp, Belgium in order “to build technical capacity to manage, report and share geospatial environmental data and information across all levels of government and borders”, letter to UNDP from the DoE, 27 July 2018. Contracted PMU staff attending international conferences in areas not related to their technical background is inefficient use of project resources which would be better invested in appropriately qualified staff directly employed by government agencies attending.

184. It has already been noted that the CCCD Rio Project was not financed from the STAR allocation. The funding came from an additional allocation of GEF financing, as such it would have had less national input than a project identified under the STAR allocation<sup>112</sup>.
185. The TE has also noted the generic and formulaic approach encapsulated in the design and the similarities between this and a number of other projects in the CCCD focal area. Locating a “project memory” in a project that has its beginnings 2014, as well as the numerous changes in the institutional landscape since then; is challenging. The few respondents with experience of the design phase indicate that the project design phase did not go through the sort of process necessary to build the stakeholder coalitions and reflect the political, institutional and societal nuances necessary to impart a strong feeling of national ownership.
186. While all stakeholders recognised and supported an improved enabling environment in the sectors covered by the three Conventions, the subsequent events, including the positioning of the IP and PMU appear to have prevented stakeholders from taking ownership of the project and its outcomes.

### 3.9.7 Gender

187. There is little by way of the design articulated in the Project Document that speaks to incorporating gender into the project design. It makes mention of the 2013 GEF policy for gender mainstreaming which is relevant for GEF staff and operational procedures but not necessarily relevant for inclusion in complex and nationally-nuanced project situations. It further states that, UNDP gender relevant markers will be tracked but there is little evidence of this taking place except in recording gender in workshop and Working Group participation.
188. The Guyana Women and Gender Equality Commission are listed as stakeholders for participation but there is no evidence of this taking place. In addition to a strange reference to a Men Affairs Bureau (see section 2.5), the Project Document does not provide a coherent strategy and framework to engage gender across all aspects of the project stating that “*gender-equality issues will be considered to the extent that they are appropriate*”.
189. A Gender Analysis Report<sup>113</sup> commissioned by the project and included in the PIR is of very high quality and states that; “*The gendered analysis of the design and implementation processes of the project determines that notwithstanding the stated position on the equitable inclusion of women, the project executing and implementing agencies and consultants in general did not deliberately utilise gender participatory and inclusive strategies from the inception of and throughout the project. This lack of deliberate inclusion and utilisation negatively impacted the project’s capacity to achieve gender-inclusive results. Nonetheless, although very minimal gender inclusive strategies were deliberately employed, the project managed to secure gender equity or majority female participation in the following areas - project leadership, working group membership and participation, consultancies awarded under the project and community. Importantly as well the project execution unit monitors, collects and reports on gender disaggregated project related data. The public education strategies were largely gender neutral. that is, the language, terminologies, and activities avoided distinguishing roles, participation, impact and influence according to recipient’s sex or gender*”
190. The report finds that, notwithstanding the issues raised by the TE regarding participation in the project’s activities and outcomes, the project had made some progress in promoting women’s’ participation in dialogue and access to project resources, however: “*In the absence of a Gender Action Plan, the gender analysis and monitoring via this report is a belated attempt at mainstreaming gender into the project. However, by treating the gender analysis as a distinct project component rather than an integral, integrated M&E component of the project design that is closely aligned with project outputs, the process is less efficient and useful*”.
191. The TE notes that it is this belated and unintentional aspect that was likely due to the individual Consultants driving gender issues rather than a coherent planned framework for gender inclusion. Importantly, there is little evidence to suggest that the findings and recommendations of the gender report were incorporated into a management response.

### 3.9.8 Other cross-cutting issues

192. The Project Document does not specifically identify any SDGs other than SDG 5 Gender Equality. However, it would be reasonable to expect that there would be linkages to: SDGs 1 No Poverty, 6 Clean Water and Sanitation, 12 Responsible Consumption and Production, 13 Climate Action, 14 Life Below Water, 15 Life on Land and 17 Partnerships for the Goals.

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<sup>112</sup> Information from key respondent interviews.

<sup>113</sup> CCCD Gender Analysis Report, 3 December 2019 carried out by the University of Guyana

193. Communication has been raised by a number of respondents, often in a positive light regarding the project. For instance, it provided a platform for communication of the Rio Conventions, stakeholders learned about the commitments to the Rio Conventions, learning about the Rio Conventions, etc., essentially a one-way means of communication about the Rio Conventions but weak on analysing the challenges of aligning national policies, regulatory instruments and working practices to build resilience into the system *vis a vis* climate change, land degradation and the loss of biological diversity. The Project has not provided a platform where there is a two-way process of communication. For instance, non-state stakeholders still face challenges in accessing environmental information and, despite having addressed the technical challenges of the EIMMS, there still appears to be little enthusiasm for inter-agency data sharing, at least one agency stating that they were unaware of whether the EIMMS was still being developed.
194. In terms of cross-cutting, the TE would expect to see evidence of a legacy platform for inter-agency and non-state actor’s participation in planning and shaping policy against a range of pressing issues such as disaster risk reduction and management, efficiency in land use planning and “future-proofing” natural systems and national infrastructures and communications.

#### 3.9.9 Social and Environmental Standards

195. The SES was completed during the project’s design.
196. Four risks identified in the Environmental and Social Review Criteria<sup>114</sup> were not carried through to the project risk log, ATLAS or the PIRs:
- Low Risk 1: There is likelihood that the project would exclude potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them.
  - Moderate Risk 2: Duty-bearers may not have the capacity to meet their obligations in the project.
  - Moderate Risk 3: There is a risk that rights-holders do not have the capacity to claim their rights.
  - Moderate Risk 4: There has been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned.
197. The SES does not appear to have been revised. As a minimum, this should have been reviewed when the IP was changed.

#### 3.9.10 Sustainability

Issue	Rating
Financial sustainability	Unlikely
Socio-economic sustainability	Unlikely
Institutional framework and governance sustainability	Unlikely
Environmental sustainability	Unable to Assess
Overall sustainability	Unlikely

198. **Financial sustainability:** given the number of activities which were discontinued due to financing in 2021, that when stipends were cancelled for the Working Groups, attendance dropped it is considered unlikely that the project outputs will be financially sustainable. The Financial and Economic Analysis Monitoring Enforcement UNCCD<sup>115</sup> was prepared by the Project. It is worth noting that most interview respondents reflected that the environmental sector, and in particular the Rio Conventions, would be heavily dependent upon external (donor) financing in the short to medium future. The donor round table consultations was one of the activities which was cancelled in 2020/2021. This needs to be set against the high expectations of the Project Document with regards to financing the sector and in particular the implementation of the Rio Conventions.
199. **Socio-economic sustainability:** there is little evidence that the outputs will be sustainable by any socio-economic criteria. While many institutional participants agreed that they had benefited from training and that the project-interactions were useful, there is little evidence that these have been integrated into working practices and attitudes regarding communication between agencies. Many stakeholders see the Rio Conventions and targets as something that has to be met to satisfy the international obligations to the Convention; rather than something that can guide the development of systemic socio-economic resilience at the national level.

<sup>114</sup> Project Document, Annex 5, p. 140

<sup>115</sup>

200. The gender aspects of the project, although limited, may well persist especially in the way that state officials access communities, although this is limited and to a large part, an incidental outcome.

201. **Institutional framework and governance sustainability:** the history of the project and the interruptions to the project implementation, as well as the current weak relationships and poor communications between the agencies suggests that sustainability along these lines is unlikely. Getting an agreement on the EIMMS and operationalising should increase the chances of sustainability in this aspect.

202. **Environmental sustainability:** there are no environmental risks, indeed increasing environmental stressors and challenges may help to focus minds collectively on improving inter-agency collaboration and communication as well as sharing information.

### 3.9.11 GEF additionality

Table 11 GEF additionality

GEF additionality	Description	Expected	Realised
Specific Environmental Additionality	The GEF provides a wide range of value-added interventions/services to achieve the Global Environmental Benefits (e.g. CO2 reduction, Reduction/avoidance of emission of POPs).	Yes (partially)	Some evidence – mainstreaming the Rio Conventions should provide better outcomes across climate, biodiversity and land degradation.
Legal/Regulatory Additionality	The GEF helps stakeholders transformational change to environment sustainable legal /regulatory forms.	Yes	No.
Institutional Additionality/Governance additionality	The GEF provides support to the existing institution to transform into efficient/sustainable environment manner.	Yes	Some evidence – stakeholders report improved inter-agency communication but there is little legacy of this visible.
Financial Additionality	The GEF provides an incremental cost which is associated with transforming a project with national/local benefits into one with global environmental benefits.	No	
Socio-Economic Additionality	The GEF helps society improve their livelihood and social benefits through GEF activities.	Yes (partially)	Some evidence - non-state actors' access to information, transparency and accountability were all expected benefits. However, there is little to support the view that these have been approved without the EIMMS being operational.
Innovation Additionality	The GEF provides efficient/sustainable technology and knowledge to overcome the existing social norm/barrier/practice for making a bankable project.	Yes	Yes – when the EIMMS is operationalized and effective (i.e. agencies allow the harvesting of agreed data sets and there is broad public access to the data) it will be a “game changer”. Technically this is reported to have been achieved. However, it still needs to be operationalized.

### 3.9.12 Catalytic role/ replication effect

203. There is little evidence of **scaling up** in the project's outputs. **Replication** and **demonstration** may have taken place to some extent through the Working Groups and dialogues, respondents to the TE did state that they had appreciated better how to approach communities from being involved in the project. However, these activities were discontinued in 2021 and there does not appear to be any attempts to mainstream these approached into working practices other than through the individuals who participated. The EIMMS, if operationalised and supported by the key agencies with open access to civil society organisations and individuals as well as the media and other interested parties will be a good example of the **production of a public good**.

### 3.9.13 Progress to impact

204. Assessing the impact of the project is both problematic and challenging. The project was designed before it was mandatory to include a TOC in the design and the project's dysfunctional SRF makes it difficult to reconstruct a TOC because of the lack of a hierarchical logic: activities, outputs, outcomes and objective.
205. At the heart of the CCCD project, in terms of impact (disregarding the NCSA report which was essentially an output or deliverable, if not a means of verification) the project would provide a technical "fix" for communicating and sharing information while the other components would address the adaptive challenges of stimulating inter-agency communication and collaborative governance.
206. While it is reported that the EIMMS is now ready to be operationalised and of a very good quality, for a number of reasons, weaknesses in the project design, ineffective project management, financial constraints and external factors such as the changes in government, changes in the PMU and the IP and finally the Covid-19 pandemic have mitigated against consolidating any adaptive changes.

## 4.0 Main findings, conclusions, recommendations and lessons

### 4.1 Main findings

207. **Design:** there were substantial weaknesses in the project's design. The project was part of a "suite" of projects designed around the same time and with considerable similarities in their approach to mainstreaming and cross-cutting capacity development as well as very poor strategic results frameworks. Project financing for these CCCD projects was outside the STAR allocation.
208. These weaknesses were largely in the strategic approach and how that was translated into the project SRF through a logical hierarchy of activities, outputs, outcomes and an objective. This made the project very "product" orientated rather than a series of activities and outputs leading towards an outcome or result which would be a situational and systemic change.
209. **Implementation arrangements:** during the project inception there was a change in the NIM implementation arrangements due to governmental institutional changes and the IP became the DoE (including the PMU) under the Ministry of the Presidency. Following a change in government in 2020 the PMU the DoE was absorbed into the EPA and the PMU was transferred to the OCC within the Office of the President, where the DEEC took over project management responsibilities before being transferred to the EPA.
210. The IP was subsequently changed to the EPA and the PMU was transferred there where it remained until the end of the project. These changes and a hiatus during the uncertainty of the government changes had a significant impact on the project's activities. Although it should be noted that there had already been a delay in starting up and the IP and PB had recommended an extension before these events.
211. **Implementation:** the project has experienced delays in implementation. Furthermore, as reported by the PB and the annual audit, there were internal weaknesses in the financial management. The project management costs exceeded the Project Document and AWP approved (ATLAS) budgets. This was due to the planned part-time PMU becoming full time, payments for PMU services and payments of sitting allowances for Working Groups and other group activities. In 2021 the PB stated that the project management costs were exhausted (although this does not appear in the General Ledger Expenditure account) and the PMU Contracts were terminated.
212. When the DoE was dissolved and merged with the Office of Climate Change, the project was placed on hold for review by the Office of the Vice President. During this time, the DECC and the UNDP had several discussions on moving forward with the remaining activities. This included the strategic decision to focus on completing the EIMMS and cancelling the other activities was made by the DECC and UNDP. The PMU responsibilities were transferred to the EPA became a part time and "ad hoc" arrangement under the EPA. Therefore, a number of activities were cancelled and the new IP focused on delivering and establishing the EIMMS.
213. **Monitoring and evaluation:** the project's SRF had significant weaknesses for the purpose of GEF M&E towards results. The indicators were poorly phrased and, in many instances, simply restated baselines, deliverables, activities and targets. Furthermore, the number of indicators placed a substantive and confusing M&E burden on the project. Risks identified in the SES were not tracked in the PIR or by the PB and financial risks identified by the PB (e.g. financial, performance of the EIMMS Contract, etc.) were not entered into the risk register. M&E ratings were unrealistically optimistic. Following the transfer of the IP to the EPA these risks are raised and a management response it provided with the result that a number of outputs are cancelled (e.g. piloting the mainstreaming activities in a high value sector plan, etc.).

214. **Results:** based on the SRF it is hard to judge the results with any certainty. Process results such as changes in the institutional working practices, inter-agency communication, collaboration and data sharing, civil society participation in environmental issues, etc., do not appear to have measurably changed. The project has produced a number of reports but feedback from TE respondents did not provide any measures of how these had affected their current working practices or changed the nature of the agency relationships with regards to collaborative governance and a free flow of information. The project received a one-year extension in order to finalise the NCSA report and to develop the EIMMS. The NCSA report has been delivered and the EIMMS is currently technically ready and according to respondents it is to a very high technical standard. However, further training will need to be carried out to operationalise the “backroom” functions and collaborative arrangements will need to be made between data providers to ensure that there is regular updating.

#### 4.2 Conclusions

215. The weaknesses in the design, in particular a formulaic approach towards driving institutional change across a range of different agency interests underestimated the scale and complexity of the challenge. The tools available for the project (Working Groups, report-oriented technical Consultancies and dialogue groups) were insufficient to drive an adaptive change in institutional arrangements and operational practices. Coupled with the unusual and weak SRF and measures of progress towards achievements (poor indicators, non-compliance with SMART criteria, a lack of differentiation between indicators, outputs and targets), this likely led to the project being very output-orientated. This was further exacerbated by the IP and PMU being placed in an agency without budget provision and with no ministerial Act responsibilities. It was poorly placed to build the sort of coalitions and common purpose necessary to achieve the project’s expected objective.

216. Furthermore, the project’s design did not provide the necessary institutional mapping necessary to understand the institutional dynamics and relationships sufficiently. In general, government institutions are naturally conservative and protective of their legitimate mandates and powers. In respect to all four components, there was likely to be a natural resistance to change without a broad institutional stakeholder buy-in as a result of civil servants quite legitimately carrying out their respective responsibilities. Without the high-level participation of the decision-makers with the powers to bring about changes, the planned activities and predicted outputs were unlikely to achieve an outcome.

217. Implementation in the first few years gave the impression of being very productive. However, there were significant risks and assumptions either not identified or poorly articulated, which, while not being ignored by the PB and UNDP oversight and project assurance, were not been acted upon. Critical amongst these was the EIMMS. However, the issue of financial management and the high burn rate and overspend in the project management budget line is hard to understand because the issues were raised by the PB and the annual audit, but they do not appear in the General Ledger Expenditure which shows that there are almost 30% unspent funds in this budget line. In the event, the project ended with a budget execution of US\$ 771,026 or 70% of the US\$ 1,100,000 GEF budget. It would seem reasonable to attribute this performance in part to the institutional challenges and the Covid-19 pandemic, but also to the overspend in the project management.

218. Many of the project results are largely incomplete as a result of the truncated implementation. It has successfully produced the NCSA report and the EIMMS is now reportedly technically ready for roll out. However, the results from the other components are less clear and difficult to Judge. From stakeholder responses to the TE there was little to indicate that the project outputs, reports, communication and awareness materials had been integrated into agency working practices or widely viewed. Respondents did appreciate the training that they received from the project and stated that their individual awareness of the Rio Conventions had improved, although this was not reflected in the responses from civil society actors and organisations. Despite the fact that there is now the technical ability to share information and provide information to non-state users, it does not appear to have overcome the institutional barriers to data and information sharing.

#### 4.3 Recommendations

Rec #	TE Recommendation	Entity Responsible	Time frame
A	<b>Category 1: Project closure</b>		
A.1	Form a high-level decision-making Working Group/ Committee with the powers to make decisions on behalf of their respective agencies to develop a “road map” for operationalising the EIMMS. The Working Group/ Committee should be made up of individuals who can make decisions on the MoAs, access of the EIMMS to data sets and timeframe to operationalise it. The Working Group should be mandated to make recommendations on environmental data sharing and regulatory reform in the interests of collaborative governance. Representation from a few selected civil society groups would be advisable to understand their expectations and information needs.	EPA (GLSC, MNR, GFC, DECC. UNDP to support. Civil Society Organisation(s)	Q4 2022
A.2	Organise training for agency personnel to use the “backroom” functions of the EIMMS. Personnel should be specifically selected for their existing information and technology experience.	EPA	Q4 2022
A.3	Prepare a short user manual for public consumption on using the “front room” functions of the EIMMS. A list of civil society and peripheral agencies (e.g. health and Universities) should be drawn up and contacted. Either a workshop setting should be used or a press release targeted at the general public and other agencies should be produced. Consideration should be given to using social media to promote use of the EIMMS including You Tube instructions on using it. International and national environmental NGOs should be drafted into to help promote the facility.	EPA	Q4 2022
A.4	Improve the legacy/ sustainability plan to ensure that the project outputs are sustainable. This should be done with the participation of the agencies involved in the project and include clear time-bound targets and milestones. This should include the resources prepared by the Working Groups (for instance, the educational and legal resources), some of which may “age” very quickly and it is important that they are utilised, the legacy plan should show how this will happen.	DECC	Q4 2022
A.5	The Capacity Development Scorecard (Tracking Tool) sent separately in pdf format to the TE has the wrong date (11/0/2022) and phase of the project cycle is "6". UNDP does not use this classification. The Scorecard should read: Terminal Evaluation Stage. This should be corrected in the final document submitted with the final draft of the TE report.	UNDP, DECC, EPA	Q4 2022
B	<b>Category 2: UNDP</b>		
B.1	Review the human resource needs of the UNDP CO to ensure that they are appropriate for the work load of projects. Ensure that M&E processes are prioritised within the staffing compliment and review M&E procedures in relation to GEF projects.	UNDP CO	Q4 2022
B.2	As a general rule, PMU staff should not be utilised as technical assistance. The utilisation of project management staff to carry out technical assistance activities (unless engaged specifically as a subject matter specialist within a PMU team for that specific purpose) should be accompanied by supporting documentation such as i) a description of the specific technical tasks to be carried out, ii) qualifications and justification of the technical experience of the specific member of the PMU staff, iii) ToRs, iv) expected outputs and timeframe, and, v) independent quality control of the outputs.	UNDP	-
B.3	PMU staff should only attend overseas conferences if they are specifically arranged by the GEF Operational Programme. In all other instances’ priority should be given to national government or agency staff and other stakeholders.	UNDP/IA	-

B.4	Develop standard operational guidelines for UNDP GEF projects to store and update project records to ensure that the “project memory” is correctly handed over during any necessary changes in project implementation changes. The “project memory” folder should be updated and signed off by the UNDP Programme Officer, Project Director and Project Coordinator/ Manager when submitting the PIR or at any change in the three signatory positions.	UNDP	Immediate
B.5	GEF funds that are allocated to the technical components should not be used for the project management services. The Joint Consultative Group on Policy (JCGP) on contracting government personnel disallows direct payments to government staff for their additional work on donor-supported development projects.	UNDP	Immediate
B.6	There should be standard procedures for establishing a Project Board/ Steering Committee developed. These should be included in the Project Document using the standard UNDP-GEF template and state not just who should be on the PB/ SC, but also who should not be a member of the SC. The PC can attend PB/ SC meeting as required by the Board/ Committee, however, they should not be a Member and should never Chair a PB/ SC meeting. There is a direct conflict of interest. If this is standard practice by the CO then all UNDP GEF project PBs/SCs operating with current projects should be reviewed to ensure that project personnel do not have any executive role on the Board/ Committee.	UNDP	Immediate
B.7	Provide standard guidance for issues raised during independent audits of projects which should be recorded in the PIR Risk Assessment. Risks identified in the SES and other subsequent risks identified during the project’s implementation should be correctly rated and carried through to a risk register where they could be monitored and responded to and recorded in the PIRs.	UNDP	Immediate
C	Category 3: UNDP-GEF		
C.1	Provide clearer guidelines and scrutiny of project SRF. Normally, project SRFs in most UNDP-GEF projects are of mixed quality <sup>116</sup> . However, there has been a progressive improvement and stricter adherence to UNDP-GEF M&E procedures which is not necessarily matched by the quality of the SRF and in particular the indicators. Quite often this results in the project using the SRF simply as a procedure to report but with little attention to adaptive management. A cross-cutting aspect of UNDP-GEF projects is encouraging a culture of M&E, an understanding that projects are interacting with complex and unpredictable systems and an adaptive management approach is critical and may be an important outcome of a project in itself.	UND, GEF	2022
C.2	Develop clear guidance on objectives, outcomes, outputs and indicators based on the GEF-5 Focal Area Strategies, The Global Environmental Facility, pp. 106 – 107 (or more recent guidance <sup>117</sup> ). The guidelines should provide advice as well as examples of how to develop a logical hierarchy: objective, outcome, output and activities and a corresponding indicator, baseline, target and means of verification. Equal importance should be given to the need to develop a logical hierarchy (casual-effect relationship), practicality, periodicity, cost-effectiveness and general practicality of an indicator, as is given to the SMART criteria.	UNDP, GEF	2022

<sup>116</sup> TE personal observation from over 30 MTRs or TEs.

<sup>117</sup> Undated, Monitoring Guidelines of Capacity Development in GEF Operations, Capacity Development Initiative, Global Support Programme, National Capacity Self-Assessment.

C.3	Phrases such as “gender-equality issues will be considered to the extent that they are appropriate” should be recognised as a “red flag” in a Project Document and prompt a more critical assessment of the design’s responsiveness to gender. Compartmentalisation of gender and environmental issues is contrary to UNDP-GEF policy and not helpful in addressing environmental challenges and implementing the Rio Conventions. Women play an important role in the management of the environment and biodiversity, and in rural circumstances women often have a high dependency on biodiversity and other natural resources for their livelihood security and its sustainable management is of real and practical concern to them.	UNDP, GEF	
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#### 4.4 Lessons learned

- 219. Cross-cutting capacity development projects need to be developed with expert understanding of public management and administration:** CCCD is not just a technical challenge, it is primarily an adaptive challenge (see Annex 12). The technical aspects of the challenge, notwithstanding the procurement and Contract performance challenges the project suffered,<sup>118</sup> are important. However, the adaptive challenges are time-consuming and may not be easily resolved with existing knowledge and expertise. The project document assumed that training, capacity building, communication, etc., would be sufficient to achieve a broad coalition of interests towards meeting the commitments of the Rio Conventions. However, it is not that simple. Within any national setting, the institutional arrangements are a complex and dynamic “ecosystem” with different and legitimate mandates and perspectives on a complex challenge. Ideally a situation with one regulator in overall charge would simplify the system in terms of administration, but that, in itself, is an enormous challenge.
- 220. The focus of CCCD (e.g. the Rio Conventions) need to be made relevant at the national level in order to gain wide support:** international Convention commitments, reporting and targets set at the national level to comply with international obligations are probably not sufficient motivation at the national level. Linking Convention aims and objectives to national and local issues makes the three Conventions relevant to local stakeholders. For instance, within civil society, any of the three Conventions is likely to gain more traction if they are framed within existing issues such as land tenure, sustainable use, access to information, community rights, development and resilience issues, etc. Similarly, at an institutional level the Conventions need to be framed within a range of issues such as infrastructure, health, agriculture and systems resilience.
- 221. Trust is an important component of any governance system:** trust between different actors in any system is key to the successful outcomes of any intervention, project or otherwise, it lowers transaction costs and creates efficiencies.
- 222. Project design and Strategic Results Frameworks are important tools in a project:** the SRF is the primary tool for monitoring and evaluation in UNDP-GEF projects. However, in the TE’s experience the quality of these tools is often very poor. Major problems include, *inter alia*, inappropriate indicators, “SMARTness” of indicators and targets, misunderstandings over what is an outcome, an output, an indicator or a target, different formats across different projects, indicators with unachievable and very expensive data collection, data gathering beyond the competences of the country, data which will only be available following the successful capacity building by the project but necessary for a start of project baseline, to name a few.
- 223.** In the case of CCCD, for instance, a Knowledge, Attitudes and Practices (KAP) survey may have been useful tools to measure indicators. However, a credible survey would have required specific technical assistance and likely have been very expensive. Monitoring and evaluation is expensive, therefore, it is very important to be clear exactly why a project monitors, what it will monitor and what it will do with the data.
- 224.** It is also important to consider the project development phase which eventually produces the Project Document, and of course; the SRF. This is a far from ideal process as project partners, normally with the help of an external Consultant, try to marry the GEF programme expectations with those of the beneficiary country, often with considerable time, material resources and financial constraints. This can be a challenging task as pressing national priorities are not always easily aligned with GEF priorities, or they need considerable “translation” before they fit with national expectations.
- 225.** The SRF, therefore, should condense this highly complex intervention, in a highly complex and unpredictable socio-political ecosystem, into a logical hierarchy of activities, outputs, outcomes and an objective or goal;

<sup>118</sup> When a competent Contractor was engaged, not to underestimate the amount of work carried out by the Contractor, the technical aspects were addressed very quickly and efficiently.

with a means to measure both performance and impact. Are we doing what we said we would do, is it having the predicted effect and what is the overall impact? Essentially a schematic or tabular description of the project in its entirety.

226. Wrapped up in this are elements of audit and elements of adaptive management. Therefore, the SRF has two functions. The first function is essentially a contractual one which sets out what the project will produce, the audit function. The second function, and arguably in terms of impact or results, the more important function, is one of adaptive management. The project design is not an exact science, it is a collection of assumptions, predictions and in some extreme cases; hopes and wishes. Therefore, it is necessary to set out what is predicted to happen following an intervention, how it will be measured and how success will be gauged. If, during the process of implementing the project it is seen not to be working as predicted, then it is important to revisit the assumptions on which the intervention has been based, and indeed, the whole “understanding” or “hypothesis” of how the system is working.
227. Human nature being what it is, the contractual function of the SRF often over-rides the adaptive management function. The SRF simply becomes a checklist for auditing the outputs. Arguably, this is a safe way of evaluating a project because it is simply a case of presence or absence and no expert opinion, which might be contested, is necessary. By way of example, Component/ Outcome 4 was **Updating of the National Capacity Self-Assessment**. Output 4.2: was **Capacity Development Strategy and Action Plan**. The indicator was **Updated NCSA Action Plan and Final Report**. The end of project targets was **NCSA Action Plan and Final Report updated**.
228. **Gender equality is integral to project design and should be integrated in the strategy from the very start:** the issue of gender, especially in a project which has a specific focus on capacity building should be considered from the very start of the project. Adding it as an afterthought (“*gender-equality issues will be considered to the extent that they are appropriate*”) was not addressing the Rio Conventions and it should have been explicitly recognised in the Project Document in order to accord with the letter and the spirit of the Conventions. Retrofitting gender equality to an ongoing project (CCCD Gender Analysis Report, 3 December 2019, University of Guyana), as the report points out, is better than nothing, but less than optimal. Furthermore, the issue of gender, when “*considered to the extent that they are relevant*” is going to have budget implications because it is not planned and therefore; resources are not made available.
229. To be clear, the SESP now expected of UNDP-GEF projects, is likely to make it harder for projects to ignore gender issues and gender inequality in the future.
230. **Project oversight and assurance:** there were a number of issues, already highlighted in this report, which were correctly being picked up by the PB and the annual audit process, but without corrective actions. While the PB or Steering Committee is the rightful place to address these issues, it is ultimately the UNDP as GEF Executive Agency project assurance role which should act independently of the PB if the issues are not addressed.

## Annexes

### Annex 1 Terminal Evaluation Terms of Reference

**Services/Work Description:** Individual Contractor

**Project/Programme Title:** Strengthening technical capacities to mainstream and monitor Rio Convention Implementation through policy coordination

**Consultancy Title:** Lead Evaluator

**Duty Station:** Georgetown Guyana

**Duration:** 49 days

**Expected start date:** May 24, 2022

#### 1. BACKGROUND

The medium-sized project titled “Strengthening technical capacities to mainstream and monitor Rio Convention Implementation through policy coordination” aims to improve Guyana’s capacity to make better decisions as it relates to management of the natural resources and sustain its global environment obligations. The objective is to strengthen technical capacities for mainstreaming and monitoring achievement of Rio Convention objectives. This project, being executed by the Environmental Protection Agency, started on January 1, 2017, and was completed on December 31, 2021.

In accordance with the United Nations Development Programme (UNDP) and the Global Environmental Facility (GEF) Monitoring and Evaluation (M&E) policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. In this regard, the Lead Evaluator will conduct the TE of this project in accordance with the ‘Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects’ (Guidance for conducting Terminal Evaluations of UNDP-Supported GEF-Financed Projects - English).

This evaluation is expected to pronounce on the extent to which the main institutional actors involved in the project, that is the Environmental Protection Agency, Department of Environment and Climate Change and Guyana Lands and Surveys Commission are now better able to mainstream and monitor Rio Convention Implementation through policy coordination as a result of the UNDP support. Further, it will explore the extent to which this project has contributed to the achievement of the Country Programme 2017 – 2021 Outcome, that is, “Inclusive and sustainable solutions adopted for the conservation, restoration and use of ecosystems and natural resources.”

#### 2. SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED WORK

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office, the Regional Technical Advisors, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to the Environmental Protection Agency; Guyana Lands and Surveys Commission and Department of Environment and Climate Change;

executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc.

Given the lift of some travel restrictions, the consultant will work virtually from their home base including virtual engagements. Other data collections tools such as questionnaires can be used as appropriate.

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule and data to be used in the evaluation should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see TOR Annex A). The TE will assess results according to the criteria outlined in the *Guidance for TEs of UNDP-supported GEF-financed Projects* ([Guidance for conducting Terminal Evaluations of UNDP-Supported GEF-Financed Projects - English](#)).

The Findings section of the TE report will cover the topics listed below.

A full outline of the TE report's content is provided in ToR Annex C.

The asterisk "\*" indicates criteria for which a rating is required.

#### Findings

##### i. Project Design/Formulation

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Safeguards
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

##### ii. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment of M&E (\*)
- Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
- Risk Management, including Social and Environmental Standards

iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (\*), Effectiveness (\*), Efficiency (\*) and overall project outcome (\*)
- Sustainability: financial (\*), socio-political (\*), institutional framework and governance (\*), environmental (\*), overall likelihood of sustainability (\*)
- Country ownership
- Gender equality and women's empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

iv. Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE Consultant will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best and worst practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to include results related to gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown in the ToR Annex.

**3. Expected Outputs and deliverables**

The TE Consultant shall prepare and submit:

- TE Inception Report: TE consultant clarifies objectives and methods of the TE and TE consultant submits the Inception report: **11 -23 July 2022**
- Presentation and Report: TE consultant presents initial findings to project management and the Commissioning Unit (UNDP Guyana Country Office) at the end of virtual/in-person consultations. Approximate due date: **8 August 2022**
- Draft TE Report: TE consultant submits full draft report with annexes within 1 week of the end of the virtual/in-person consultation. Approximate due date: **August 14 2022**

- Final TE Report\* and Audit Trail: TE consultant submits revised report, with Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: **21 August 2022**

The final TE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>119</sup>

#### **Proposed Work plan**

The total duration of the TE will be approximately 54 working days over a time period of 12 weeks starting 11 July 2022 and shall not exceed five months from when the TE team is hired. The tentative TE timeframe is as follows:

- 24 May 2022: Preparation the TE Consultant (handover of project documents initiated)
- 24 May 2022 – June 18 2022: Document review and preparing TE Inception Report
- 11 July – 23 July 2022 (12 days): Finalization and Validation of TE Inception Report
- 25 July 2022 – 7 August 2022 (13 days): TE virtual/in person mission: stakeholder meetings, interviews and field visits.
- 8 August 2022: Mission wrap-up meeting & presentation and report of initial findings at end of TE mission
- 9 August – 19 August 2022 (10 days): Preparation of draft TE report
- 20 August – 3 September 2022 Circulation of draft TE report for comments
- 4 September – 7 September 2022 (3 days): Incorporation of comments on draft TE report into Audit trail and finalization of TE Report
- 9 September 2022: Concluding Stakeholders Workshop
- 13 September 2022: Expected date of full TE completion

#### **4. Institutional arrangements/reporting lines**

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is UNDP Guyana Country Office.

The Commissioning Unit will contract the consultant. The Project Team (Environmental Protection Agency) will be responsible for liaising with the TE team to provide all relevant documents, list of key stakeholders and set up stakeholder interviews.

#### **5. Experience and qualifications**

##### Academic Qualifications:

Master's degree in *Biology, Natural Resources Management, Sustainable Development, Environmental Science* or other closely related field;

##### II. Years of experience:

- Previous experience with results-based management evaluation methodologies; at least 5 years' experience in conducting project level evaluations as sole evaluator or team leader in similar or related fields; or conducted at least 5 recent project evaluations as sole evaluator or team leader in similar or related fields.
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to crosscutting capacity development
- Experience working in the Caribbean Region;

<sup>119</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

- Experience in relevant technical areas including crosscutting development for at least 10 years;
- Demonstrated understanding of issues related to gender and crosscutting capacity development; experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset;
- Experience with implementing evaluations remotely will be considered an asset.

**III. Language:**

- Fluency in written and spoken English.

**6. Payment Modality**

Payment to the individual contractor will be made based on the actual number of days worked, deliverables accepted and upon certification of satisfactory completion by the Commissioning Unit. Payment will be made as follows:

- 20% payment upon Satisfactory delivery of Presentation and Report of initial findings
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

*In line with the UNDP's financial regulations, when determined by the Commissioning Unit and/or the consultants that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the TE, that deliverable or service will not be paid.*

*Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.*

**Deliverables' schedule**

<b>Output</b>	<b>Percentage Payments</b>	<b>Due dates</b>
TE Inception Report	-	23 July 2022
Presentation and Report of initial findings	20%	8 August 2022
Draft TE Report	40%	3 September 2022
Finalized TE Report and delivery of completed TE Audit Trail	40%	7 September 2022

*Suggested ToR annexes include:*

- ToR Annex A: Project Logical/Results Framework

- ToR Annex B: Project Information Package to be reviewed by TE team
- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR AnnexE: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales and TE Ratings Table
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail template
- ToR Annex I: Capacity Score Card (end of project)

Annex 2 Terminal Evaluation Work Plan

	May				June				July				August				September			
Sign Contract																				
Document exchange & review																				
Inception phase																				
Interviews																				
Field mission (NC)																				
Drafting TE Report																				
Stakeholder feedback & comments																				
Finalising TE Report																				

Annex 3 Documents reviewed

Date	Name	Source
2015	Project Identification Form	UNDP
2016	Project Document: Strengthening technical capacities to mainstream and monitor Rio Convention implementation through policy coordination MNRE	UNDP
2021	Project Document: Strengthening technical capacities to mainstream and monitor Rio Convention implementation through policy coordination	UNDP
2020	<a href="http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf">http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf</a>	UNDP
Dec-19	Theory of Change Primer A STAP document	GEF
2016, 2017, 2018, 2019, 2020, 2021	Annual Work Plan	PMU
2017, 2020	Annual Report	UNDP
2018, 2019, 2020, 2020	Project Implementation Report	PMU
undated	Stakeholder Engagement Plan	PMU
Oct-16	Project Inception Report	PMU
04/10/2021	Authorisation Letter EPA	GoG
Undated	GEF-5 Capacity Cross-Cutting Capacity Development Strategy	GEF
2016	Rio Convention Training Manual for Teachers	PMU
2018	Strengthening Technical Capacities to Mainstream and Monitor Rio Convention Implementation through Policy Coordination	PMU
undated	EIMMS Proposed technology framework	PMU
Nov-17	Assessment of the Legal and Regulatory framework	PMU
Nov-17	Assessment of Policy Framework	PMU
Jan-17	Current Approach to Collect, manage & Share Information relating to the Rio Conventions	PMU
Apr-18	Minutes Legal Specialist Working Group	PMU
Nov-17	Minutes Legal Specialist Working Group	PMU
Jul-17	Inception Report Legal & Policy	PMU
Apr-17	Policy & Legal Workshop Report	PMU
Sep-17	SWOT Analysis of arrangements related to the UNFCCC implementation	PMU
Oct-17	SWOT & GAP Analysis of the Institutional Arrangements for Implementation of the UNCCD & recommended Reform	PMU
Jun-17	SWOT and Gap Analyses of the Priority Actions Implementation of the UNCBD (Output #2)	PMU
2019	PPT 3rd Negotiation Workshop	PMU
undated	MEMORANDUM OF UNDERSTANDING BETWEEN Department of the Environment (DoE), Ministry of the Presidency & Environmental Protection Agency	PMU
undated	MEMORANDUM OF UNDERSTANDING between Department of the Environment (DoE), Ministry of the Presidency & University of Guyana	PMU
Jan-18	MINUTES Working Session – Members of the Policy/Legal Working Group Policy/Legal Regulatory Expert Consultancy	PMU
Oct-19	PPT Negotiations in the Guyana - Norway Arrangement	PMU
undated	Strengthening Technical Capacity to Mainstream and Monitor Rio Conventions Implementation through Policy Coordination Policy/Legal Regulatory Expert Consultancy: Approach to the Deliverable “Convening three Public Policy Dialogues”	PMU
2017 - 2020	PB Minutes of meetings 1st - 12th meetings	PMU
Jan-15	The Strategic Value of GEF-funded Cross-Cutting Capacity Development	GEF
Nov-15	GEF-6 Strategy for Cross-Cutting Capacity Development, Cotonou, Benin November 3-5, 2015	GEF
Undated	Monitoring Guidelines of Capacity Development in GEF Operations, Capacity Development Initiative, Global Support Programme, National Capacity Self-Assessment.	GEF

Various	Memoranda of Agreement, Environmental Protection Agency, Civil Defence Commission, Guyana Energy Agency, Guyana Forestry Commission, Ministry of Public Infrastructure, National Agricultural Research and Extension Institute Public Sector Commission, Tourism and Hospitality Association of Guyana.	UNDP
2021	Correspondence relating to the transfer of the PMU and project extension.	UNDP

Annex 4 List of stakeholders interviewed

Date	Abbreviations	Key Stakeholder Agencies/ organizations of origin	Name change if any	Interviewees	Follow-up actions
18 <sup>th</sup> July 2022	UNDP	UNDP	UNDP	Winston Setal (WS) Astrid Lynch (AL)	Follow up sessions
21 <sup>st</sup> July 2022	EPA	Environmental Protection Agency (EPA)	Environmental Protection Agency (EPA)	Lauren Sampson Colis Primo Candacie Brower-Thompson Judea Crandon Nadia Nasir Reshana Thomas Ryan Tiwari Stacy Lord Felicia Adams-Kellman Michael Morrison Aretha Forde Salika Zaman (absent)	
23 <sup>rd</sup> July 2022	DoE	Department of Environment (DoE)	Dissolved	Michelle Klass	
25 <sup>th</sup> July 2022		UNDP-GEF RTA	UNDP-GEF RTA	Diana Fernandes Carlos Montenegro Pinto	Follow sessions
26 <sup>th</sup> July 2022	GFC	Guyana Forestry Commission	Guyana Forestry Commission	Simone Benn Diana Thomas Jones	
	MNR	Ministry of Natural Resources	Ministry of Natural Resources	Michelle Astwood Rehana Thomas	
	PAC	Protected Areas Commission	Protected Areas Commission	Percia Martindale	
	DECC	Office of Climate Change	Department of Environment and Climate Change	Sandra Britton	
28 <sup>th</sup> July 2022	GGMC	Guyana Geology and Mines Commission (GGMC)	Guyana Geology and Mines Commission (GGMC)	Godfrey Scott Tamara Gilhuys Soyini McPherson	
2 <sup>nd</sup> August 2022	BoS	Bureau of Statistics	Bureau of Statistics	Mr. Phillips	
3 <sup>rd</sup> August 2022	APA	Amerindian Peoples Association (APA)	Amerindian Peoples Association (APA)	Mr. Graham	
	GOIP	Guyana Organisation of Indigenous Peoples' (GOIP)	Guyana Organisation of Indigenous Peoples' (GOIP)	Colin Klautky	Poor internet connection – responses given by text
5 <sup>th</sup> August 2022		UNDP Programme Associate	UNDP Programme Associate	Nadezda Liscakova	

Date	Abbreviations	Key Stakeholder Agencies/ organizations of origin	Name change if any	Interviewees	Follow-up actions
	<b>Other</b>	Then part of MNR.	Now independent consultant	Dr. Haimwant Persaud	
		Then UNDP	Now independent consultant	Dr. Patrick Chesney	
8 <sup>th</sup> August 2022	<b>UG</b>	University of Guyana- Faculty of Earth and Environmental Sciences	University of Guyana-Faculty of Earth and Environmental Sciences	Mr. Chetwynd Osborne	
10 <sup>th</sup> August 2022				Denise Simmons	
11 <sup>th</sup> August 2022		Then DoE	Now independent consultant	Edon Daniels	
17 <sup>th</sup> August 2022	<b>GL&amp;SC</b>	Guyana Lands and Surveys Commission	Guyana Lands and Surveys Commission	Andrea Mahammad Roland Austin	
18 <sup>th</sup> August 2022	<b>UNDP - RTA</b>	UNDP	UNDP	Carlos Montenegro Pinto	Follow- up meeting
	<b>DoE</b>	Then DoE	Dissolved	Ndibi Schwiars (former project Director) Independent consultant	
19 <sup>th</sup> August 2022	<b>EPA</b>	Environmental Protection Agency (EPA)	Environmental Protection Agency (EPA)	Kemraj Parsram Project Director (current)	

Annex 5 Evaluation criteria matrix

Evaluative Criteria Questions	Indicators	Sources	Methodology
<b>Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities at the local, regional and national level?</b>			
To what extent are the project's objectives consistent with beneficiaries' requirements, country needs, national priorities and policies, global priorities and partners' and GEF policies and priorities?	Adequacy of activities in relation to policies and stakeholders' needs Alignment of project objective and outcomes with policy objectives Alignment of projects strategy and theory of change with country situation and national priorities	Conventions, Project Document, UNDP Country Programme, sector policies and regulatory frameworks, regional agreements and programmes NCSA Action Plan and Final Report	Interviews of stakeholders / beneficiaries Interviews steering committee members Review of documents
To what extent were decision-making processes during the project's design phase reflecting national priorities and needs? Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, considered during project design processes?	Effectiveness of partnerships arrangements since inception, co-financing budget execution	Project Document, Inception Report, PIRs, minutes of PB meetings, TOC.	Document review, interviews with government agency stakeholders and project partners, analysis.
How relevant is the project strategy to the situation in the project area/ national context and circumstances? Does it provide the most effective route towards expected/intended results? Were lessons from other relevant projects properly incorporated into the project design?	Coherence between project design and implementation – what changes have had to be made. Should changes have been made? Level of project resources assigned to tasks.	Project Document, Inception Report, Consultant's studies and reports, minutes of Steering Committee/PB and Technical Working Groups	Document review, interviews with government agency stakeholders and project partners, analysis.
What was/is the problem addressed by the project and the underlying assumptions? What has been the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document? Was the problem correctly identified?	Suitability of specific components of the project to address issues and achieve results areas. Changes to the strategy, changes to the interventions. Completeness of interventions by mid-term.	Project Document, Inception Report, Work Plans, PIR and NSC/PB minutes of meetings, Consultants reports.	Documents, interviews with stakeholders, project implementing partners, PMU and project Consultants.
Does the project's Theory of Change reflect the complexity, uncertainty and framework of national government agencies?	Retro-fit TOC and test hypothesis against SRF. Project TOC causal pathways, outputs and outcomes, emergent or unidentified risks, weak links in the cause-and-effect relationships	TOC, Project Document strategy, risk register, NC field mission findings, PMU, implementing partners	Discussion and analysis
To what degree is the project's implementation a participatory and country-driven processes:  Do local and national government stakeholders support the objectives of the project?  Do they continue to have an active role in project decision-making that supports efficient and effective project implementation? If so, how is this achieved?	Gender disaggregated data, level of co-financing commitment/ expenditure, workshop and meeting attendance, degree of ownership of project community-based/ civil society initiatives	Project reports, PIR, workshop reports, co-financing records	Documents, interviews with stakeholders, project implementing partners.
Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits?	National policy priorities and strategies, as stated in official documents. Approved policy and legislation related to biodiversity, land use	National policy and regulatory framework documents	Document review, interviews with high-level project partners.

	and land use planning, climate change, budgets, etc.		
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
To what extent have the expected outcomes and objectives of the project been achieved?	SRF indicators	Project Document, SRF, PIRs, results	Document review, analysis, interviews with stakeholders and beneficiaries
To what extent did the project contribute to the Country Programme outcomes and outputs, the SDGs, the UNDP Strategic Plan and Country Programme, GEF strategic priorities, and national development priorities?	Alignment and synergies of outcomes	Project Document, CPAP, SDGs, GEF strategic priorities	Document review, high-level stakeholder interviews, analysis
What factors have contributed to the achieving or not achieving intended outcomes and outputs? Could the project include alternative strategies?	Progress towards results, efficiency of project strategy, adjustments to strategy Number of key priorities that have been met through the project Assumptions not met / unpredictable effects	SRF, Project Document, PIR, risk log	Document review, interviews, analysis
Has the project produced unintended results - positive or negative? If there are negative results, what mitigation activities are in place?	Progress towards results, efficiency of project strategy, adjustments to strategy Number of key priorities that have been met through the project Assumptions not met / unpredictable effects	SRF, Project Document, PIR, risk log	Document review, interviews, analysis
To what extent the project has demonstrated: a) scaling up, b) replication, c) demonstration, and/or d) production of public good	Number of relevant initiatives not directly financed by the project	PIR, other project reports	Document review, interview with PMU, UNDP, PB, stakeholder, beneficiaries, government agencies
What evidence is there to suggest that the project will/ has achieve the outcomes and objective by the close of the GEF-fund?	Budget execution, realism of work plans, results to date	PMU, project documentation	Document review, interviews, field visits
<b>Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?</b>			
To what extent has the project completed the planned activities and met or exceeded the expected outcomes in terms of achievement of global environmental and development objectives according to schedule, and as cost-effective as initially planned?	Activity modifications (removal / adding) Budget revisions Circumstances for no-cost extension Functionality of M&E system Compliance with UNDP-GEF rules	UNDP finance & project staff Project Director interview Annual reports	Interviews, analysis, field visits
To what extent were project funds and activities delivered in a timely manner?	As above	As above	As above
How did the project adapt to the new normality COVID-19? Did the project contribute to minimizing the socioeconomic effects of the Pandemic?	Implementation adjustments (e.g., remote training, more widespread use of technology for communication / decision-making	Interviews steering committee/ PB members Interviews of activity implementers Interviews of project team Covid-19 plan	As above
<b>Financing and co-financing</b>			
Are there variances between planned and actual expenditures? What are the main reasons? To what extent did financial controls allow the project management to make informed decisions regarding the budget?	Disbursement trends Follow-up and adjustments of procurement plan Co-financing complementarities / substitution	UNDP finance & project staff Project Director interview Annual reports	Interviews, analysis

What extra resources has the project leveraged? How have they contributed to the project's ultimate objective?	M&E system updates and annual/intra-year budgetary adjustments		
<b>Implementation, Oversight and Execution</b>			
To what extent has UNDP delivered effectively on activities related to project identification, concept preparation, appraisal, preparation of detailed proposal, approval and start-up, oversight, supervision, completion and evaluation? To what extent has the Implementing Partner effectively managed and administered the project's day-to-day activities? How was UNDP's overall oversight and supervision?	Changes in UNDP staff Periodicity of technical meetings with project team & relevant support / timeliness of recruitments Changes in project team staff Activity / staff / service payment delays...	Annual reports, PIR UNDP, ministry & project team interviews CDR	Interviews, document review, analysis
<b>Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?</b>			
How are risks monitored and managed?	Project risk log in ATLAS and management responses, communication with partners and stakeholders	Project Document, Annual Project Review/PIRs and the ATLAS Risk Register, project communications strategy	Review, interviews, analysis
What is the likelihood of financial and economic resources not being available once the GEF assistance ends?	Public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)	National policies and plans, local policies and plans, NGO feedback, private sector feedback, project exit arrangements. Consultants and service providers reports	Review, interviews, analysis
What are the long-term socio-political risks to the outcomes of the project?	Partner and stakeholder ownership, public / stakeholder awareness in support of the long-term objectives, sharing of information on risks, adjustments to interventions to address specific risks	National policies and plans, local policies and plans, NGO feedback, private sector feedback, project exit arrangements. Consultants and service providers reports	Review, interviews, analysis
What are the environmental risks to the sustainability of the project's outcomes? How are these managed and mitigated?	Climate data and forecasts. National disaster risk reduction strategies and plans	National data, policies and plans	Review and analysis, field visits
<b>Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?</b>			
How were gender and human rights considerations integrated in the project's design, including analysis, implementation plan, indicators, targets, budget, timeframe and responsible party? To what extent has the project contributed to gender equality, the empowerment of women and human rights of disadvantaged or marginalized groups? To what extent did women, poor, indigenous, persons with disabilities, and other disadvantaged or marginalized groups participate and benefit from the project? Was the UNDP Gender Marker rating assigned to the project document realistic and backed by the findings of the gender analysis? Is there any potential negative impact on gender equality, women's empowerment, disadvantaged or marginalized groups? If so, what can be done to mitigate this? To what extent was the SESP realistic, followed and monitored. Were gender related/ affecting activities, gender-blind, -negative, -targeted, -responsive, - transformational?	M&E system covering gender Activity adaptability as per gender and target beneficiaries' types Degree of project targeting of vulnerable people Number of women & vulnerable people that were direct beneficiaries from project's results Level of participation of vulnerable groups & women in activities' operationalization Safeguarding actions and activities FPIC	Gender-specific & marginalized group interviews (focus groups) Project team interview Municipalities interviews Annual reports SESP	Documentation review, interviews, field visits, analysis
<b>Other cross-cutting issues</b>			

<p>How have the project activities contributed to poverty reduction and sustaining livelihoods? To what extent has the project contributed to better preparations to cope with disasters or mitigate risk, and/or addressed climate change mitigation and adaptation? To what extent has the project incorporated capacity development activities? Were results achieved?</p>	<p>Conversion incentives success rate Increased resources through improved technology (&amp; capacity building) / diversification Pilot-project appropriation and empowerment Level of operationality of surveillance committees</p>	<p>Interviews project staff Interviews final beneficiaries Interviews community &amp; committee members / representatives</p>	<p>Documentation review, interviews, field visits, analysis</p>
<b>Stakeholder engagement and partnerships</b>			
<p>Where all key stakeholders identified, were they categorised correctly? To what extent do project stakeholders share a common understanding and are involved in the decision-making process of the project? To what extent did stakeholder's participation mechanisms in place lead to empowerment and joint ownership of the project? What should be done better to increase their participation and engagement?</p>	<p>Degree of active participation in project activities / capacity building training Project responsiveness re. final beneficiary/community needs Degree of participation of stakeholders in project (annual) planning</p>	<p>Project staff &amp; ministry interviews Interviews of community representatives and municipalities</p>	<p>Documentation review, interviews, field visits, analysis</p>
<b>Results framework</b>			
<p>To what extent the project's objectives and components are clear, practicable and feasible within its time frame? Was there a clearly defined and robust Theory of Change? Were the indicators in the Results Framework SMART?</p>	<p>Number of activities that were amended / terminated and reasons Follow-up of Capacity Score Card indicators Changes of indicators during implementation, number of indicators not assessed Usability of baseline studies Cost-effectiveness of indicators</p>	<p>Interviews project team Interviews of ministry Interviews steering committee members, SRF/ log frame Project strategy</p>	<p>Documentation review, interviews, field visits, analysis</p>
<b>Monitoring and evaluation</b>			
<p>To what extent did the Monitoring systems allow the collection, analysis and use of information to track the project's progress, risks and opportunities toward reaching its objectives and to guide management decisions? Were the budget and responsibilities clearly identified and distributed?</p>	<p>Level of functionality of M&amp;E system; updating and effective integration into decision-making (planning + adjustments) Cost effectiveness of indicators</p>	<p>Interviews project team, RTA, UNDP</p>	<p>Documentation review, interviews, field visits, analysis</p>
<b>Risk Management, Social and Environment Standards and Adaptive Management</b>			
<p>To what extent were risks (both threats and opportunities) properly identified and managed? To what extent did the project maximize social and environmental opportunities and benefits and ensured that adverse social and environmental risks and impacts were avoided, minimized, mitigated, and managed? What "safeguards" did the project implement? Were the project's changes based on evidence? Were they properly managed?</p>	<p>Updating of assumptions and risks realistic Relevant project implementation changes M&amp;E system operationality</p>	<p>Project team interviews, UNDP interview, ATLAS risk log, PIRs</p>	<p>Documentation review, interviews, field visits, analysis</p>
<b>GEF additionality</b>			
<p>To what extent has the project lead to additional outcomes? Global Environmental Benefits Livelihood improvements and/or social benefits Innovation Additionality</p>	<p>Overall increase / stabilization of ecosystem benefits/services High-profile species status Capacity score increases</p>	<p>Interviews EPA, implementing partners Interviews project team Annual reports</p>	<p>Documentation review, interviews, field visits, analysis</p>
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?</b>			

<p>To what extent are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status? To what extent have the Rio Conventions been mainstreamed</p>	<p>Specific changes to sector policies and operational practices Reduction of pressures (fisheries, agriculture, plantations, mining, (through behaviour change and threat reduction and mitigation)</p>	<p>Technical reports Monitoring reports Interviews of implementing partners, NGOs &amp; community representatives</p>	<p>Documentation review, interviews, field visits, analysis</p>
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#### Annex 6 Interview guides by stakeholder group

##### Preliminary List of Questions by Stakeholder Sample

Note: Some questions are repeated between different interviewees for purposes of triangulation and to obtain a fuller range of views on key issues. Some information will also be retrieved from the project's M&E records. The interview process is an iterative process and the question lists will be fine-tuned and elaborated before each interview depending on the relevance and level of involvement in the project – implementation, oversight, execution, management, beneficiary, etc...

All stakeholders will be given an opportunity to comment on possible recommendations and lessons learned.

Theme	Questions
<b>UNDP/RTA – Implementing Agency</b>	
<b>Preparation</b>	<ul style="list-style-type: none"> <li>Describe the project preparation process, how were stakeholders involved?</li> </ul>
<b>Relevance / mainstreaming/</b>	<ul style="list-style-type: none"> <li>How does the project contribute to the CPAP and strategic goals of the CO?</li> </ul>
<b>CCCD</b>	<ul style="list-style-type: none"> <li>How has the project addressed gender and rural people's requirements during implementation? What oversight role has UNDP played in this regard?</li> </ul>
<b>M&amp;E</b>	<ul style="list-style-type: none"> <li>Please summarize the role of the CO in relation to project oversight and technical and M&amp;E support. What challenges have been experienced in carrying out these responsibilities? What actions were taken to address such challenges? What were the outcomes?</li> </ul>
	<ul style="list-style-type: none"> <li>What support was provided by the RTA throughout project development and implementation? Describe the relative strengths and weaknesses of such support.</li> </ul>
	<ul style="list-style-type: none"> <li>How have the UNDP/GEF CO and Regional Office supported the project in cross-project learning and knowledge sharing, especially with GEF projects with similar objectives in the region? In particular, those within the focal area and related to mainstreaming?</li> </ul>
	<ul style="list-style-type: none"> <li>How frequently has the Project Board/Steering Committee met? Has the composition of the Project Board been optimal to oversee implementation? Would it have been beneficial to include any other stakeholders? What key decisions has the PB/SC made?</li> </ul>
<b>Linkage / stakeholder engagement</b>	<ul style="list-style-type: none"> <li>How is project implementation coordinated with other UNDP initiatives (list them) – for example SGP, Governance, etc.. - and what benefits have been evident as a result?</li> </ul>
	<ul style="list-style-type: none"> <li>What other GEF and bilateral projects are related to CCCD Project (list them), and how are efforts being coordinated?</li> </ul>
	<ul style="list-style-type: none"> <li>How do the stakeholders (state and non-state) contribute towards the sustainability of CCCD project outcomes?</li> </ul>
	<ul style="list-style-type: none"> <li>How are project relations with partners? How would you characterise them?</li> </ul>
<b>Financing</b>	<ul style="list-style-type: none"> <li>Describe UNDP's role in supporting project financing. Have GEF and UNDP financing arrangements proceeded smoothly for implementation – any delays or setbacks related to financing? Were there sufficient financial resources to implement the project as described in the Project Document?</li> </ul>
	<ul style="list-style-type: none"> <li>Has there been any impact of any shortfalls in project financing?</li> </ul>
	<ul style="list-style-type: none"> <li>If so, how did UNDP address these financial challenges?</li> </ul>
	<ul style="list-style-type: none"> <li>Has UNDP's co-financing been fully delivered, and what activities does it support?</li> </ul>
	<ul style="list-style-type: none"> <li>What co-financing hasn't materialised and why? What actions, if any have been taking to resolve this?</li> </ul>
	<ul style="list-style-type: none"> <li>Where there any budget revisions during the project's lifetime? Why?</li> </ul>

- Execution**
  - Have there been delays in the project’s implementation?
  - What specifically led to any delays? What actions were taken to mitigate delays?
  - In UNDP’s opinion, how efficiently has EA and the PMU coordinated project execution? What were the relative strengths and weaknesses?
  - Has the project been adequately resourced in relation to its planned activities, outputs and outcomes? What specific resource-related problems have been encountered, and how were these resolved?
  - Has the project’s attention to sustainable livelihoods and gender been adequate for the project context?
  - What will happen to any project equipment?
- Risks**
  - Was the Project Document risk assessment complete and adequate?
  - How have risks been logged and managed by the UNDP Office?
  - What risks have emerged since the project started?
  - Have these been logged and is there an appropriate response/mitigation?
  - What has been the overall impact of the Covid-19 pandemic?
  - What specific actions has UNDP put in place to mitigate these?
- Results / Impacts**
  - How has the CCCD project contributed to strengthening the environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions?
  - In what way have institutional and technical capacities been strengthened or enhanced to create knowledge and mainstream Rio Conventions within national development frameworks?
  - Has the project improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives? In what way has this been achieved
  - What is the current status of the NCSA Action Plan and Final Report
  - Were the log-frame targets achievable within the time and budget remaining?
  - If not what course of action should have been taken?
  - What main lessons have been learned from the project, from UNDP’s side?
- Sustainability**
  - In what ways will UNDP continue to foster the sustainability of CCCD outcomes post project?

PMU	
<b>Information</b>	<ul style="list-style-type: none"> <li>• Confirm the list of outputs / documents available to the evaluation</li> </ul>
<b>Relevance / mainstreaming/ CCCD</b>	<ul style="list-style-type: none"> <li>• How have UNDP and GEF gender and rural community peoples’ policy requirements been addressed during project implementation. Could more have been done?</li> <li>• How is the project linked to cross-cutting issues such as climate change, poverty alleviation, disadvantaged groups, etc?</li> </ul>
<b>Coordination / M&amp;E</b>	<ul style="list-style-type: none"> <li>• Describe the coordination oversight mechanism between EPA and the PMU. How well integrated was the PMU with MNR? How often were meetings held between the NPC and PM / other PMU staff? How long were the meetings? Has this been adequate to ensure smooth execution of the project?</li> <li>• What support have you received from UNDP CO during implementation? Was this adequate? Describe relative strengths and weaknesses.</li> <li>• Please provide a present project management diagram and any changes that have been made to the project management structure during the project</li> <li>• How useful has the project’s M&amp;E framework been in monitoring the performance and progress of the project? The impact?</li> <li>• Was there adequate resources for the M&amp;E activities?</li> </ul>

<b>Linkage / stakeholder engagement</b>	<ul style="list-style-type: none"> <li>• What other GEF projects are related to CCCD, and how are efforts being coordinated? What are EPA and UNDP CO's roles in coordination?</li> <li>• How have other sectors been involved, e.g. agriculture, mining, forestry, water resources, academia, etc..?</li> </ul>
<b>Financing</b>	<ul style="list-style-type: none"> <li>• Financing – describe responsibilities for financial management among the team. How is accountability ensured in the management of GEF funds?</li> <li>• Any delays in receiving GEF funds or co-financing inputs? How are these documented and reported? What were the impacts of any such delays? What action was taken to address such problems? Was the UNDP co-financing reported through the normal budget reporting mechanism?</li> <li>• Were there any budget revisions? Why were these necessary?</li> <li>• How was in-kind co-financing recorded?</li> <li>• Has the project been adequately resourced in relation to its planned activities, outputs and outcomes? What specific resource-related problems have been encountered, and how were these resolved?</li> <li>• What issues remain?</li> <li>• What will happen to project equipment?</li> <li>• What audits have been done? Were any questions raised?</li> </ul>
<b>Execution</b>	<ul style="list-style-type: none"> <li>• What has been the impact on the project's i) performance and ii) achievements of the various issues such as institutional changes and the political/elections hiatus?</li> <li>• How have these been managed/ mitigated?</li> <li>• Have there been any changes in PMU staffing?</li> <li>• Why?</li> <li>• PMU Office location – what benefits / disadvantages? Are there conflicts between both areas of the project? How has an equitable distribution of project efforts been achieved?</li> <li>• Describe how any pilot projects are implemented</li> <li>• What have been the strengths and weaknesses of these arrangements?</li> <li>• What have been the most significant challenges in implementing the planned activities?</li> <li>• What process was followed to find national consultants? Was it difficult to find suitable expertise within Guyana?</li> <li>• Update on progress against top priorities identified in the PIRs, including: <ul style="list-style-type: none"> <li>○ Since June 2021 (last PIR)</li> </ul> </li> <li>• Update on other relevant recommendations: <ul style="list-style-type: none"> <li>○ Since June 2021</li> </ul> </li> </ul>
<b>Risks</b>	<ul style="list-style-type: none"> <li>• What risks face the sustainability of the project outcomes?</li> <li>• Can you break them down: <ul style="list-style-type: none"> <li>○ Financially</li> <li>○ Intuition</li> <li>○ Socio-politically</li> <li>○ Environmental</li> </ul> </li> <li>• What actions are planned to mitigate these risks?</li> </ul>
<b>Information Management</b>	<ul style="list-style-type: none"> <li>• Confirm what project related data is held and how it is managed (who is responsible for what databases)? What will happen to these data after project closure?</li> <li>• What is the status of the EIMMS?</li> <li>• How was project related information and knowledge products communicated to stakeholders and key partners?</li> </ul>

	<ul style="list-style-type: none"> <li>Describe the back-up and virus protection measures taken to protect project data. Have these been adequate? Any weaknesses that need to be addressed?</li> </ul>
<b>Results / Impacts</b>	<ul style="list-style-type: none"> <li>How has the CCCD project contributed to strengthening the environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions?</li> <li>In what way have institutional and technical capacities been strengthened or enhanced to create knowledge and mainstream Rio Conventions within national development frameworks?</li> <li>Has the project improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives? In what way has this been achieved</li> <li>What is the current status of the NCSA Action Plan and Final Report</li> <li>Were the log-frame targets achievable within the time and budget remaining?</li> <li>If not what course of action should have been taken?</li> <li>What main lessons have been learned from the project, from UNDP's side? What lessons have been learned from your experience of implementing the project?</li> <li>Add specific questions relating to the status of results framework indicators. Check assumptions</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>Has any CCCD sustainability and exit plan (legacy plan) been approved by the Project Board/Steering Committee? Is it being implemented?</li> <li>Do you have any concerns about this plan?</li> <li>What recommendations would you suggest to increase the likelihood of the project's achievements being sustainable?</li> </ul>

<b>EPA – Executing Agency</b>	
<b>Relevance / mainstreaming/ CCCD</b>	<ul style="list-style-type: none"> <li>How has the CCCD project contribute towards national policy and strategic priorities? Could it have done more? What lessons have been incorporated into sector policies?</li> <li>How has the CCCD project contributed towards NCSA Action Plan and Final Report?</li> <li>Has it created an enabling environment favourable for its implementation?</li> <li>What relevance does it have to other national priorities and policies?</li> <li>Has it improved coordination between agencies involved in other sector policies and planning?</li> <li>Has it improved visibility and coordination (synergies) with other sectors (finance, industry, forestry, agriculture, mining, etc...)?</li> </ul>
<b>M&amp;E / Coordination</b>	<ul style="list-style-type: none"> <li>Describe the coordination oversight mechanism between the EPA and the PMU.</li> <li>How often were meetings held between the NPC and PM / other PMU staff? How long are the meetings? Has this been adequate to ensure smooth execution of the project?</li> <li>What were the reporting requirements between the PMU and the EPA?</li> </ul>
<b>Linkage / stakeholder engagement</b>	<ul style="list-style-type: none"> <li>How is CCCD project coordinated with related GEF and other (e.g. bilateral) biodiversity/rural livelihoods projects, and the other related projects?</li> <li>What lessons from similar regional initiatives have been incorporated into the CCCD approach?</li> <li>How have other sectors been involved, e.g. agriculture, mining, water resources, others?</li> </ul>
<b>Financing</b>	<ul style="list-style-type: none"> <li>Has the project been adequately resourced in relation to its planned activities, outputs and outcomes?</li> <li>What specific resource-related problems have been encountered, and how were these resolved?</li> </ul>
<b>Execution</b>	<ul style="list-style-type: none"> <li>Have there been delays in the project's implementation?</li> <li>What specifically led to any delays? What actions were taken to mitigate delays?</li> </ul>

	<ul style="list-style-type: none"> <li>• What has been the relationship with the IA (UNDP)? What were the relative strengths and weaknesses?</li> <li>• Has there been adequate communication between IA and EA? Has the IA been responsive when issues/ challenges have arisen?</li> <li>• Has the project been adequately resourced in relation to its planned activities, outputs and outcomes? What specific resource-related problems have been encountered, and how were these resolved?</li> <li>• Has the project's attention to sustainable livelihoods and gender been adequate for the project context?</li> <li>• What will happen to any project equipment?</li> <li>• What progress has been made against the priorities identified in the PIRs, including:             <ul style="list-style-type: none"> <li>○ What were the reasons for the poor performance (as reflected in the budget execution during the early years of the project)?</li> <li>○ Were there issues in contracting Experts?</li> <li>○ What are the challenges in coordinating the various implementing partners and their contributing components? What organisational or structural changes needed to be made to improve coordination?</li> <li>○ Have there been delays in mobilising co-financing elements from other project partners?</li> <li>○ Were there challenges in recruiting and retaining PMU personnel? Are there differences between the NIM modality described in the Project Document and the present arrangement? Why? Have these worked?</li> <li>○ What have been the short to medium term impacts of the Covid-19 pandemic on the project's execution? What are the likely long term impacts on the outcomes?</li> <li>○ What measures have been put in place to mitigate the impacts of Covid-19 on the performance and long term impacts of the project?</li> </ul> </li> </ul>
<b>Risks</b>	<ul style="list-style-type: none"> <li>• What risks are there to the sustainability of the project outcomes?</li> <li>• Who needs to do what to mitigate these risks?</li> </ul>
<b>Results / Impacts</b>	<ul style="list-style-type: none"> <li>• How has the CCCD project contributed to strengthening the environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions?</li> <li>• In what way have institutional and technical capacities been strengthened or enhanced to create knowledge and mainstream Rio Conventions within national development frameworks?</li> <li>• Has the project improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives? In what way has this been achieved</li> <li>• What is the current status of the NCSA Action Plan and Final Report</li> <li>• Were the log-frame targets achievable within the time and budget remaining?</li> <li>• If not what course of action should have been taken?</li> <li>• What main lessons have been learned from the project, from UNDP's side?</li> <li>• How has the CCCD benefited disadvantaged groups? Women and gender equality?</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>• Has any CCCD sustainability and exit plan (legacy plan) been approved by the Project Board/Steering Committee? Is it being implemented?</li> <li>• Do you have any concerns about this plan?</li> <li>• What recommendations would you suggest to increase the likelihood of the project's achievements being sustainable?</li> <li>• How will the EPA seek to replicate / upscale the results of the CCCD project?</li> </ul>

**Project Board (PB) members**

**Relevance / mainstreaming**

- How has the CCCD project contribute towards national policy and strategic priorities? Could it have done more? What lessons have been

- incorporated into sector policies?
- How has the CCCD project contributed towards NCSA Action Plan and Final Report?
- Has it created an enabling environment favourable for its implementation?
- What relevance does it have to other national priorities and policies?
- Has it improved coordination between agencies involved in other sector policies and planning?
- Has it improved visibility and coordination (synergies) with other sectors (finance, industry, forestry, agriculture, mining, etc...)?
- How frequently has the PSC met? Was this adequate for project oversight?
- Has the composition of the PSC been optimal to oversee implementation?
- Would it have been beneficial to include any other stakeholders?
- Does the PSC represent state, local government and community interests?
- How have other sectors been involved, e.g. agriculture, forestry, mining, water resources?
- Are NGOs and CSOs involved? Examples?
- Describe the nature of the PSC’s decision-making process
- How effective was the PSC in taking action on any difficult issues? Describe.
- Has the project’s attention to sustainable livelihoods been adequate for the project context?
- How has the PSC addressed the PIR recommendations? Has this been effective?
  - On agency collaboration?
  - Project management challenges?
- What risks are there to the sustainability of project outcomes?
- How has the CCCD project contribute towards national policy and strategic priorities? Could it have done more? What lessons have been incorporated into sector policies?
- How has the CCCD project contributed towards NCSA Action Plan and Final Report?
- Has it created an enabling environment favourable for its implementation?
- What relevance does it have to other national priorities and policies?
- Has it improved coordination between agencies involved in other sector policies and planning?
- Has it improved visibility and coordination (synergies) with other sectors (finance, industry, forestry, agriculture, mining, etc.? Were the log frame targets achievable within the time and budget?
- What lessons have been learned from the project?
- What recommendations are necessary to ensure the project’s achievements are sustainable?
- Do you have any concerns about the sustainability of the CCCD achievements?
- What recommendations would you suggest to increase the likelihood of the project’s achievements being sustainable?
- How could the stakeholders seek to replicate / upscale the results of the CCCD project?

**M&E / Coordination  
Linkage / stakeholder  
engagement**

**Execution**

**Risks  
Results / Impacts**

**Sustainability**

National Consultants, Contracted Parties	
<b>M&amp;E / Coordination</b>	<ul style="list-style-type: none"> <li>• What are your reporting requirements? Could they have been improved in any way?</li> <li>• How were your assignments coordinated? Were your inputs well-coordinated with other project activities? How could this have been strengthened?</li> <li>• Where the ToR relevant to the expected outcomes?</li> </ul>
<b>Execution</b>	<ul style="list-style-type: none"> <li>• How smooth has the contracting process been? Any challenges involved?</li> </ul>

<b>Results / Impacts</b>	<ul style="list-style-type: none"> <li>• Describe the main outputs and impacts of your specific assignments</li> <li>• How will the results of your work be used to support future action to improve the mainstreaming of the Rio Conventions in sector policy and planning?</li> <li>• How has the CCCD project contributed to strengthening the environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions?</li> <li>• In what way have institutional and technical capacities been strengthened or enhanced to create knowledge and mainstream Rio Conventions within national development frameworks?</li> <li>• Has the project improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives? In what way has this been achieved</li> <li>• What is the current status of the NCSA Action Plan and Final Report</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>• How sustainable are the results of your inputs and why?</li> </ul>

<b>National NGOs</b>	
<b>Relevance / mainstreaming</b>	<ul style="list-style-type: none"> <li>• How relevant do you think the CCCD project has been in terms of addressing issues of climate change, land degradation and the loss of biodiversity?</li> <li>• Do your organisations objectives align to those of the aims and objective of the Rio Conventions? How?</li> <li>• Do your organisations objectives align to those of the aims and objective of the CCCD project? How?</li> </ul>
<b>Linkage / stakeholder engagement</b>	<ul style="list-style-type: none"> <li>• What related activities is your organization currently implementing or planning, and how have these been linked with CCCD project (if at all)?</li> <li>• Has the PMU been supportive of your work?</li> <li>• Have you had any concerns? Where you able to voice these concerns? What was the outcome?</li> </ul>
<b>Financing</b>	<ul style="list-style-type: none"> <li>• What co-financing or other support has your organization provided?</li> </ul>
<b>Execution</b>	<ul style="list-style-type: none"> <li>• What role have you played in CCCCD project preparation and implementation? How could this role have been enhanced for greater mutual benefits / synergy?</li> <li>• Does the project pay sufficient attention to awareness raising and sustainable livelihoods?</li> <li>• Does the project pay sufficient attention to issues of gender/equality?</li> <li>• Does the project pay sufficient attention to disadvantaged groups?</li> <li>• Could anything have been done differently/better to include representation of women and disadvantaged groups?</li> <li>• Specific questions to be added for each organization?</li> </ul>
<b>Results / Impacts</b>	<ul style="list-style-type: none"> <li>• How has the CCCD project contributed to strengthening the environmental information management and monitoring system (EIMMS) for improved implementation of the Rio Conventions?</li> <li>• In what way have institutional and technical capacities been strengthened or enhanced to create knowledge and mainstream Rio Conventions within national development frameworks?</li> <li>• Has the project improved awareness and environmental education on the linkages between Rio Conventions and national sustainable development objectives? In what way has this been achieved</li> <li>• What is the current status of the NCSA Action Plan and Final Report</li> <li>• What main lessons have been learned from the project, from UNDP's side?</li> <li>• How has the CCCD benefited disadvantaged groups? Women and gender equality?</li> <li>• Any lessons learned?</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>• Do you have any concerns about the sustainability of the CCCD achievements?</li> </ul>

	<ul style="list-style-type: none"> <li>• What recommendations would you suggest to increase the likelihood of the project’s achievements being sustainable?</li> <li>• How could the stakeholders seek to replicate / upscale the results of the CCCD project?</li> <li>• Are there specific areas of the project which are more vulnerable?</li> <li>• What actions will your organization be taking to follow it up?</li> </ul>
<b>Implementing partners</b>	
<b>M&amp;E</b>	<ul style="list-style-type: none"> <li>• How has coordination been maintained with the PMU. How regularly are meetings held? How often are field reports submitted?</li> </ul>
<b>Linkage / stakeholder engagement</b>	<ul style="list-style-type: none"> <li>• To what extent have local stakeholders been involved? What mechanisms were used and how effective were they?</li> <li>• How effective are the activities in addressing / resolving issues?</li> </ul>
<b>Financing</b>	<ul style="list-style-type: none"> <li>• Have there been any delays or problems receiving financing for project activities at the site? How were they resolved?</li> </ul>
<b>Execution</b>	<ul style="list-style-type: none"> <li>• What main CCCD project activities have been implemented by your organisation/agency, and how well have they been implemented? What relative strengths and weaknesses? What could have been improved?</li> <li>• Is your organisation/agency better capacitated to fulfil its duties now?</li> <li>• Describe progress in implementation of capacity building for your organisation/agency.</li> <li>• Describe progress in the evaluation, documentation and readiness for replication of the outcome of the activity. Is this approach ready for replication? What else needs done?</li> <li>• Does the project pay sufficient attention to issues of gender/equality?</li> <li>• Does the project pay sufficient attention to disadvantaged groups?</li> <li>• Could anything have been done differently/better to include representation of women and disadvantaged groups?</li> <li>• Specific questions to be added for each organization</li> </ul>
<b>Risks</b>	<ul style="list-style-type: none"> <li>• What risks may affect the sustainability of project outcomes in your organisation/sector?</li> <li>• What are the effects of climate change to your organisation/sector?</li> </ul>
<b>Results / Impacts</b>	<ul style="list-style-type: none"> <li>• What specific results and impacts has the project achieved for your organisation/agency?</li> <li>• How has the project benefited local communities?</li> <li>• How have women, minorities and disadvantaged people benefited?</li> <li>• What lessons have been learned from your experiences?</li> </ul>
<b>Sustainability</b>	<ul style="list-style-type: none"> <li>• How can these benefits be sustained?</li> <li>• How do you think they can be replicated / upscaled within your jurisdiction?</li> <li>• What should UNDP / EPA be doing to follow up the project?</li> </ul>

Annex 7 TE rating scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
<p>6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or no or minor shortcomings</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings</p> <p>2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings</p> <p>1 = Highly Unsatisfactory (HU): severe shortcomings</p> <p>Unable to Assess (U/A): available information does not allow an assessment</p>	<p>4 = Likely (L): negligible risks to sustainability</p> <p>3 = Moderately Likely (ML): moderate risks to sustainability</p> <p>2 = Moderately Unlikely (MU): significant risks to sustainability</p> <p>1 = Unlikely (U): severe risks to sustainability</p> <p>Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability</p>

## Annex 8 Signed Evaluation Consultant Agreement

### **Evaluators/Consultants:**

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.

Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.

Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

### **MTR Consultant Agreement Form**

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

Name of Consultant: **Francis Hurst**

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at Moncarapacho, Portugal on Monday 5<sup>th</sup> May, 2022

Signature:



**Evaluators/Consultants:**

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.

Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.

Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

**MTR Consultant Agreement Form**

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

Name of Consultant: **Anna Mohase**

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at Georgetown, Guyana on 15th June 2022

Signature:



Annex 9 Signed UNEG Code of Conduct

**Evaluation Consultants Agreement Form To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.**

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

**Name of Consultant:** Francis Hurst

**Name of Consultancy Organisation** (where relevant): N/A

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

Signed at Moncarapacho, Olhão, Portugal on 5<sup>th</sup> May 2022

Signature: 

**Evaluation Consultants Agreement Form To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.**

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

Name of Consultant: Anna Mohase

**Name of Consultancy Organisation** (where relevant):

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

Signed at Georgetown, Guyana on 15th June 2022

Signature: 

Annex 10 Signed TE Clearance Form

Evaluation Report Reviewed and Cleared by  
UNDP Country Office

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

UNDP GEF RTA

Name: Mr. Carlos Montenegro Pinto

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

#### Annex 11 Stakeholders consulted during project design

Sector	Stakeholder
State authorities	<ul style="list-style-type: none"> <li>• Department of Natural Resources &amp; the Environment</li> <li>• Guyana Gold Board</li> <li>• Guyana Geology &amp; Mines Commission</li> <li>• Ministry of Finance</li> <li>• Guyana Bureau of Statistics</li> <li>• Ministry of Tourism</li> <li>• Guyana Forestry Commission</li> <li>• Guyana Lands &amp; Surveys Commission</li> <li>• Ministry of Communities</li> <li>• Environmental Protection Agency</li> <li>• Wildlife Division</li> <li>• Office of Climate Change</li> <li>• Protected Areas Commission</li> <li>• Ministry of Indigenous Peoples' Affairs</li> </ul>
Academia and Research Institutions	<ul style="list-style-type: none"> <li>• University of Guyana</li> </ul>
CSOs/NGOs	<ul style="list-style-type: none"> <li>• Iwokrama Centre</li> <li>• Conservation International Guyana</li> </ul>
Private Sector	<ul style="list-style-type: none"> <li>• Private Sector Commission</li> <li>• Tourism &amp; Hospitality Association of Guyana</li> </ul>
Indigenous People	<ul style="list-style-type: none"> <li>• North Rupununi District Development Board</li> </ul>
Gender	<ul style="list-style-type: none"> <li>• Guyana Women and Gender Equality Commission</li> </ul>

#### Annex 12 Technical and adaptive challenges

<p><b>Technical and adaptive challenges</b></p> <p><b>Technical challenges:</b></p> <ul style="list-style-type: none"> <li>• A technical challenge is a challenge that can be addressed with existing expertise, protocols, and operations.</li> <li>• Implementing solutions to technical challenges often falls to someone with the authority to address them.</li> <li>• Technical training (i.e. using a manual and new equipment) can resolve the problem.</li> </ul> <p><b>Adaptive challenges:</b></p> <ul style="list-style-type: none"> <li>• Encounter situations for which solutions lie outside the current way of operation, and possibly, thinking.</li> <li>• Applying existing procedures and understanding does not provide the solution needed.</li> <li>• Stakeholders must be involved in developing and implementing solutions.</li> <li>• Solutions lie not in the application of expertise, but rather from a process of learning and adapting.</li> <li>• Addressing adaptive challenges requires trying solutions that are new and maybe quite different.</li> <li>• Inherent in addressing adaptive challenges are the need to become comfortable with not knowing what the next move might be, dealing with uncertainty.</li> <li>• It is necessary to think (institutionally, individually, collectively...) what we should continue to do, what we should start to do and, critically, what we might need to stop doing...</li> <li>• Addressing adaptive challenges may require the transfer of power (the ability to make decisions and to influence future events) from one party to another.</li> <li>• Normally require expert thinking, which is the ability to solve non-rule-based problems.</li> <li>• Adaptive challenges require time for adaptive solutions to have an effect and stakeholders cannot expect to react too quickly because of the discomfort that comes with not knowing.</li> </ul> <p><i>Adapted from: Heifetz, Ronald A.; Leadership Without Easy Answers (Belknap/Harvard University Press, 1994)</i></p>
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#### Annex 13 Risks & assumptions from SRF

1. Internal resistance to change
2. Political commitment to apply institutional reforms
3. Lack of a policy or legislation to facilitate national consensus of key data and information
4. The project will be executed in a transparent, holistic, adaptive, and collaborative manner

5. Government staff and non-state stakeholder representatives are actively engaged in the project
6. Policy and institutional reforms and modifications recommended by the project and the EIMMS programme are politically, technically, and financially feasible and approved by the Project Board
7. Institutions and working groups are open to change
8. Members of the technical committees will be comprised of proactive experts and project champions
9. Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions
10. The approval process is transparent and deemed valid by all stakeholders
11. The right representation from the various government ministries, departments, and agencies participate in project activities
12. The approval process is transparent and deemed valid by all stakeholders
13. Institutions and working groups are open to change
14. Institutions and working groups are open to proposed coordination agreements and there is no active institutional resistance
15. Agreement to cooperate on modifying existing mandates and authorities on legislative oversight is realistic
16. The right representation from the various government ministries, departments, and agencies participate in project activities
17. Frameworks developed by the project are politically, technically, and financially feasible
18. Indicators developed by the project are technically sound
19. Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions
20. Expert peer reviewers follow through with quality reviews
21. Strategy and plan developed by the project are politically, technically, and financially feasible
22. Plan developed by the project is politically, technically, and financially feasible
23. Institutions and working groups are open to change
24. Members of the technical committees will be comprised of proactive experts and project champions
25. Assessment is deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions
26. Expert peer reviewers follow through with quality reviews
27. Analysis is deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions
28. The various government authorities maintain commitment to the project and are open to change
29. Best practices and lessons learned from other countries are appropriately used
30. Best practices and lessons learned from other countries are appropriately used
31. Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions
32. Programmes developed by the project are politically, technically, and financially feasible
33. Lead agencies will allow their staff to attend all trainings
34. The various government authorities maintain commitment to the project
35. Survey respondents contribute their honest attitudes and values
36. Survey results will show an increased awareness and understanding of the Rio Conventions' implementation through national environmental legislation over time
37. Changes in awareness and understanding of Rio Convention mainstreaming can be attributed to project activities (survey questionnaire can address this issue)
38. Private sector representatives are open to learn about Rio Convention mainstreaming values and opportunities, and will actively work to support project objectives
39. Internal resistance to change
40. Articles published in the popular media will be read and not skipped over
41. Brochures will be read and the content absorbed
42. PSAs will be listened to and not skipped over
43. The content of PSAs will be absorbed
44. Awareness module will be popular with teachers, students, and their parents
45. Awareness modules will be effective
46. Awareness module will be popular with civil servants
47. Survey respondents contribute their honest attitudes and values

48. The right representation from the various government ministries, departments, and agencies participate in project activities
49. Assessments are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions
50. Best practices and lessons learned from other countries are appropriately used
51. Expert peer reviewers follow through with quality reviews
52. Action Plan politically, technically, and financially feasible
53. Final Report is deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions
54. The approval process is transparent and deemed valid by all stakeholders

#### Annex 14 Approach and methodology

The TE utilized three sources of primary data and information:

**Desk review:** the documentation covering project design, implementation progress, monitoring and review studies, local and national development plans, policies and regulatory instruments. This will cover and elaborate on the documents listed in the UNDP TOR, a working list of which is presented in Annex 9.

**Interviews, stakeholder consultations and field missions:** additional information collection and validation will take place through remote and (where possible) face-to-face consultations with a wide range of stakeholders (Annex 2), using “semi-structured interviews” with a key set of questions in a conversational format. This will be accompanied by site visits to the pilot projects where possible by the National Consultant (NC). The questions asked will aim to provide answers to the points listed in the evaluation criteria matrix in Annex 3. An initial list of generic questions is provided in Annex 4, which will be refined according to specific stakeholder interviews during the field mission and by follow up Skype/Zoom, WhatsApp, etc., calls as necessary. Interviews will be confidential and the information used discreetly without accreditation. Information from interviews will be triangulated and validated, where necessary, before inclusion in the analysis and reporting. Interviews will start with an introduction about the aims and nature of the evaluation and informing the interviewee that they have the right not to respond if they so wish.

Interviews and the information collected will be disaggregated to reflect the different stakeholders (e.g. Implementing Agency – Executing Agency – PMU – implementing partners – beneficiaries). These are provided in Annex 4 as an interview guide and not a rigid questionnaire format. Information from the interviews will be collated and analyzed to provide evidence-based conclusions on the overall performance and impact of the project as well as crosscutting issues.

**Direct observations of project results and activities:** wherever possible from the project area including consultations with local government and local agencies, local community representatives, project partners, CSOs and participants in field activities. An agreed format for presenting the information is provided in Annex 8 and a logistical plan designed to provide a robust sampling of stakeholders is provided in the following section 6 and a list of stakeholders to be interviewed is in Annex 2.

Given the large number of stakeholders a preliminary list of stakeholders has been drawn up (Annex 2). This includes 77 stakeholders from over 30 organizations. Where possible stakeholders from one organization or from organizations will be interviewed as a group<sup>120</sup>. Stakeholders from sectors, such as the media, will be further narrowed down with a further selection of 3 - 4 organizations from those that have participated in the project.

**The TE will retro-fit a Theory of Change** to the project’s strategy<sup>121</sup>.

Gender equality and women’s empowerment will be assessed through collecting gender-disaggregated results arising from project activities, inclusion of women participants and relevant women’s groups in the evaluation interviews and specific questions regarding the extent to which they were included in project’s design and implementation and/or benefited from the project. Gender and disadvantaged groups will be included in all appropriate questions and crosschecked against specific questions related to these issues. Specific attention will be given to analyzing examples, best practices and lessons learned regarding women’s empowerment arising through the project’s scope of activities.

Following the data collection phase, the TE team will analyze the information according to the TE guidelines and the ToR in order to draw conclusions and propose recommendations. A draft TE Report will be circulated to key

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<sup>120</sup> If particular stakeholders object to this then they may be interviewed individually.

<sup>121</sup> At the time of development, a ToC was not a standard requirement for UNDP-GEF projects.

stakeholders for comment and feedback. Section 6 provides a timeframe for key deliverables and milestones. The final TE Report will be submitted including an audit trail documenting the feedback from stakeholders and how these have been addressed by the TE.

Due to the Covid-19 pandemic this TE faces a number of challenges which may result in delays. In order to avoid these delays and meet the wider GEF milestones the TE team will begin detailed analysis of the components of the project which do not need primary information from stakeholders and project sites. In particular this will entail discussions with the PMU and service providers to develop a collective understanding of the emergent complexities and emerging issues related to CCCD project and relevant sector partners. Furthermore, interviews with stakeholder in the field necessitating a field visit and those who can be interviewed using remote means by internet will take place concurrently.

Annex 15 Project Document linkages with other projects

Project/ initiative	Project Document Linkage	TE comments
The GEF-funded project (UNDP) “Minamata Initial Assessment for Guyana” that is undertaking activities to help Guyana implement the Minamata Convention on Mercury.	This CCCD project will explore opportunities to build on these activities to achieve synergies, such as organizing awareness raising activities to be organized jointly.	No evidence. One respondent suggested that the project had purchased a Mercury Detector.
The GEF/UNDP “Enhancing Biodiversity Protection through Strengthened Monitoring, Enforcement and Uptake of Environmental Regulations in Guyana’s Gold Mining Sector.”	The CCCD project’s EIMMS will look for opportunities to link monitoring activities in a way that creates synergies and reducing unnecessary overlap, while maintaining the appropriate level of redundancy to ensure the EIMMS is resilient.	No evidence, as above.
The “Sustainable Energy Program.” The objective of this programme is to “promote and support sustainable energy programs in Guyana.”	CCCD project will link its awareness raising activities with this project in order to create synergies and achieve cost-effectiveness.	No evidence.
The UNEP, with GEF financed “Enabling Activities for The Stockholm Convention on Persistent Organic Pollutants (POPs): Development of a National Implementation Plan”.	The CCCD project will explore the extent to which recommendations from the POPs plan can be implemented and/or achieved as a project co-benefit.	No evidence.
Guyana is also benefitting from GEF resources to undertake an alignment of the National Action Plan (NAP) for Land Degradation with the UNCCD’s 10 Year Strategy in Guyana (“Support the Alignment of Guyana’s National Action Plan to the UNCCD’s 10-Year (2008-2018) Strategic Plan”). This project was approved in December 2013, and was executed by the Guyana Lands and Surveys Commission.	This CCCD project will take into account capacity development activities of the NAP alignment project to ensure that there is no overlap, but instead look for opportunistic complementarities and synergies during implementation. Since implementation began, the project has resulted in a stocktaking of relevant plans, policies and reports, a review and assessment of current national indicator, and the development and alignment of the indicators of Guyana’s NAP to the UNCCD 10-Year Strategic Plan. The project also included efforts to increase awareness about land degradation	Presumably fed into the NCSA report.
<b>Non-GEF funded projects that contain related capacity building activities, and with which this project will require appropriate coordination.</b>		
Norway’s US\$ 250 million agreement under LCDS and REDD+.	Coordination will be undertaken through consultations between the Multi-Stakeholder Steering Committee, the Executive Boards of the agencies and commissions, and the Natural Resources and Environment Advisory Committee (NREAC), as well as the Cabinet Sub-Committee on Environment and Natural Resources.	No evidence of the project utilizing the MSSC.
The LCDS Outreach Programme of the OCC aims at increasing the capacity of key sectors and groups to understand and incorporate issues related to climate change and the LCDS within the context of their mandates. Associated with the LCDS is the Guyana REDD+ Investment Fund which is a trust fund for financing activities under the Low Carbon Development Strategy.	This project has very strategic linkages with the CCCD project in that the EIMMS would contribute to the realization and institutional sustainability of the planned MRV system.	No evidence.
The Inter-American Development Bank (IDB) is providing a policy-based loan in the amount of US\$ 16.92 million to Guyana to strengthen the environmental sector, a project that was approved in December 2013. However, given that the IDB project is focused on climate change issues, there will be an imbalance on related capacities on biodiversity and land degradation.		No evidence.
The Technical Cooperation Fund under the Forest Carbon Partnership Facility for Guyana is another of IDB’s investments on institutional capacity development.		No evidence.

The Caribbean Development Bank is providing US\$ 25 million for the “Sea and River Defence Resilience Project – Guyana.”		No evidence.
Another related project that ended in December 2014 the Guiana Shield Facility funded with support from the European Union. This project set out to protect biodiversity through the implementation of valuation methodologies, payment of ecosystem services, and adoption of new technologies.		
The World Bank is funding three education projects. Both the “Guyana Early Childhood Education Project” and the “Guyana Secondary Education Improvement Project” contribute to the higher-level objectives, which are aligned with the new strategic document for Guyana. These objectives include education quality through teacher training, and environmental resilience and sustainability. The environmental objectives focus on helping Guyana establish a pilot protected forest areas that are sustainably managed by local communities. One component of the Guyana Secondary Education Improvement Project is to strengthen institutional capacity. This component includes the design, development and implementation of an education management and information system. The “University of Guyana Science and Technology Support” project is based on three components: Education Quality Improvement Program, Infrastructure rehabilitation, and Institutional Capacity Building.	Overall, these three projects align with activities and objectives of this CCCD project.	No evidence.
Guyana is also involved in regional projects backed by the GIZ. The overall objective of the “Adapting to climate change in the Caribbean to conserve natural resources and diversify farming and forest management (Energy and Climate Fund)” is to improve the adaptation of farmland and forest management so that the impacts of climate change are reduced in the participating countries.	No linkage given	No evidence.
The soon-to-be launched Climate Technology Needs Assessment being undertaken by the OCC in collaboration with UNEP and the Technical University of Denmark aims to assist Guyana to identify and prioritize technology (equipment, techniques, practical knowledge and skills) needs to reduce greenhouse gas emissions and mitigate the impacts of climate change, i.e., reduce the nation’s vulnerability to climate change.	No linkage given	No evidence.

#### Annex 16 Project output assessment

Output	2021 PIR Reporting	TE EOP
Output 1.1 Assessment of policy framework and institutional arrangements for mainstreaming and monitoring of Rio Convention implementation.	<ul style="list-style-type: none"> <li>The composition of three working groups has been fully achieved.</li> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA no meetings were held.</li> <li>The individual peer reviewers were identified and selected in 2018.</li> <li>The three thematic analyses as well as the SWOT and gap analyses were completed in 2018.</li> <li>The assessments of the existing environmental databases and information system were completed in 2018.</li> </ul>	Partially achieved: the outputs from the Working Groups appear to have had little traction and legacy with agencies. Respondents remembered them but there was little to indicate that any fundamental reforms have taken place as a result. The work on the EIMMS (except for the procurement of the hardware)

Output	2021 PIR Reporting	TE EOP
	<ul style="list-style-type: none"> <li>The assessment reports were peer reviewed by stakeholders including the technical working groups and approved by the Project Board in 2018.</li> <li>The synthesis report of the environmental data base assessment was completed and endorsed by the Project Board in 2018.</li> <li>The report on best practice web-based tools was also completed in 2018 and was utilized to develop the website.</li> <li>The report to recommend the required technological hardware and software was completed and peer reviewed in 2018.</li> </ul>	<p>needed to be revised in 2021. The MoA are signed between agencies and the now dissolved DoE. They will need to be resigned, at least, with the EPA.</p>
<p>Output 1.2: Formulate by-laws and operational guidance to mainstream Rio Conventions into policies.</p>	<ul style="list-style-type: none"> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, no learning-by-doing workshops were held.</li> <li>The drafting, finalization and peer reviewing of the operational guidelines were successfully completed in 2019.</li> <li>The validation of the guidelines were completed in 2019.</li> <li>The targeted policy and legal instruments were completed in 2018.</li> <li>The legal and regulatory text were prepared, collated and distributed to government agencies in 2018 with repeat distributions in 2019.</li> <li>There were several workshops convened to present the legal text in 2018 and 2019.</li> </ul>	<p>Regulatory harmonisation is a critical aspect raised by all stakeholders. It was not clear to the TE how any regulatory revisions or synergies will be achieved.</p>
<p>Output 1.3: Undertake targeted institutional reforms for Rio Convention monitoring and mainstreaming.</p>	<ul style="list-style-type: none"> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, no workshops were held.</li> <li>The technical working groups were first convened in 2017. However, as a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of Project Staff and changing the Implementing Partner from the DoE to the EPA, no Technical Working Group meetings were held.</li> <li>No additional MoAs signed during reporting period. As a result of the EIMMS Consultants terminating their contract, new TORs were drafted for the development of the EIMMS. Implementation of the MoA have been placed on hold. With the development of the EIMMS a new MOA will be formulated and updated as necessary.</li> <li>Gender balance and the target to reach at least 50% participation by women will be assessed within the Terminal evaluation in Q4 2021.</li> </ul>	<p>MoAs are with the dissolved DoE. The TE understands that the Working Groups were already having attendance challenges due to cancelling the sitting allowance/ stipend before the change of government or the Covid-19 pandemic. There has been significant targeted women participation in the project activities.</p>
<p>Output 1.4: Strengthen an institutional mechanism for the long-term monitoring of Rio Convention implementation.</p>	<ul style="list-style-type: none"> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, no Technical Working Group meetings were held.</li> <li>The institutional architecture for the storage and transformation of data and information was constructed and completed in 2018 and 2019.</li> </ul>	<p>The TE were unable to speak with a representative of the private sector. The NGO involvement was appreciated but there does not appear to be any concrete outcome from this. There was a low NGO/ CSO</p>

Output	2021 PIR Reporting	TE EOP
	<ul style="list-style-type: none"> <li>• With the termination of contracts by the EIMMS consultant, activities related to strengthening of databases ceased. However, new TORs for the development of the EIMMS and all associated materials and works were drafted</li> <li>• Several stakeholder workshops on improving the EIMMS were convened in 2018 and 2019. The most recent was held in November of 2019 with a wide range of stakeholders including Private sector, Government agencies, NGOs among others. Each of the dialogues were attended by at least 25- 50 participants.</li> <li>• M&amp;E framework was developed, peer reviewed, approved and finalized by the Project Board in 2018.</li> <li>• The feasibility study was completed in 2018.</li> <li>• The appropriate set of Rio Convention indicators and measurement methodologies were completed in 2019.</li> <li>• With the self-termination of contracts for the EIMMS consultants, update of interpretation materials was not completed. However, new TORs for the development of the EIMMS and all associated materials and works were drafted.</li> <li>• Technology was identified, procured and installed in 2018 and 2019. However, equipment was dismantled and relocated to EPA. EPA to verify functionality after reinstallation.</li> <li>• The technology needs and installation was reviewed in 2019, updates were not completed due to the termination of Contract by EIMMS consultants.</li> <li>• While the technology requirements were fully set up, and deemed to be operational and compatible with other systems in Guyana, this will be reviewed given the self-termination of the EIMMS Consultants and the new TORs for the development of the EIMMS.</li> </ul>	<p>response to invitations to interview by the TE.</p> <p>The EPA has managed to successfully operationalise the hardware, develop the system and the EIMMS now needs shareware software for the “front room” functions (it is operating on software loaned by the Contractor to ensure a good job. Procurement is underway. However, the system is not operational and will need considerable negotiations between different data providers as well as training.</p>
<p>Output 1.5: Resource mobilization strategy.</p>	<ul style="list-style-type: none"> <li>• The analyses of the economic instruments were drafted and peer reviewed in 2018.</li> <li>• As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, no rating was done in 2020. Due to the limited time for the completion of remaining activities, no ratings will be done in 2021.</li> <li>• The feasibility study was successfully drafted, finalized, peer reviewed and endorsed by the Project Board in 2018 and 2019.</li> <li>• The expert working group has over 20 rotating members. The members undertake reviews of documents when required and meet as the need arise. However, no meeting were held.</li> <li>• No further work done on the Resource mobilization strategy</li> </ul>	<p>Not achieved. The resource mobilization round tables were cancelled in 2021.</p>
<p>Output 1.6: Test the mainstreaming and monitoring exercises through a high value programme and/or plan.</p>	<ul style="list-style-type: none"> <li>• The selection for the high value sector plan for the Rio Convention monitoring and mainstreaming piloting was completed in 2018.</li> <li>• The technical working groups meet regularly as needed since the implementation of the project commenced in 2017.</li> <li>• The feasibility study and document on pilot activities was prepared in 2018 and approved by the Project Board in 2018.</li> <li>• As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project</li> </ul>	<p>Not achieved. The high value sector mainstreaming activities were cancelled in 2021.</p>

Output	2021 PIR Reporting	TE EOP
	<p>management unit and changing the Implementing Partner from the DoE to the EPA, the Pilot Rio mainstreaming exercises were suspended.</p> <ul style="list-style-type: none"> <li>Senior policy-makers continue to participate in dialogues on a regular basis. Final endorsements given when necessary.</li> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA no mainstreaming pilot activities were done.</li> <li>The institutional arrangements to the pilot activities have been completed in 2019.</li> </ul>	
<p>Output 2.1: In-depth assessment of technical skills needed to integrate Rio Conventions into policies, programmes, and plans.</p>	<ul style="list-style-type: none"> <li>Assessment report of technical training needs for the Rio Conventions mainstreaming was completed, peer reviewed endorsed by stakeholders' validation workshop and approved by the Project Board in 2018.</li> <li>Two surveys were completed in 2018.</li> <li>Project end report to be completed in 2021.</li> <li>In the survey, conducted at the beginning of the project, respondents indicated a 62% female and 37% male gender balance.</li> </ul>	<p>Project end report not completed at time of TE. Gender – no EOP provided – only baseline.</p>
<p>Output 2.2: Training programme and material.</p>	<ul style="list-style-type: none"> <li>The training programme was drafted and completed in 2018. The technical working group reviewed and endorsed the document in that same year. The Project Board also reviewed and approved the document in 2018.</li> <li>The training material to support the training programmed was collated in 2019.</li> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, no updates to training report.</li> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, no new training manual will be completed.</li> </ul>	<p>There is little objective measurement of the training effectiveness. Training appears to be appreciated by a number of agency respondents. There is no measure to demonstrate resource mobilization for training.</p>
<p>Output 2.3: Training on analytical skills and methodologies to mainstream and monitor Rio Convention implementation.</p>	<ul style="list-style-type: none"> <li>As a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, no additional courses were held.</li> <li>As a result of the Covid-19 pandemic, a virtual training session was done to assess participants knowledge , understanding and application of the techniques acquired from the first training session held in 2019 on the application of Geographical Information System (GIS), Statistical Research Methods, Climate Change and Water Quality Sampling Techniques.</li> <li>As a result of the Covid-19 pandemic, extended break between the first and second training sessions and the availability of participants a qualitative methodology (Likert Scale) was applied to assess stakeholder's level of understanding and knowledge of use of the information acquired in the training sessions.</li> </ul>	<p>The results of the qualitative methodology were not seen by the TE. The TE notes that prior to the Covid-19 pandemic and the change in IP the project was facing significant financial challenges. No representatives from education were listed by the project for TE interview. The TE did reach out to a named individual involved in</p>

Output	2021 PIR Reporting	TE EOP
	<ul style="list-style-type: none"> <li>• The gender balance has been fully achieved. There was 60% participation by women in the project activities.</li> <li>• As a result of the Covid-19 pandemic, virtual training of trainers' workshops were held for Civil Service Institutes, Secondary Schools and Universities on July 14 and July 16, 2020, respectively.</li> <li>• No assessment conducted since no workshops were held.</li> <li>• Partially achieved. In the workshops held, over 70% participants indicated that the training was effective.</li> <li>• No additional courses held as a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA.</li> </ul>	<p>education and the project, however, there was no response.</p>
<p>Output 3.1: Stakeholder dialogues on the value of Rio Conventions.</p>	<ul style="list-style-type: none"> <li>• One-day-kick off conference was completed in 2017</li> <li>• The one-day project results conference was completed in 2018.</li> <li>• Two broad based surveys were completed in 2018.</li> <li>• Baseline awareness report was completed in 2018.</li> <li>• Project end report will be completed at project closure.</li> <li>• The design of public awareness campaign was completed in 2018.</li> <li>• The social media page was created in 2018. The page has surpassed the 3000 likes mark.</li> <li>• The website on Green Development Strategy for Guyana, including information on this project, was completed in 2018 and was updated in 2019.</li> <li>• The website was updated in 2019.</li> <li>• The website is completed.</li> <li>• As a result of the Covid-19 pandemic, the extended review of the project by the new administration, the merging of the Department of Environment with Office of Climate Change and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA, monitoring of the website was not done during the reporting period. With the merger, no new information has been uploaded to the website.</li> <li>• The IT Programme Area within the EPA plans to assess the website to determine compatibility with EPA's system and whether it can be integrated within the EIMMS.</li> <li>• Two national awareness raising workshops were completed in 2018.</li> <li>• Four sub-national awareness raising workshops were held in 2018.</li> <li>• A national awareness raising workshop was held in 2018.</li> <li>• More than 3,500 unique stakeholders have participated in the awareness-raising workshops</li> <li>• Three public policy dialogues were held in 2018 with 94 local representatives</li> <li>• Nine media awareness workshops were held in Guyana with media practitioners and other public stakeholders.</li> <li>• Training on the MEA legislative was completed in 2018.</li> </ul>	<p>Reporting on this output is confusing and appears to be a mix of project management related activities and output related activities, at least in the early years of the project. The EIMMS is now at an advanced stage being completed in terms of the hardware, software, operating system. However, the "governance" aspects of it still remain a challenge if it is to be operationalised. The EIMMS is a very high-quality output/achievement (once operationalised) designed with user accessibility in mind, various functions and layers of access as well as the capacity for expansion. There was little to support that the media/awareness campaign had significant impact outside of the lead agencies (only one agency reported hearing a radio broadcast). It is not clear to what extent the awareness campaign had traction at this scale.</p>
<p>Output 3.2: Brochures and articles on the Rio Conventions.</p>	<ul style="list-style-type: none"> <li>• Twenty articles were completed on various aspects of the environment.</li> <li>• The articles were converted into brochures and were distributed at high value special events, such as national and schools' exhibitions.</li> </ul>	<p>As above. Some respondents mentioned that the schools' campaign had been successful.</p>

Output	2021 PIR Reporting	TE EOP
Output 3.3: Public service announcement on environmentally friendly behaviour.	<ul style="list-style-type: none"> <li>Three PSAs on the Rio Conventions (UNCBD, UNCCD and UNFCCC) were completed in 2018 for the radio and television.</li> <li>The PSAs were aired over 100 times widely across Guyana during environmental programmes on the radio and television.</li> </ul>	As above. The TE posits that a more conventional communication and media campaign might have been a more cost-efficient means and may have made better use of social media as well as broadcast and paper.
Output 3.4: Improved educational curricula and use in classes.	<ul style="list-style-type: none"> <li>The education module for civil servants was completed and approved by the Project Board in 2018 and a manual to be used to train the civil servants was completed in 2019.</li> <li>Forty-five civil servant institutes at the national and regional level were trained to carry out mainstreamed concepts and the principles of Rio Conventions for better environmental management.</li> <li>No monitoring done as a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA.</li> <li>No monitoring done as a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA.</li> <li>An education module and training manual have been prepared for secondary schools/universities in 2018 and 2019.</li> <li>No monitoring done as a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA.</li> <li>No monitoring done as a result of the Covid-19 pandemic, the extended review of the project by the new administration and the process for changing the management structure, i.e., termination of the staff of the Project management unit and changing the Implementing Partner from the DoE to the EPA.</li> </ul>	The Training Manual for Teachers (2019) was developed. There was little evidence of other impacts, whether this was due to the lack of follow up monitoring or their effectiveness is not clear. However, the TE notes that the project was already facing challenges before the change in government and the Covid-19 pandemic.
Output 4.1: Updated assessments of capacity challenges to meet and sustain Rio Convention obligations, building upon GEF focal area enabling activities.	<ul style="list-style-type: none"> <li>The National Capacity Self-Assessment (NCSA) was completed in 2019. The methodology was validated in several working group sessions at the NCSA Inception.</li> <li>A NCSA Stakeholders' involvement plan was also completed.</li> <li>A survey questionnaire was finalized and survey completed with over 250 respondents at the inception of the development of the NCSA in 2019.</li> <li>There were 60% of women and 40% of men who participated in the development of the NCSA.</li> <li>The Thematic assessments of the challenges to implement the Rio Conventions were successfully completed and peer reviewed by the technical working group and finalized in the last quarter of 2019.</li> <li>The integrated cross-cutting analysis of systemic institutional and individual capacity development priorities was drafted in the third quarter of 2019, peer reviewed by the technical working group and finalized in the fourth quarter of 2019.</li> </ul>	Achieved.
Output 4.2: Capacity Development Strategy and Action Plan.	<ul style="list-style-type: none"> <li>The action plans of the GEF focal area enabling activities were completed and reviewed in 2019.</li> <li>The Donor round table was held in in November 2019.</li> <li>The NCSA final report and action plan were successfully completed and presented to stakeholders in 2019.</li> </ul>	Achieved. Noted also that output 1.5 Resource mobilisation strategy was not achieved.

Annex 18 Capacity Development Scorecard analysis

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
<b>CR 1: Capacities for engagement</b>							
Project Document	Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders	2	2	The MNR has limitations in its central role in the environmental sector, and in enacting directives to other ministries and institutions that have impacts on the environment. The authority of environmental organizations, while partially recognized, is not widely recognized. Additionally, there is a need to raise awareness of stakeholders as to the differentiated roles and comparative advantages of the various environmental organizations in Guyana.	The project will improve the ability of key environmental organizations to carry out their mandates and other responsibilities focusing on the use of data, information, and knowledge to better integrate global environmental objectives into national policy and planning frameworks. The awareness and sensitization of social actors in the non-environmental sectors, decision-makers, non-state stakeholders, and the civil society in general will be targeted in component 3 in order to increase the recognition of environmental organizations' mandates and legitimacy.	
End of Project		Authority and legitimacy of all lead organisations responsible for environmental management recognised by stakeholders	3	3	With the identification as EPA as the IP in 2021, their mandate to promote, facilitate and coordinate effective environmental management and protection, and sustainable use of Guyana natural resources as well as their position as focal point for the Conventional Biodiversity make them well known by stakeholders.	The EPA is well positioned and has the mandate to continue to engage with key stakeholders to advance the mainstreaming of the Rio Conventions and, as the host of the EIMMS, would be able to better incorporate the gather and use of data for informed environmental management.	Agreed, however, the project has not been able to utilise the time within the project to drive this process and arguably it may be necessary to develop a regulatory instrument on monitoring to support the MoAs
Project Document	Indicator 2 – Existence of operational co-management mechanisms	Some co-management mechanisms are formally established through agreements, MOUs, etc.	2	2	There are a number of cooperation agreements, however most of the MOUs are not updated and most are not operational. Thus, co-management/participation experiences are lacking in Guyana.	Notwithstanding the current set of cooperative agreements among certain government bodies, the project will assess their effectiveness and lessons learned in order to facilitate the development of new agreements and/or the updating and operationalization of current MOUs. Importantly, the project will develop an appropriate	
End of Project				2	Some co-management arrangements were signed off during the project more specifically 8 MOA were signed for collaboration and data sharing and having a centralised means of accessing data.	As the host of the EIMMS, the EPA will reassess effectiveness of the data sharing agreements. The Agency will determine the most appropriate mechanism for an effective and efficient data sharing mechanism. There is scope to engage additional stakeholders other than those identified under the project. The collaborative data collection should enhance	As above. However, the TE notes that the MoA are signed between the former DoE and the EPA.

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
					However, even though these were signed, there were not operationalised.	data-driven management and decision-making among the key agencies.	
Project Document	Indicator 3 – Existence of cooperation with stakeholder groups	Stakeholders are identified and they actively contribute to established participative decision-making processes	3	3	Experts representing the academic community and NGOs are involved in the decision-making process on environmental issues through a number of mechanisms, such as the Multi-State Stakeholder Committee. Notwithstanding, there are important instances when key stakeholders are not adequately informed or invited to participate on key issues for which they have expertise or an interest.	<p>The learning-by-doing approach of this project is intended to allow stakeholders to actively participate and build long-term technical capacities to better understand and apply global environmental indicators. Particular attention will be given to demonstrating the value of teamwork among government agencies and other stakeholders with a view to integrating global environmental priorities into development plans at the national and sub-national levels.</p> <p>The project will also promote awareness and agreement on the various comparative advantages of different stakeholder organizations to promote global environment values and make stakeholders more influential in decision-making.</p>	
End of Project		Identification of stakeholders and their participation/involvement in decision-making is poor	1	1	During the implementation of the project, working groups were established and several learning by doing workshops were executed. However, in the latter phase of the project, several factors including changes in governance structure resulted in the groups did not function as they should.	A Working Group should be mandated to make recommendations on environmental data sharing and regulatory reform in the interests of collaborative governance.	The TE notes that during the project the Working Group attendance and participation was supported by project budget. It is also noted that the score has dropped from 3 to 1 and it may be necessary to utilise a specific approach to addressing this, such as Scenario Planning or a similar process-oriented approach rather than relying on Working Groups etc.
CR 2: Capacities to generate, access and use information and knowledge							

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
Project Document	Indicator 4 – Degree of environmental stakeholders	Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate	2	2	A relatively high level of awareness exists among the heads of institutions, but this awareness does not extend to lower levels. Currently, institutional priorities overshadow the priorities of the Rio Conventions. There is also a need for more time to be invested in information dissemination and a dedicated focus on MEAs in national work plans.	<p>The project will involve as many stakeholders as possible in various activities in order to increase the number of people who have an improved understanding and value of the global environment. The project will also assess baseline awareness as well as end-of-project awareness of stakeholders in order to determine the extent to which awareness is increasing. However, increased awareness may not be fully attributable to the CCCD project.</p> <p>Awareness-raising will be directed to all stakeholder groups, i.e., government staffs at all levels, parliamentarians, the private sector, academia, journalists, youth, and local civil society. Particular attention will be directed to awareness-raising at the local level and indigenous communities.</p>	
End of Project					2	Through community-based awareness activities and the development of informational material there is arguably an increase amongst stakeholders. However, it is not clear whether this increased awareness has influence stakeholders' ability to participate in solutions.	The EPA is well positioned to continue raising the level of awareness through its established environmental education mechanisms and to motivate participation of key stakeholders in addressing these challenges
Project Document	Indicator 5 – Access and sharing of environmental information by stakeholders	The environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give	2	2	<p>There are numerous issues with access to data. Currently, data availability and access is limited. Additionally, data formats are incompatible across institutions, thereby limiting their access to important data and information.</p> <p>There is a need to revise and develop compatible reporting formats in order to increase the value of data and information and strengthen inter-agency collaboration.</p>	The project will develop and test an environmental information management and monitoring system. Information campaigns will be undertaken, including outreach sessions on the Rio Conventions and other MEAs. These are intended to strengthen access and sharing, as well as a more shared understanding and interpretation of environmental information across diverse stakeholders.	

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
End of Project		information access to the public is limited		2	While the software application was developed, however, some key agencies appeared to be unaware of the status of the EIMMS which may no encouraged [sic] their willingness to participate and share information.	As the EPA is the host of the EIMMS and given its mandate, they should continue to engage stakeholders towards amassing the necessary data on a continuous basis and therefore increasing the accessibility of same by partnering agencies.	The EIMMS has a facility for data-harvesting, this will require prior agreements, transparency and considerable trust between departments and agencies. Investment in trust-building is critical.
Project Document	Indicator 6 – Existence of environmental education programmes	Environmental education programmes are partially developed and partially delivered	1	1	While there are a small number of environmental education programmes and similar initiatives at formal and informal education levels, they are not comprehensive and nor do not reach all audiences. Additionally, budgetary limitations prevent the development and implementation of environmental education programmes.	Technical materials and information materials targeted on the linkage between the global environment and national socio- economic issues will be developed.  Instructors at the secondary and university level will have access to more recent knowledge on the critical issues related to the global environment to help better capacitate their teaching and training activities.	
End of Project		Environmental education programmes are fully developed but partially delivered	2	2	Technical materials and information materials targeting environmental issues were developed. An educational module for secondary schools was developed.	Building on the established relationship with the Ministry of Education, the EPA can continue to actively collaborate to ensure the educational module to roll out and also to provide technical input in the periodic revision of said module.	The TE invited education sectors to interview but was unable to meet with anyone. These materials have a “shelf-life” and may quickly age.
Project Document	Indicator 7 – Extend of the linkage between environmental research/science and policy development	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs	2	2	Environmental research is not adequately linked with policy development. Additionally, research is limited as there is a lack of research priorities, and donor interest is not compatible with national research needs.	Stakeholder representatives, in particular staffs from government, NGOs, academia, and the research community, will be brought together to discuss and agree on best practicable approaches to collaborate and coordinate their respective activities with a view to maximizing the utility of high-quality data, information and knowledge.	

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
End of Project				2	Although strategies and programme policy development exist, more efforts are required to link environmental research and environmental policies.	Encourage stakeholders including academia, governmental agencies, NGOs to work together the best approach to coordinate activities with the aim to improve data, information and knowledge sharing.	Arguably, this was a key expected and important outcome of the project and it has not been achieved.
Project Document	Indicator 8 – Extend of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is collected but is not used systematically into relevant participative decision-making processes	2	2	Knowledge associated with local traditions is not sufficiently used, resulting in the loss of value knowledge and culture. There is a high dependence on external consultants to conduct research.  There is a critical need to develop and use traditional knowledge in planning and decision-making, with particular attention to the technical capacities of local stakeholders.	The project's assessment exercises will include an in-depth analysis of the barriers and opportunities to improve the access and use of traditional knowledge through best practices applicable Guyana. This includes balancing traditional knowledge with that of more modern methods of knowledge creation for informing policy formulation and implementation. To this end, the project will make every effort to engage local community and civil society representatives who can objectively represent this category of stakeholders in various project activities.	
End of Project				2	In most cases traditional knowledge is collected however, this not adequately used which is vital decision-making process.	Lead agencies to incorporate traditional and modern methods as part of the development of policies for implementation.	Traditional knowledge may be best utilised when it remains within the existing social and community structures and it is incorporated through their broad participation in policy formulation, planning and management.
<b>CR 3: Capacities for strategy, policy and legislation development</b>							
Project Document	Indicator 9 – Extent of the environmental planning and strategy development process	Adequate environmental plans and strategies are produced but there are only partially implemented because of funding constraints and/or other problems	2	2	Plans and strategies exist but resources are insufficient to allow for proper implementation by most agencies and organizations. Opportunities for achieving cost-effectiveness and synergies are not capitalized due to weak, if non-existent, coordination.	A key set of capacities that will be developed by the project will be on improved coordination and collaboration to share and use data, information, and knowledge for planning and decision-making purposes.	
End of Project					2	Adequate environmental plans and strategies are defined, and some stakeholders were trained. However, there is financial and human resource limitations that hampers the implementation of activities.	More capacity development should be emphasised and catered for in planning. Joint training programmes should be explored as an effort to reduce cost. Financial resources saved can be used for the implementation of plans.

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
							embodied in the institutional and sector interests. This is reflected in the score remaining the same (2) as it was at the start of the project.
Project Document	Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	Some relevant environmental policies and laws exist but few are implemented and enforced	1	1	Guyana has a limited number of environmental policies and legislation in place, and those that exist are inadequately supported by regulatory controls, monitoring, and enforcement mechanisms.	<p>The project will focus on key reforms in policy, legislation, and implementation in accordance with the provisions under the Rio Conventions through by-laws and/or associated operational guidance. For these to have a meaningful impact, they will need to be formally approved.</p> <p>This project will also strengthen targeted organizational relationships, promoting and forging stronger partnerships and commitments. These will be directed towards improved collaboration and coordination that will increase the effectiveness of existing capacities to monitor and formulate better planning frameworks for the global environment.</p> <p>A very important feature of the project is to pilot and test the early implementation of the environmental information management and monitoring system in order further validate its value as well as its institutionalization.</p> <p>By updating the National Capacity Self-Assessment, the project will review the current set of systemic. Institutional, and individual capacities that inform the strength and weaknesses of the Guyana’s enabling conditions to realize global environmental benefits.</p>	
End of Project				1	Through the project, advancement was made such as MOA signed and execution by Learning-by-doing workshops. However, due to several factors which affected project implementation the effectiveness of	Given the EPA’s mandate, the agency is well positioned to continue to support the regulatory and implementation of policies and framework. These actions can also be guided	The TE stresses again, while the process of developing the MoAs has identified the regulatory and legal

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
					these intervention could not adequately assessed.	by the National Capacity Self - Assessment which was completed under the project.	challenges, these MoAs are signed between the DoE and not the EPA. There does not appear to be any regulatory instrument that compels sectors and sector agencies to collaborate on data sharing and coordinated planning.
Project Document	Indicator 11 – Adequacy of the environmental information available for decision-making	Some environmental information exists but it is not sufficient to support environmental decision- making processes	1	1	While there is ample available information, it is not easily available or accessible due in part by the lack of a centralized database. Data and information is also not readily accessible to decision-makers due to the relatively weak collaboration as well as the inability of decision- makers not knowing how best to use the information and knowledge being made available. The lack of access to data is also due to the weak culture of evidence-based decision-making.	The project will assess and strengthen existing consultative and decision-making structures and mechanisms to make more effective and integrated decisions on the global environment. Moreover, the project includes the design and implementation of an environmental information management and monitoring system that will serve to increase access to data, information and knowledge, as well as a robust training programme that will strengthen critical thinking and impart new and improved analytical tools and processes. A public awareness campaign will increase the number of stakeholders that understand the relationship between local action and the global environment, with particular attention to strengthening the consensus on the impacts of local action on the global environment.	
End of Project		Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly	2	2	While gains have been made the signing of the MOAs as well as the development of the EIMMS application software, there is still need to continue expand the application for decision-making purposes.	The EPA is to continue to advancement the development of the EIMMS to increase functionality for decision-makers to access information through a centralised database.	Issues relating to the MoAs as above. The database is only useful if all sectors and agencies contribute equally.
<b>CR 4: Capacities for management and implementation</b>							
Project Document	Indicator 12 – Existence and	The funding sources for these resource requirements are	2	2	Guyana benefits from important overseas development aid to improve environmental management and governance, including a	In order to alleviate financial barriers to the implementation of the Conventions, MEA technical committees will organize a resource	

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
	mobilization of resources	partially identified and the resource requirements are partially addressed			large grant (up to US\$ 250 million) from the Government of Norway. However, these funds are not evenly distributed, with many institutions and agencies suffering from limited funds. This is exacerbated by the duplication of activities among institutions and agencies, resulting inefficient use of the financial resources that they currently receive.	mobilization strategy to perform a set of resource mobilization activities in a coordinated manner (i.e., audit the resource need; Identify target donors; Outline the approach for each donor; Develop targeted messages for advocacy; Track performance of funds and provide accountability, among others).	
End of Project				2	Although a donor roundtable was held under the project, donors were not sensitised on the Rio Conventions. Further as noted in the baseline capacity report, resources received from development aid is either distributed unevenly or is project specific and does not always target the functioning of lead environmental organisations, as this project has attempted to. Unfortunately, due to several factors limiting the project's implementation, the Resource Mobilisation Strategy was not developed.	Given EPA's mandate, as well as they being the GEF operation and the focal point for Convention on Biological Diversity as well as its management of other MEAs, they are well placed to development a Resource Mobilisation Strategy based on Biodiversity Finance Gaps. The EPA is also capable of liaising with the other focal points to incorporate this into their planning and implementation activities or to ensure that this is done in a coordinated manner.	The TE notes that a reoccurring statement by key respondents during the TE was that the environment and environmental management (including achieving the aims of the Rio Conventions) would be heavily reliant on external financing in the short to medium term. This is best achieved through a coherent implementation plan with clearly stated outputs, outcomes and indicators (much of this could be based on the EIMMS as a cost effective source of data) and clearly defined national targets in order to build donor confidence and accountability.
Project Document	Indicator 13 – Availability of required technical skills and technology transfer.	The required skills and technologies are obtained but their	2	2	The required skills for mainstreaming the global environment into development planning frameworks actually exist in Guyana. However, they are not fully utilized due in large part from brain drain, given the	A key feature of the project is the learning-by-doing workshops and exercises in order to foster greater critical thinking among a sufficiently large number of social actors and stakeholders of environmental management	

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
		access depend on foreign sources			opportunity for earning greater salaries overseas, and inadequate opportunities in the country to use these skills in comparison to alternate employment opportunities in the country. Furthermore, these skills are largely dependent on external funding through short-term offerings and initiatives, in particular development projects. Most of the skills are also characterized by being either outdated or incompatible with other technologies and techniques.	and governance. The institutionalization of these skills will also be addressed by the development of an extensive programme of training, information dissemination and advocacy, as well as a resource mobilization strategy to implement this programme over the long-term.	
End of Project				2	The required skills for mainstreaming the global environment into development planning frameworks exist in Guyana. However, due to competing demands for said skills, both in and out of country work, the skill sets are not readily available to national needs. While the project did attempt to address this through the learning- by-doing workshops, these competing demands remain a hinderance.	There is need for an enhanced mechanism to attract and maintain the required technical skill sets and increase the pace of technology transfer.	As above.
<b>CR 5: Capacities to monitor and evaluate</b>							
Project Document	Indicator 14 – Adequacy of the project/programme monitoring process	An adequate resourced monitoring framework is in place but project monitoring is irregularly conducted	1	1	There are limited examples of an adequate project/programme monitoring and evaluation in place in Guyana. While Guyana has implemented numerous environmental programmes and projects, and important levels of external financing, insufficient level of funding is directed towards the development of capacities to develop robust monitoring frameworks and indicators.	The project will pay special attention to strengthen monitoring and compliance of the environmental laws through the environmental information management and monitoring system, targeted strengthening of policy, legislative, and regulative frameworks, and enhanced organizational processes and procedures, accompanied by skills training.	
End of Project		Regular participative monitoring of results in being conducted but this information is only partially used by the project/programme implementation team	2	2	To enhance the existing project/programme monitoring and evaluations mechanisms in Guyana, the project made progress in collating and distributing legal and regulatory texts to key stakeholders as developing framework application for the Environmental Information Monitoring and Management System (EIMMS), accompanied by some training, among other initiatives. However, there is still a need to improve the capability to develop	The project/programme monitoring was participative to some extent since the progress of the implementation was being reported regularly to the Project Board which included members, including the results of the Midterm Evaluation and the recommendations coming out of that. These results were considered and ultimately led the cancellation of a number of activities to focus on the finalization of the NCSA and establishing the EIMMS. The assessment of the NCSA and the	The project did not undergo a MTR – this presumably relates to the internal assessment of the project (2020/2021) by the DECC and UNDP. M&E is best served when there are robust institutional cultures of monitoring

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
					more robust monitoring mechanism with commensurate level of financing resources to support this.	operationalization of the EIMMS with input from stakeholders will have to be undertaken now that the project has come to a close. Any monitoring of determined courses of action will have to be undertaken by each stakeholder.	and evaluation and these skills can be developed. UNDP is in a good position to assist with this process.
Project Document	Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted without an adequate evaluation plan; including the necessary resources	0	0	In spite of the monitoring programmes that exist in Guyana, their subsequent evaluation remains virtually non-existent due to insufficient priority and funding.	<p>Programme evaluation is a critical part of the project, reflected by the learning-by- doing workshops and exercises to mainstream the global environment into development planning frameworks. These will call upon the critical analysis of existing policies, plans and other initiatives with a view to better understand their strengths, weaknesses, opportunities, threats, and gaps, and to strategically integrate innovative approaches to Rio Convention mainstreaming.</p> <p>A very important part of programme evaluation is the capacity to interpret data and information leading to the creation and use of knowledge to better inform more holistic, resilient, and institutionally sustainable development constructs, i.e., policies, plans, programmes, legislative and regulatory frameworks, and natural resource management regimes.</p>	
End of Project		An adequate evaluation plan is in place but evaluation activities are irregularly conducted	1	1	From the project perspective, some level of evaluation would have been undertaken which includes the PIRs, Annual Report, etc. The project would have made strides in executing activities towards mainstreaming environmental issues towards more effective development planning, for example Learning by doing workshop. However, due to several factors including institutional changes the evaluation of activities of were not conducted as planned.	Given the activities that were implemented by the project, focal agencies for example the EPA may now be better positioned to evaluate effectiveness of future mainstreaming activities.	As above, a culture of monitoring and evaluation can be nurtured. However, developing these capacities can be challenging at many levels (institutional, individual, etc..) because it often involves changing the way things have been done and there is often a degree of vulnerability in the transparency and

	Capacity Result Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	TE Comments
							openness necessary for effective monitoring and evaluation. UNDP has a robust approach to M&E and can assist in an impartial and supportive manner.

Annex 19 Terminal Evaluation Audit Trail

This document is attached as a separate annex to the Terminal Evaluation.

Annex 20 Terminal Evaluation Capacity Development Scorecard

This document is attached as a separate annex to the Terminal Evaluation.