



EVALUATION OF PROGRAMMATIC APPROACHES
TO SUPPORT FOR THE ENVIRONMENT IN AFRICA
1996-2009

evaluation

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Evaluation of Programmatic Approaches to Support for the Environment in Africa 1996-2009

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Abbreviations

ACI	Achieving Compliance in Industry
AMG	Aid Management Guidelines
CBNRM	Community Based Natural Resource Management
CBFM	Community Based Forest Management
CDTF	Community Development Trust Fund (Kenya)
CEF	Community Environment Facility (Kenya)
CLZ	Conservation Lower Zambezi
CRB	Community Resource Board
DANCED	Danish Cooperation for Environment and Development
Danida	Danish International Development Assistance
DFID	Department for International Development (UK)
DKK	Danish Kroner
EC	European Commission
ECO	Environmental Compliance Office
ECZ	Environmental Council of Zambia
EEAA	Egyptian Environmental Affairs Agency
EIA	Environmental Impact Assessment
EISP	Environmental Management Act Implementation Support Programme
EMU	Environmental Management Unit
ENRMMP	Environment and Natural Resources Mainstreaming Programme
EPF	Environmental Protection Fund
EPS	Environmental Programme Support
EREMIS	Egyptian Regional Environmental Management Information System
ESP	Environmental Support Programme
EPSF	Environment, Peace and Stability Facility
ESPS	Environmental Sector Programme Support
FEI	Federation of Egyptian Industries
GEAP	Governorate Environmental Action Plan
HIV/AIDS	Human Immune-Deficiency Virus/Acquired Immune-Deficiency Syndrome
JAS	Joint Assistance Strategy
LCC	Lusaka City Council
LE	Egyptian pound
LGA	Local Government Authority
LGDG	Local Government Development Grant
LSW	Lusaka Solid Waste Management Project
M&E	Monitoring and Evaluation
MEMA	Matumizi Endelevu ya Misititu ya Asili (Kiswahili acronym for Sustainable Management of Natural Forests)
MEMR	Ministry of Environment and Mineral Resources (Kenya)
MICOA	Ministry for Coordination of Environmental Affairs
MKUKUTA	Mkakati wa Kukuza Uchumi na Kupunguza Umaskini Tanzania) (Kiswahili): National Strategy for Growth and Reduction of Poverty
MSEA	Minister of State for Environmental Affairs (Egypt)
MTENR	Ministry of Tourism, Environment and Natural Resources (Zambia)
NEMA	National Environment Management Authority (Kenya)
NEMC	National Environment Management Council (Tanzania)

NGO	Non-Governmental Organization
NRM	Natural Resources Management
OECD/DAC	Organization for Economic Cooperation and Development, Development Assistance Committee
PAF	Performance Assessment Framework
PCR	Programme Completion Report
PFM	Participatory Forest Management
PMO-RALG	Prime Minister's Office, Regional Administration and Local Government
PRSP	Poverty Reduction Strategy Paper
RBO	Regional Branch Office (of EEAA)
REDD	Reduced Emission from Deforestation and Degradation
ROACH	Result-Oriented Approach to Capacity Change
SCP	Sustainable Cities Programme
Sida	Swedish International Development Cooperation Agency
SIMMORS	Sustainable and Integrated Management of the Malagarasi-Muyovosi Ramsar Site
SoE	State of Environment
SPS	Sector Programme Support
SWAp	Sector Wide Approach
SWM	Sustainable Wetlands Management
TA	Technical Assistance
TAFORI	Tanzania Forest Research Institute
ToR	Terms of Reference
UDEM	Urban Development and Environmental Management
UEM	Urban Environmental Management
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UTUMI	"Utunzaji wa Mimitu" for the project "Village Based Forest and Woodland Management in Lindi Region
VfM	Value for Money
VPO	Vice President's Office (Tanzania)
WB	World Bank
ZAWA	Zambia Wildlife Authority

Executive Summary

The main purpose of this Evaluation is to analyse achievements and challenges from the use of programmatic approaches in the field of environment in Denmark's partner countries in Africa during the period 1996-2009, and promote lesson learning for future strategies on and implementation of environmental support.

The Evaluation is based on an extensive document review and interviews with key informants in Copenhagen and in three case countries: Egypt, Zambia and Tanzania. Secondary evidence from environmental interventions in Kenya, Mozambique and South Africa has also been included.

Context

In Africa, Danida has provided support within the environment field since the early eighties. Over the period, Danida has attempted to move from projects to a programmatic approach in line with global guidance on aid effectiveness. Funding sources for the bilateral environmental programme have been complex and comprised funds from ordinary development assistance as well as from a special Environmental Peace and Stability Fund.

Danida introduced its first Sector Programme Support strategy in 1994 with Guidelines in 1996 and a revision in 2003. The change emphasised a longer period for assistance, and an engagement at national policy and strategy level as well as at project level. Danida also underlined host country leadership, a single national programme and budget framework, formalised donor harmonization procedures and increased use of local systems, as well as strengthening the capability of the poor and broad-scale capacity development. In addition, since 2004 Danida has published several documents¹ aiming in particular at supporting and guiding programming within environment.

The case study countries all experienced a series of stages in the development of Environmental Sector Programmes (ESPs) but all saw a streamlining of the portfolio and a shift from multiple projects to a single programme with two or three large components. The three countries received a total of DKK 974 million through bilateral environmental assistance over the past 10 years.

Main Findings and Conclusions

Given global trends in aid policy and the fact that the environment was a priority area for Denmark's development assistance, Danida's ambition to be a leader in pursuing aid effec-

1) This include *Danida's Environment Strategy* (2004-08) and the operational tool for implementing the strategy, the *Danida Environmental Guide* (2009) as well as the *Environmental Screening Good Practice Paper* (2004), the *Monitoring and Indicators Note* (2006) the *ESP Good Practice Paper* (2006) and the *Thematic Review of Special Interventions within Environment 2004-08* (2009).

tiveness principles within its bilateral environmental assistance was understandable. Nevertheless, the efforts by Danida so far to move to a fully programmatic approach in the environment have not made substantial progress in Africa. The explanation can be found in the underlying tensions in marrying the precepts of a programmatic approach with the realities of delivering them in countries that suffered from weak governance or a lack of interest in new aid thinking. Although improved national legislative frameworks have emerged, weak governance has in some cases led to corruption and human rights abuses in the exploitation of resources.

Choices made in the design of ESPs in Africa were also constrained by the legacy of past engagement, and above all by the diverse nature of the environment that has made a sector approach difficult. Indeed, Danida has provided assistance to a remarkably wide range of technical areas, including natural resources (such as forestry and wildlife), environmental legislation, industrial compliance with cleaner production and urban environmental management.

This Evaluation argues that the answer is not that Danida should abandon this strategic thrust, but that it should choose carefully the elements that it should place most effort and funding on, and should in future define programmes more narrowly – for example within a single sub-sector – but do so in a comprehensive and strategic manner. This may mean foregoing the application of a sector-wide approach, yet the rewards could be significant, and include improved delivery efficiency and, through stronger vertical linkages, a better transfer of assets to the poor.

Applying Programmatic Principles

The earlier ESPs (from 1998 on), through their legacy of project engagement, were able to link support to poverty through poor communities around forests or in urban areas. Later ESPs sought to build national frameworks or systems that would benefit more of the poor – because of their linkages to national poverty reduction plans – but in order to do so would require long-term engagement and strong national ownership. Thus, while these ESPs were better aligned to and provided support for national strategies and legislation, they nevertheless faced challenges in terms of insufficient national leadership and in being anchored to institutions with weaker political influence and capacity. Greater attention could also have been given to complementary support to influential line ministries with environmental responsibilities, or to private sector or civil society bodies.

Most ESPs have not matched Danida's own guidelines that programmes should have durations of between 10 to 20 years. As a result, Danida has left behind areas of engagement and moved on before seeing past investments fully mature, such as in environmental management in Egypt and in natural resources and waste management in Zambia. However, Danida has also remained involved in certain areas of the environment for an extended period (including forestry and urban environmental management in Tanzania), despite pressures to reduce the number of sectors in which it is engaged.

Danida has faced challenges in terms of aid coordination and harmonization, as it has often been the main (and sometimes the only) donor willing to fund particular environmental areas, while other partners provided fragmented support, often as part of interventions in other sectors and outside of government systems. Efforts to undertake joint analysis, design and review work as well as co-funding have improved over time, but progress to joint

fund modalities and silent partnerships has only very recently been introduced, and further expansion seems uncertain.

The ESP experience indicates generally strong commitment to developing vertical rather than horizontal linkages: there are good examples of programmes with both national and local initiatives that informed and supported each other, such as in Egypt and Tanzania. There has been more limited progress in designing support for mainstreaming the environmental agenda across government agencies and in building capacity horizontally.

Useful M&E arrangements have been designed, but insufficient leadership, willingness and institutional capacities have been available within partner institutions for implementation, so leaving most ESPs lacking a solid evidence-base for objective scrutiny.

Achievement of Objectives

In the view of this Evaluation, Danida support has been most effective in three areas: support for the formulation of key national strategy and policy papers, demonstration of good practices at local level with up-scaling potential, and decentralised environmental management. Support has been moderately effective in the reorganization of ministries and national institutions, communication and awareness raising, and linking central and local environmental agendas. Areas where Danida has been less effective include the establishment of environmental M&E systems, establishing and delivering environmental funds through government agencies, and mainstreaming gender, human rights and HIV/AIDS.

In terms of impact, Danida can fairly argue that it has had more influence than other donors on increasing partner governments' commitment to the environment. As one measure of this, government expenditure on the environment has risen in absolute and in some cases in relative terms, and this is partly due to Danida's increasing support, especially to national policy and legislation.

Though environmental enforcement is not an area where Danida has invested heavily, it has had some positive impacts, especially in Egypt and Kenya. Equally, at local level Danida support can be linked to improved forestry management in Tanzania and to game resource conservation in Zambia.

Detecting poverty impact is hindered by weak design and lack of data, but there is some evidence of localised income improvements as a result of increased economic activity and employment, and of groups and their leaders being empowered to manage and challenge authorities for a more equitable role in environmental management.

Sustainability and Efficiency

Sustainability at national level has been strengthened by increasingly strong legal frameworks and institutional developments, but still depends on long-term donor support and on better conditions of service in the public sector. Environmental management authorities appear to be becoming sustainable in the countries studied, mainly through generating higher revenues. Private waste collection services also appear to be viable, though replication is needed. Economic interest groups at village level appear sustainable, but slow revenue generation from forests and wildlife is an issue. Important external pressures will also influence sustainability, including population growth, rising illegal trade and the positive prospects from carbon markets.

A number of findings have emerged in terms of Danida's delivery efficiency when using more programmatic approaches. Higher disbursement to commitment ratios have occurred, especially when funds are channelled through single authorities and over an extended period of time compared to when decentralised and multiple agencies are involved. Long-term technical advisers, when embedded within partner institutions, have proved both an efficient and effective approach to facilitating programme implementation processes, in particular by supporting the linkages and interactions between field experiences and policy development. This has been essential in relation to environmental programmes, which have often included simultaneous introduction of new working approaches and/or new technical elements. The involvement of the private sector has brought efficiency gains through outsourcing (as in Zambia) and in partnering with private industry federations (as in Egypt). On the other hand, increasing use of government systems has brought less efficient implementation, especially in cases where local authority systems and capacity are too stretched to meet the required pace of implementation.

Capacity Development for Environmental Management

The design of Danida's capacity development interventions suffered from (i) low attention to external and political processes and how these influence planned capacity development, and (ii) the trade-off between the long-term perspective needed for capacity development and the three-to-five year horizon of the Danida planning cycle. In terms of results, there has been limited achievement at central level (except in Egypt) because support has not been sufficiently long-term, capacity assessments have not reflected political-economic drivers, and staff turnover has been high. However, capacity development has seen better results at community level and with local government, a finding related to the more operational use of the acquired capabilities and less staff turnover.

On-the-job training methods and 'learning-by-doing' rather than more conventional training sessions has worked better. Where organisational and functional analyses have been carried out as part of the capacity development support, these have resulted in important reforms, including establishment of new environmental units in Kenya, Egypt and Tanzania.

In terms of coordination, case study evidence suggests that government-led coordination of environmental activities is generally weak, although structures do exist, and frameworks are improving (for example in Zambia). There is weak or only moderately effective harmonization within the environment arena; donor working groups mainly share information and analysis, though ESPs have encouraged some joint programming and funding. To a certain extent, donors remain more driven by their HQ policies and priorities, and this undermines closer co-working.

Danida has achieved some useful mainstreaming by providing support in other sectors, such as in roads, that complements its environmental support. There are also some good examples of complementary support to the private sector and to civil society but opportunities have also been missed. Danida has correctly provided support where frameworks that are more relevant have emerged, but coherence is hard to pursue where tensions exist between the desire to align to national strategies and systems, and the need to be accountable to domestic constituents while working in a sector where governance is weak and opportunities for corruption and mismanagement high.

Lessons

The Evaluation outlines thirteen lessons that can guide Danida in its support to the environment in Africa in the future. The key ones are summarised here:

Programme Design and Implementation

Shifting from project to programmatic engagement requires better exits and handovers to ensure sustainability, particularly as progress tends to be slower when delivering through government systems.

A sound environmental legal framework as well as high level political support provides a strong basis for programme alignment, but does not replace the need for strong and capable leadership in key national organisations.

Finding different ways to tackle the host government's capacity constraints is a pre-requisite before or while moving towards a programmatic approach.

Lack of a well-functioning, robust and independent monitoring and evaluation system, especially at outcome/impact level, undermines management decisions, and the ability to determine future direction.

Danida-supported interventions have successfully generated pockets of improved environments in several instances, but their replication or up-scaling then requires supporting institutional, financial and technical capacities and incentives to be in place at national and/or local level.

National Context

Improving national ownership and high-level leadership for the environmental agenda requires a combination of having appropriate chosen steering committee members in place, an overarching government entity in charge, and stronger advocacy from civil society and the media.

There is a need for better risk mitigation measures, since the influence of external factors (including political power, budget allocations and staffing, international illegal trade) is often significant for environmental programmes.

Resources

The evolution of Danida's global ambition to move to programmatic approaches needs to be in accord with the capacity to deliver by the respective Embassies and by national partners.

Pursuing a programmatic approach needs to be matched with appropriate funding instruments that, for example, avoid the constraints of a facility like the EPSF.

Long-term technical assistance placed within the target institutions has proved an efficient and effective approach to supporting ownership, developing capacity and linking between field experience, policy and research.

Recommendations

Should Danida and its partners continue to pursue programmatic approaches in its environmental assistance to Africa, and if so, how? What are the pre-conditions Danida should consider and what elements of a programmatic approach are likely to produce best results? The Evaluation has formulated the following recommendations, based on the findings and conclusions from this study:

Recommendations for Development Partners, including Danida and National Governments

1. Be more pragmatic and selective in choosing which environmental programmatic elements or sub-sectors to pursue. These elements should:
 - a. set realistic objectives with a long enough time-frame,
 - b. take account of the partner readiness for a programmatic approach,
 - c. concentrate on the formulation/implementation of national environmental legislation and strategies combined with sustained support to field practice that enhances their credibility,
 - d. include examples of decentralised environmental management practices with realistic up-scaling potential,
 - e. support the introduction of budget codes that allow environmental expenditure to be captured across government, and support environmental units in different sectors.
2. More vigorously pursued the inclusion of private sector and civil society not just as implementing agencies but in wider consultation processes and fora concerning environmental policy and strategy.
3. Place further emphasis on linking representatives from communities with local authorities around environmental issues, and supporting official and unofficial dialogue mechanisms.
4. Make the theory of change or intervention logic and the means of verification as explicit as possible, so as to establish a better link to national poverty reduction strategies.
5. Improve delivery of services and assets to the poor by (i) retaining specific field level components while also working at a policy level, and (ii) better holding governments to account for delivery on services.
6. Seek more opportunities to complement environmental funding with support for environmental mainstreaming in other sectors where they are engaged – so building on knowledge and experience in both fields.
7. Base approaches to capacity development on thorough and better assessments. Such assessments must include a broader political-economic analysis that examines the underlying drivers that affect the willingness of institutions to change.
8. Develop more explicit partnership agreements with the national government and other relevant institutions, and aim for a less ambitious scope for environmental programmes and/or longer timeframes.

9. Environmental programme designs should be led and jointly funded by the host government. They should be based on consultative processes that would allow national agencies to take part, commissioning studies and initiating of consultation exercises. Development Partners should in addition seek to mutually agree a timeline for the process.

Specific Recommendations for Danish Embassies and National Governments

10. Aim to create a single comprehensive programme and budget framework where a “programme” is defined in a more limited way such as working within a single sub-sector only, but in a comprehensive and strategic manner. Equally, promote efforts to link support given to the main environmental agency in a country with mainstreaming in relevant sectors.
11. Danida’s environmental programming should seek to agree co-funding arrangements at an early stage and build broader donor support, at the same time making realistic assessments of the capacity and willingness of government and development partners to co-fund. Given the complex nature of the environmental ‘sector’, and the weak basis for harmonization, Danida may forego the creation of environmental SWAPs, and instead seek to co-fund with a few donors, while helping others to align with government systems.
12. Danida’s environmental programmes should seek high-level leadership from national governments, and increasingly work with influential senior government bodies, such as finance or planning ministries, and also with other champions from the private sector, to improve local leadership for the environmental agenda.

Recommendations for the Danish Ministry of Foreign Affairs

13. The MFA should continue to seek ways to optimize Danida’s planning and budgeting systems to allow that programme preparation and delivery can work at a pace and time in line with host government planning and priorities².
14. MFA should ensure that human resource capacities will be adequate at the Danish embassies both to accommodate the challenges of the Paris Declaration (e.g. skills in policy dialogue, negotiation, public sector financial management), to manage the role as sector “lead donor” (which Danish embassies often are within environment) as well as to manage large, complex decentralised programmes (such as environment).
15. Danida should link programme investments with support to establish the pre-conditions for programmatic approaches to work, such as building financial and administrative capacity, undertaking drivers of change studies, or institutional assessments that consider wider political-economic factors.
16. MFA should ensure, together with the embassies, that sufficient resources will be allocated and used to document results of environmental investments. This will require a more explicit focus and attention on planning of independent evaluations of results and impacts, as well as on how to document and communicate lessons.

2) The latest revised version of Danida’s Guidelines for Programme Management (2010) is opening up for some more flexibility through the commitment based budgeting.

1 Introduction

Danida has provided support within the environment field since the early 1980s. The support has been given partly as support to environment as a cross-cutting issue; partly as grants to small scale projects funded by individual embassies or international non-governmental organizations (NGOs) and multilateral organizations working on environmental issues; and finally through bilateral environmental programmes funded either from the official bilateral Danish development assistance or from the Environment, Peace and Stability Facility (EPSF or MIFRESTA using the Danish acronym) established in 1993³.

The bilateral environmental programme portfolio has since the mid 1990s comprised three different clusters: a) environmental programmes funded by ordinary development assistance; b) environmental support programmes in Danida programme countries funded by EPSF and finally c) environmental activities taken over by Danida following the relocation of the Danish Cooperation for Environment and Development (DANCED) activities from the Ministry of Environment to the Ministry of Foreign Affairs after the change of Danish Government in 2001.

In September 2009, a consortium of Orbicon A/S (Denmark) and ITAD (UK) was chosen to carry out an evaluation of Danida's Programmatic Approaches to Support for the Environment in Africa, 1996-2009. The assignment was initiated in October 2009 and an Inception Report was finalised in December 2009. This Evaluation Report presents the main findings and conclusions from the Evaluation, as well as lessons learned and recommendations drawn from the exercise.

1.1 Purpose and Objectives

The main purposes of the Evaluation are to analyse achievements and challenges from the use of programmatic approaches in the field of environment in Denmark's partner countries in Africa during the period 1996-2009 in view of the various challenges (environmental and developmental) faced by the countries, and to promote lesson learning for future strategies on and implementation of environmental support. The Terms of Reference (ToR) are included as Appendix 1.

The Evaluation focuses, in particular, on two areas: (i) Results, challenges and experiences linked to the implementation of programmatic approaches in the field of environment, including lessons learned on the use of different modalities. (ii) Capacity development, in particular development of environment and natural resource management institutions at central, regional and local level. By focusing on these issues, the Evaluation aims to provide inputs to the future policy and strategic discussions on Danida's environmental approach.

3) This was a special environmental facility, known as MIFRESTA or the "Miljø, Freds & Stabilitets" framework in Danish, introduced by the then Danish Government, where a voluntary 0.5% contribution of the national GDP should be committed to environmental funding, peace and stability activities.

1.2 Scope

The Evaluation focuses on the experience to date with the application of the programmatic approach to Danida support in the field of environment in Africa. The reason behind this choice is that support to development processes in Africa is a high priority for the Danish Government and with the emergence of the aid effectiveness agenda in past 10 years, the way that Danida approached its delivery of aid (along with other international development partners) has evolved in pursuit of principles set out in various agreements such as the Paris Declaration⁴. To date there has not been the opportunity to take stock of experiences in introducing improved aid effectiveness modalities such as programmatic approaches to the field of environment. The scope was restricted to Africa (and excluded Asian and Latin American countries) and with a strong focus on three case study countries (Egypt, Zambia and Tanzania). This was to avoid making the task too complex to accomplish due to the differences, both in circumstances and approach between the various regions and countries. Experiences from three other countries (Kenya, Mozambique and South Africa) were however also used in the analysis, based on selected interviews, documentation and presentations given at the concluding synthesis workshop in Nairobi (see Chapter 3).

The Evaluation is intended to help Danida and its partners in development understand the possible value added of using a programmatic approach in environmental support in contrast to focussing only on a) a project-by-project approach and b) environment as a cross-cutting issue – and to help foster discussions on how bilateral environmental programming in African partner countries can become more effective in the future.

1.3 Organization of the Report

The report is organized as follows:

- Chapter 1 provides an introduction to the Evaluation.
- Chapter 2 details the evaluation approach and methodology.
- Chapter 3 describes the context of support to environment in Africa.
- Chapter 4-9 present the detailed findings of the study related to the standard evaluation criteria of relevance, effectiveness, impact, sustainability and efficiency. A separate chapter is presented covering capacity development (Chapter 8). Further findings are also given of coordination, complementarity and coherence in Chapter 9.
- Chapter 10 presents the conclusions.
- Chapter 11 presents the lessons learned and recommendations.

The report also includes three appendices and on the inserted CD-ROM seven annexes.

4) Paris Declaration on Aid Effectiveness, High Level Forum, 2005.

2 Approach and Methodology

2.1 Approach

Based upon the objectives and the scope of work described in the ToR, the Evaluation was planned and carried out in three phases:

- **Phase One:** The Inception Phase took place from September to October 2009
- **Phase Two:** The Fieldwork Phase took place in the period from November 2009 to March 2010, with visits to Egypt (December 2009-January 2010), Zambia (January 2010) and Tanzania (February-March 2010).
- **Phase Three:** The Analysis and Reporting Phase included the submission of a draft main report and a Key Stakeholder Workshop (in Nairobi) in May 2010 to discuss the draft report, including the case studies.

This phased approach allowed agreement of approaches and sharing of interim conclusions at different stages of the Evaluation, so that the team could receive feedback from the reference group and other key stakeholders and receive endorsement of country-level findings before moving on to synthesising these to a broader level.

2.2 Methodology

The Evaluation's methodology is underpinned by Danida's Evaluation Guidelines (MFA/Danida, 2006) and the Organization for Economic Cooperation and Development (OECD), Development Assistance Committee (DAC) Evaluation Quality Standards (www.oecd.org/dac/evaluationnetwork). In terms of the analytical approach, the Evaluation fieldwork was based around the five OECD/DAC standard evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability) as well as the '3Cs' (coherence, complementarity and coordination). These criteria are explained in the Terms of Reference in Appendix 1 (Table 5.1), and are defined in this report preceding presentation of findings in each Chapter.

A number of methodological tools were applied during the work. These tools are elaborated in Annex 1 and included:

Document Review: With the assistance of Danida, a wide range of internal documentation as made available covering policy, country programming and project designs, reviews and completion reports. Other material was assembled from international and national sources. Appendix 2 provides a list of key references.

Key Informant Interviews: A range of individuals were interviewed covering Danida staff, consultants, government and non-government persons in the study countries, representatives from different donor agencies. Annex 7 includes a list of persons consulted.

Case Country Visits: Approximately two weeks was spent in each of the three case study countries. Most of the field time was devoted to meetings with stakeholders in the capital

city, but 2-3 days were also spent visiting locations where interventions had taken place and where the team met a range of beneficiaries, local government, private sector and NGO staff. Each of the case country findings are presented in separate reports in Annex 2 (Egypt), Annex 3 (Zambia) and Annex 4 (Tanzania).

In-country Workshops and Survey⁵: At the end of each field visit, a one-day workshop was held to present initial findings. Discussion groups explored various themes in the workshops, including poverty relevance, capacity building, sustainability and assessment of programmatic results. A questionnaire was distributed to workshop participants and the results analysed (see Annex 5) to provide additional responses across the three countries studies. The sample was relatively small (66 respondents, with around 20-22 from each country), and thus the significance of the findings should be treated with caution: while they could not be said to be representative, the opinions provided do offer an interesting additional perspective.

Review of Experiences in Three Additional (Secondary) Countries: Danida's environmental support in South Africa, Mozambique and Kenya was explored from documents and interviews with Danida HQ and Embassy staff in order to provide further supporting or contrasting findings from the main case countries. The experiences in these three countries are summarised in Annex 6.

Blog Site: A dedicated web site was maintained during the evaluation period in order to share documents, workshop materials and drafts of the different reports. The use of a blog was to allow interaction and encourage comments.

Regional Stakeholder Workshop: To help the Evaluation draw together the findings and lessons from the different countries, a two-day workshop was conducted in May 2010. Participants from all six countries included in the Evaluation attended, together with other interested parties.

Analysis

The phased work programme and the range of locations of the team members meant that the analysis took place in a step-wise and cumulative fashion. Each country report focused very much on locally pertinent questions and sought to produce lessons and recommendations that would be of value to the local stakeholders, particularly Danish Embassy staff and others such as donors and government officials connected with environmental initiatives in that country. However, because a standard structure to data gathering was followed, with a consistent focus on the pre-set questions derived during the formulation of the Evaluation, it was also possible to combine findings and use them to report against the various evaluation criteria used in this report.

The team sought to overcome an insufficient system in Danida for aggregating scores or ratings by developing their own evaluative judgements. Thus, the team has applied rankings to a range of criteria for relevance and effectiveness in a systematic manner to a set of ESPs and their components (see Table 1 and Appendix 3) in an effort to summarise areas of strong and weak performance. These judgements and other findings from the case country

5) Although the possibility of a web-survey of stakeholder views was included in the ToR and Inception Report, this was not done because of concerns over poor response.

visits were validated at the in-country stakeholder workshops, as well as through written feedback from the Evaluation Management Group, the Reference Group and Danida staff. In this way, it has been possible for the Evaluation to triangulate evidence from the different sources and evaluation instruments based on the same framework and evaluation questions.

The three case study reports contain much of the detailed analysis and evidence to substantiate the findings presented in this overall report. As such, the reader should refer to these where needed. While country-specific examples are given throughout this report, detailed references have been omitted in order to improve readability.

2.3 Key Challenges and Limitations

A key concern for the Evaluation has been a general lack of relevant baseline information, performance indicators and independent evaluation studies. This has limited the possibility to analyse 'before and after' or 'with and without' scenarios and therefore assess outcomes and impact from the Danida supported interventions.

As is the general standard for Danida⁶, the completion reports that were available were largely drafted by project staff and consultants themselves and/or by embassy staff. Therefore, an often more useful source of performance information has been the reviews (annual and technical) usually conducted by Danida HQ staff together with consultants.

The programme documents often lack a clear definition of how 'poverty' is defined within the programme framework and how the environmental interventions will affect poverty. Establishing a link to poverty reduction is not easy in any sector, but in the environment the causality is complex and often indirect and, in the case of natural resources, often long-term. In such cases, the theory of change or intervention logic needs to be as explicit as possible and the means of verification carefully developed. In many cases it may not prove feasible to attempt to measure such a reduction, however the programme designs are not specific on this and do not propose proxy or intermediate indicators that could show whether the interventions are having an effect.

Danida has operated a key output indicator system as part of its central project database (PDB) maintained by the Quality Assurance Department (KVA). Each year a small number of indicators with target and actual values are selected and tracked by Embassies for their country programmes. Based on an assessment of these records for Tanzania, Zambia, Mozambique, South Africa and Kenya, the Evaluation found that it was difficult to use the data to track effectiveness. This was mainly because of the changes in indicators from year to year and missing actual values for 2008 and 2009⁷.

To supplement the Danida-sourced documentary evidence, the Evaluation has also used other studies conducted by donors and institutes and, to a large extent, had to rely on perceptions of different stakeholders based on their particular experience and interpreta-

6) Programme Management Guidance, 2003, p.8.

7) Additionally, the type of indicators (whether process, output or outcome) for environmental activities varies from country to country and year to year. Thus establishing a time trend for three or more years was difficult.

tions. Whenever possible, perceptions have been validated with information across different groups and, where possible, also with documentary sources.

The complex nature of environmental interventions has also made attribution of results to Danida's support difficult. The features of a programmatic approach by themselves make attribution more difficult than other traditional project modes. The report tries to address this by identifying aspects where Danida support has had the most evident link to results, even though this may be in the delivery of short-term outputs or in areas where Danida has tended to operate independently.

A particular challenge related to this study is to bring out generic findings, lessons and recommendations from the three different country scenarios, as well as from the three other environmental programme countries in the region, given the very different contexts and stages of implementation reached. While the case studies therefore have provided the opportunity to make a first-hand assessment of experiences that, in some cases, are repeated across countries, other findings may not be representative and comparable. The analysis has sought to identify findings that coincide across case countries and can be considered to be of more generic nature. Where significant but isolated findings are found, these too have been highlighted.

Moreover, the short duration of the in-country visits presented some limitations to how extensively the Evaluation could cover Danida's 15 years of presence in the environmental field in each country. In addition, due to often long in-country travel distances and time constraints, the Evaluation had to limit time for field visits to 2-4 days per country, giving a rather restricted and partial view of actual achievements on the ground. Despite strong efforts, the Evaluation managed to meet only a few senior governmental officials in each country and this created a challenge to get a sound perspective from the government side.

3 Context

3.1 Programmatic Approach

This Evaluation is tasked to examine the relevance and effectiveness of moving towards a programmatic approach in environmental assistance. It is therefore critical to understand what Danida means by a programmatic approach and how it has evolved over the period in question. Although the Paris Declaration in 2005 marks a watershed for agreement on aid effectiveness principles, there were earlier key stages in the process. Joint efforts to improve the quantity and quality of aid arose from concerns in the 1990s about the lack of results from development assistance, growing debt burdens and reducing aid levels. Pressure for a global response led to a series of major policy responses, including the 2000 Millennium Development Goals, the Monterrey Consensus of 2002 and the 2003 Rome Declaration on harmonization. The 2001 launching of the New Partnership for Africa's Development and the African Peer Review Mechanism on governance were key related initiatives at a continental level.

Danida saw itself as very much part of this general trend in aid thinking, and this required it to introduce changes in practice and in principle that reflected greater ownership by recipient countries, better harmonization with other aid providers, closer alignment to host country strategies and systems, and a move away from project-driven models to broader sector-wide approaches (SWAs)⁸. In 1994, Danida introduced a new Sector Programme Support (SPS) strategy⁹. After the launch of the strategy, the first Guidelines for Danida SPS were published in April 1996 with a revision in 1998. This document is important as it provided the framework for the formulation of the ESPs in the case study countries. The main features of Danida's SPS 1996 Guidelines are set out in Box 1.

The 1998 SPS Guidelines emphasizes that:

“Compared to the project approach, SPS emphasizes a longer time frame for broader based Danish assistance to a national endeavour in a sector. This in effect means that assistance would be extended to the national policy and strategy level as well as to the programme implementation level.... This represents a significant shift of emphasis in Danida's strategy compared to the traditional way of defining projects. The project approach focuses on short and medium term results and pays less attention to comprehensive and sector-wide policy development and institutional, organizational and financial management issues (the process and sustainability factors)”.

The 1998 SPS Guidelines also warned that:

“It is recognized internationally that sector programme support is easier to implement in social sectors like health and education compared with the agricultural and environmental sectors”¹⁰.

8) For a comprehensive discussion of differences between sector-wide approaches and programme based approaches within environment, see “Sector Approaches in Environment and Natural Resources” (Eric Buhl Nielsen and Neil Bird, 2010)

9) Outlined in the Danida publication *A Developing World*, March 1994. Subsequent to this, Guidelines for Sector Programme Support were published in April 1996.

10) This same conclusion came out more recently from the “Aid Effectiveness in the Environmental Sector – Focus on Ownership and Alignment”, Danida, April 2009.

Box 1. Main Features of Danida's Sector Programme Support Guidelines (1996)

- a) The measure of success is whether the SPS contributes towards *strengthening the capability of the poor*;
- b) SPS relates directly to established or emerging national sector policies, strategies and programmes. It is of major importance *how these are related or linked to other sectors and to the overall national policy framework (macro-economic and budgetary framework)*;
- c) Focus on *broader scale capacity development at central, regional and local level* with a focus on national ownership;
- d) The *time perspective* for cooperation is *10-20 years*;
- e) *SPS provides support to various levels in the sector*, including the central (regulatory/policy) level as well as regional and local levels;
- f) *Accountability*. Transparent political, administrative and financial accountability is promoted by gradually, or from the beginning, making the partner institutions fully responsible for the use of the Danish funds;
- g) SPS applies *various modalities of support in a dynamic manner*. The support could include training, technical assistance, operation and maintenance support, investments, commodity and budget support in varying proportions throughout the SPS period;
- h) SPS offers *room for flexibility* within an agreed set of objectives, areas of support, and procedures. Greater attention will be given to building flexibility into the SPS concept, through for example continuous policy dialogue and regular joint reviews;
- i) *SPS promotes effective coordination by the national partner of support from various donors*. Established or emerging national sector policies, strategies or programmes should function as a framework for assistance from various donors. The SPS can therefore include assistance aimed at improving the coordination capacity of the national partner.

New Danida Programmatic Guidance (2003)

A new sector programme guideline was published in 2003, when Danida launched for the first time the "Guidelines for Programme Management" (GPM), which replaced the SPS Guidelines and covered both the EPSF and regular programme support. The GPM (2003) stressed flexibility by acknowledging that:

"Conditions for preparation, implementation and monitoring of Danish-supported programmes vary considerably among partner countries. In some cases, the application of the Sector Wide Approach is fairly advanced... In other cases, the conditions for joint arrangements are not yet present, and more comprehensive activities... are implemented in a manner very similar to the traditional project modality, where preparation, implementation and monitoring are separate Danida undertakings".

The Guidelines also highlight, "...the continuing effort to move from separate Danida activities towards the application of the Sector Wide Approach and alignment with procedures and formats of the national partner". In addition, in terms of monitoring, the Guidelines stress the need to "...integrate programme monitoring into the monitoring system of the partner".

According to the Guidelines, the key challenge for the future will be, "...to develop and adapt existing sector programme support, i.e. defining new phases of support, modifying existing components, adding new ones, modifying implementation modalities and/or incorporating Danish support into broader multi-donor support schemes".

This Evaluation finds that at the core, Danida's definition has been in line with the 2008 OECD/DAC definition for a 'Programme-Based Approach', which stated that it was:

"...a way of engaging in development cooperation based on the principles of co-ordinated support for a locally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organization."¹¹.

The OECD note that programme-based approaches share all of the following features:

- Leadership by the host country.
- A single comprehensive programme and budget framework.
- A formalised process for donor coordination and harmonization of donor procedures for reporting, budgeting, financial management and procurement.
- Efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation.

Besides these features, Danida's guidance still refers (Box 1) to further criteria such as the need to strengthen the capability of the poor, involve a longer time frame, broad-scale capacity development and support to multiple levels (national and local). Danida's definition is certainly more ambitious than that of the OECD, and while it recognised that to apply them to the environment as a sector would be more difficult, there has been only limited specific guidance on how to apply these aid principles to the field of environment.

While the Environment Strategy 2004-08 had the role of providing strategic guidance to environmental programming, the operational tool for implementing the strategy, the Danida Environmental Guide, was not developed until 2009. The strategy underlined the need to provide long-term assistance and to incorporate environmental issues in national Poverty Reduction Strategy Papers (PRSPs), however the operational and procedural guidance on how to apply programmatic principles within a complex environmental setting was up to 2009 only provided at a very general level by the Danida Aid Management Guidelines (AMG)¹². Other documents, such as the Environmental Screening Good Practice Paper (2004) offered advice on how to screen Danida's portfolio from the environment as a cross-cutting issue as well as the use of strategic environmental assessments (SEAs), while the Monitoring and Indicators Note (2006) suggested ten steps to identify indicators in the environmental sector. An ESP Good Practice Paper (2006), offered a series of lessons from past experience on the preparation of environmental programmes¹³.

Tensions can be noted between the Paris Declaration precepts and the reality that Danida faces in working in countries that may suffer from weak governance or where there is a lack

11) http://www.oecd.org/document/19/0,3343,en_21571361_39494699_39503763_1_1_1_1,00.html

12) Not only for the environmental sector, but for other sectors as well.

13) The Danida Environmental Guide (2009) has replaced the Environmental Assessment for Sustainable Development (December 1999) and the Environmental Screening Good Practice Paper (June 2004). The guide is now part of the AMG.

of interest in new aid thinking. Denmark's zero tolerance on fraud or mismanagement (as demanded by its parliament) may hamper alignment to national financial management systems¹⁴. Where corruption is prevalent, increased reliance on local procurement or auditing and reporting will be extremely difficult¹⁵. The expected reduction of transaction costs through aid harmonization has not been noticed. Within Danish Embassies the workload is reported to have increased substantially and the skill requirements altered¹⁶. There are also tensions between meeting short-term disbursement targets, and addressing more difficult and longer-term capacity building and alignment goals. Finally, there has been a tension between pursuing Paris Declaration principles and the lack of operational guidance to embassy staff on pursuing these in cross-cutting or mainstreaming sectors or themes, such as the environment.

3.2 Danida Bilateral Support to Environment

Types of Environmental Funding. While most other donors have tended to treat the environment solely as a cross-cutting issue and/or have supported the environment mostly through specific project interventions, Danida has since the mid-1990s delivered a large share of environmental support through what can be referred to (rather generically) as bilateral environmental sector programmes (ESPs). The period covered by this Evaluation (1996-2009) includes three forms of Danida funding to the environment: a) environmental programmes funded by ordinary development assistance; b) from 1992-2001¹⁷ when Danish assistance to the environment was boosted by EPSF, and finally c) EPSF activities taken over by Danida following the relocation of the Danish Cooperation for Environment and Development (DANCED) activities from the Ministry of Environment to the Ministry of Foreign Affairs after the change of Government in 2001.

Throughout the period, Danida's overall approach to the provision of bilateral aid has placed a growing emphasis on Sector Programme Support and to a closer adherence to the new aid effectiveness principles as the primary approach. Since 2002, with the bringing together of all bilateral environmental assistance under one umbrella (Danida), environmental activities have gradually been designed and implemented in accordance with the general rules for Danish ODA as reflected in the AMG. In practice, ESPs have been established as a result of reformulating on-going environmental assistance into programmes of different kinds. Few programmes were initiated using a programmatic approach (see Box 1) from the very outset, but as old projects and programmes were phased out, attempts have been made to design the support in a more programmatic way.

From a strategic perspective, Danida's current support to the Environment is guided by the "Environmental Strategy 2004 to 2008", which in 2009 was extended to cover 2009. The

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- 14) Evaluation of the Implementation of the Paris Declaration: Case Study of Denmark, Danida, June 2008, p.90.
 15) A former Danida Adviser raised particular concerns to the Evaluation about Danida's aid to the wildlife sector in Tanzania where strong indications of corruption existed. Owing to weak governance regimes in revenue-generating sectors, resources are offered below market price to the benefit of a few powerful winners and the loss of the majority of the rural population. ... The weakness in governance regimes in forestry, wildlife and fisheries include primarily (a) the lack of transparency and accountability in issuing rights to extract resources and accrue revenues from them, (b) inequitable sharing of benefits with communities, and (c) monitoring and surveillance of stocks.
 16) Evaluation of the Implementation of the Paris Declaration: Case Study of Denmark, Danida, June 2008, p.90 & 100.
 17) Came into effect for ODA countries and the Danish Ministry of Foreign Affairs from 1996.

Environmental Strategy makes clear that support to environment will be integrated into general development assistance; that environment will receive increased attention as a cross-cutting issue in both multilateral and bilateral cooperation; and that special attention will be given to incorporate environmental issues in national PRSPs as well as environmental analyses in sector programmes. Moreover, ESPs were intended to address three other objectives of (i) building up capacity in the field of environmental management at different levels (national, regional, local) so as to enable partner countries to handle environmental challenges themselves and at the same time (ii) creating results in terms of reducing environmental problems/protecting the environment while (iii) to some extent taking into account the poverty-environment link.

Level of Environmental Funding: Although Danish support to the environment began in the 1980s, calculating the level of this support is not straightforward because of the variety of channels and the difficulties of defining what to include. Compared to Danida's overall bilateral assistance, environmental support represents a small proportion – for example in 2008 it was only 5%¹⁸. Over the period 1999-2009, Danida has disbursed DKK 10 billion to the environmental sector, of which DKK 1.8 billion went to the six countries covered in this study (South Africa, Tanzania and Egypt receiving 90% of these funds). The funds were allocated into four thematic areas as outlined in the Danida Strategy¹⁹: (i) urban and industrial environment, (ii) management of natural resources, (iii) sustainable energy, and (iv) capacity building.

In Africa, besides Egypt, the introduction of ESPs has come later than in other regions²⁰ where Danida has worked. ESPs were first implemented in Nepal, Bolivia, Nicaragua and Bhutan. In Bolivia, the overall conclusion of a country evaluation in 2001 was that the ESP was a good vehicle for promoting sustainable development and poverty alleviation and that the programme was relevant for the country as it was linked to ongoing decentralisation²¹. In Nicaragua, the ESP was found to be both relevant and effective, though impact and sustainability were less successful, and a key weakness was high level leadership and coordination, which left Danida in a too dominant decision making position²².

3.3 Support to Case Study Countries

The Broad Context: The three case study countries (Egypt, Zambia and Tanzania) face somewhat different environmental challenges, with Egypt the more industrialised economy, facing more serious issues of pollution to water, soil and air from un-modernised factories and power plants. Egypt, moreover, is also highly dependent on a single water source for all its drinking, irrigation and industrial needs. In Tanzania and Zambia pressures are found both in the natural resources field particularly in wildlife, forest and in Tanzania's case also coastal assets, but also from a rapidly growing urban population leading to problems of uncontrolled development and inadequate waste management. These countries also suf-

18) According to Danida's Annual Report for that year. Around half of this was for Africa.

19) Environmental Strategy, Danida, 2004-08, Section 4.5.1, p.29. Capacity building is seen both as a cross-cutting theme and as a theme in itself.

20) Where more countries were eligible for MIFRESTA funding.

21) Evaluation Danish-Bolivian Development Cooperation, 1997-2001, Danida, 2002.

22) Evaluation Danish Development Assistance to Nicaragua, NEI, 2002.

fer from international pressures on their natural resources, based on raw material extraction for rapidly growing economies in Asia as well as for rare fauna and flora that has seen over-exploitation. Although legislative frameworks have been developed, weak governance has led to corruption and human rights abuses in the access to, and exploitation of, natural resources. The role of the private sector and of civil society, while increasing in terms of management of environmental resources, has not been as prominent in regard to awareness-raising and advocacy in reducing environmental problems. Capacity constraints constitute an important factor here, together with civil society organizations' limited political influence.²³

Aid Environment. Another contrast between the countries studied is the aid environment, particularly between Egypt, which has a low dependency on aid and a relatively weak degree of donor harmonization, and Tanzania and Zambia with the opposite. Expectations differ markedly around the need for greater aid alignment and the need to pursue aid effectiveness principles. Joint Assistance Strategies (JAS) have evolved in Tanzania and Zambia and an elaborate aid architecture including division of labour, sector working groups, and provision of budget support (to varying degrees) guided by broad Performance Assessment Frameworks (PAFs) that focus on the contribution of development assistance to poverty reduction strategies and the Millennium Development Goals. Support for the environment has been estimated at less than 5% of national budgets. However, with the rise of climate change funding this is set to change – although the design and operation of these new funds are complex and draw on the already limited capacity of governments and their environmental agencies. In both Zambia, Tanzania and Kenya a tendency was seen of limited coordination of climate change funding, bypassing key government institutions and arriving with own accounting procedures.

Danida's Aid. Based on figures from Danida's Quality Assurance Department, the three case study countries received a total of DKK 974 million through bilateral environmental assistance in the period from 1999-2009 (both years inclusive)²⁴: with Egypt receiving the largest support (DKK 445 million), then Tanzania (DKK 390 million), and the smallest support to Zambia (DKK 139 million). In the period 1996-99, Danish support was through conventional projects. In Egypt, these covered waste management, organization support and coastal protection. In Tanzania, they included the two MIFRESTA funded projects, MEMA (*Matumizi Endelevu ya Misititu ya Asili* in Swahili or "Sustainable Management of Natural Forests") and UTUMI (*Utunzaji wa Misititu* or "Village Based Forest and Woodland Management" in Lindi Region). In Zambia, projects included support for conservation activities in a number of national parks.

Egypt, Zambia and Tanzania all experienced a series of stages in the development of ESPs and all three countries began to introduce ESPs around 1998-99. In Egypt, an ESP was designed that would encompass several former projects plus new components that would focus on supporting the Egyptian Environmental Affairs Agency (EEAA) as well as the decentralisation process for environmental management at regional and governorate levels. The first ESP document in Egypt was signed in 2001. However, after little initial progress and the decision by Danida in 2003 to withdraw from the environmental sector in 2008,

23) "Aid Effectiveness in the Environmental Sector – Focus on Ownership and Alignment", Danida. April 2009.

24) Before 1999 data is not available in a disaggregated format.

the programme was redesigned in 2003 and a new programme document implemented from 2005, where the ESP had been focussed into three main components: a Programme Management Unit (PMU), Support for Decentralised Environmental Management (SDEM) and Achieving Compliance in Industry (ACI).

In **Zambia**, an ESP was drafted in 1999 clustered around biodiversity, community based wildlife management and urban environmental problems under the umbrella of the United Nations Centre for Human Settlements (Habitat) Sustainable Lusaka Programme. Several attempts to prepare an environmental programme were made before a programme document and a Memorandum of Understanding were signed by the Government, Finland, Norway, United Nations Development Programme (UNDP) and Denmark in January 2009 after a series of joint consultations. In its present form, the Environment and Natural Resources Management and Mainstreaming Programme (ENRMMP) comprises two components: 1) A capacity development component mainly concerned with improving the strategic planning and management capabilities of the ministry and reforming environmental and natural resource policy and legislation whilst supporting the mainstreaming of environment in other line ministries and elsewhere (local government level, private sector and civil society); and 2) An interim environmental fund component designed to establish a fund and to support investment projects within environment.

In **Tanzania**, the first ESP (2000-04) had two components: a Natural Resource Management (NRM) component, and an urban environmental management component for selected municipalities²⁵. The present Environmental Sector Programme Support (ESPS) (2007-12) was approved in 2007 and is designed around three components: A component supporting the Environmental Management Act (EMA), the EMA Implementation Support Programme (EISP) and anchored in the Vice President's Office (VPO), a component supporting the Urban Development and Environmental Management (UDEM) building on the experiences from the projects under the Sustainable Cities Programme (SCP) to a large extent and coordinated by the Directorate for Local Government of the Prime Minister's Office, Regional Administration and Local Government (PMO-RALG) and a Participatory Forestry Management (PFM) Component that is an extension of the "old" component from 2003.

As Figure 1 illustrates, over the past 10 years actual expenditure on the various environmental activities has shown a mixed trend. Expenditure rose sharply in Egypt, especially following the re-design in 2003, but then ended abruptly as the ESP closed. In Zambia, expenditure rose steadily during the first generation ESP as urban and natural resource components expanded, but then as they came to a close expenditure fell, while the ENRMMP was prepared and began implementation in 2009. In Tanzania, expenditure fell from a peak in 2000, mainly due to the ending of the different sustainable cities projects, but then has risen sharply as the second ESP was launched in 2006²⁶.

25) In Zambia and Tanzania, these first ESPs did not carry new funding but constituted strategic frameworks for projects.

26) In the secondary case countries, one can note that South Africa is similar to Egypt in that it is more industrialised, less aid dependent and has limited donor harmonization, while Mozambique and Kenya share parallels with Tanzania and Zambia, with high aid dependency and strong aid coordination. Danida's disbursements for the environment from 2001-10 have been DKK 612 million for South Africa, DKK 49 million for Kenya and DKK 318 million for Mozambique.

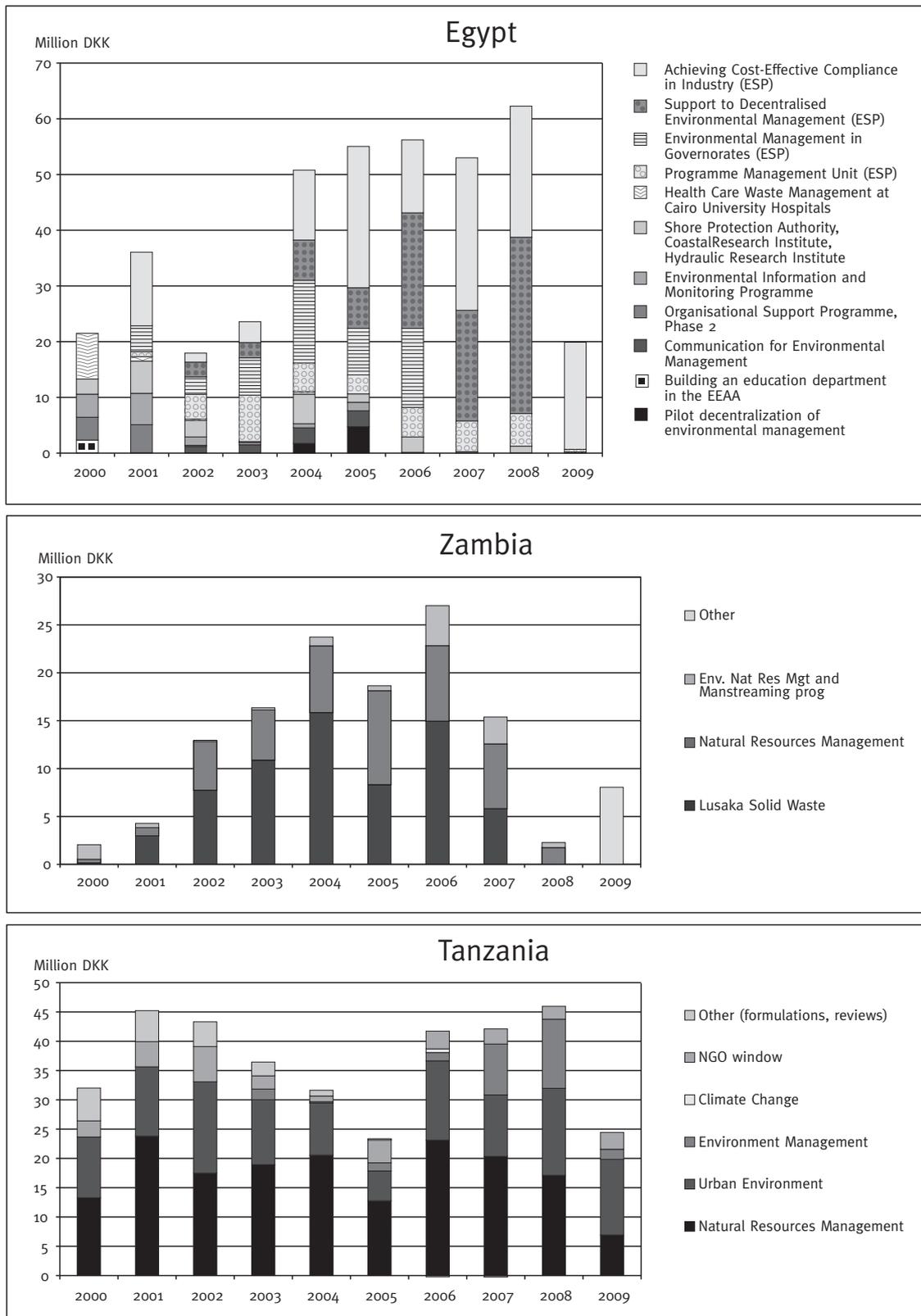
The three **additional (secondary) case study countries** (South Africa, Mozambique and Kenya) included in this Evaluation bring several parallels to the main case study countries. The priorities and Danida's approach to environmental engagement is explained in more detail in Annex 6. South Africa, like Egypt, is more urbanised and industrialised but has a great diversity of environmental challenges from mining and industrial pollution management and the planning of fast growing often poor quality urban settlements to more advanced and profitable natural resource management of flora and fauna. South Africa like Egypt is also less aid-dependent and does not have strong donor coordination architecture. Danida has focused support on urban environment, on water and sanitation policy development and on energy and climate change initiatives. Its support totalled DKK 607 million in the period 1999-2009.

Mozambique faces considerable challenges in managing the future exploitation of its immense coal and mineral potential, and equally faces marked urban growth in a range of provincial cities. Its aid architecture is particularly well advanced with a large group of 19 donors participating in general budget support and coordinating their aid through a joint performance assessment framework. Denmark has disbursed DKK 312 million to the environment in the period 1999-2009, and has supported coastal zone management, urban environmental management and capacity building of the main government environmental ministry. It has sought to move to a more programmatic approach through the Environment Programme Support (2006-10).

Finally, Kenya, while having a strong and successful national parks system for managing its diverse game resources, faces particular challenges around the urban environment and around improving governance. Denmark (in a co-funding partnership with Sweden) moved to a programmatic approach with its Environment Programme Support (EPS) (2006-10)²⁷ with a commitment of DKK 167 million. DKK 45 million were disbursed by Danida to activities within this programme in the period 2006-09. The EPS supported policy development, but also environmental management and community-led initiatives.

27) This EPS has now been phased out and replaced by a new programme.

Figure 1. Expenditure by Environmental Category in the Case Study Countries²⁸



28) Financial data were extracted from Danida for the past 10-year period. Prior to this, the data were held in a different format.

4 Adherence to Programmatic Principles (Relevance)

This chapter examines how well Danida's programmes of environmental support in Africa have been designed/implemented in terms of their adherence to the programmatic principles described in Chapter 3. A summary is given in Table 1, which shows how the evaluation team has applied three ratings: Good, Fair and Weak. The overall impression is that the programmes adherence to programmatic criteria is quite mixed, with better adherence found for ownership and capacity development dimensions (mostly good or fair), and the worse adherence found for coordinated support, common management and results and policy dialogue (weak or fair). It is important to note that for those programmes where implementation has been ongoing for some time the assessment is based on the actual implementation experience (Egypt, and the first ESPs). For those programmes where implementation has only been initiated recently, and where implementation experience is limited, the assessment is based on the programme design (ENRMMP and ESPS).

The chapter concludes with a brief assessment of two other areas that, though not part of the programmatic criteria, are regarded by the Evaluation as critical areas to consider in programme design: Monitoring and Evaluation (M&E) (4.9), and Risk Assessment and Mitigation (4.10).

4.1 Sector Complexity Versus an Integrated Programme

The environment at its broadest is a complex area because of its multiplicity of areas of action – including natural (coast, forest, mountain etc.), human interaction (industrial, urban settlement, rural), and approach (management, exploitation and protection). As a consequence of this, environmental management normally also involves a large number of public and private sector actors (agencies, authorities, communities and enterprises). Most often it is therefore rather difficult to identify one single (counterpart) organization within a partner country, which can take overall responsibility for carrying out an environmental programme. Due to the multi-dimensional nature of environmental management, the institutional framework in terms of legislation, policies and authorities is also complex.

Table 1. Summary Assessment of the Design/Implementation of ESP Components against Programmatic Criteria²⁹³⁰³¹

Criteria	EGYPT	ZAMBIA			TANZANIA			
	ESP	1 st ESP		ENRMMP	1 st ESP		ESPS	
		NRM ²⁹	LSW		PFM ³⁰	SCP	UDEM	EISP ³¹
1. Strengthening the capability of the poor	Weak	Good	Good	Fair	Good	Good	Fair	Weak
2. National ownership	Good	Fair	Fair	Fair	Good	Fair	Weak	Fair
3. Capacity development	Good	Fair	Fair	Fair	Good	Fair	Weak	Fair
4. Long time perspective	Fair	Weak	Fair	Weak	Good	Weak	Weak	Fair
5. Coordinated support	Weak	Weak	Weak	Fair	Fair	Weak	Weak	Weak
6. Works at multiple levels	Good	Fair	Weak	Good	Good	Weak	Good	Fair
7. Accountability & Transparency. Use of local systems	Fair	Weak	Fair	Fair	Fair	Weak	Good	Good
8. Common programme management and result structure	Fair	Weak	Weak	Fair	Fair	Weak	Weak	Weak
9. Integrated components	Fair	Weak	Weak	Fair	Good	Weak	Fair	Fair
10. Allows Policy dialogue	Weak	Weak	Weak	Weak	Fair	Weak	Fair	Good

Detailed judgements for each of the main ESPs in the three case study countries are set out in Appendix 3.

29) NRM: Natural Resources Management, LSW: Lusaka Solid Waste, ENRMMP: Environment and Natural Resources Mainstreaming Programme, PFM: Participatory Forest Management, SCP: Sustainable Cities Programme, UDEM: Urban Development and Environmental Management, EISP: Environmental Management Act Implementation Support Programme.

30) PFM assessment applies to both 1st ESP and 2nd ESPS as it ran through both.

31) Environmental Management Act Implementation Support Programme.

It is therefore sensible not to treat environment as another sector³². Given the breadth of these spheres of possible engagement, Danida's strategy was to focus on four areas (3.2) so that it could sensibly concentrate its resources. On the other hand, when designing an ESP it also led to quite different urban and rural interventions being placed together, with no easily definable overarching objective. Indeed it is a feature of the ESPs studied that they either have a very broad objective (such as reducing poverty through environmental assistance as in the first ESP in Zambia 1999) or they treat the components as quite separate entities (ESPS in Tanzania 2007), so removing the possibility of having an 'integrated programme'.

On top of this, the first ESP designs in Egypt, Zambia and Tanzania also brought together several unrelated projects into a single frame of bilateral cooperation. Although historically this was necessary as a first step in forming an integrated programme, the difficulties of relating very different projects meant that the early ESPs were more of a loose framework of different initiatives than an integrated programme³³. As projects ran to their close, so 'second generation' programmes were developed that were more focused. In Tanzania, Zambia, Kenya and Mozambique the ESPs designed during 2004-06 all had three components that extended existing areas of local engagement (whether in urban environment, natural resources or coastal zone management) plus a newer national policy component.

Shifting to a programmatic approach in the environment calls for consideration of support to other line ministries that need to take on environmental responsibilities (such as Environmental Impact Assessments (EIAs)) and also mainstreaming the environment into line ministry programmes. This was a particular challenge as such mainstreaming is relatively new in the studied countries. It also calls for the inclusion of private sector and civil society actors, since they have an equally important role, whether in environmental management or awareness-raising. These two broad areas, though included in the designs, have received lower emphasis in the ESPs introduced so far, and while there are some examples of designs that include private sector engagement (such as the ESPs in Egypt with the ACI Component and in Zambia with the Lusaka Solid Waste Management (LSW) Project, this Evaluation will argue in subsequent sections that greater consideration could have been given to complementary support to relevant private sector or civil society bodies. The reasons for this reduced emphasis could be due to several factors, including the wish to reduce programme complexity and concentrate on building a strong relationship with government, or because other sources of Danida funding provided assistance to civil society (such as HQ-based NGO support grants). It may also be that the sample of the three case study countries was not fully representative; in Kenya for example the EPS had specific engagement with civil society, while in South Africa the Urban and Environmental Management (UEM) Programme provided funding to a wide range of partners including NGO networks (Annex 6).

32) Indeed the Danida Good Practice Guide (2006) says that: "It is difficult, if not almost impossible, to treat 'the environment' as a sector."

33) Though this is a common experience in other sectors, as for example in Water and Sanitation. Refer to the Evaluation of Water and Sanitation Programmes, Danida, 2007.

4.2 Relevance to Poverty Reduction

In terms of their relevance to poverty reduction, the earlier ESPs (as frameworks for more conventional projects) were able to link support to poverty more directly and easily than in the second generation ESPs. Thus, the forest and wildlife management interventions in Tanzania and Zambia (PFM, NRM) and the urban environmental management projects – LSW in Zambia and SCP in Tanzania – were designed to provide part of their support directly to poorer communities either dwelling on marginal land nearby to forest reserves or game management areas or in peri-urban areas with low quality housing³⁴. This is a common issue that as donors adopt designs that seek to be more strategic and influential at national level, so the ability to link outcomes to poverty reduction at least in the short-term becomes harder³⁵. The second generation of ESPs seek in the long-term to build national environmental management systems that will hopefully benefit far more of the population classed as poor, but this in turn would require long-term engagement and strong ownership (see below).

Nevertheless, ESPs may be linked to a sound national poverty reduction strategy with a well-conceived PAF, in which case the possibility of tracking environmental support to changes in the livelihoods of the poor improves. Thus the ENRMMP in Zambia is well aligned with the Fifth National Development Plan PAF and the national data collection and reporting systems that support it, and identifies those cross-cutting indicators which are drawn from the environment and natural resources sector. In 2005, Danida was involved in Tanzania in a joint initiative to strengthen poverty-environment linkages under the umbrella of the second PRSP (termed MKUKUTA I)³⁶, which led to stronger political commitment and the inclusion of specific indicators on the environment in the poverty monitoring system. Even with the new MKUKUTA II, prepared through a process more firmly driven by the Government, the aid partners concerned with the environment have provided input to the process under Denmark's leadership.

4.3 Country Ownership

This section examines the extent to which the Danida environmental programmes fit within national strategies and are fully owned and led by the host government. The distinction between ownership and leadership is important, as it has been observed that some governments may be said to own a process, but may not have the capacity or will to take a pro-

34) See the Tanzania and Zambia Case Study Reports for this Evaluation.

35) In 2003, Danida noted that "... it is becoming increasingly difficult to prove a direct cause-and-effect relationship between Danida input and achievement of poverty reduction objectives as reflected by outcome and impact indicators." See Performance Management in Danish Development Assistance – Framework and Action Plan 2003-04". Quality Assurance Unit, March 2003.

36) Environment at the heart of Tanzania's development: Lessons from Tanzania's National Strategy for Growth and Reduction of Poverty (MKUKUTA). Natural Resource Issues Series No. 6. International Institute for Environment and Development. London, UK, Assey et al., 2007.

active leadership role³⁷. The ESPs reviewed are generally closely aligned to relevant national strategies – including those for poverty reduction, decentralisation and natural resource management. The ESPs also correctly responded to the host countries’ need to strengthen new legal and policy frameworks (examples include the Law 4 of 1994 in Egypt, the Environmental Management Act in Tanzania, the draft Environmental Policy and National Climate Change Response Strategy in Kenya, the National Waste Water Management Strategy in South Africa, and the National Policy on Environment in Zambia).

The ESPs also sought to support greater country ownership and recognition of the environmental agenda but faced challenges in terms of national leadership³⁸. The degree of commitment to the environment across different arms of government has been varied, and often the lead environmental agency or ministry has been weak, either politically or in terms of capacity or both. In Egypt, initially the EEAA was weak politically as a new agency from 1994, but received greater high-level commitment in 2002 with new Presidential Directives. The EEAA also grew substantially in terms of capacity over the period. In Zambia, the original Ministry of Environment and Natural Resources (MENR) and the Environment Council of Zambia (ECZ) were constrained by insufficient financial support, while other larger ministries enjoyed greater support³⁹. Attention to the environment has increased in Tanzania, as signalled by the Presidential Initiative termed the National Strategy for Urgent Action on Land Degradation and Water Catchments, although the subsequent implementation of this particular initiative fell short of the initial expectations⁴⁰, and also raised human rights concerns because of the powers for forced removal of people in protected vulnerable catchments⁴¹.

Importantly, the government offices responsible for coordination of environmental affairs (such as the Minister of State for Environmental Affairs (MSEA) in Egypt and the VPO in Tanzania) have been less resourced and staffed than other key environmental management agencies such as the Forestry Department in Tanzania or the Wildlife Authority in Zambia, as well as other bigger-spending ministries such as transport, health and education. Leadership has been affected too by the often high turnover of top management⁴². Building ownership is also challenging for programmes supporting environmental processes at local government level – where capacity is more stretched and where the environment often takes a lower priority than other sectors, or where the parent ministry (such as PMO-RALG in Tanzania) has been relatively weak⁴³. It has not been easy to find solutions to the problems of deeper ownership and high-level leadership for the environmental agenda. The evidence

37) Several points were raised in the Evaluation’s synthesis workshop in Nairobi in May 2010 on this issue. One commentator from Zambia remarked that Danida through its funding influence and active staff engagement remained the decision maker and that Government as a result felt sidelined. Danida staff also commented that while in Tanzania a sound framework and a steering committee were in place, there was an absence of Government leadership. From South Africa, the view was given that leadership was stronger because of the careful choice of steering committee members.

38) See M. Linddal & S. Mutimba, *Lessons Learned for EPS*, Final Draft, May 2010.

39) ESP Programme document, Danida, 1999.

40) Budget Support, Aid Instruments and the Environment, *The Country Context, Tanzania Country Case Study*, by C. Luttrell and I. Pantaleo, ODI and ESRE, 2008.

41) ESRF (2008) and the Final Appraisal Report, ESPS, Danida (2006). Danida report that other cases (for example in Kenya) have occurred and while there is high-level attention to such ad hoc crisis, it has proved difficult to implement an overall framework on these human rights issues.

42) A point noted particularly in the Zambia and Tanzania case study reports for this Evaluation.

43) Noted in the Appraisal of the ESPS in Tanzania, 2006.

points to a combination of having the right individuals in place in key positions, correctly chosen steering committee members, an overarching government entity in charge, and broader advocacy from organs of civil society and the media.

4.4 Long-Term Perspective

In recommending that sector programmes should be designed for 10-20 years, Danida set a high standard in terms of how long term its commitments should last⁴⁴. However, none of the examples studied in the Evaluation reached duration beyond 11 years, so it is perhaps hard to reach a conclusive judgement. Typically, programmes are set for 4-5 years – a period that matches the national poverty strategy timeframe and Danida’s planning cycle, even though the stated development objectives remain ambitious. Other donors have developed longer-term instruments (such as the UK Department for International Developments (DFID’s) Development Partnership Agreements that set out a 10 years partnership, sometimes with a rolling multi-year funding commitment). In the absence of such instruments, the issue is then more about the intention to remain engaged in a sector, something that may be captured in the Danida country strategy though in the case of Tanzania (2007-11) there is no statement to this effect⁴⁵. Egypt offers both a best and worst case example. Here, the ESP ran for seven years. However, quite soon after launch, Danida took the decision to exit from the sector and from Egypt, which meant no possibility of extending the programme and after the redesign in 2005, this left a period of only three years (2006-08) for implementation.

However, one can also say that Danida has in practice remained involved in certain areas of the environment through different funding vehicles for an extended period, despite the pressure to reduce the number of sectors in which it is engaged. The longest engagement has been in the PFM Component of the ESP in Tanzania, which has endured for 11 years, if one includes the MEMA and UTUMI projects. In Zambia, too, support in the NRM sector (wildlife and game management) has lasted from 1998-2008 – though only as a series of geographically and financially separate projects, rather than as an integrated programme.

Where there is weak local capacity, it can be noted that even long-term engagement can prove an insufficient condition for success, as the experience of the Integrated Coastal Zone Management in Mozambique reportedly shows from 1996-2005. Only when local institutions were involved and long-term technical assistance was provided did progress occur⁴⁶.

44) Danida’s SPS Guidelines (1998) states that the “..time perspective for programme cooperation is 10-20 years”. Danida’s Environmental Strategy (“Strategy for Denmark’s Environmental Assistance to Developing Countries 2004-08”) emphasizes the importance that programme interventions will provide “...a sustained effort over a long period is necessary to ensure that results became rooted and are disseminated widely”.

45) Denmark’s Development Assistance to Tanzania, 2007-11.

46) Evaluation of Cooperation between Denmark and Mozambique 1996-2006, Mokoro and Ecorys, September 2008.

4.5 Coordinated and Harmonized Support

The early ESPs were conceived as Danida sole-funded programmes, and while there was recognition of other donor activities, reflected in the choice of sector or location, essentially Danida operated independently from other donors. There are few if any examples of joint analysis or design work, and the pressure particularly during the identification of projects for EPSF funding, meant that there was little time to engage other development partners in design work. With the second generation of ESPs, a greater attempt was made to harmonize approaches (in the aftermath of the Paris Declaration as discussed in Chapter 3). Thus for the PFM in Tanzania, even though co-funding was not established, there was a shared understanding of PFM approaches and an agreement between four partners in terms of which districts were supported. A SWAp memorandum was signed by donors and Government in 2005 and joint reviews have been held.

The Kenya EPS represents an example of a delegated partnership between Danida and Swedish International Development Cooperation Agency (Sida), where Danida was managing Sida environmental funds⁴⁷. The ENRMMP in Zambia and the ESPS in Tanzania were the first to explicitly seek to develop a basket funding approach. The ENRMMP was actually already under design by Finland, UNDP and Norway. Danida joined this programme, after its own draft ESP was not pursued in 2006. Many of the second generation programmes (from the mid-2000s on) were also prepared at a time when donor harmonization was maturing, with the formulation of Joint Assistance Strategies in Tanzania, Zambia, Kenya and Mozambique, and greater efforts at donor coordination. In Mozambique, joint funding arrangements have developed on urban environmental management. Further discussion on coordination and aid effectiveness is given in Chapter 9.

4.6 Working at Multiple Levels

The ESP experience indicates generally strong commitment to developing vertical rather than horizontal linkages. That is to say, there are good examples of programmes with national and local initiatives that were designed to inform and support each other. This was the case for the ESP in Egypt, providing both national strengthening of legislation and systems in the EEAA, while also building capacity and delivering demonstrations at regional and governorate level, and also for the PFM in Tanzania, which sought to use local forest management experiences to inform research and policy agendas, and vice versa. In contrast, the SCP in Tanzania and the NRM in Zambia were not designed to build such vertical links from municipal or district levels to the national level⁴⁸.

There has been more limited progress in designing support for mainstreaming the environmental agenda across government agencies and in building capacity horizontally, a situation partly explained by Danida's historical approach which emphasised providing support

47) Under a third of the available Sida funding was however utilised due to a combination of the programme being completed before time and particular challenges related to overall programme financial management.

48) In the case of SCP, linkages were intended with national urban policy via such channels as the Urban Authorities Support Unit, but these arrangements suffered from inadequate resources. See: Thematic Review of Urban Environmental Management in Eastern and Southern Africa, Experiences from the Danida support to SCP in Tanzania, Danida (July 2005, p.12).

for mainstreaming of environment in different sectors as part of the support given in these sectors, rather than through the ESPs. In Egypt, the ESP Programme Document (2005) does not include any explicit consideration of how the national policy framework for the environment is linked to other implementing sectors. While it notes that, "...as many as 15 line ministries share and exercise environmental management responsibilities", no holistic approach is discussed on how to tackle the influence and role of line ministries in environmental management within the framework of ESP. The ESP designs have sometimes been unclear as to the process and approach to follow, and this has contributed to slow implementation, in particular in the inception period as noted in Kenya⁴⁹. Better efforts are made in the recent ESPs in Zambia and Tanzania, where resources are earmarked for strengthening capacity in other ministries, departments and agencies. Though still in the early stages, the Tanzania design brings two useful features: the attention to introducing budget codes that allow environmental expenditure to be captured in different ministries and local governments, and support for sector environmental units.

4.7 Use of Local Systems

There has been a positive trend in attempting to make greater use of local financial, administrative and reporting systems. The earlier projects in the nineties typically made use of project implementation units that followed Danida procedures. Subsequently, governments have been given more direct responsibility to manage the programmes, usually with advisory support from long-term technical assistance (TA). The ESP in Egypt was a mid-way case, with co-signatory of funds by the Egyptian management and the Danish TA. While Danida's procurement and financial systems took precedence, local financial and audit systems were used and local procurement rules were used for smaller purchases. Weak capacity of EEAA planning, monitoring and evaluation meant that ESP developed its own reporting system⁵⁰.

A positive design aspect of the ESPs has been the increased use and strengthening of local financial and administrative systems, and of using government budgeting and disbursement procedures with funds passing through the Treasury. In Tanzania, with the ESPs, Danida demonstrated strong alignment by avoiding external systems or project implementation arrangements, and instead sought to use existing government structures and financial systems. As Section 7.2 describes, this has not always led to greater efficiency.

The ENRMMP in Zambia has placed the control of the basket-funding modality in the hands of Government, though the capacity to manage this is yet to be fully established and the design was perhaps too optimistic in expecting that local systems could cope. The use of the Government's poverty monitoring framework and data systems is appropriate, as this avoids duplication and builds ownership. The Programme's design proposes means to upgrade the Ministry of Tourism, Environment and Natural Resources' (MTENR's) environmental information management system, and specific responsibilities are set out for where certain indicators will be obtained.

49) Aide Memoire, Joint Sector Review (Inception Review), EPS (2007).

50) A contributing factor here may also have been that, contrary to the other countries covered by this evaluation, all reporting in Egypt is in Arabic.

The choice of whether to adopt government remuneration rules or not has been an important issue. In Kenya, for example, the decision to adopt such rules was aligned but is reported to have affected the pace of implementation. In Egypt on the other hand, special remuneration arrangements were put in place under the ESP, which led to a strong cadre of qualified personnel. While this ensured better implementation, sustainability was affected after the Danida support ended (see 6.2).

4.8 Integrated Components, Management and Results

This criterion refers to the extent to which the components of a programme relate and provide support to each other (for example policy support and field implementation, or through a multiple interventions within a particular geographical area), and are managed or coordinated under a common structure and results framework. Even though the preferred model in general is to seek more integration, in the case of the environment with its more complex and cross-cutting nature, a more contextual judgement is needed. Integration is hard to achieve where there are numerous national agencies playing often discrete or fragmented roles, and where different donors may have agreed to divide their engagement in a way that makes it hard for Danida to support a single integrated programme.

It is therefore not surprising that this has been a difficult area to address for most of the ESPs reviewed. As noted, the different components tended to represent the different strands of Danida's overall policy and past engagement, and it was pragmatic to not try to integrate them or manage them as one single programme. The exception would be Egypt where after the 2003 re-design, the ESP components were strategically linked around the strengthening of national, regional and governorate environmental management and a more balanced support to public and private sector actors. This brought a better integration, even though the ACI Component was a somewhat separate activity working with and for the private sector, though the EEAA was a member of the board of the Environmental Compliance Office (ECO) that managed this component. In Zambia, the ENRMMP is also well integrated under a single ministry and a good results framework.

4.9 Quality of Monitoring and Evaluation Design

The quality of Monitoring and Evaluation (M&E) design has been mixed, particularly in terms of defining suitable outcome level statements and associated indicators and then in earmarking the means to measure them. This is partly to do with the lack of a single programme objective in ESPs that were collections of very different projects. In Egypt, the initial ESP was weak in this area, but in 2004 the redesign produced a good M&E review that proposed some excellent strategic indicators – but these were not then followed up by the programme. Similarly, in Zambia, the LSW and NRM proposed useful M&E arrangements, but the LSW was silent on how to measure improved living conditions amongst the poor. In contrast, the NRM projects did propose to measure poverty reduction in terms of food insecurity and also wildlife numbers through Zambia Wildlife Authority (ZAWA) surveys, but these surveys were not costed or carried out during implementation.

In the case of Kenya's EPS too, even though support to M&E was included in the programme design as a specific output and with sufficient funds, a clear and operational M&E

system was never designed and implemented⁵¹. The approach of relying on government monitoring instruments, while in tune with aid effectiveness principles, at the same leaves the programme vulnerable to late or missing M&E data as these systems may not function so efficiently. In Mozambique, the position seems similar, with few independent reviews or evaluations planned or carried out. Capacity building has been a common intermediate objective but quantitative and qualitative information on the outcome of such efforts in terms of skills and competences of national personnel is very scarce⁵². Equally, in urban environmental management, there was only a limited amount of monitoring of public health improvements or improved service access by poor people.

4.10 Risk Assessment and Mitigation

Moving to a programmatic approach because of the greater complexity, funding and range of partners, introduces a wider range of risks, and risk assessment and mitigation becomes a more important aspect of formulation. In Tanzania, the ESPS appraisal in 2006 found the design 'extremely ambitious' and noted that there were no firm commitments from other donors for the proposed basket funds. The number of risks identified in the programme document illustrates the ambition and possibility of failure: the UDEM component has 23 risks alone, while 17 are mentioned for EISP. While risk assessment was thorough in this case, the proposed mitigation was weaker⁵³, with little discussion of how other donor commitment might develop. More widely, assessments of programme risks have usually not included deeper analysis of political and economic context or of drivers external to the sector that may affect incentives or opportunities.

This was a lesson from Egypt, while in Kenya a drivers of change study did inform the EPS⁵⁴. The possibility for mitigation may be limited in natural resource management where projects are affected by much stronger forces; such as population pressure, international wildlife or forest agreements, the potential offered by carbon sequestration, and the growth in international poaching or illegal timber harvesting in response to international market opportunities.

51) See M. Linddal & S. Mutimba, Lessons Learned for EPS, Final Draft, May 2010.

52) Mokoro and Ecorys, 2008.

53) Tanzania Case Study (Annex 4).

54) Kenya – EPS Final Draft re-Appraisal Report (May 2006), in which the following study is quoted : Ng'ethe, N., et al Strengthening the incentives for pro-poor policy change – an analysis of drivers of change in Kenya (DfID, 2004).

Relevance: Summary points

- While Danida's overall strategy sensibly focused on three broad themes (urban and industrial environment, sustainable energy and management of natural resources) plus capacity building as a cross-cutting theme for its environmental support, in the case countries it did not lead to easily defined overall programme objectives.
- Less consideration was given to complementary support to influential line ministries with environmental responsibilities, and to private sector or civil society bodies.
- The earlier ESPs were able to link support to poverty more easily than the later ESPs, which sought to build national frameworks or systems that in due course will benefit more of the poor but require long term engagement and strong ownership.
- While ESPs were closely aligned to, and provided support for, relevant national strategies and legislation, they faced challenges in terms of national leadership and in being often anchored to institutions with weaker political influence and capacity levels.
- The ESPs have not matched Danida's recommendation that programmes should have durations up to 20 years, although specific components have continued in the form of consecutive but separate projects or components.
- Efforts to undertake joint analysis, design and review work as well as co-funding have improved over time, but progress to joint fund modalities and silent or delegated partnerships has only very recently been introduced, and further expansion of this approach seems uncertain.
- There has been a positive trend in seeking to use local financial, administrative and reporting systems. Nevertheless, earlier attention to providing support for building government capacity to manage new pooled resource was needed e.g. in Zambia.
- Useful M&E arrangements have been designed, but insufficient leadership, willingness and institutional capacities have been available within partner institutions for implementation, so leaving most ESPs lacking a solid evidence-base for objective scrutiny.

5 Achievement of Objectives (Effectiveness)

This chapter examines to what extent the environmental programmes have achieved their intermediate outcomes, i.e. the results that occur during and by the end of the implementation period. It is important here to keep in mind the key methodological challenges and limitations encountered by the Evaluation (as referred to in 2.3) as well as the weak existing M&E systems for most of the programmes (as described in 4.9) which have made it difficult for the Evaluation to judge the actual effectiveness of the support in any depth.

5.1 PCR Scores

The most standardised tool used by Danida for judging effectiveness is the Project Completion Report (PCR). These provide a standard comparison of effectiveness at completion (although the format has changed over time), with a range of assessments covering achievement of objectives, poverty reduction, on various cross-cutting issues and on sustainability, with a four point rating scale from 'A': Very Satisfactory to 'D': Unsatisfactory.

For this Evaluation, PCR scores for 'fulfilment of overall objectives' and 'fulfilment of objectives on poverty reduction' were extracted from 28 programmes (or their components) falling within the Evaluation time period and from the three case study countries. The results are shown in Table 2⁵⁵. The most common rating is 'B' or Satisfactory (12 overall and seven poverty), then 'A' or Very Satisfactory (nine and two), giving a total of 19 (67%) and nine (32%) of the portfolio that is judged to have fulfilled their objectives. Ratings were not available for four (14%) and 17 (60%) of the cases – and it is clear that the PCRs have had particular difficulties assessing the achievement of poverty reduction. No PCRs include a 'D' or Unsatisfactory rating and only four and one in the respective categories are rated 'C' or Less Satisfactory. There is also no discernible trend over time, so that one cannot say that the more recent and more programmatic interventions perform better.

A review of Danida's PCRs for all bilateral aid in 2007 and 2008⁵⁶ shows that 89% of 745 PCRs gave a rating of either A or B for all scores⁵⁷, and only in two% of PCRs was a rating of D given. Because this includes many smaller projects, a more informative comparison is the average ratings for programmes over DKK 5 million⁵⁸. Here 28 programmes in different sectors were rated in 2007-08. The proportion of A and B ratings is again more positive than this Evaluation's sample, with 27 out of 28 cases rated as Satisfactory for meeting the development objectives (96%) and 17 out of 28 for meeting poverty reduction objectives (61%). Although there are several concerns raised in the review about the quality and

55) Two of the scores relate to Annual Reviews of ongoing programmes in Tanzania, but are included to give recent estimates of performance.

56) Analysis of Programme/Project Completion Reports 2007-08, Danida Evaluation Department, November 2009.

57) The scores included a range of criteria: objectives, poverty, Gender, HIV/AIDS, Capacity Building.

58) Termed Format 1 PCRs.

consistency of Danida's PCR system⁵⁹, on this prima facie evidence, the performance of the environmental programme portfolio is below the Danida average (i.e. 67% versus a portfolio average of 96% for meeting the development objectives; and, 32% versus 61% for poverty reduction objectives). Also the absence of PCRs and ratings (especially on poverty reduction) is expressed as a concern here.

The PCRs do indicate a satisfactory performance in terms of effectiveness (even though it is less than Danida's current average) but, in the view of this Evaluation, there are some questions around the validity of the scores. Particularly in Egypt, the high ratings seem to be based on very limited evidence and the narrative focuses on inputs and outputs⁶⁰. Moreover, in the case of Egypt no overall completion report was published that assessed the collective achievement of the components on the programme outcomes⁶¹.

Table 2. Summary of PCR Scores for Three Case Study Countries⁶²

	Fulfilment of overall objectives	Fulfilment of objectives on poverty reduction
Egypt		
Environmental Support Programme PMU 2002-08	A	A
Environmental Support Programme SDEM 2002-08	A	B
Environmental Support Programme ACI 2002-08	A	B
Shore Protection Authority II 2000-07	A	n/a
Environmental Information & Monitoring Project 2000-03	A*	B
Health Care Waste Management 1999-2003	A/B**	n/a
Organizational Support Programme 1999-2000	B	C
Raise awareness of role of women	B/C***	n/a
Zambia		
Lusaka Waste Project phase B 2003-08	B	n/a
NRM Component 2005-07	B	n/a
Sub-component:		

- 59) The report recommends (amongst other things) better quality assurance, more consistent uploading, improved PCR guidelines. Also, the report highlights that the ratings are not defined in language appropriate to a completion stage but more for ongoing reviews.
- 60) The PCRs contain a quantity of annexed documents on project operations but there is little data on beneficiaries.
- 61) The Danida Adviser responsible for the ESP in Egypt and the Programme Coordinator at the Danish Embassy explained that it was decided not to prepare an overall PCR but to summarise overall results at the front of the first component completion report. This was based on the fact that there were limits on the size of file that could be uploaded into the Danida project database (PDB), and also to avoid repetition between component reports and an overall report. The Evaluation's view is that this unfortunately still misses the need to bring together the whole ESP performance and impact.
- 62) The assessment system has the following categories:
- Very satisfactory*: No need to adjust plans and strategy.
 - Satisfactory*: Minor problems may arise and small adjustments may be necessary.
 - Less satisfactory*: Adjustments to plans and/or strategy are necessary.
 - Unsatisfactory*: The sustainability of the activities is questionable. Major adjustments/re-organizations will be necessary in a possible new phase or in the follow up by partner organizations.

5 ACHIEVEMENT OF OBJECTIVES

Natural Resources Consultative Forum 2005-07	C	n/a
Sub-component: ZAWA Capacity building 2004-07	C	n/a
Sub-component: Environment Education and Safari Guide		
Training in Lower Zambezi 2005-08	B	n/a
Sub-component: CBNRM Training Fund 2006-07	B	n/a
CBNRM Mumbwa project 2002-06	B	B
CBNRM Mumbwa District Consolidation 2006-07	C	n/a
CBNRM Itezhi Teshi 2005-08	A	B

Tanzania

Mema, Forestry, Iringa 1999-2002	Not rated	Not rated
Utumi, Forestry, Lindi 2000-02	n/a	n/a
SIMMORS, Wetlands 2000-07	B	Not rated
Wetlands, review 2004 to 2009	C	Not rated
Sustainable cities, Iringa 2000-06	B	B
Sustainable cities, Moshi 2001-06	A	B
Sustainable cities, Tanga 2001-06	B	B
Sustainable cities, Arusha 2000-04	n/a	n/a
Sustainable cities, Mwanza 2000-02	Not rated	Not rated
Sustainable cities, Morogoro 2003-07	A	A
ESPS annual review November 2008	B	Not rated

* Team assessment: based on scoring for five objectives, four were rated 'A' and one 'B'

** Team assessment: out of seven objectives, three were rated 'A' and two 'B', and two no score

*** Team assessment: out of three objectives, one was rated 'B' and two 'C'

With the caveats in mind, and based on the three case study countries, as well as experiences from another three (Kenya, Mozambique and South Africa), the Evaluation finds that the use of a 'programmatically approach' within the environmental sector has shown varied levels of effectiveness within different intervention areas. These are discussed in terms of High, Medium and Low Effectiveness below, and summarised in the summary table (Table 1)⁶³.

63) Judgment on what constitutes high, medium and low are based on the evaluation team's own broad assessment of performance, and is a qualitative categorisation in order to allow comparison between programmes and countries. It is not based on an absolute quantitative scoring system, so is not comparable to other studies or situations.

5.2 Areas of High Effectiveness

The ESPs have often been effective at supporting **the development and formulation of national strategy and policy**. In Egypt, the programme successfully supported development of a plan for the reorganization of EEAA, Amendments to the 94 Environmental Law, a Decree on roles and responsibilities of EEAA, Regional Branch Offices (RBOs) and Environmental Management Units (EMUs) and a Decree on establishing of EMU support office within EEAA. In Kenya, the environmental programme has successfully supported development of a Draft Environmental Policy, a National Climate Change Response Strategy and the Environmental Education and Awareness Initiative. In Tanzania, too, Danida helped with the formulation of the Environmental Management Act, and while the EISP has met delays and reporting problems, there has been progress in setting up environmental units in line ministries and in staffing of local government offices, as required under the Act. Finally, in South Africa, support by Danida for the National Waste Management Strategy was regarded as a ‘significant and sustainable outcome’⁶⁴.

Particular components have been able to act as **demonstrations of good environmental practice that could be scaled up**. In Egypt, the environmental programme was successful in showing some concrete and immediate results through co-funding of 86 community and demonstration projects, (particularly in the area of waste management), in most cases implemented jointly by local governments, private sector actors and community organizations. In South Africa, provinces have been supported in their HCW initiatives and a number of pilot projects have been implemented successfully. The planned tool-box of outputs has been developed for dissemination. In Zambia, the LSW Project was effective in establishing a successful model of a cost-recovery community and private sector municipal waste collection system. The model developed by the project has been documented and shared – although not replicated by any other municipality in Zambia as yet. Visits from city councils in the wider region have occurred (Nairobi, Harare). In Kenya, advocacy and community grants were successfully channeled through an existing structure – the Community Environment Facility (CEF) – for community projects. In Tanzania, the effectiveness of the six sustainable cities projects seems to vary considerably between the cities. While the effectiveness of the sustainable cities projects in some cities (Tanga, Morogoro, Iringa and Moshi) is considered to be good with planned outputs and immediate objectives reported to have been achieved or nearly achieved, other cities (Mwanza and Arusha) seem to have had a low effectiveness. The districts where PFM was initially introduced (such as Iringa) have proved to be effective models that have been replicated. This replication has occurred as a result of the collective efforts of government and the supporting donors, who have maintained a consistent involvement.

Though environmental programme support has been mainly targeted at governments, there are some examples where **private sector support** has been effective. In Egypt, the ACI Component was effectively implemented and achieved its targets on time. The decision by the programme to place the implementing office (the ECO) within a private industrial organization, the Federation of Egyptian Industries (FEI), instead of within a governmental institution (EEAA) turned out to be strategically the right thing to do. In this way it became much easier to establish a trustworthy relation to private companies and to convince

64) PCR (November 2006).

them that investments in environmentally friendly technology would be also economically beneficial. In Zambia, the LSW Project was effective in establishing a successful municipal waste collection system, by setting up a franchise system for several private waste collection enterprises and creating about 800 jobs in the peri-urban areas. Some progress was made in this area in the Tanzania SCP. In Morogoro, the Evaluation saw community groups managing waste collection and providing employment. In most of the SCP locations, chambers of commerce were members of steering committees and the private sector was contracted for construction during implementation and provided with support for cleaner technology.

In Egypt, a **simultaneous support to different institutional levels** (central, regional and local) proved to be an effective mechanism to achieve improved enforcement of compliance with the environmental legislation. This success seems to have been generated from creating of synergies through a simultaneous enhancement of capacities and frameworks in different institutions sharing common responsibilities (for environmental management). In Kenya, the environmental programme support has contributed to an enhancement of the National Environment Management Authority's (NEMAs) reputation as an environmental regulator and enabled them to more effectively enforce their power. One of the main drivers here have been attachment of Police Officers to NEMA and the subsequent establishment of an Environmental Police Unit, which has been working in partnership with NEMA since July 2008 on regulatory issues.

Although results are not always documented reliably, the broad finding is that Danida's support has been effective at **delivering improved environmental management at decentralised levels**, especially under the first generation ESPs. In Egypt, after slow initial progress, decentralised environmental management component was successful in showing some concrete results (through co-funding of 86 community and demonstration projects, particularly in the area of waste management) while at the same time maintaining a focus on strengthening institutional structures and awareness. The process was supported by sharply increasing staff numbers within the decentralised environmental offices, through resources provided from both the central and local governments during the programme implementation period.

In Tanzania, the PFM has been instrumental in expanding the national PFM policy to 53 districts. This means that almost half of the District Forest Officers in the country are now, in one way or the other, actively involved in planning and implementing PFM. Creating such an impetus will inevitably lead to new insights and learning, as well as increased pressure from the districts to resolve outstanding capacity issues and the delivery of economic benefits to communities across different forms of forest ownership.

In South Africa, at provincial and local administrative level there is in general a positive interest for the implementation of National Waste Management Strategy Implementation (NWMSI), although there are obstacles. Several provinces and local authorities see it as impossible to take up additional tasks like the NWMSI within the limited budgets and capacity constraints. In Mozambique, encouraging results of coherent, integrated planning from the Coastal Zone Management component have begun to emerge, while sound zoning and improvement of local livelihoods near the Gorongosa National Park have occurred⁶⁵.

65) Programme Assessment, Danida, May 2009.

In Zambia, the NRM projects have achieved good outreach, with 2,000 people trained in income generating activities and at least in the Itezhi Teshi project claims that incomes in targeted households have risen by 41%, although the Evaluation could not identify records to verify this. Some sources do indicate that local elites and relatively better-off households may also have captured more of the benefits than the poorer members of the community, a fact that is cautiously verified by the (limited) field exposure of the Evaluation.

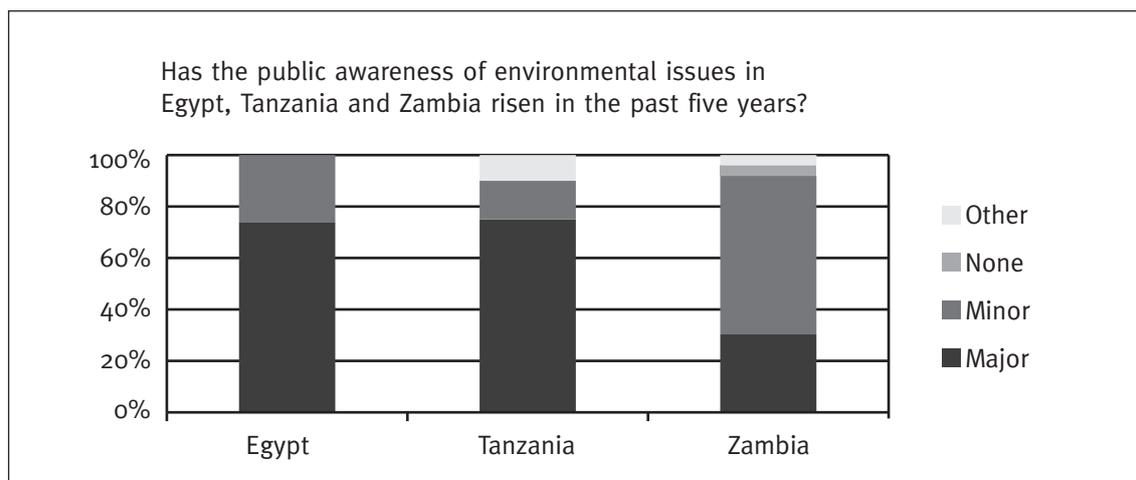
5.3 Areas of Medium Effectiveness

Support to **reorganization of ministries and national institutions** has shown mixed success. In Egypt, the programme successfully supported a reorganization of EEAA, through development of new organizational structure and strategy for the institution. In Kenya, a 'functional analysis' was carried out of the ministry, but implementation of the recommendations appears to have been slow⁶⁶. The more recent plans in Zambia under the EN-RMMP to support the institutional strengthening and reorganization of the MTENR have yet to move forward, as the needed assessments are still in process.

Communication and awareness raising activities have been effective in Egypt, but less so in Zambia. In Egypt, a range of positive results were identified from the communication and awareness activities carried out. Probably the most outstanding of these is the child educational cartoon character 'Bezra', which was created for this particular purpose, reaching 40,000 children and issued a popular magazine and ran a web-site on environmental awareness (<http://www.bezra.com.eg/en/default.asp>). On the other hand in Zambia, the Evaluation found that communication and awareness activities to be rather mixed, with limited success beyond the immediate beneficiaries under the NRM projects, but better awareness raising in the Lusaka solid waste programme. In the Conservation Lower Zambezi (CLZ), impressive results were achieved in environmental education as the teaching materials developed by this project have been adopted by the Ministry of Education⁶⁷. In Tanzania too, raising awareness among a dispersed rural population about forest and wetlands management was less effective than in the more easily reached urban populations in the SCP. Overall the impression from the workshop participants in the Evaluation was that public awareness had improved in Egypt and Tanzania – three-quarters of the sample felt there had been a major improvement in the past five years. In Zambia in contrast the majority felt there had been only a minor improvement (Figure 2).

66) According to a Danida Technical Adviser, the immediate reaction was good e.g. establishment of new directorates and recruitment of directors outside the civil service but further progress is uncertain as no review has taken place in almost two years.

67) Review Aide Memoire, NRM Component, Danida, October 2006.

Figure 2. Workshop Participants' Views of Changes in Public Environmental Awareness

Linking Central and Local Environmental Agendas has seen some successes in Egypt, Kenya and Tanzania, but there has been less progress in Zambia. Egypt provides a positive example of building up environmental management capacity simultaneously at national and local (governorate) level, as well as linking public policy and management responsibilities with private sector cleaner production. In Zambia, the effectiveness of the NRM support in building a programmatic approach proved to be low, as although projects locally sought to align to national policies, the linkages back to the national systems were weak, despite some efforts by the Natural Resources Consultative Forum (NRCF). While the LSW model has been taken up at municipal level in Lusaka, there is yet to be a link built to a national strategy or programme to address urban waste management. In Kenya, the programme has seen limited progress in terms of institutionalisation of Strategic Environmental Assessments (SEA) within governmental institutions and mainstreaming of environmental issues to public and private sector planning. In Tanzania, the PFM story provides a positive example of inter-linkages between national policy and local actions. But the experience of shifting support for urban environmental management to a national level (through UDEM) has not succeeded, partly because of Danida's history of engagement through separate cities, but also because of the difficulty of using the PMO-RALG to act as a champion for the urban environment agenda when it has a very broad remit and weaker capacity than other agencies.

5.4 Areas of Low Effectiveness

Establishment of environmental monitoring and evaluation systems has proved difficult. State of Environment (SoE) reports have been published in most countries but the quality of data has often been limited because the publishing Ministry of Environment has had problems getting data from key ministries (Egypt). The National Forest and Beekeeping Monitoring Database, the first such database in Tanzania, has been a considerable challenge to implement, given its reliance on district data inputs from across the country, and so far has not proved effective. Similarly, the Egyptian Regional Environmental Management Information System (EREMIS) in Egypt also is a national environmental database that faces challenges in collecting data from local offices.

While some ESPs have provided a framework for different sub-sectors, which do not lend themselves to mutual inter-action or cooperation, in other cases there have still been **missed opportunities for obtaining synergies across components**. In Egypt, in the ESP there were potential linkages between the public and private sector interventions that might have been exploited, for example in linking the EEAA responsibility for raising the awareness and compliance of industry over environmental legislation with the ACI Component that facilitated industry to install less polluting technology. Evidence from Kenya also indicates that the programme steering committee did not draw together the different components of the EPS, so that the components continued to report and operate rather independently.

The idea of providing specific funds to undertake environmental projects has been introduced in some countries, using different channels such as government, civil society and research institutes. In those cases where such **funds have been provided through government channels they have mostly shown limited effectiveness**. In Egypt, intensive support provided by the ESP to the Environmental Protection Fund (EPF) within the EEAA helped in setting up the grant system, but the subsequent release of grant funds has been slow and ineffective. According to an ESP Progress Report⁶⁸, the EPF had grown to 80 million Egyptian Pounds (LE) in 2006/7 but only LE 2.3 million had been disbursed over the period 2004/5 to 2006/7. The EPF has not been supporting Governorate Environmental Action Plans (GEAPs) as originally anticipated and while 60% of the EPF was planned for projects, the bulk of funds have been used for support to EEAA itself. A second example is the PFM research grant facility managed by the Tanzanian Forest Research Institute (TAFORI)⁶⁹. Though it has successfully funded several research activities, the facility suffered an 18 month delay in setting up the administrative system and this has reduced the scale of research, and its continuation is uncertain⁷⁰.

Evidence is limited but indicates relatively **weak effectiveness in terms of the delivering on the cross-cutting issues of gender or human rights**⁷¹. In Egypt, women were intended to represent 50% of beneficiaries in areas such as training, but there was no subsequent monitoring of this, despite recommendations from reviews⁷². A gender assessment noted that while training of governorate staff and gender checklists are drawn up, the gender issue is not specifically mentioned in the GEAPs, even though gender is one of the selection criteria for the projects⁷³.

In Tanzania, these areas have received successful attention in some of the SCPs⁷⁴, but there is less to say in PFM. One review recognised that while gender equity is in the PFM guidelines and monitoring system, “it is not evident how gender ... has been integrated into PFM activities. Issues such as how can PFM activities lead to... decreasing women’s workload is not specified or monitored – nor is it mentioned how PFM activities might lead to

68) Annual Progress Report, ESP, 2007.

69) Though this is a budget line in an ESP component, it operates as a competitive fund managed by TAFORI.

70) Tanzania Case Study report.

71) This finding is something of a contrast to the more positive judgement made 10 years ago from an evaluation of the Danida EPSF assistance to Southern Africa. Evaluation, Danida’s Assistance to Southern Africa, MFA, Danida, December 2000.

72) For example, see the ESP Joint Annual Review 2007.

73) Gender Assessment, Environmental Management in Governorates of Beni Suef and Aswan, NSCE, 2007.

74) Receiving Satisfactory ratings in PCRs for Tanga and Morogoro for example

marginalisation of some groups such as widows⁷⁵. An indicator on gender is also chosen for the Danida's quality assurance monitoring system, however, the Evaluation reviewed some of the tables for the study countries and found limited mention of gender in the context of environmental support activities. Human rights have been raised as a concern by the embassy and by reviews, especially regarding the forced movement of pastoralists on catchments in Oloirobo⁷⁶ and following the launch of the government's Strategy for Urgent Actions on Land Degradation and Water Catchments in 2006⁷⁷.

In Zambia, balanced gender representation on committees is reported in LSW. However, there is almost no evidence of how women or other disadvantaged groups actually have benefited in comparison to all beneficiaries. This is to a large extent because of the absence of indicators or progress reporting that capture these dimensions in programme outcomes (a point also noted in the ESP, Egypt). Finally, in Kenya, while these cross-cutting issues are included as actions in the programme design, reviews comment that these have been left out of draft work plans and no action has taken place.

Effectiveness : Summary Points

- Lack of good independent M&E reporting and clear linkages between activities and development outcomes has handicapped the judgement of effectiveness.
- Danida's PCR scores generally give an over-positive assessment of achievement in the examples examined by the Evaluation. On the other hand, they apparently score below average as compared to PCRs across all sectors.
- Danida support has been most effective as regards support for the development and formulation of key national strategy and policy papers, demonstration of good practices with up-scaling potential and decentralised environmental management.
- Danida support has been moderately effective in: the reorganization of ministries and national institutions, communication and awareness raising activities, and linking central and local environmental agendas.
- Areas where Danida has been less effective are: the establishment of environmental M&E systems, establishing and delivering environmental funds, and mainstreaming gender, human rights and HIV/AIDS.

75) Joint Review of Participatory Forest Management Programme, by NIRAS for MNRT, Danida, Ministry of Foreign Affairs, Finland, World Bank, 2008.

76) Speech by the Ambassador of Denmark on the Closure and handing over of ERETO in September 2009.

77) For example, Annual Sector Review, ESPS, 2008.

6 Impact and Sustainability

This chapter discusses the longer-term impacts and the sustainability of the environmental programmes. Over the 15 year period of the Evaluation significant changes in the environment have occurred, and moreover new levels of understanding have arisen about how impacts occur through the dynamics of human–environment interaction. Awareness of the implications of climate change and how to adapt to or mitigate its affects have altered government policies and public perceptions. Pressures on diminishing resources from a host of factors including sea level change, population pressure, migration, and globalisation mean that the discerning trends is complex and discerning the role of aid within these trends is difficult. The approach used by this Evaluation is to select a limited number of dimensions where Danida’s impact could perhaps be more easily detected.

As a result, four dimensions of impact are examined: changes in governments’ policy commitment and expenditure and revenue on the environment, environmental enforcement, changes in environmental conditions and poverty alleviation. Sustainability is explored in terms of how well Danida’s ESPs have continued to have impact and influence at national and local level.

6.1 Impact

Increased Government Policy Commitment

Strengthened environmental legislation can be a reflection of greater government commitment, and in broad terms the improvements to legal frameworks and greater adherence to international conventions can be said to have occurred. The country case studies describe these trends in Egypt, Tanzania, Zambia as well as Kenya, Mozambique and South Africa. Danida moreover in several instances has had a direct role in formulating legislation and developing national policy frameworks.

Evidence from the case study countries is that government expenditure on environmental matters has risen in absolute and in some cases in relative terms. In Tanzania, for example, public expenditure reviews indicate a gradual increase in the recurrent budget for environmental areas from 2004/5–2007/8⁷⁸. In Zambia the government expenditure on environmental protection is expected to remain stable in relative terms at 0.8% of total expenditure 2007-10⁷⁹. In South Africa, environmental protection is also less than 1% of total expenditure but is forecasted to grow at an average annual rate of 10.4% over the period 2008/9–2012/13 compared to an overall growth of 6%⁸⁰. However, much of public expenditure is off-budget and project-based, and capturing environment-related expenditures in differ-

78) Poverty and Environment: Contribution of Environment towards MKUKUTA Implementation, Vice Presidents Office, November 2008.

79) Medium Term Expenditure Framework, 2008-10, Green Paper, Ministry of Finance and National Planning, Zambia, 2007. In Zambia, environmental protection includes waste and wastewater management, pollution abatement, protection of biodiversity and landscape and protection of forests. Therefore, it excludes other relevant environmental expenditure such as within tourism, agriculture, water, energy and mining.

80) Medium Term Budget Policy Statement, National Treasury, Rep. of South Africa, 2009.

ent ministries is also not easy⁸¹. 70% of the evaluation workshop participants in Tanzania believed that government's prioritisation of the environment had improved in the past five years (Annex 5).

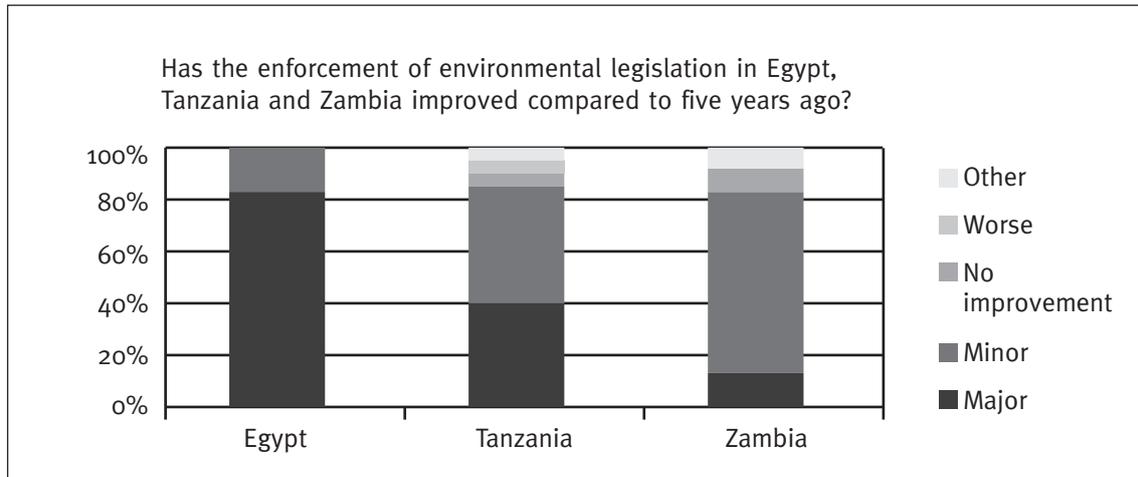
Danida's contribution to this trend is somewhat obscured by the fact that its bilateral programme is only one element of support that it provides to the environmental agenda (with others being funding through multi-laterals, its HQ-based funding and the broader advocacy work, including influential events such as the COP 15 meeting in December 2010). Nevertheless, as the leading donor in the 'sector' in several countries, and given its increasing support in the areas of national policy and legislation, Danida can fairly argue that it has had more influence on increasing partner governments' commitment to the environment than other donors, particularly in the past five years.

Environmental Enforcement

Danida's support has not always focused on the agency responsible for enforcement of legislation, approving or conducting EIAs, or preparing State of the Environment reports. The exception is Egypt, where the growth in effectiveness of the EEAA is widely acknowledged, and confirmed by the positive view of participants at the in-country Evaluation Workshop (Figure 3). In Zambia and Tanzania the equivalent agencies (the ECZ and the National Environment Management Council (NEMC) are smaller and have grown in effectiveness more recently (6.2). The important enforcement role of the Ministry of Natural Resources and Tourism (MNRT) in Tanzania, especially for forestry, perhaps accounts for the stronger ranking of government's enforcement ability in Figure 3 (though this result may have been influenced by the predominance of forestry staff attending the workshop). The PFM in Tanzania and the Game Management Area (GMA) programme in Zambia have led to the strengthening of enforcement at local level, so that forests and GMAs have well marked boundaries and regular patrols in certain districts. Environmental education has achieved some results in terms of awareness and greater community responsibility, as in the CLZ project, where school children have been used as a channel to spread conservation to communities and anti-poaching has strengthened, although there is no doubt a long way still to go.

81) As noted by C. Luttrell and I. Pantaleo, ODI and ESRF, 2008 (op.cit.).

Figure 3. Evaluation Workshop Views on Enforcement of Environmental Legislation by Case Study Country



Improved Environmental Conditions

Egypt's State of the Environment (SoE) reports shows some positive trends such as reduced air pollution between 2004 and 2008, but has little trend data on other areas such as solid waste or industrial pollution⁸². Other countries have not produce sufficient SoEs to establish reliable national trends, although South Africa has the most developed monitoring system and has produced SoEs in 1999 and 2005 with trend information on a range of environmental indicators.

Against a backdrop where Africa's rate of deforestation is higher than any other continent, reversing this trend is an immense challenge according to United Nations Environment Programme (UNEP)⁸³. Emerging research from Tanzania and elsewhere does indicate that when a forest is put under the control of the village authorities (following the Community Based Forest Management (CBFM) regime), there seems to be a positive correlation between this regime and improved forest condition. In Zambia, 65% of workshop participants thought that wildlife numbers had improved in the past five years, although other sources such as the Natural Resources Consultative Forum paint a different picture, with declining hunting revenues and trophy quality⁸⁴. The Forum notes that surveys show declining trends in several major species, though there was also a correlation between the abundance of wildlife in GMAs and the presence of donor funded projects.

The economic value and revenue potential of wildlife and forest resources (and the cost of high levels of illegal harvesting) are slowly being appreciated and factored into government budget allocations, thanks in part to well-respected studies such as the UNDP/UNEP

82) As noted by C. Luttrell and I. Pantaleo, ODI and ESRF, 2008 (op.cit.).

83) Africa, Atlas of Our Changing Environment, UNEP, 2008. Africa loses 40,000 km² of forest annually.

84) The Impact of Wildlife Management Policies on Communities and Conservation in Game Management Areas in Zambia, Natural Resources Consultative Forum, 2008.

Primer⁸⁵ and at country level, the TRAFFIC Report⁸⁶ in Tanzania, as well as to continued efforts from civil society, donors and parliamentarians. Revenue generation from forest reserves has targets but not yet actual revenue estimates. On the other hand, the increasing value of rare wildlife and timber assets may be offset by and even lead to greater exploitation, as noted by the TRAFFIC report and others⁸⁷. The interplay between these pressures and the growing revenues especially from tourism and controlled hunting and harvesting is a complex area, and one that in future will also be influenced by new carbon offsetting instruments.

Poverty Reduction

While poverty-environment linkages are becoming better understood and the value of natural resources to poor households more quantified⁸⁸, the specific question of how far the ESPs achieved a reduction in poverty is an extremely challenging topic. As noted in Section 4.2, links between interventions and poverty outcomes are not well established in the ESP designs. Even if they were, independent and empirical evaluation evidence is rare. In Zambia, the connection between environmental management, productive activities and livelihoods and poverty alleviation would seem to be strong because the projects were conducted at local level and in the marginal areas of GMAs. However, the absence of empirical baseline or follow up surveys leaves the evaluator with a weak evidence base⁸⁹.

There is some scattered evidence that incomes have risen from the income generating activities associated with improved NRM. In Tanzania and Mozambique the communities targeted were located in marginal areas, close to or in forest and game reserves, and the average household incomes are known to be lower than elsewhere. In Egypt, poverty had been one of the criteria for selection of where community and demonstration projects should be located, but there is little survey data on the socio-economic changes that may have taken place.

Other reports indicate that benefits have tended to be captured by rural elites whether in community associations or village committees, and that benefits tend to accrue only after a long time as forests or game numbers recover slowly. Research on livelihood impacts indicates that under CBFM in Tanzania, where the communities can keep any revenue collected from the harvesting of forest products, the local elite may reap most of the benefits – with the consequence that the more vulnerable members may become more marginalised. On the other hand, such capture may help forest preservation, as the local leaders have

85) Making The Economic Case: A Primer on the Economic Arguments for Mainstreaming Poverty-Environment Linkages into Development Planning, UNDP-UNEP, 2008.

86) Milledge, S.A.H., Gervas, I. K. and Ahrends, A. (2007). Forestry, Governance and National Development: Lessons Learned from a Logging Boom in Southern Tanzania. An Overview. TRAFFIC East/Southern Africa / Tanzania Development Partners Group / Ministry of Natural Resources of Tourism, Tanzania.

87) A range of evidence on the serious corruption concerns in Tanzania was provided to the mission by a former Environmental Counsellor.

88) See for example Kasthala, G., et al. "An Integrated Assessment of the Biodiversity, Livelihood and Economic Value of Wetlands in Mtanza-Msona Village, Tanzania." Dar es Salaam: IUCN, 2008. This study (quoted in UNDP-UNEP, op.cit.) estimated that wetland resources were worth almost eight times as much as all other sources of farm and off-farm production for the poorest households in Mtanza-Msona Village in east-central Tanzania.

89) The projects were meant as pilots to test management modalities with the private sector, the District and with an NGO. In such pilot projects, baselines are seldom established, but still the importance of documenting experiences from pilots is critical (Zambia Case Study, p.24).

the means to ensure strong supervision and active forest management⁹⁰. In some communities there are signs, however that tendencies of elite capture are challenged and even circumvented showing the continuous dynamic nature of PFM. Such results correlate with research in Nepal⁹¹ and India⁹² where a process of handing over forests to communities was started in the early 1990s and another level of maturity has been reached.

Besides economic benefits, there is some evidence that increased local ownership and voice in the management of forest or wildlife resources or of waste collection has occurred⁹³. During the Evaluation's fieldwork and workshops, the leaders of local committees, local traditional leaders and beneficiary groups from Danida-supported programmes expressed their understanding of their rights and responsibilities in varying ways, and the importance of being able to hold government or donors accountable. In Zambia, local associations and clubs recognised their right to take part in local decisions and to have legal powers to control use of game resources. In Tanzania, devolution of forest management authority has contributed to the empowerment of local governments and to village natural resource committees, where greater representation of women has occurred⁹⁴. There is reasonable evidence for the strengthening of poor communities roles in waste management in Zambia through the setting up of community-based enterprises leading job creation and transfer of skills and responsibilities⁹⁵ (as well as South Africa in for example the environmental justice programme⁹⁶). In Tanzania, the support provided under the SCP, which included property titling, housing upgrading, sanitation, has reached poor urban dwellers in several cities.

6.2 Sustainability

National Level

At a national level, sustainability of the ESP interventions has been strengthened by legal and institutional developments before and after ESP completion (whether or not supported through the ESP itself). In the case of Egypt, the reorganization of EEAA and the upgrade of the status of EEAA, RBO and EMU offices have ensured that environmental management will be continued with increasing authority. The impact of stronger, more appropriate

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- 90) Blomley T., et al., Seeing the wood for the trees: an assessment of the impact of participatory forest management on forest condition in Tanzania, *Oryx*, 42(3), 2008.
- 91) See for example: Springate-Baginski, O. Dissemination of research findings regarding community forestry in Nepal. Final Technical Report for project R7889. School of Geography, University of Leeds. 2002. The research highlights changes over time in forest user group governance but also finds that "high value forests" tend to have a 'hidden economy' of transactions and subsidies that contributes to institutional instability and, importantly, may have distributional biases that work against the poorest people. Most handed over PFM areas in Tanzania are low value degraded forests.
- 92) Moeko Saito-Jensen, Iben Nathan and Thorsten Treue: Beyond elite capture? Community-based natural resource management and power in Mohammed Nagar village, Andhra Pradesh, India, *Environmental Conservation* 37(3):1-9.. 2010. The paper discuss amongst other issues how CBNRM projects can be designed and monitored to avoid elite capture.
- 93) See for example Lusaka Solid Waste, where peri-urban waste management committees have given voice to poor local residents, and in Tanzania, local governance has improved in village forest committees: see Lund, J and Treue, T: Are We Getting There? Evidence of Decentralised Forest Management from the Tanzanian Miombo Woodlands, Draft, Univ of Copenhagen, 2008.
- 94) Blomley, T., and Iddi, S., Participatory Forest Management in Tanzania: 1993-2009 Lessons learned and experiences to date, September 2009.
- 95) See Annex 4, Zambia Case Study, p.22
- 96) Mid-term Review of Community Empowerment Programme for Environmental Justice, Danida, 2002

legislation, such as the Environmental Management Act (EMA) in Tanzania or the amendments to the Environmental Law in Egypt will contribute to providing a secure framework to sustain ESP achievements.

In Tanzania, the likelihood of making PFM sustainable will depend to a great extent on: (i) the willingness of governments to address revenue-raising and sharing policy issues; and (ii) the willingness of donors to continue with long-term commitments, despite the various and inevitable set-backs involved with slow government administrative systems. In Tanzania, there is the need to resolve the delay in implementing the policy for sharing of financial benefits over Joint Forest Management areas in government-owned forest reserves. More widely, the ability to generate higher revenues from the natural resources sector is a key issue that is receiving increased attention⁹⁷. The principle that polluters pays for EIAs and subsequent mitigation has improved the financial viability of environmental management agencies such as the EEAA and the ECZ in Zambia, along with growing licensing and review fees. The ECZ in 2008 received 60% of its income from licences and fees, and this is set to rise to 82% by 2010⁹⁸.

Sustainability has also been affected by a combination of highly centralized, lengthy and unpredictable staff recruitment processes within the government system, together with high staff turnover (in particular within technical staff categories) and difficulties in attracting new qualified experts. In Egypt, this has seriously affected the EREMIS data system, which during the ESP period enjoyed qualified personnel who received additional pay, but since ESP's closure the most qualified database technicians have moved leaving the EEAA IT manager with operational challenges.

Private sector initiatives that have arisen from Danida funding have proved viable ways to sustain environmental services. The ECO in Egypt should continue to successfully provide technical consultancy services on fee-paying basis⁹⁹, while some of the waste collection companies in Lusaka are successfully expanding and renewing their franchise contracts, despite rising fuel prices¹⁰⁰. The sustainability of environmental funds depends on their continued financing. For example, the private sector revolving fund, set up under the ACI Component in Egypt and managed through the ECO office, will not be sustained in the long-term due to negative real interest rates, without further low interest or grant financing support.

Local Level

At local level, genuine common interest groups such as those based around economic activities (fishing, bee-keeping, carpentry) or valuable forest resources have continued in a sustainable way, often more so than (in the case of Zambia) their parent community resource boards. Financing problems of these boards, mainly due to lack of timely income receipts from ZAWA for managing the game areas, have hindered their operation and led to the

97) For example : Decentralised Forest Revenue Collection: Evidence from Tanzania, Development Briefs, Univ of Copenhagen, 2007.

98) Strategic and Business Plan, 2007-11, Environment Council of Zambia, 2007.

99) The ECO's financial reserves grew from LE 400,000 in 2005, to LE 2.5 million in 2008, and by the start of 2009, it was making a profit (based on an interview with Managing Director).

100) Citimop Ltd. in Lusaka has grown from three to 34 staff and one to seven trucks since 1999, collecting 100 tons of rubbish per week. Despite competition from illegal collectors and 15% rise in fuel prices, the firm plans to renew its concession from the council until 2012.

demise of several. In Tanzania, villages have continued to operate their forest agreements and the user agreements have been respected, but the slow recovery of many formerly heavily degraded forests has limited early off-take of forest products, and appears to threaten the sustainability of some groups. Following the Sustainable and Integrated Management of the Malagarasi-Muyovosi Ramsar Site (SIMMORS) project, micro-activities operated by village groups are likely to be sustained, though this does depend in part on the continued provision of public extension services.

Despite some positive impacts at community level, the Tanzanian and Zambian NRM projects cannot be seen to have left a sustainable imprint behind, partly due to the long term nature needed for such interventions to show durable effects, but perhaps more importantly because sustainability aspects of NRM projects are governed by forces much stronger than those the projects intended to address; such as increasing population pressures, national and international agreements on wildlife or forest management, the recent potential offered by carbon sequestration, and the growth in international poachers or illegal timber traders responding to international market opportunities¹⁰¹.

In Egypt, EMUs are facing serious challenges in implementing and updating the GEAPs (prepared through ESP support). This is partly because some of the GEAPs were prepared with extensive consultancy support under the ESP, and are unlikely to be replicable in that form. Secondly, the EPF has yet to function as a major funding source for GEAP projects, as expected. In addition, GEAP demonstration projects, funded through ESP funding, appear not to be financially sustainable but are depending on the goodwill of the Governors to cover costs for maintenance and repair as well as some operational costs.

Part of the solution to how local level projects can contribute to national sustainability is if they are used as models from which to learn lessons and communicate their experiences. The stated goal of the Zambia NRM and Solid Waste projects was to develop nationally replicable models, and in this respect they have not achieved sufficient success. Although there is little doubt that aspects of the modalities used by the projects worked well, they have not been carefully documented so that decision-makers and potential donors¹⁰² can build on the successes and avoid mistakes, and the lessons have disappeared after project closure. This is especially critical in the case of the new Environment Fund in Zambia, which it is intended to build upon lessons learned and experiences.

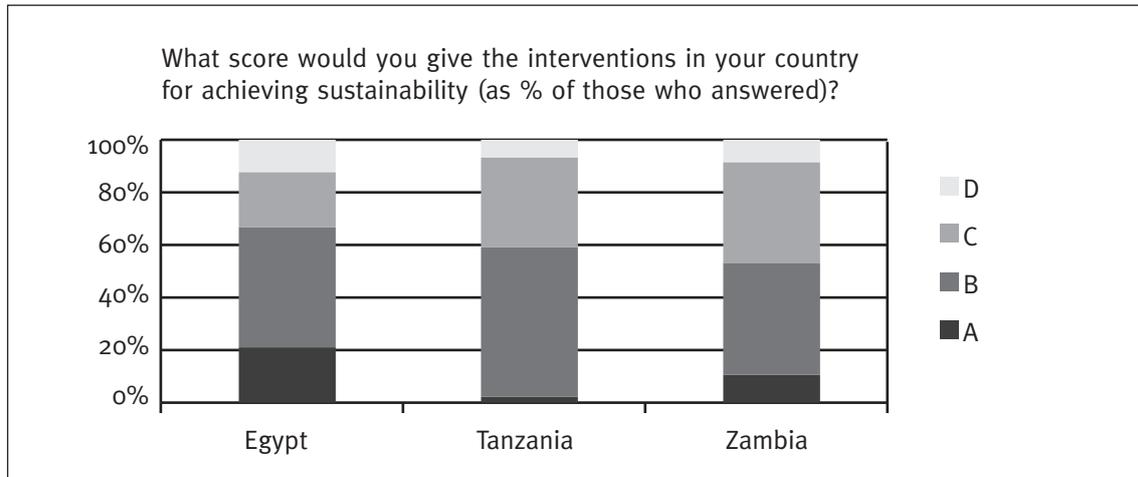
Finally, the Evaluation Workshops in the three case study countries provided a perspective on sustainability (Figure 4). Chances of sustainability were perceived to be highest in Egypt with 67% rating the ESP sustainability to have strong or fair prospects (scored A or B), while Zambian participants gave a less positive response with just over half (52%) rating prospects as strong or fair for the different programmes covered in the study¹⁰³.

101) Forestry, Governance and National Development: Lessons Learned from a Logging Boom in Southern Tanzania, Milledge et al, TRAFFIC, 2007.

102) For example, the potentially major support available from the Millennium Challenge Account for some USD 160 million to be invested in infrastructure and supporting CBNRM activities in the surrounding GMAs.

103) For a detailed explanation of A,B,C,D scores see Section 5.2.

Figure 4. Evaluation Workshop Views on Sustainability of Environmental Interventions by Case Study Country



Impact and Sustainability: Summary points

- Because of its bilateral and other forms of support, it seems likely that Danida has influenced the trend of increasing government expenditure and revenue on the environment in the case countries.
- In some areas, there has been a positive impact on environmental enforcement, especially in Egypt, though there is a long way to go.
- Reliable trend data on improvement in environmental conditions is scarce. At local level, Danida support can be linked to improved natural resources in forestry in Tanzania and to some extent and at a more modest level in game resources in Zambia.
- Detecting poverty impact is hindered by weak design and lack of relevant empirical data, but there is some discrete evidence of income improvements as a result of increased economic activity and employment, and of groups and their leaders being empowered to manage their role and challenge authorities for a more equitable role in environmental management.
- Sustainability at national level has been strengthened by increasingly strong legal frameworks and institutional developments, but still depends on long-term donor support.
- Environmental management authorities through generating higher revenues are becoming sustainable. Private waste collection services also appear to be viable.
- Inadequate conditions of service in the public sector may hinder the maintenance of sufficient technical capacity for environmental management.
- At local level, economic interest groups at village level appear sustainable, but slow revenue generation from forests has threatened the viability of some local forest management groups.
- Wider pressures will influence NRM sustainability, including population growth, illegal trade and positive prospects from carbon markets.
- The uptake of replicable models of environmental management has been limited by insufficient documentation.

7 Efficiency

Efficiency is according to DAC defined as how economically resources/inputs (funds, expertise and time) are converted to results. This chapter looks at whether a programmatic approach has led to greater efficiency and reduced transaction costs for either Danida or its government partners. It examines the following topics: disbursement ratios, the efficiency effects of Danida's decentralisation, of its appropriation and disbursement pressure (meaning the pressure to create new interventions and have them approved and funds then disbursed), how the portfolios have been streamlined, and the use of the private sector and of technical assistance.

7.1 Areas of Higher Efficiency

The ability to disburse funds that have been allocated to programmes is a first, basic measure of efficiency. The efficiency of disbursement has varied with relatively good performance in Zambia and Egypt, and less good performance in Tanzania¹⁰⁴. In Zambia for NRM (2000-08), where DKK 43.6 million out of DKK 49.6 million committed have been disbursed (88%), while for LSW out of DKK 67 million, DKK 66.7 million (100%) were disbursed (up to 2009). In Egypt, all budgeted funds were disbursed over the period. In Tanzania, the ratio between committed and disbursed expenditure is lower, mainly because of recent delays in UDEM and EISP, but the older programmes are also less efficient: the SCP ratio is 61%, while NRM is better but still only 78% overall. Disbursement from these comparisons does seem to improve when funds are channelled through single authorities and over an extended period of time when perhaps more mature systems can absorb more funds (such as the EEAA and the Lusaka City Council than when decentralised and multiple agencies are involved, such as local urban or district governments.

The pressure to appropriate and then disburse funds has affected the way Danida has been able to work with governments and its other partners. Danida special environmental assistance funds (for Community Based Natural Resource Management (CBNRM) in Zambia and Tanzania) resulted in fast expenditure but this was at odds with the need to build capacity more slowly. Pressure to commit funds for the ENRMMP by end-2008 may have moved formulation along more rapidly, but at the expense of more careful design of new elements such as the Interim Environmental Fund (IEF) and the Civil Society Fund.

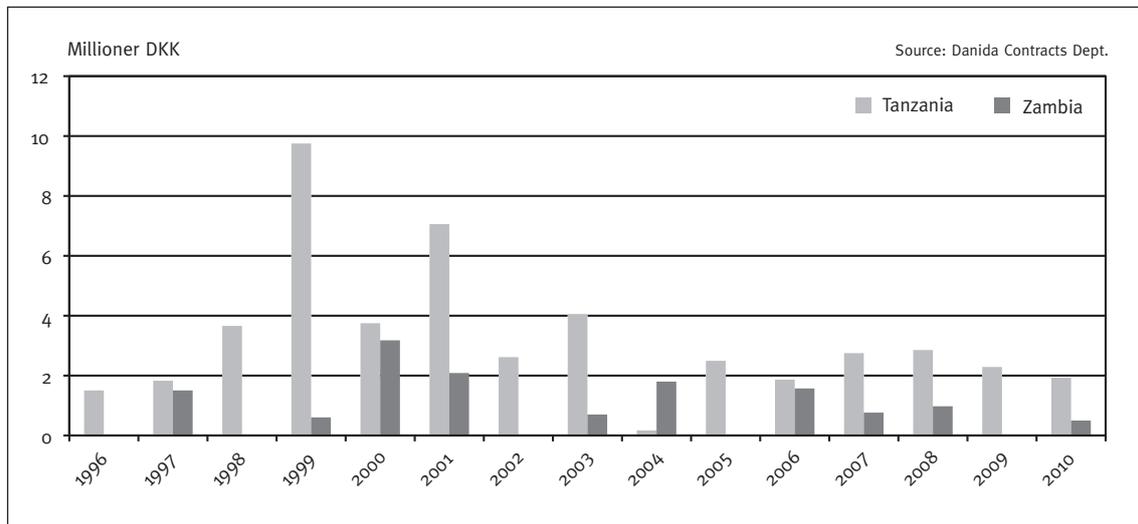
Danida **decentralisation** has brought both positive and negative effects on efficiency of environmental support in African partner countries. The role of embassies, following the decentralisation of Danida's programme management in 2003, became increasingly pivotal. On the one hand, the decentralisation provided greater local authority, more flexibility and the ability of embassy staff to be more timely and responsive to adapt programme direction to changes in local circumstances. On the other hand, the decentralisation also had implications for the requirements to embassy staff in terms of skills and capacities, and at most embassies it has been considered a huge challenge to obtain sufficient human resources and

104) Figures were provided by Danida's Quality Assurance Department for the three case study countries.

the right mix of skills to manage a technically complex environmental portfolio¹⁰⁵. Even so, the embassies managed to deliver a reasonable volume of funding (averaging about DKK 33 million per year in Tanzania for example) with, for the most part, one international and one national officer.

Streamlining the number of projects and programmes has over time helped reduce the overheads required for the design and management of individual projects. The portfolio in Tanzania reduced from over a dozen projects in the early 2000s to three components of ESPS (plus SWM) in the late 2000s, and similarly the ESP in Egypt was re-designed from seven to three components. As a result, consultancy costs incurred for preparation and implementation fell; as evidence drawn from Danida's contracts department shows in the case of Zambia and Tanzania (see Figure 5). The data reflects the high project design and management work undertaken in 1999-2001 related to the effort to disburse EPSF resources. There were as many as 12 separate contracts in 2001 compared to six in 2009.

Figure 5. Preparation and Implementation Consultancy Costs for Environmental Support in Tanzania and Zambia, 1996-2010



Set against this saving, there were what may be considered unproductive formulation costs if one includes work that was then shelved – such as the first ESP (in 1999) and the second ESP (2006) in Zambia – DKK 1.5 million were spent on the latter exercise. Some of the studies that were prepared nevertheless did still provide a useful underpinning for subsequent ENRMMP formulation¹⁰⁶.

In the transition process, the capacity of the Embassies to oversee programmes as well as to formulate new ones has been stretched at times (in Zambia 2003-04 and in Tanzania 1999-2000). In Egypt, the technical and managerial capacity of the Danish Embassy to oversee the establishment and then (at the time as Danida's decentralisation took place) to re-design a complex, DKK 367 million ESP presented a considerable challenge. This may

105) This finding is in line with the lessons from the Evaluation of the Decentralisation of Danish Aid Management, Goss Gilroy Inc/Orbicon A/S, Danida, 2009.

106) See Zambia Country Report, paragraphs 44 and 58.

have contributed to the failure in collecting more strategic M&E indicators, and the tendency of programme management to focus more on inputs, processes and outputs and less on outcomes and impacts in terms of policy and beneficiaries. Nevertheless, the re-design of the ESP in 2003 helped improve efficiency by reducing and merging components.

Long-term technical advisors placed within the target institutions has in some cases proved both an efficient and effective approach to supporting the programme implementation processes. The technical advisors placed within government agencies have been able to support links between field experience, policy and the production of documentation and research. This has been essential in particular in environmental programmes, which have often included approaches and/or technical elements rather different from those that the national agencies have been used to. The case of PFM in Tanzania, LSW in Zambia and UEM in Mozambique provide examples of how technical advisors placed within target government agencies has supported links between field experience, policy and the production of good documentation and research. Co-management arrangements between a technical advisor and EEAA in Egypt was appreciated by the national staff and seen as more integrated than other projects run by other donors. On the other hand, out-sourcing management to private companies and NGOs proved problematic in Mumbwa in Zambia.

In some cases, involvement of the **private sector** has brought efficiency gains: The LSW in Zambia was particularly well executed with a rapid expansion of coverage through mobilisation of local government, private sector and community persons. The LSW provides a positive example of efficiency particularly in the use of franchising and cross-subsidisation. In Egypt, the ESP has successfully promoted cooperation between public and private industry, particularly within the ACI Component, where industries are now requesting more services from the ECO. Also at the RBO level, examples were found of public-private sector cooperation, in support of environmental management. The ACI Component is relatively efficient because of the complementary role played by the different partners, with the ECO providing advisory services, the National Bank of Egypt managing the revolving fund and all lending responsibilities for a small fee of 2.5% and the ECO office is efficiently housed in the FEI where cost-savings occur. There is less evidence of the efficiency gains from working through civil society, though the example of the Community Development Trust Fund (CDTF) in Kenya is positive, where Danida made use of an existing operational window supported by the European Commission (EC).

7.2 Areas of Lower Efficiency

The choice of **using government systems** involves a 'cost' in terms of inefficient implementation where systems and capacity are unable to meet the pace of implementation that external projects can deliver¹⁰⁷. Problems of weak financial management have hindered efficient use of resources and trust in use of government systems (Mozambique, Tanzania and Zambia). A recent review of EISP in Tanzania¹⁰⁸ questioned the poor use of funds for various coordination activities, and has called for a Value for Money (VfM) study. Another

107) Although there is obviously a cost to the alternative of using a stand-alone project approach in terms of duplication of effort, unnecessary overheads, creating unsustainable systems etc.

108) Joint Technical Review, EMA ISP, VPO / MFA, Nov. 2009.

VfM audit conducted in 2009 on PFM and Sustainable Wetlands Management (SWM) activities in eight districts in Tanzania¹⁰⁹ highlighted several areas of inefficiency, including serious delays in funding releases, poor record keeping and execution. In Mozambique, issues over financial irregularities have beset the Coastal Zone Management Programme, managed by Ministry for Coordination of Environmental Affairs (MICOA), and according to a recent evaluation, Phase II became paralysed by financial problems, funding suspension, and as a result, ‘Danida lost time, influence and credibility’¹¹⁰.

The percentage of **total funds reaching beneficiaries** was a concern in Tanzania and in Zambia. Data on this are limited, but the PFM VfM study estimated that 12% of funding was spent on forestry inputs and tools at village level. On the other hand, much of the training for both local officials as well as community members requires field allowances, transport and other recurrent costs (and would in turn be justified if services improve and results are created at village level). Still, the PFM project suffers as much as other donor assisted interventions, in that most activities are driven by the ‘allowances culture’.

Although the introduction of a programmatic approach has reduced formulation costs (as fewer projects are now prepared compared to the nineties with their associated formulation and appraisal work as shown in Figure 5), other **transaction costs** have risen for both donors and for governments, in terms of longer preparation time, greater effort spent on seeking joint funding arrangements, and in the work of overall harmonization. This fits with evidence from elsewhere suggesting that improving aid management is not necessarily associated with a reduction in transactions costs for either governments or donors, at least in the initial period when the transition to new modalities takes place¹¹¹. As discussed in Chapter 4, Danida’s environmental interventions have only partially adopted a programmatic approach to date. Most of the ESPs have been sole-designed and funded by Danida and national partners and it is unlikely that they afforded any savings to the host government in terms of working with a donor group instead of individuals. Second generation ESPs have seen some joint design, funding and reviews (Kenya, Tanzania, Zambia), which have reduced the number of parallel missions and simplified funding channels.

In conclusion, the evidence suggests that from a financial perspective Danida has seen efficiency gains with a programmatic approach, in terms of portfolio streamlining and reduced formulation costs. However, these have to some extent been offset by greater transaction costs arising from working on harmonized approaches and following government systems that have in turn led to longer preparation and slower implementation. It is possible that as the second generation of ESPs mature, greater efficiency will occur as government systems and aid coordination mechanisms improve, as has been seen in other sectors.

109) Value for Money Audit, PFM and SWM Programmes, Ernst & Young, Oct. 2009.

110) WP 6, Mokoro and Ecorys, op.cit.

111) Joint Evaluation for Budget Support, 1994-2004, Batley et al, Univ. of Birmingham, 2006. Also see Luttrell and Pantaleo study (op. cit.) in Tanzania who argues that the increased dialogue around national and sector processes can raise transaction costs.

Efficiency: Summary points

- Disbursement to commitment ratios in the three case study countries have been close to 100% except in Tanzania. Disbursement seems to improve when funds are channelled through single authorities and over an extended period of time (when perhaps more mature systems can absorb more funds) than when decentralised and multiple agencies are involved.
- Decentralisation of the formulation of Denmark's bilateral programmes has improved flexibility, but has stretched capacity at times at the embassies.
- Long-term technical assistance when embedded within the partner institutions has proved a generally efficient and effective means of providing technical support.
- Involvement of the private sector has generally brought efficiency gains, and also, in the few cases found, where civil society has been engaged
- Increasing use of government systems has brought less efficient implementation where systems and capacity are unable to meet the required pace of implementation.
- In conclusion, Danida has seen efficiency gains with a programmatic approach in terms of portfolio streamlining and reduced formulation costs. However, these have to some extent been offset by greater transaction costs arising from working on harmonized approaches and following government systems that have in turn led to longer preparation and slower implementation.
- It is possible that as the second generation of ESPs mature, greater efficiency will occur as government systems and aid coordination mechanisms improve, and has been seen in other sectors.

8 Capacity Development

8.1 Background

Capacity development in environment is recognised as an essential element in implementing the conclusions of the UN Conference on Environment and Development (UNCED, June 1992) and has been a major component in many of the Danish funded bilateral environmental programmes in African partner countries, in particular in relation to development of environment and natural resource management institutions at central, regional and local levels.

According to OECD/DAC¹¹², capacity in the environment represents “...the ability of individuals, groups, organizations and institutions in a given context to address environmental issues as part of a range of efforts to achieve sustainable development”. Capacity development in the environment describes the process by which “...capacity in environment and appropriate institutional structures is enhanced”¹¹³.

In order to share knowledge and to update and develop new tools, guidance and common approaches for environment and natural resource management and governance an OECD/DAC Joint Task Team was established in 2006¹¹⁴ bringing together experts from OECD countries (environment ministries and development cooperation agencies) and from developing countries. One of the Team’s main tasks is to update the 1994 DAC Guidelines on capacity development for environment. This work is expected to lead to comprehensive guidance on developing capacity for integrating environmental considerations into national and sectoral plans and budgets, identifying approaches for ‘mainstreaming’ and ‘upstreaming’ environmental issues into sector policy dialogues, and for testing of results of work at country level¹¹⁵.

To further operationalise the general OECD/DAC capacity development concept, Danida has developed specific guidance on capacity development, covering all sectors and not only environment. These guidelines define an organization’s capacity as its ability to perform appropriate functions efficiently, effectively, and sustainably in pursuit of organizational goals and outputs. The effect of capacity development support should therefore be measured against the specific outputs that the organization aims to produce. This conceptual approach draws on the Result-Oriented Approach to Capacity Change (ROACH) (see Box 2) in its analysis of how national and local institutions may have changed as a result of Danida’s support to capacity development. In particular, the Evaluation used the following

112) The OECD/DAC Capacity Development in Environment (CDE) concept has been guiding all the programmes under this Evaluation.

113) Donor Assistance to Capacity Development in Environment, OECD Guidelines Series, 1994.

114) The Joint Environment and Development Task Team on Governance and Capacity Development for Environmental and Natural Resources Management.

115) DAC work on environment and climate change is conducted primarily by the Network on Environment and Development Cooperation (ENVIRONET) (www.oecd.org/dac/environment).

key questions¹¹⁶, reflected in the ROACH, as guidance for the capacity development assessment¹¹⁷:

- On what kind of organizational/institutional assessment is the capacity development support based?
- How well are internal as well as external relations and dimensions being addressed?
- Are indicators for results and outputs clearly established, and has monitoring and evaluation taken place?
- Is the organization likely to produce the proposed outputs and results, taking the external and internal dimensions into consideration?

Box 2. Result-Oriented Approach to Capacity Change

The Result-Oriented Approach to Capacity Change (ROACH) is an important Danida methodology that has informed the Danida's Guidance Note on Danish Support for Capacity Development. According to ROACH, both internal factors (changes in task and work plans, changes in incentive structures, changes in internal power and authority distribution etc.) as well as external factors (budgetary reforms, legal changes, civil-service reforms, changes in distribution of power and authority of external partners etc.) are important to consider as integrated elements of organization / institutional analysis.

8.2 Capacity Development in Programme Design

Programmatic approaches require that a high priority be given to capacity development in national institutions. In general, the ESPs reviewed consistently pay strong attention to capacity development. Extensive resources are budgeted for various forms of training and for providing technical assistance. The Danida 2006 guidance recommends an extensive set of actions during identification and appraisal to help formulate sound capacity development support¹¹⁸. However, there is a considerable gap between this guidance and the detailed designs of capacity development efforts for ESPs in the cases reviewed. In particular it is striking that the capacity development support in programme documents focuses more on the internal technical and functional aspects of *partner institutions* (training, skills development, management issues, organizational structures, procedures), and typically pay much less analytical attention to the external factors and *the political context* in which the partner institutions are operating¹¹⁹. In addition, capacity development is often seen as a target in itself rather than being a means to achieve specific strategic goals for the partner institution. Finally, the descriptions of capacity development activities often lack clear definitions of targets and indicators for the support provided.

116) It is important to note that the level and detail of information on these topics has varied considerably from one programme to another.

117) A Results-Oriented Approach to Capacity Change, Nils Boesen, Process & Change Consultancy, Ole Therkildsen, Danish Institute for International Studies, Danida, 2005.

118) Guidance Note on Danish Support for Capacity Development, Danida, 2006.

119) This finding is in line with findings from previous evaluations of capacity development support in Danish-supported programmes (See: Guidance Note on Danish Support for Capacity Development, Danida, 2006).

Four main explanations, which partly relate to Danida and partly to the partner countries, have been identified by the Evaluation for the shortcomings in the design of capacity development interventions: 1) lack of knowledge and to some extent lack of interest within partner institutions on how capacity development indicators can be used as a management tool, in particular if the proposed indicators are not prioritised within the institutions' own strategies; 2) resistance from partner institutions that had no interest in being measured for performance (capacity development), in particular not when results would depend also on others; 3) the rather complex and time-consuming processes related to analyzing the external and political processes, and how these may interact and influence the capacity development interventions within a programme; and 4) the trade-off between the long-term perspective often needed for capacity development interventions, in particular when carried out within traditional and hierarchical organizational structures, and the 3-5 year horizon of Danida programme interventions.

Several ESP designs are criticised in reviews for lacking an institutional assessment to guide efforts to develop capacity (for example the SCP and the ESPS in Tanzania), or else for deferring this assessment to an inception period, when pressure to begin implementation and disburse may make it difficult to do such assessments (Zambia). However, taking into consideration that Danida's programme formulation processes take around two years, it may be argued that it makes more sense to carry out more detailed institutional assessments as part of the inception or early implementation period, since important changes in organizational structure and personnel may take place in the period between formulation and implementation. As an example, a methodologically sound institutional assessment (functional analysis) of the Ministry of Environment and Mineral Resources (MEMR) and of NEMA in Kenya was undertaken during early implementation that a review in 2008 judged was leading to reorganization and improved capacity¹²⁰.

There is also a gap in relating planned capacity development to wider civil service reforms and the problems of staff retention in government services, elements that relate to the external and political factors referred to in the Danida Guidance. In Egypt, high staff turnover in the regional environmental bureaux indicated that people with marketable skills, once trained, might not stay in government employment. The scale of capacity development needs is immense considering the range of environmental issues being addressed and the challenge of development capacity not only across a range of line ministries but through local governments. Some designs under-estimated the problem, as in Mozambique's UEM¹²¹.

8.3 Effectiveness of Capacity Development

Through the Danish environmental programmes in African partner countries, a range of capacity development initiatives have been funded with mixed degrees of success. These experiences point to a number of general findings:

120) Joint Sector Review Aide-Memoire, EPS, Kenya, Danida. 2008.

121) "During the first year of implementation it became apparent that the general capacity was much lower than assumed in the Component Description. Therefore, extra inputs of TA were required from the management team, the ministry and the CDS-ZU and from international and national consultants". (WP6, Mokoro and Ecorys' Evaluation Study 2008).

At central level (national government), capacity development efforts have been mainly provided under the second generation ESPs, and so far the level of achievement has been mixed. The main reasons for limited achievement are that national capacity development support has not been sufficiently long term in nature, capacity assessments have not been comprehensive enough, and high staff turnover – especially of key ministerial and senior civil service personnel – has impeded the process¹²².

- In *Egypt* there has been a rather long period of central capacity support that has contributed to the build-up of staff capability and organizational reforms. EEAA staffing grew from 600 in 2001 with many departments having few or no staff to a situation in 2008 when there were about 2,700 employees (an increase of 350%), of which about half were in Cairo at central level¹²³. The ESP provided support for financial and administrative systems, information technology and strategic reporting as the agency grew. After 10 years of existence with no major change in structure, EEAA underwent reorganization in 2005, facilitated by the ESP. Improved linkages have been seen between the RBOs and EEAA technical departments.

In terms of vertical linkages, the ESP provided an extensive programme of training and exchanges, with a particular focus on three RBOs (Cairo, Assuit and Suez) and two Governorates (Aswan and Beni Suef). Capacity development here resulted in a higher performance level in terms of processed complaints and EIA inspections. Information centres were implemented in the three selected RBOs, and an environmental database set up in all RBOs that provided an important link between the EEAA and the RBOs. In contrast, despite strong efforts to build up capacities of the EPF unit within EEAA, the EPF did not reach the level of operations that were intended.

- In *Tanzania*, in the UDEM case, efforts to provide a nationally-managed capacity development fund for urban environmental management at local government level was meant to fall under the Local Government Development Grant (LGDG) and so use existing government systems. In reality, the UDEM Capacity Development Guidelines were rather too supply driven, being based on UN-Habitat modules, and moreover the funds available were spread too thinly because of the eligibility criteria allowing nearly all Local Government Authorities (LGAs) to apply. Thus, there has been limited achievement so far.
- The capacity development of ZAWA in *Zambia* was rated as less satisfactory¹²⁴, and Danida's actual funding was only 12% of the commitment mainly due to organizational weaknesses (lack of financial sustainability, staff turnover). Funds intended for ZAWA were channelled instead to districts and local communities for training which was judged to be effective. The experience of the ENRMMP in Zambia indicates that

122) The Tanzania and Zambia Country reports highlight the frequent changes in leadership in the Ministries of Environment (four ministers in four years in Zambia's case).

123) Comparison between EEAA capability in 2001 with EEAA capability in 2008, Annex 11, Decentralisation Completion Report, EEAA, 2008.

124) PCR, ZAWA Capacity Development, Danida, 2008.

local ownership must be strong to conduct institutional need assessments¹²⁵, and where capacity is limited to undertake such complex tasks, sufficient time allowed¹²⁶.

- In *Kenya*, the main results from the EPS-supported capacity development activities at central level were the draft National Environmental Policy (NEP), the National Climate Change Response Strategy (NCCRS) and the Environmental Education and Awareness Initiative (EEAI). In addition, the Functional Analysis has been instrumental in securing the establishment of an Environmental Directorate. On the other hand, no or limited progress was achieved on M&E and in terms of coordination and mainstreaming of environment, mainly because EPS programme outputs were not prioritised in the MEMR strategies and performance indicators to ensure delivery, and due to a shortage of human resources in the MEMR.
- In *Mozambique*, Danida assistance to environmental management in Mozambique has focused on development of the capacity of institutions at national and provincial level. Despite the efforts of Danida and other donors, the capacity of MICOA remains weak.¹²⁷ The low political priority accorded to environmental management in Mozambique probably lies at the heart of the problem. It has resulted in a chronic lack of leadership, management and professional capacity in the sector.
- In *South Africa*, the influence of the programme on the national waste management plan is seen as a major success. According to reports the national plan was inspired by the lessons learnt and experiences gained by the programme.

At local level (sub-national), capacity development efforts have in general been more effective in leading to better performance of groups and of local government in both urban and rural settings. This seems to a large extent to be related to the more operational use of the acquired capabilities and less turnover of staff than at the central level. The best examples are:

- In *Egypt*, efforts by the ESP to build up capacities at regional and local levels supported the establishment and expansion of RBOs and EMUs. By 2008, eight RBOs and 26 EMUs were functional and staffed. Several EMUs have been, or are currently in process to be, upgraded from Offices to Departments or General Departments. Service quality has been raised and ISO certification achieved in most RBO labs.
- In *Zambia*, the NRM projects successfully built capacity in a number of local Community Resource Boards (CRBs) and associations empowering them to engage constructively with local authorities and with ZAWA, and to support a national CRB forum.
- In *Tanzania*, at community level there is a range of evidence from completion reports and reviews for improved capacity in both PFM and urban management. Commu-

125) This can be a sensitive exercise especially when it is wide reaching and at central ministry level, and especially when it should be led by Government rather than driven by a donor or by project management.

126) Review Aide Memoire, Joint Inception Review, ENRMMP, November 2009.

127) Evaluation of Cooperation between Denmark and Mozambique 1996-2006, Mokoro and Ecorys, Sept. 2008 and Program Review of EPS, Danida, March 2008.

nity groups developed their own procedures and committees and were empowered to manage community forest reserves. Waste management groups have operated in urban areas such cities as Morogoro, Moshi and Iringa, while effective capacity has been built in aspects of urban planning such as GIS.

- In *South Africa* the programme appears to have been successful in development of the capacity of especially municipal staff ¹²⁸.

In two other cases, effectiveness was found to be lower:

- In *Mozambique*, improvements are less evident from reviews, where extensive short-term local technical assistance has not been able to achieve improvements in municipal capacity, outside of Maputo, because of other problems related to staffing and weak management¹²⁹.
- In *Kenya*, no progress was made on the planned introduction of decentralised environmental management within 20 districts¹³⁰.

While capacity development initiatives at **different institutional levels**, as well as in the public and private sector, constitute an important element of a programmatic approach (Box 1), the record so far is weak, with few examples where capacity development interventions at the different levels mutually reinforce each other. In most cases, the bottleneck has been the central level, where the capacity development processes have been more heavy and slow, compared to the capacity development implemented at local levels as well as in the private sector. This has been mainly due to those shortcomings in programme design and incentives referred to in the text above. Zambia, Kenya and Mozambique are all examples of very little reinforcement, while Egypt, Tanzania (PFM) and South Africa provide some examples where the reinforcement has worked somewhat better.

While extensive capacity development has been supported in various forms (training, on-the-job, courses, and through technical assistance), there is **little systematic assessment or documentary evidence of the results achieved**¹³¹. Several reviews and completion reports rate capacity development performance but these are not based on follow-up surveys or studies comparing before and after competencies. Likewise, **monitoring systems and performance indicators are poor within this area.**

128) This finding is supported by the results of a 2009 review of pilot projects. Out of six reviewed capacity development projects four reports to have seen good to excellent tangible benefits and two achieved adequate benefits. All six projects expects excellent to good chances of that the project will be replicated successfully in the future.

129) Review of the Urban Components under EPS, Environmental Management in seven Municipalities and Environmental Management Strategy for the Greater Maputo Area, 2006.

130) The particular reasons for lack of activities and results in this area are unclear.

131) “The immediate objectives of almost every Danida-funded environmental project seem to have included ‘development capacity’. Yet, quantitative and qualitative information on the outcome of such efforts in terms of the development of skills and competence of national personnel is very scarce. In the absence of systematic evidence, it is not possible to reach firm conclusions about the impact of much of the donor assistance to the ministry. The impression obtained is that, despite the efforts of Danida and other donors, the capacity of government’s national environmental agency remains weak.” WP 6, Environmental Management, M. Adams, Mokoro and Ecorys op. cit., p.11.

Where **organizational and functional analysis** has been carried out as part of the capacity development support, these have resulted in important reforms within some of the organizations supported, including establishment of new environmental units and directorates:

- In *Egypt*, a number of organizational processes, leading towards more decentralised environmental management, were supported through the ESP, including a plan for reorganization of EEAA. These initiatives have to some extent been strengthened through subsequent approvals of new decrees and law amendments including the Amendments to the 94 Environmental Law, Decree of Roles and Responsibilities of EEAA, RBOs and EMUs, and Decree on establishing of EMU support office within EEAA.
- In *Kenya*, a functional analysis carried out during the inception phase of the EPS has contributed to the organization reforms at the MEMR and the establishment of the Environmental Directorate. This was considered a major achievement for the Ministry.
- In *Tanzania*, some progress has also been seen in establishing sector environmental units in various line ministries and environmental officers have been appointed in 64 Local Governments.

The approach applied for capacity development has often been **too narrow with a tendency to focus on the internal dimension**, through strengthening of capacities of individuals and the internal structures and processes of the supported organization(s), rather than on the external and political dimensions, including interactions with other ministries and organizations, and the impact of wider incentives and disincentives for reform. The external and political dimension is of particular importance for environmental institutions due to the high complexity of the environmental sector, involving a number of different ministries and institutions.

- In *Egypt*, evidence shows a study pointed towards some weakness in the external and political dimensions of the capacity development support provided to EEAA through ESP. In particular, while EEAA is the central coordinating body in charge of planning, policy, coordination and preparation of environmental legislation in the country, “the Planning Department (within EEAA) is concentrating their efforts on preparing a five year work plan for EEAA, not a national plan involving other sector ministries”¹³². In addition, “EEAA is not currently providing training to the planning departments in line ministries in environmental mainstreaming, weakening the opportunity to improve environmental management across all sectors in Egypt”.
- In *Kenya*, the recent “Lessons Learned” exercise of the EPS revealed that while it has been relevant to develop the institutional capacity of MEMR, it should have been more in balance with delivery of specific outcomes beyond analysis, policies and strategies and be linked directly to the priority outputs and the performance of the institution.

132) Comparison between EEAA capability in 2001 with EEAA capability in 2008, EEAA, 2008.

- Similarly, a recent review of the EISP in *Tanzania* found that “capacity development is understood very narrowly as training, and that broader capacity development initiatives in relation to administrative processes including information flows, organizational functions, power and decision structures, incentive structures etc. are not considered”¹³³.

Use of different capacity development modalities including ‘learning-by doing’, use of technical assistance, and setting up capacity in the private sector, has provided different type of experiences.

- The *‘learning-by-doing’* approach rather than more conventional training sessions has in general worked well. In Zambia, the LSW project successfully transferred skills and confidence to the peri-urban community-based waste collection enterprises, catalysing them into new positions of responsibilities. The Waste Management Unit in the Lusaka City Council also developed internal technical and administrative resources to maintain its status in the municipality to become a semi-independent department, franchising services and recovering its costs. In South Africa, the UEMP has also had success by applying a ‘learning by doing’ approach that shows that capacity development of people and institutions happens best when they are involved as owners and made responsible throughout the programme cycle¹³⁴.
- *Long-term Technical Assistance* can be effective in strengthening capacity in different areas including research and up-scaling the concept across districts, as well in building links between national and local agencies. This was seen in both Egypt and Tanzania. The experience shows also however, that in order to be sustainable, it is important to make sure that the improved capacities are institutionalized and not only anchored around a few persons that have been working closely together with the advisors and that responsibility is gradually transferred to the partner institutions through the programme period. This may require that advisors are not placed full-time within the partner institutions but gradually get a back-seat position where they will appear less frequently in the partner institutions to discuss and oversee progress and work planning.
- In Egypt, *capacity development in the private sector* took place under the ACI Component, where efforts to establish and build up capacities within the newly established ECO within the FEI were effective. By the end of programme, the ECO was operating as an independent consultancy facility for the use of cleaner industrial production technology, and even expanding its activities and resource base.

133) EISP Joint Technical Review, VPO and Danida, 2009.

134) “Many of Danida’s more successful capacity development projects in the (South African) region have relied on learning by doing, and have included demonstration projects involving infrastructure investments (ranging from small waste collection schemes to sanitary landfills). This form of capacity development typically moves from “hands-on” (directly involved) technical assistance to a hands-off approach (supervising only). The latter requires readiness from partners to take over responsibility, and for the technical adviser to make this happen. This requires in turn that the capacity development is meeting real and perceived needs.”, *Urban Development and the Poor, Lessons learned From Danish Assistance to Southern Africa, Technical Note, Danida, July 2008, p.13.*

Capacity Development: Summary points

- The design of capacity development interventions suffers in particular from four shortcomings: 1) lack of knowledge/interest within partner institutions on how capacity development indicators can be used as a management tool or prioritised within strategies; 2) resistance by institutions to being performance measured; 3) low attention paid to analyzing external and political processes of relevance for capacity development interventions; and 4) trade-off between a long-term perspective often needed for capacity development and the 3-5 year horizon of Danida programme interventions.
- In terms of effectiveness of capacity development, there has been limited achievement at central level (except in Egypt) because support has not been sufficiently long term.
- Capacity assessments have not been based upon a broader analysis of relevant political-economic drivers which has handicapped the design and subsequent monitoring of capacity development efforts.
- Capacity development has in general achieved better results at community level and with local governments. This seems to a large extent to be related to the more operational use of the acquired capabilities and less turnover of staff.
- Monitoring systems and performance indicators for capacity development are poor: reviews and PCRs do not tend to conduct follow-up surveys or studies comparing before and after competencies.
- There are few examples where capacity development interventions at different levels (national – local) and with different partners (public – private sector) mutually reinforce each other.
- On-the-job training methods and long-term TA have been effective in provision of capacity development. Capacity development of people and institutions happens best when they are involved as owners and made responsible throughout the programme cycle.
- Some organizational reforms have successfully been supported but have mostly focussed on strengthening the internal dimensions of the organizations supported, rather than on their external and political dimensions.

9 Coordination, Complementarity and Coherence

The three terms: coordination, complementarity and coherence have been introduced by the European Commission in 2003 as additional evaluation criteria for development co-operation provided by EC Members States. Each term has a specific meaning that is defined at the start of the each of the following sections, drawing on guidance from the web source: <http://www.three-cs.net>.

9.1 Coordination

Coordination here refers to the extent to which development partners jointly mobilise resources or harmonize their practices to improve effectiveness, and about division of labour: that is agreement about different areas of engagement within a sector to eliminate overlaps and crowding. A lack of coordination could lead to a donor-driven agenda, excessive demands on scarce management capacities, and inconsistencies in the approach.

The environmental sector in all three case study countries is characterised by relatively less effective donor harmonization, a feature that to an extent reflects the lack of national coordination or of over-arching national policy frameworks around the environment. While donor working groups exist, and information sharing occurs, there are limited examples of more advanced coordination or harmonization such as occur in for example health or education. Division of Labour exercises are conducted to identify the different sub-sectors and areas where donors are or plan to be engaged. Patterns of donor engagement show a wide range of initiatives, sometimes overlapping, with often small and diverse projects in very different fields, which makes coordination and greater harmonization particularly difficult, as illustrated in Tanzania in Table 3, where there were 13 donors and 18 different environmental areas in 2006¹³⁵.

To a certain extent, individual donors remain more driven by their HQ policies and priorities, leading some to treat environment principally as a mainstreaming issue, or others to introduce new themes, sometimes unilaterally as with the UN Reduced Emissions from Deforestation and Forest Degradation (REDD) initiative that has been strongly supported by Norway in Tanzania. These different stances undermine working towards closer co-funding or joint programmes.

Danida has done well to reduce the number of sectors that it funds, leaving agriculture in Tanzania and Zambia for example. On the other hand, the Ecorys/Mokoro evaluation (op. cit.) of the Mozambique programme criticised Danida for not exiting sectors sufficiently. Despite intending to do so in Mozambique, there has been slow progress because of (i) the

135) The main problem in the case of Tanzania is in forestry, wildlife and marine, so not a big problem for Danida, as they are only in forestry, and here there have been discussions around a SWAp Memorandum of Understanding.

desire to present a balanced portfolio to home constituents and (ii) because there is resistance from local stakeholders to exiting and it is hard to do so gracefully and sustainably¹³⁶.

Table 3. Development Partner Engagement in the Environment Sector in Tanzania (2006)

	1. EC	2. WB	3. UNDP	4. FAO	5. UN Habitat	6. UNIDO/ILO	7. Belgium	8. Denmark	9. Finland	10. Germany	11. Netherlands	12. Norway	13. USA Total	Total
1. Wildlife	x		x	x			x			x		x		6
2. Forestry		x	x					x	x	x		x		6
3. Fisheries	x			x								x	x	4
4. Marine/ Coastal	x	x	x										x	4
5. Beekeeping							x					x		2
6. Ecosystems	x	x												2
7. Wetlands							x	x						2
8. Lake management		x	x											2
9. Water/ sanitation	x						x							2
10. Urban environment					x			x						2
11. Biodiversity													x	1
12. Land management				x										1
13. Water management				x										1
14. Energy			x											1
15. Sanitary control	x													1
16. Sewerage	x													1
17. Waste management						x								1
18. Rural development	x													1

Source: ESPS 2007-12 Programme Document, p.43.

Danida has played different roles in donor coordination from leading (Tanzania, Egypt and Kenya) to what is termed 'background' in Zambia¹³⁷. In Egypt, the Danish Embassy found it difficult to achieve greater harmonization between donors in the working group

136) Ecorys, op.cit., 2008, p.129.

137) Danida has recently changed to become an 'active' member of the group in Zambia.

on environment. While the group is reported as active, the scope of donor coordination has not extended to areas of improved harmonization such as joint analysis, missions or steps towards a sector wide approach.

In Zambia, coordination within environment has not been as smooth and effective as in sectors like health and education, where well-organised SWAp arrangements have been in place for some time. Donor links with the lead ministry, MTENR, have often been divided, with Norway focusing on ZAWA, Finland on Forestry, and Denmark on the Department of Environment (although this has avoided overlaps). Within the MTENR, the coordinating Department (the Planning and Information Department) for the ENRMMP has not enjoyed the full confidence of the other Departments. More widely across the sector, the UN assessed the level of coordination in the sector advisory group as limited, with infrequent meetings that focus on process rather than on content¹³⁸. A recent evaluation of the JAS in Zambia (JASZ) was more positive about the ENRMMP as a framework for aid coordination, though it also confirmed the strong influence of HQs on in-country donor actions¹³⁹.

In Tanzania, Denmark has been a pro-active chair of the donor group on environment for over five years and has made continuous efforts to build shared positions amongst its members. The group has not however been as harmonized as in other sector groups, and members have tended to pursue a strongly project-led approach¹⁴⁰. There are though examples of policy discussion with the government and of relevant analysis on climate change issues and especially in the period 2002-05, during the preparation of the second MKUKUTA (see 4.5). This has also occurred in the formulation of the new MKUKUTA in 2009-10 where climate change is now integrated into the MKUKUTA. There is still the need to take opportunities to build stronger partnerships with civil society, parliament, public, donors and government¹⁴¹.

Danida has sought to make increasing use of government systems, but this programmatic trend has received limited support from other donors. The slow pace of local government reforms, particularly on financial flows, and the poor management and reporting of fund use, has led to efficiency concerns by Danida and others, and to a slowing of the development of programmatic approaches in recent years (see Chapter 7).

9.2 Complementarity

The EU definition of Complementarity refers to the inter-relationship between the European Community and its member states in terms of how aid policy is executed in a way that enhances member states as a group, and the extent to which the Commission or Member States agree to share the lead in setting the aid agenda. The overall experience from this Evaluation is that while Danida has worked with other EC member states through donor coordination mechanisms to avoid funding overlaps, developing joint funding mechanisms have proved slow and somewhat difficult.

138) Assessment of Development Results, UNDP, December 2009, page 34.

139) Evaluation of the JASZ, 2007-10, OPM (Danida, 2010).

140) Based on comments from members including Finland and Norway.

141) In line with Government's expressed intention of consulting widely with partners (ref. the internal Govt. of Tanzania guidelines on the PRSP formulation process (2009)).

In Egypt, several EC states shared information about their environmental investments (Germany, Spain, Denmark and Italy were active in the sector but in different areas), but they pursued few joint initiatives even though opportunities existed. For example, the Environment Pollution Abatement Project II, which is joint-funded by the European Investment Bank with three other multi-laterals, operated in parallel even within EEAA and had a separate office in the Agency. The Egyptian Italian Environmental Cooperation Programme had as one of its objectives 'to contribute to reinforce the role of EEAA, as the central coordinating and competent body, and its partners institutions for the protection and promotion of the environment'¹⁴², but it operated in a completely parallel fashion to the Danida funded ESP, with its own coordination unit, and there was no discussion of possible collaboration in either the Italian or Danish documentation.

While environment has not been a focal sector for the EC in the three case study countries, the EC Delegation in Dar es Salaam regarded the Danida programme as complementary and they have supported the leadership of Denmark in the sector, and have tried to link their funding in certain areas, such as for civil society and forestry. Views from the donor group on environment are that members (a majority of whom are EC states) have reached agreement on key issues such as climate change, but that there is still room for improvement in achieving a more strategic dialogue with government¹⁴³.

Joint funding has been best achieved where there are fewer donors and they share a common interest and record in environmental funding. In Zambia, two EC donors, Danida and Finland, are jointly funding the ENRMMP through a Memorandum of Understanding. A further example of complementary cooperation is in Kenya where Danida managed Sida environmental funds¹⁴⁴. Here use has also been made of an existing EC Trust Fund structure for continuing support to the CDTF. However, less than a third of the available Sida funding has been utilised. Because of early programme closure and financial management issues, Sida has decided not to have a joint environment programme with Danida in the future and will instead develop its own environment/NRM funding modality, addressing advocacy specifically. In Mozambique, while there is a strong overall donor harmonization process, the level of complementarity in environment appears limited to avoiding overlap in provincial support (between Denmark, Austria and Switzerland).

Two other aspects of complementarity can be discussed. First is the use of Danida programmes in different sectors to link with environmental initiatives, especially regarding work in different sectors to increase mainstreaming efforts. Experience with mainstreaming efforts in other sector programmes has not been a main focus of this Evaluation exercise; however a positive example was noted in the complementary support by Danida in the roads sector in Tanzania and in Zambia, which have helped reinforce efforts to improve environmental management during road construction.

142) Egyptian-Italian Environmental Cooperation Program, A Capacity Building Program in support of Egyptian Ministry of State for Environmental Affairs (MSEA)/Egyptian Environmental Affairs Agency (EEAA) 2004-08, Brochure, Italian Cooperation, 2006.

143) Based on interviews with representatives from World Bank, Finland and Norway.

144) Danida provided DKK 100 million to the EPS with Sida, which provided DKK 67 million equivalent through a silent partnership.

Second, complementarity of support between different actors can be mentioned. Danida has made some efforts to link support to government with opening related ‘windows of support’ to the private sector (Zambia, Egypt) and to civil society (with the CDTF in Kenya). But generally, the emphasis has been on strengthening government, with some opportunities being missed to provide greater support especially to civil society as with the national consultative forum in Zambia, or the various civil society actors in Tanzania (such as the Informal Discussion Group on Environment or the Tanzania Natural Resources Forum) or in Egypt. Recently, civil society funds are being developed under the ENRMPP and the ESPS however.

9.3 Coherence

Coherence can be defined as a sound alignment between policies and actions in a given field, and particularly that any development activity does not undermine a given policy¹⁴⁵.

Overall, the ESPs have had a high coherence with national policy frameworks, supporting the national laws and policies in the environmental sector and contributing to their further evolution, even though the coherence between the many laws themselves may sometimes be questioned. Some ESP elements can be seen as possibly premature or ahead of government capacity or readiness to deliver on, such as the UDEM or the Wetlands in Tanzania. The UDEM model relied on a specific funding window to be supported in the LGA grant system for urban environmental management, but this design was at a time when other special grant windows had created pressure on the system. Besides this, the view of other partners such as the World Bank and government was that other needs in the urban sector were of greater priority, such as infrastructure investment in roads, sanitation and housing.

Coherence may be said to be less visible in terms of how ESPs have sought to mainstream environment in line agencies. The task of being coherent with a country’s environmental policy and legal framework is made much harder where the picture is confused or fragmented. In Tanzania, environmental legislation has historically been inadequate and fragmented. As the ESPS design document notes, there are, “over 100 relevant laws and related subsidiary legislation but many are obsolete or over-lapping in terms of functional authority. Many provisions of the laws governing the environment are unrelated to present realities, are poorly understood and are seldom enforced”¹⁴⁶. This made Danida’s decision to support the EMA in its EISP a particularly sensible step as the EMA explicitly sought to rationalise and replace older legislation, and so improve national policy coherence in the sector. At the same time, commentators note that there is still a need to build greater coherence between the MKUKUTA view of the environment (as a resource to deliver growth) and the EMA view (mainly emphasising protection though there is provision for economic instruments)¹⁴⁷. This is a challenge that perhaps a future Danida ESPS support can address.

Coherence in the sense that Danida’s interventions were in tune with its own overall policy direction in a given country can broadly be rated as fair – it has followed some program-

145) <http://www.three-cs.net/3Cs-Defined>

146) Programme Document, ESPS, 2007, p.31.

147) P.Assey et al, op.cit., p.41.

matic principles well in its specific interventions in terms of using government systems or linking its past project interventions to a new more strategic direction or national level of support. Danida's use of national poverty frameworks and indicators to track outcomes of its programmes represents a coherence with national systems (examples include the EN-RMMP in Zambia and the ESPS in Tanzania). Equally, Danida showed coherence with decentralisation processes in Egypt and in Tanzania, by directly supporting governorates in Egypt to strengthen local environmental management and districts in Tanzania on PFM and SWM interventions, and also in seeking to work with PMO-RALG on the urban environment.

Two elements of incoherence can be noted. First the use of a programmatic frame to bring together disparate projects under one 'chapeau' can be seen as creating a false sense of coherence, in the sense that the different projects had very little inter-relation and in general have been managed separately. This is though a realistic response to the difficulty of working in a heterogeneous area such as the environment, with a complex landscape of institutions and different donor interests.

Second, as noted at the beginning of this report, incoherence has emerged as a reflection of the tensions of seeking to provide more aligned aid with the need to demonstrate accountability to domestic Danish constituencies. Embassy staff have found it at times extremely difficult to pursue both agendas simultaneously especially in areas where the opportunities for corruption or mismanagement are high, such as in concessions and licensing of natural resource assets. This Evaluation is aware of documented cases of large-scale corruption in forestry and wildlife¹⁴⁸ but has not explored these as, although they form a critical backdrop to donor-government relations, they did not directly feature in the programmes under evaluation. The VfM studies on PFM and SWM, at least in the form deployed in Tanzania, also reflect this tension. Though they focus on aspects of inefficiency, they have conveyed a lower emphasis on the tenets of a programme approach such as building partnership and giving priority to following government systems and local ownership.

148) As for example in the TRAFFIC report (op.cit.) and in other materials presented by Soren Vium Andersen (ex Danida staff) to the Evaluation.

Coordination, Complementarity and Coherence: Summary points

- The environmental sector in all three case study countries is characterised by active but weak or moderately effective donor harmonization. Donor working groups mainly exist to share information and analysis. Danida has been an active chair in some of them.
- There are some examples of more advanced coordination or harmonization (in Kenya, Mozambique, Tanzania and Zambia), including joint programming and funding indicating that ESPs have encouraged greater donor co-working.
- To a certain extent, individual donors remain more driven by their HQ policies and priorities. This undermines working towards closer co-funding or joint programmes.
- Danida has been able to streamline its own portfolio and make more use of government systems. However, the slow pace of reforms has led to efficiency concerns and the slowing of progress towards programme approaches.
- Complementarity between EC member states is mainly limited to avoiding overlaps, but there are a few examples of joint funding.
- Danida has achieved useful mainstreaming by providing support in other sectors such as roads that complements its environmental support.
- There are some useful examples of complementary support to the private sector (Zambia, Egypt) and to civil society (Kenya) but opportunities have also been missed.
- Being coherent with a country's environmental policy and legal framework is difficult where this framework is confused or fragmented, but Danida has correctly provided support where more relevant frameworks have emerged.
- Coherence is hard to pursue where tensions exist between the desire to align to national strategies and systems, and the need to be accountable to domestic constituents while working in a sector where governance is weak and opportunities for corruption and mismanagement high.

10 Conclusions

Given the global trends in aid policy over the period under review, Danida's ambition to be a leader in pursuing aid effectiveness principles within its environmental development assistance was understandable given that the environment was a priority area for its assistance. Nevertheless, it was not until 2009 that an operational tool was developed¹⁴⁹ as specific guidance on how to deliver this approach. During the period covered by this Evaluation, there have therefore been underlying tensions in marrying the precepts of a more programmatic approach with the realities of working to deliver them in the targeted countries (3.1).

Moreover, choices made in the design of ESPs in the case study countries in Africa were constrained by several factors. Above all, should be mentioned the diverse nature of the environment which has made developing a sector approach difficult (4.1). Other important factors include the legacy of past engagement in specific sectors and projects (4.1), the willingness of host governments to follow a programmatic approach (4.3), the constraints of Danida's planning cycle (4.4), the large number of donors involved in the environment (9.1), and the difficulty in mainstreaming environment beyond the lead national coordinating agency (4.6).

The priority paid to environmental issues, certainly in the earlier period if not later on, by partner governments and by some of the major donors has been sub-optimal, and given Danida's own focus and approach on the area, has often left **Danida as the main donor** (and sometimes the only donor) willing to fund the lead environmental agency, as well as particular environmental areas such as urban waste management. Having at the same time a large number of other donors, NGOs and institutions working in parallel on environmental issues, but outside the central governmental system, has made it difficult to pursue several elements of a programmatic approach, including harmonized and joint funding modalities, and allowing and following government leadership.

Nevertheless, a significant outcome of moving to a more programmatic approach has been **greater policy influence**. Several ESPs have been effective at supporting the formulation of national strategy and policy (5.2). Thus, Danida's contribution can be recognised in improved legal frameworks for environmental management in Egypt and Tanzania, in forestry in Tanzania, in waste management in South Africa, and in relation to climate change in Kenya.

Since the introduction of joint assistance strategies in many African countries, emphasis on **using government systems** to handle aid flows using their own administrative, financing and reporting systems has grown. Danida has done well to follow this challenge (4.7), even though this has meant delays. At local level, and even where decentralisation has made progress, the environment 'sector' has found it hard to plead a special case for either sepa-

149) The Danida Environmental Guide (2009), which replaces the Environmental Assessment for Sustainable Development (December 1999) and the Environmental Screening Good Practice Paper (June 2004). The guide is part of the Danida Aid Management Guidelines (AMG).

rate funding windows (as in the Tanzanian LGDG system) or to be given due attention in district budgets. Where decentralised government has moved more slowly (as in Egypt's case), resources for environmental management have been limited (whether from governorates or from the EPF).

The environment as a sector is complex and multi-faceted, with responsibilities shared across several government ministries and agencies. Different donors also have tended to support separate elements, and there has been no **coherent national framework** to build a programme approach around. Efforts to support specific sub-sectors such as forestry have made more progress but have not reached a level that can be defined as programmatic, at least as defined by the OECD. Recent efforts to build coordination around the climate change agenda may offer a newer alternative framework around which to build, but it may also divert attention away from other existing opportunities.

Capacity development interventions have faced shortcomings due to several factors including: resistance by institutions to being performance measured (on capacity development indicators), in particular when results would depend on others¹⁵⁰; the low attention paid to analysing the influences of external and political processes¹⁵¹; and the trade-off between the long-term perspective needed for capacity development, particularly within traditional and hierarchical organizations, and the shorter time horizon of Danida interventions (8.2). These factors have limited achievement of capacity development at central level. In addition, high staff turnover – especially of key personnel – has been a constraint. Better results have been seen at community level and with local government, a finding that seems to a large extent to be related to the more operational use of the acquired capabilities and less turnover of staff.

There has been more limited progress in designing support for **mainstreaming the environmental agenda** across government agencies and in building capacity horizontally, a situation partly explained by Danida's historical approach which emphasised providing support for mainstreaming of environment in different sectors as part of the support given in these sectors, rather than through the ESPs.

It is difficult to find evidence that programmatic approaches have improved **poverty targeting**, even though Danida's strategy was to underpin its environmental assistance to poverty reduction (as well as to livelihoods and human rights) (5.1). While a more strategic engagement may have occurred, including the inclusion of environmental issues into PRSPs, there has been a reduction in projects with a field presence in the transition to a more programmatic engagement, and links between environment and poverty have become more indirect and longer-term. This may be necessary provided the strategic work resolves key obstacles, but to some extent, many of these obstacles are external to the sector and require wider solutions. Evidence of poverty reduction in terms of economic benefits and through greater voice and empowerment exists in discrete settings such as village groups in and around game management areas in Zambia or community forests in Tanzania, but benefits may also have been captured by rural elites whether in community associations or village committees,

150) Egypt is the best example here.

151) This has been an issue both for the national governments and Danida.

and furthermore benefits tend to accrue slowly as forests or game numbers recover. In urban settings, there have also been notable poverty benefits connected to improved waste management in Zambia, Egypt and Tanzania.

In general, therefore, the efforts by Danida to move to a fully programmatic approach in the environment (as defined by its own guidance) have not made substantial progress so far in the African countries evaluated. Does this mean that Danida should then abandon its pursuit of the programmatic approach? This Evaluation would argue that the answer is not that it should abandon this strategic thrust, but that it should **choose carefully the elements that it should place most efforts and funding on**, based on the past experience and the opportunities that present themselves in future.

Those elements of the programmatic approach (as defined in 3.1) that from this Evaluation have proved more implementable or effective in the environment sphere in the African case countries include:

- **Having a Policy Influence through Supporting National Strategies and Legal Frameworks.** Danida is recognised as an important partner in the environment field by host governments, and has shown that it can provide effective support for the development and implementation of national strategies, partly through its long support of projects (though the basis for this experience is reducing) and through its own devolution that gave embassies a stronger and more continuous platform for engagement.
- **Use of Local Systems.** Danida has done more than others in several countries to increasingly use national financial and administrative systems. The earlier projects in the nineties typically made use of project implementation units that followed Danida procedures. Subsequently, governments have been given more direct responsibility to manage the programmes, and an increasing focus in the programme designs has been on making use of government structures and procedures.
- **Working at Multiple Levels (from National to Local).** Vertical linkages between national dialogue and local action have in several cases been effective and mutually reinforcing. That is to say, there are good examples of programmes with national and local initiatives that were designed to inform and support each other. This was the case for the ESP in Egypt, providing both national strengthening of legislation and systems in the EEAA, while also building capacity and delivering demonstrations at regional and governorate level, and also for the PFM in Tanzania, which sought to use local forest management experiences to inform research and policy agendas, and vice versa.
- **Working with Non-State Actors.** Where support has been provided to non-state actors (including private sector actors), results have been positive (for example the ACI in Egypt, the CEF in Kenya, and the LSW in Zambia).

- **Demonstrations of Good Environmental Practice.** There are good cases of raising environmental management standards that have shown how to upgrade existing systems in a sustainable way. There are also examples of replications of such good practices (for example, local waste management projects in Egypt) within the programmes. The experience also shows that during the period covered by the evaluation, the programmes have become better at introducing demonstrations that would also have a realistic replication/up-scaling potential within a national context in terms of contextual, financial, institutional and technical requirements¹⁵².

152) One very good example is the Egypt case, where very expensive and advanced GEAPs were prepared for two Governorates in an early programmatic stage during 2002-03. These GEAPs were later on referred to as the “Rolls Royce models”. However, since it was not financially and technically possible to replicate/upscale these GEAPs into other Governorates, it was decided later on to introduce a “light model” of these GEAPs, which was then based on a more realistic assumption of local resources and capacities.

11 Lessons and Recommendations

11.1 Lessons

A number of lessons emerge from the Evaluation that can guide Danida in its plans for providing support to the environment in Africa in the future.

National context:

1. **Having a well-founded environmental legal framework provides a strong basis for programme alignment, but does not replace the need for active government leadership and national environmental programming that is linked to the national planning process.** The programme designs evaluated often have a very strong (though sometimes complex) legal and policy framework to which they can adhere. However, this has not always been complemented by sufficiently strong or sustained leadership in the key ministry (Tanzania, Mozambique). High level political support is also valuable (such as in Egypt with the Presidential directives), but this is not a substitute for strong and capable leadership in the key partner organizations. This may be overcome by ensuring that there is an equal commitment to programmatic principles at the top levels of government, including a desire to move away from separate project approaches to those built around government systems.
2. **Building stronger harmonization in the environment sector is constrained by partners who either undervalue the sector or bring new and distinct agendas.** Patterns of donor engagement show a wide range of initiatives, sometimes overlapping, but also with small and diverse interventions in very different fields. To a certain extent, individual donors remain more driven by their head office policies and priorities – which can lead to unilateral introduction of initiatives (such as the massive funding to REDD) and undermines working towards closer co-funding or joint programmes.
3. It has not been easy to find solutions to the problems of **deeper ownership and high level leadership** for the environmental agenda. The evidence points to a combination of having the right individuals in place in key positions¹⁵³, correctly chosen steering committee members, an overarching government entity in charge, and broader advocacy from organs of civil society and the media.
4. **Risk assessment and mitigation.** The influence of external factors (including political power, budget allocations and staffing, international illegal trade) is often significant for environmental programmes. Moreover, the possibility for risk mitigation may be more limited within natural resource management where interventions are often affected by strong forces; such as population pressure, international wildlife or forest agreements etc.

153) It is of course out of Danida's control to ensure this.

Programme design and implementation:

5. **The transition when shifting from project to programmatic engagement and from one programme phase to another requires well-planned exits and handovers to ensure sustainability**, particularly as progress tends to be slower when delivering through government systems. Longer periods of handover (and exit strategies) are necessary for consolidation towards programmatic approaches rather than abrupt closures followed by new initiatives (e.g. Zambia), where successful project interventions as a catalyst is blurred by 1) projects being prematurely abandoned without leaving behind institutional support mechanisms during the transition to a more programmatic approach, and 2) a failure to independently capture, evaluate and document lessons learned aggravated further by an absence of initial environmental and socio-economic baseline data. Positive examples also exist of how programmatic approaches can be introduced more gradually (PFM, Tanzania).
6. **There are benefits from retaining policy-field linkages** (such as continuing some pilot projects or field level interventions that can inform staff and debates as part of the programmatic approach). There was a void left by the closure (and limited lesson capturing) of NRM projects in Zambia so leaving the new ENRMMP with few links to field experience (until the planned Interim Environmental Fund is operational). On the other hand, there are positive examples such as the MEMA and UTUMI projects in Tanzania informing the move to a national PFM programme.
7. **Danida supported interventions have successfully generated pockets of improved environments in several instances**, for example they have established positive linkages between poverty alleviation and better environmental management. Examples of this include parts of a cleaner city in Lusaka, better handling of hazardous waste in Egypt and more effective management of some forest tracts in Tanzania. Of importance for sustaining these improvements, as well as to pave the way for possible replication and up-scaling, is the extent to which supporting institutional, financial and technical capacities and incentives are in place at national and/or local level.
8. **Finding different ways to tackle the host government's capacity constraints is a pre-requisite before or while moving towards a programmatic approach.** This might require extra components, preparatory 'drivers' studies and institutional assessments, or better links with other reform programmes. Three positive examples to illustrate this are:
 - Early strengthening of financial systems in the lead ministry to cope with new funding arrangements (Zambia).
 - Addressing local government capacity needs (PFM/SWM in Tanzania).
 - Linking with other government agencies can assist in capacity and delivery (e.g. working with the Police on enforcement and compliance in NEMA in Kenya).
9. **Lack of well-functioning monitoring and evaluation systems undermines the ability to take management decisions based on actual performance.** The approach of relying on government monitoring instruments, while in tune with aid effectiveness principles, at the same leaves the programme vulnerable to late or missing M&E data as these systems may not function so efficiently. This has been illustrated by:

- Weak M&E data capture and reporting make it virtually impossible to assess the outcomes and impacts of the ESP (particularly in Egypt and Mozambique)
 - Over-positive and non-independent PCRs which tend to focus on successes (not failures) and outputs rather than outcomes (Egypt, Zambia)
 - Stronger long-term, component-specific monitoring and research programmes are necessary, e.g. continuing PFM research in Tanzania, and instigating limited research & lesson learning on sustainable cities (Tanzania), or NRM (Zambia) and Industrial compliance in Egypt.
10. **Learning-by-doing is one of the more effective means to build capacity** including skill transfer and confidence for both formal organizations and for local and informal groups, particularly through hands-on demonstrations and where ownership is transferred.
11. **Long-term technical advisors placed within the target institutions has in some cases proved both an efficient and effective approach** to supporting the programme implementation processes. The technical advisors placed within government agencies have been able to support links between field experience, policy and the production of documentation and research. This has been essential in particular in environmental programmes, which have included different approaches and/or new technical elements.

Resources:

12. **Pursuing a programmatic approach needs to be matched with appropriate funding instruments.** It did not help Danida's pursuit of a programme approach to have to implement the EPSF as a major source of bilateral funding from the late 1990s. The EPSF required new projects to be identified annually and the funding rules militated against the establishment of longer-term, co-funded, government-led initiatives that would adhere to programmatic principles.
13. **The evolution of Danida's global ambition to move to programmatic approaches needs to be in accord with the capacity to deliver by the respective Embassies and by national partners.** The decentralisation process of Danish aid management in 2003 transferred an increasing responsibility for programme management and implementation from Danida HQ to the embassy level. Since this increase in embassy workload and responsibility has not been followed by a similar increase in human resources and capacities at the embassy level, most embassy staff have found it to be challenging both to manage the ongoing portfolio and, at the same time, to develop a new and more programmatic approach¹⁵⁴, not least within such a complex area as environment.

154) This finding also came out as a key lesson from the recent evaluation of the decentralisation process of Danida aid management (See "Evaluation of the Decentralised Danish Aid Management", Goss Gilroy Inc/Orbicon A/S, 2009).

11.2 Recommendations

Based on the Conclusions and Lessons presented above, this final section address the question of whether Danida should continue to pursue programmatic approaches in its environmental assistance to its African partner countries, and if so, how. What are the pre-conditions Danida needs to consider and what elements of a programmatic approach are likely to produce best results and which are likely to fail? Given the mixed and relatively recent experience in the countries studied by this Evaluation, the use of programmatic approaches in the field of environment needs to be carefully applied, and for some operations a project mode may be more appropriate.

Overall Recommendations for *Development Partners, including Danida and National Governments* (Design of Environmental Programmes):

1. It is necessary to be **more pragmatic and selective** in choosing which environmental *programmatic elements* or *sub-sectors* to pursue. These elements should:
 - Set realistic objectives with a **long enough time frame** for expected outcomes to be reached.
 - Be based on joint assessments with government and other donors of a (sub-) sector's **readiness for a programmatic approach**¹⁵⁵.
 - Concentrate on supporting the **formulation/implementation of national environmental legislation, strategies and policies, where national level efforts are combined with sustained support to field practice** that bolster and further enhance the credibility of national acts and policies¹⁵⁶.
 - Include examples of **good decentralised environmental management practices with realistic up-scaling potential** from a technical, financial, institutional and managerial perspective.
 - Support the introduction of **budget codes** that allow environmental expenditure to be captured in different ministries and local governments, and provide support for **environmental units** in different sectors.

2. Efforts should more vigorously be pursued to **include private sector and civil society** not just as implementing agencies but in wider consultation processes and fora concerning environmental policy and strategy. Small resources can give strategic results, and build lessons and understanding. Such support also meets the Accra Agenda for Action emphasis on building domestic accountability¹⁵⁷.

3. Several programmes have had a sustained success in **linking representatives from communities with local authorities around environmental issues** and supporting

155) As also suggested in the recent EC study by E. Buhl-Nielsen and N. Bird, Sector Approaches in Environment and Natural Resources, Final Draft, March 2010.

156) A particular challenge is here related to the fact that environmental management normally involves a large number of public and private sector actors (agencies, authorities, communities and enterprises). Most often it therefore becomes rather difficult to identify one single (counterpart) organization within a Partner country, which can take overall responsibility for carrying out an environmental programme. This is however, context related and differs from one country to another. It is important that this complexity is carefully reflected in the programme design to ensure effective and efficient implementation.

157) The high level forum reviewed progress on the Paris Declaration implementation based a Monitoring Survey in 54 countries, and produced an agenda for action (AAA). See www.accralf.net

official and unofficial dialogue mechanisms. It is recommended that further emphasis should be placed on facilitating such contact and linkages. Although environmental improvements cannot be easily attributed to such local linkages alone, within Danish-funded environmental programmes these inter-connections have been valuable in creating positive conditions for tackling environmental challenges¹⁵⁸.

4. Establishing a link to poverty reduction is not easy in any sector, but in the environment the causality is complex and often indirect and, in the case of natural resources, often long-term. In such cases, the **theory of change or intervention logic needs to be as explicit as possible** and the means of verification carefully developed. In many cases it may not prove feasible to attempt to measure poverty reductions from programme interventions, but, as a minimum, the programme design needs to be specific on this, and clearly describe how the programme activities link to national poverty reduction strategies.
5. Since there is **limited evidence that delivery efficiency** has risen in terms of better transfer of assets to the poor, this may require that future environmental programmes (i) **retain specific field level components while also working at a policy level**, and (ii) better **hold host governments to account for delivery on specific services and assets to the poor** (as is being done with poverty-environment links in government strategies such as the MKUKUTA).
6. Development partners should seek more opportunities to **complement environmental funding with support for environmental mainstreaming in other sectors** where they are engaged – so building on knowledge and experience in both fields.
7. Approaches to capacity development need to be based on more **thorough and better institutional and needs assessments** that must be done early enough to guide subsequent investment. The assessments should include a broader **political-economic analysis** that examines the underlying drivers that affect the willingness of institutions to change. Resources and time for **measuring the results** of capacity development efforts must be allocated in the design.
8. It is recommended to **develop more explicit partnership agreements** with the national government and other relevant institutions, and maybe less ambitious scope for environmental programmes and/or longer timeframes, in order to deal with the often **significant risks and limited mitigation measures** related to programmes within the environment.
9. Environmental programme design **processes should be more explicitly led and jointly funded by the host government**. It should be based on a consultative proc-

158) For example: Increased frequency of contacts between local forest dependent communities and forest authorities in Tanzania; frequent exchanges of notes and discussions between some Community Resource Boards representing communities living in or adjacent to conservation areas and the Zambian wildlife authorities still occur several years after project closures; and the interaction between the urban community based enterprises and the waste authorities in Lusaka is still common. In Egypt, the dialogue and interaction between the Governorates and Civil Society Organizations on environmental matters, in particular waste management, has also been remarkable improved.

ess such as an inter-ministerial task force that would allow key national agencies from different ministries to take active part in the design, commissioning studies and initiating consultation exercises. Development Partners should in addition seek to mutually agree a timeline for the process.

Specific Recommendations for *Danish Embassies and National Governments* (Design and Planning of Environmental Programming):

10. While most of the Danish-funded environmental programmes formulated up to now have comprised separate components with their own budgets, management and results framework¹⁵⁹, a different approach may be required for future environmental programming, creating a single **comprehensive programme and budget framework** where a “programme” is defined in a more limited way such as working within a single sub-sector only, but in a comprehensive and strategic manner. Equally efforts to **link support given to the main environmental agency in a country with mainstreaming in relevant sectors** could be promoted.
11. The Danish environmental programming approach should by default seek to agree **co-funding arrangements** at an early stage rather than tackling this once the programme is underway. Stronger efforts should be made to build broader donor support for new ESPs, and make realistic assessments of the capacity and willingness of government and development partners to co-fund. Where co-funding with government and other partners is not possible, be prepared to delay design work or seek opportunities in specific sub-sectors. Given the lack of a comprehensive environmental programme frame, as well as the particularly complex nature of the environmental ‘sector’, there is a weak basis for better **donor harmonization** of procedures built around sector wide approaches. Therefore, Danida may choose to forego the creation of environmental SWApS, and instead seek to co-fund with a limited number of donors (two or three), while helping others to align with government systems.
12. Danida environmental programme design work should seek **sustained high-level leadership from national government**. Danida should, as it is already doing in some cases, seek to work with strong and influential senior government bodies, such as the Ministry of Finance and/or Planning, and also with other **champions whether from the private sector or other bodies**, to improve leadership for the environmental agenda. Danida may also seek to create pressure for better leadership through advocacy from non-government actors, or via regional or international partners.

Recommendations for *Danish MFA*:

13. Danish MFA should continue to seek ways to **optimize Danida’s planning and budgeting systems** (even though the recently revised AMG is opening up for more budgeting flexibility) to allow that **programme preparation and delivery can work at a pace and time in line with host government planning and priorities** (and not due to Danida’s own funding pressures or project cycle).

159) An example of creating a single comprehensive programme and budget framework is provided by the ENRMMP.

14. Danida should consider **new models for ensuring that human resource capacities will be adequate and sufficient at the Danish embassies** in the future both to accommodate the challenges of the Paris Declaration (e.g. skills in policy dialogue, negotiation, public sector financial management), to manage the role as sector “lead donor” (which Danish embassies often are within environment), as well as to manage large, complex decentralised programmes (such as environment)¹⁶⁰.
15. Danida should consider **linking programme investments with support to establishing the pre-conditions for programmatic approaches to work**, such as early support for financial and administrative capacity building, or undertaking drivers of change studies or institutional assessments that consider wider political-economic factors.
16. Danida MFA should ensure, together with the embassies, that **sufficient resources are allocated and independent evaluations planned and implemented to better document and communicate results and impacts from the significant environmental investments**. Danida-managed Annual Reviews provide a valuable and regular judgement on progress, but major multi-year investments would benefit from a more thorough and complete evaluation either at the *mid-term* or the *ex-post* stage¹⁶¹.

160) This recommendation is supported by the “Evaluation of the Decentralised Danish Aid Management” (Goss Gilroy Inc/Orbicon A/S, 2009), which highlighted competency gaps among Danish embassy staff within two main areas: “Non-sector-specific” skills (e.g. public sector financial management, the Paris Declaration principles, new aid modalities (including various forms of budget support), negotiation skills and policy dialogue) and “programme management” skills (e.g. contract management, results management, the AMG, and Danida’s reporting cycle).

161) As an example, Danida invested nearly DKK 95 million in the Tanzanian SCP between 2000 and 2007, but there has been no independent consolidated evaluation of achievements and experiences. Richer analysis of the experience and of the impact could benefit both the current UDEM component and possible future engagement with the Strategic Cities Project. Such an evaluation was done in South Africa: Urban Development and the Poor Lessons learned From Danish Assistance to Southern Africa, Technical Note, Danida, 2008.

Appendix 1

Terms of Reference

Evaluation of Programmatic Approaches¹ to Support for the Environment in Africa, 1996-2009

1. Background

Danida has provided support within environment since the early eighties. The support has been given partly as support to environment as a cross-cutting issue; partly as grants to small scale projects funded by individual embassies or international NGOs and multilateral organizations working on environmental issues; and finally through bilateral environmental programmes funded either from the official bilateral Danish development assistance or from the special environmental support established in 1993².

While most other donors have tended to treat environment solely as a cross-cutting issue and/or have supported environment mostly through specific project interventions, Danida has since the mid nineties delivered a large share of the environment support through bilateral environmental programmes.

The bilateral environmental programme portfolio during the evaluation period has comprised three different clusters: a) environmental programmes funded by ordinary development assistance; b) special environmental support programmes and finally c) environmental activities taken over by Danida following the relocation of DANCED activities from the Ministry of Environment to the Ministry of Foreign Affairs after the change of Government in 2001.

The Environmental Sector Programme Support (ESPS) was initiated in five countries (Bhutan, Egypt, Nicaragua, Bolivia and Nepal). These programmes were to be based on the general principles for sector programme support (SPS), which Danida adopted in 1996. The programmes have had an explicit focus on capacity development for environmental

- 1) The term programmatic approach is used in this paper to denote the attempt by Danida to support environment as a sector but without necessarily using all the elements of a classical SWAp approach. See further explanation in the text below.
- 2) The special environmental assistance was originally known as the MIKA-frame (Miljø og Katastroferammen). From 1993-95, the support was targeted at countries above the threshold for countries eligible for bilateral ordinary development assistance (ODA) and was administered solely by the Danish Ministry of Environment and Energy. From 1996 onwards, MIKA funds could also be used in countries eligible for ODA and a joint strategy was therefore prepared with a view to ensure coordination of development assistance and the special environmental support. The frame was later renamed MIFRESTA (Miljø-fred-stabilitet or Environment, Peace and Stability). From 2002 onwards all special environmental assistance was transferred to the Ministry of Foreign Affairs.

management at various levels and overall development objectives have often focussed on the important links between environment and poverty reduction.

The special environmental support programmes were initially started up as individual environmental projects under the MIKA/MIFRESTA framework. From 1998 onwards Environment Support Programmes (ESPs) were developed covering the special environmental support to Zimbabwe, Malawi, Zambia, Tanzania and Mozambique in Africa and to Laos, Vietnam and Cambodia in Asia. The ESPs acted as a frame for the individual projects funded by the special environmental assistance. The programmes and individual projects under these have focussed to varying degrees on building up capacity in the field of environmental management at different levels (national, regional, local) and at the same time aimed at creating results in terms of reducing environmental problems/protecting the environment while to some extent taking into account the poverty-environment link.

The special environmental assistance initiated by Daned covered basically middle-income countries such as Thailand, Indonesia, Malaysia and South Africa. These activities were more strictly aimed at promoting improved environmental management and did not, initially, include a focus on the links between poverty and environment.

In 2002, the special committee for environmental assistance was abolished and activities funded under the special environmental assistance have since then gradually been designed and implemented in accordance with the general rules for Danish ODA as reflected in the Aid Management Guidelines (AMG; see www.amg.dk/en). In due time, new programmes funded by the special environmental assistance have also been initiated e.g. in Kenya (2005).

The portfolio of bilateral environmental programmes has thus been established as a result of reformulating and merging on-going environmental assistance activities into programmes of different kinds. Very few programmes were initiated using a programmatic approach from the very outset, but as old phases of projects and programmes were phased out, attempts have been made to design the support in a more programmatic way. This historical development obviously has to be taken into account in an evaluation of the experience with Danida's use of programmatic approaches in the field of environment.

Key elements of the programmatic approach have included:

- analysing the national context in which interventions were to take place (environmental legislation, institutional set-up, national and local actors)
- investigating the possibilities for synergies between activities at different levels (policy formulation, enforcement, capacity development at national, regional and local levels) and between different sectors and
- investigating possibilities for implementing activities in the field of environment using national systems and in cooperation with other development partners (i.e. increasing alignment and harmonisation).

In the environmental sector support programmes one major distinction for a programme was the presence of an overall programme steering committee, programme monitoring frameworks as well as a common strategy for the implementation of the components of the programmes. The strategy often referred to a specific approach to capacity development

defined according to DAC's principles for capacity development in the environment as well as to a clear sustainable livelihood/poverty reduction approach.

The first Danida guidelines on Sector Programme Support (SPS) were built on the assumption that the principles of the SPS-guidelines would be applicable to all different types of sectors. Experience has shown, however, that the principles in the SPS-guidelines can be more easily used in some sectors than in others. In the case of environment, the application of the SPS-approach has represented a number of special challenges. The present evaluation poses an opportunity to assess the experience gained from using and adapting the SPS-principles to an area (environment) with special characteristics and challenges (multi-sectoral by nature, many different institutions and stakeholders, and different levels of political support).

The experience with the use of a more programmatic approach in the field of environment by Danida has so far not been subject to evaluation. Meanwhile, substantial amounts of funds and efforts have been invested in the bilateral environmental support. This represents in itself a justification for analyzing the experience gained.

Relevant evaluations of Danish development assistance include the general evaluation of Environment and Development (1996/2) and two evaluations of the special environmental assistance to Southern Africa and Southeast Asia³. Sector support to the environment has also been evaluated as part of country programme evaluations (Bolivia 2002/2, Nicaragua 2002/7 and more recently in Mozambique, 2008/5). Recent evaluations by other donors (such as UNDP, the World Bank, IOB etc.) of environmental support also provide valuable information on the approaches taken by other donors and on lessons learned.

A large body of reviews, PCRs and lesson learned papers on individual projects and programmes supported by Danida (in Africa and elsewhere) is available and will provide important background information for the evaluation. Two reviews of a more cross-cutting nature should also be mentioned: the 2005 review by the Danish Institute for International Studies on the experience with integration of environment as a cross-cutting issue in Danish bilateral assistance and the thematic review from 2009 conducted by the Technical Advisory Services and focussing mainly on results obtained within the field of environment during the period 2004-2008.

The current strategy for support to the environment (Danida, 2004) expired in 2008 and development of a new strategy will take place after the high-level meeting on climate change (COP15) in Copenhagen in December 2009.

Against this background, the Evaluation Department (EVAL) in Danida has decided to initiate an evaluation of the experiences to date related to the use of programmatic approaches in the field of environment⁴.

3) Danida's Environmental Assistance to Southern Africa (2000/7) and Danida's Environmental Assistance to Southeast Asia (2003/6).

4) Climate change activities will be covered to the extent that such activities have been taken up within the environmental programme portfolio.

Consultations have been initiated with relevant partner countries on the possibilities to conduct the evaluation as a joint exercise. Efforts will also be made to involve other development partners (bilateral and multilaterals) in the evaluation process e.g. during country field work and/or evaluation workshops.

2. Evaluation Framework

An evaluation of all Danida supported environmental programmes would be an immense and very difficult task to accomplish due to the differences, both in circumstances and approach between the various activities. At the same time, support to development processes in Africa is a high priority of the Danish government. It has therefore been decided to focus the present evaluation on experience to date with the application of the programmatic approach to support in the field of environment on Africa. Experience from elsewhere may be included, however, as part of the background for evaluating the experience gained so far and to put the experience from the African partner countries into perspective.

Two areas will be specifically looked upon, and the OECD/DAC evaluation criteria as well as the 3Cs (see below) will be applied in the detailed analysis of these main areas. The focus on selected areas is intended to help Danida and its partners in development understand the possible value added of using a programmatic approach in environment support in contrast to focussing only on a) a project-by-project approach and b) environment as a cross-cutting issue – and to help foster discussions on how bilateral environmental programming in African partner countries can become more effective in the future.

3. Main Purpose

The main purpose of the evaluation is:

- To analyse achievements (results and where possible also impact) and challenges from the use of programmatic approaches in the field of environment in Danish partner countries in Africa during the period 1996-2009 in view of the various challenges (environmental and developmental) faced by the countries, and promote lesson learning for future strategies on and implementation of environmental support.

4. Evaluation Focus and Key Questions

The evaluation will focus on the following areas:

- Results, challenges and experiences linked to the implementation of programmatic approaches in the field of environment given the cross-sectoral nature of the sector, including lessons learned on the use of different modalities (basket funding, project support, use of national systems vs. parallel implementation units, linking field experience with policy development etc.).

- Capacity development, in particular development of environment and natural resource management institutions at central, regional and local level, which has been a major component in many bilateral environmental programmes in African partner countries.

By focusing on these issues, the evaluation should be able to examine the *impacts* of using different delivery mechanisms in the field of environment, and thereby provide inputs to the upcoming formulation of a new Danida environment strategy. In view of the upcoming formulation of a new environment strategy, the evaluation will i.a. analyze the added value of using different forms of programmatic approaches to support in the field of environment in addition to the support for environmental safeguards in (other) sector specific programmes⁵.

Table 4.1 Proposed Key Evaluation Questions

Overall Evaluation Question:
<p>What have been the key lessons learned from the attempts made by Danida to use a more programmatic approach in the field of environment and natural resource management in Africa during the period from 1996-2009? Has the approach been relevant and effective in creating results (and possibly impact) taking into account the main challenges in the field of environment faced by the partner countries? What value added, if any, has the intended use of a more programmatic approach had? Against this background: what recommendations can be made for the future direction of support in the field of environment and natural resources management?</p>
Specific evaluation questions:
<p>What results (outputs, outcomes and to the degree possible, impacts) have been achieved from the interventions in the evaluated programmes? And what were the mechanisms of change that helped created the results, if any?</p> <p>What special challenges have occurred in the application of the programmatic approach to the support in the field of environment and natural resource management? Which drivers and movers have helped move the environmental agenda at country level?</p> <p>What has been the experience with the use of different modalities (basket funds, projects, sector budget support etc) within the programmatic approach as applied in different environmental programmes? What have we learned about the cost-effectiveness and possible sustainability of different modalities?</p> <hr/> <p>What lessons can be learned from the support to capacity development in the field of environment at central, regional and local levels?</p> <p>Have the considerable investments in capacity development resulted in the creation of an improved framework for environmental management and other results with respect to capacity development in line with the DAC definition on CDE? Are environmental laws and regulations being enforced and if not, why not?</p> <p>Have the investments in capacity development in environment helped reduce environmental problems and poverty among the poor?</p>

- 5) Environment has been a cross-cutting issue in Danish development assistance since the 1980es and to date all SPSes and other major programmes are subject to an environmental screening procedure. See guidelines for environmental screening at www.amg.um.dk/en (see under 'environmental guide').

5. Approach and Methodology

The evaluation will be carried out in accordance with the Danida Guidelines for Evaluation (MFA/Danida, 2006) and the OECD/DAC Evaluation Quality Standards. The guidelines require, *inter alia* that a sound methodology for all evaluations be used and explained in the evaluation report. The purpose of the methodology, and the basis on which its soundness is assessed, is to produce reliable data that allow for valid evaluative judgments that are useful for learning and decision making.

The evaluation can in some ways be considered a 'thematic' evaluation, i.e. with a focus on delivery mechanisms. The delivery of aid is evaluated in terms of the efficiency by applying a programmatic approach in the development assistance, in particular in regards to capacity development and decentralisation. The evaluation should provide knowledge regarding the effectiveness of programmatic approaches in the field of environment, that is, the degree to which the objectives have been achieved. In order to thoroughly assess the linkages between the programmatic approach and the specific achievement of objectives, the methodology is expected to include aspects of theory-based evaluation, outlining the programme theory and investigating whether and how the delivery mechanisms and the results chain (outputs, outcomes and to the degree possible, impacts) have functioned as expected.

The methodological approach of the evaluation is expected to include the following main elements:

- Literature review to place the evaluation into context: Review of existing best practice papers and evaluations in the field of environment as well as of policy papers and other types of documentation by other development partners on their approach and experience with environmental support (benchmarking).
- Review of the historic development of the Danida support in the field of environment, considering the different strategies for environmental support, and development of the programmatic approaches since the start of the programming activities in 1996 using both literature and key informants as a basis for the assessment. Main emphasis will be on the period from 2004 onwards.
- Extensive literature review and analysis in order to extract lessons learnt and best practices as well as documentation/information regarding results achieved from the programme activities in selected programme countries (see below). The literature review will include programme documents, reviews and completion reports, RAMs, relevant technical reports, etc.
- Interviews with key informants, including Danida staff (HQ and field) involved in environmental programming (development and implementation) during the evaluation period.
- Review and analysis of the development and objectives of the programmes in the selected programme countries as well as of the programme theory behind these taking into consideration various challenges faced by the partner countries (environmental and developmental challenges to be considered). Main focus will be on the three countries selected for field work (Egypt, Tanzania and Zambia), but experience from

Mozambique, Kenya and South Africa should also be considered (based on existing documentation and interviews with key informants in these countries).

- Field work⁶ in three a priori selected African countries. The three countries selected are Egypt (started as SPS programme under ordinary ODA in 2001), Tanzania and Zambia (where special environmental support was initiated in 1999 and 2003 respectively). The field-work will beside from analysing the actual implementation and achievements of the programmatic activities, also analyse the differences in the approach, and benchmark the results from each country.
- Analysis of lessons learned and write-up of draft evaluation report taking into considerations the findings from both literature review and field work.
- Stakeholder workshop in an African partner country bringing together a broad range of representatives from interested partner country agencies (including both government representatives, NGOs and private sector representatives); selected development partners etc. The aim of the workshop will be two-folded: a) to give feed-back to the evaluation team on the key findings, conclusions and recommendations and b) to discuss how the evaluation can be utilized in ongoing and future implementation of environmental support and in relevant strategy development processes.
- Write up of final evaluation report and participation in dissemination workshop in Copenhagen.

If deemed feasible, a broader e-mail survey covering selected partner countries where the programmatic approach has been applied, but where field work will not be carried out, could be included in the evaluation design. The survey should focus on experience with the formulation and review processes, the benefits of programming in the field of environment etc.

The methodological approach shall ensure that the following topics are addressed in depth:

- The possible value added of using the programmatic approach to improved environmental management taking into account the interactions (possible synergies as well as issues of potential or actual conflict) between national, regional and local levels.
- Extent to which analysis of different stakeholder interests have formed part of the background for the planning of specific interventions (context analysis, political economy of the environment).
- Experience with development of decentralised environmental management, in particular with respect to capacity development of decentralised environment institutions, and key lessons learnt from integrating environmental concerns into ongoing decentralisation and other reform processes (e.g. environmental taxing).

6) Field work is expected to include both interviews at central level (with ministries and other relevant stakeholders) and visits to relevant locations where decentralised environmental support has been ongoing.

- Achievement of intended outputs, outcomes and results linked to both capacity development and specific environmental activities - and whether/how this can be related to the applied modalities in programmatic approaches, e.g. sector budget support, basket funding, co-financing, use of Government financial and administrative systems etc.
- Extent to which the Danish funded support to environment has made a difference in the selected partner countries – and if so, elaborate on how and why the changes were brought about.
- Extent to which programmes have used national financial systems and implementation mechanisms (as opposed to parallel systems) and extent to which government/national ownership and sustainability of programme activities have improved as a result of the use of programmatic approaches. Be cautious about the differences between government ownership and a broader national ownership.
- Analyse whether the use of programmatic approaches have resulted in improved environmental management and development of safeguards in other sectors.
- Extent to which the use of programmatic approaches has resulted in lowering of transaction costs related to delivery of support (e.g. resulting in improved division of labour between development partners, reduced burden on national agents in terms of planning, monitoring and reporting on use of development assistance etc).
- Extent to which the use of a more programmatic approach has resulted in better coordination with other Danida programmes and other development partners in the field of environment and how such efforts can be strengthened in future.

At a more general level, the methodology must ensure that the question of attribution versus contribution is addressed in a systematic manner. Data triangulation and validation of information shall be considered in all aspects of the evaluation.

The analysis of capacity development activities and results should take into consideration the considerable body of literature on capacity development in environment developed in the 1990es⁷ and build i.e. on methodological insights gained from the development of the framework for evaluation of capacity development supported by EVAL in the period from 2000-2002⁸.

Lessons learned shall be assessed in terms of explicit criteria and conclusions provided as to whether the lesson was a success/failure or improvement/deterioration in the initial environmental conditions (e.g. levels of emission of toxic substances in the transport sector or changes in forest cover if the intervention concerned is in the forest sector). Other criteria for success could link to capacity development (improved performance of mandates

7) Including the publication on Donor Support for Institutional Capacity Development in Environment. Lessons Learned. OECD 2000.

8) Boesen, N. & O.Therkildsen (2005): "A results-oriented approach to capacity change, Danida, Copenhagen. (<http://www.um.dk/NR/rdonlyres/780914AD-A4C4-42C2-8039-8115F4CA0DDB/0/KortCDbriefintro.pdf>)

of environmental institutions or of decentralized bodies in environmental management), reduced tensions among stakeholders or poverty reduction among groups depending on natural resources for their livelihoods. Crucial is the need to link (sector specific) conclusions to a given specified criterion.

Inspiration regarding sector specific criteria may be found e.g. in the “best practice” papers for environmental support development by Danida (see Danida Development Forum at: <http://www.danidadevforum.um.dk/en/menu/Topics/EnvironmentAndSustainableEnergy/Environment/ToolsandReferences/GoodPractices/GoodPracticeNotes>).

The evaluation team shall comment on and develop the methodology further as part of their proposal (bid) and as part of the inception report. Proposals for improvements/consolidation of the suggested methodology will be welcomed.

5. Specific Evaluation Criteria and Questions

The OECD/DAC evaluation criteria (relevance, efficiency, effectiveness, impacts, and sustainability) will be applied. Measuring the impacts of using programmatic approaches in environment support can be a difficult task. However, given the focus areas outlined above, it is expected that some lessons learnt can be extracted on the impact of using programmatic approaches in the field of environment. The other OECD/DAC criteria are well placed to be applied in this evaluation. In table 5.1 references are given to Danida guidelines as well as to the OECD/DAC criteria which should be used to answer the overall evaluation question, and the more specific evaluation questions.

Although the evaluation should use the OECD/DAC evaluation criteria as guiding principles for the evaluation, the 3Cs (Coherence, Complementarity and Coordination) approach for the evaluation⁹ will also be relevant to the analysis.

9) The 3Cs approach was developed in the pretext of the Maastricht Treaty by EU member states in 2003 for the evaluation for the EU's development cooperation policies and operations.

Table 5.1. OECD/DAC Evaluation Criteria

Evaluation Criteria	Danida Guidelines	Questions in relation to the use of OECD/DAC criteria in the evaluation.
Relevance	The extent to which the objectives of development interventions are consistent with the beneficiaries' requirements, needs, priorities and partners' and donors' policies	<ol style="list-style-type: none"> 1. Has the development and intermediary objectives of the programmes been relevant and aligned with Government objectives in the field of environment? 2. Has the environment programme support been aligned with Government policies and plans, including overall poverty reduction or development strategies as well as sector policies and plans? 3. Has the support offered been relevant for the development of the national framework for environmental management? 4. Were the specific component activities chosen by looking into the State of the Environment reports or other relevant review of the priority action to be taken?
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results	<ol style="list-style-type: none"> 5. Did the environment activities in any way safeguard activities in other Danida sector activities? 6. Can increased efficiency by using programmatic approaches be documented? 7. Has the use of a programmatic approach resulted in reduced transaction costs? And has the use of recipient country financial management systems improved the efficiency in disbursement of funds etc.? 8. Has any increased use national systems (incl. local management arrangements) helped improve the implementation of the environment programmes, compared with parallel management arrangements? 9. Have any shared management systems with other development partners been used and have they helped reduce overlapping of interventions, and smoother implementation of programmes? 10. Have the costs of implementing environment programme activities been shared with other Danida activities?
Effectiveness	The extent to which the development interventions objectives were achieved, or are expected to be achieved taking into account their relative importance	<ol style="list-style-type: none"> 11. Has the application of programmatic approaches reinforced the achievement of programme development and intermediate objectives? 12. To what degree have intermediate objectives been achieved? 13. Has the use of programmatic approaches in support to the environment helped increase effectiveness, e.g. as a result of more local ownership? 14. Have the capacity development activities, centrally and locally resulted in faster and smoother implementation of the activities? 15. Was the implementation of the activities more effective by using programmatic approaches? 16. Have efforts been made to develop more coordinated and harmonized support in the field of environment? What has been the outcome of such efforts and have they improved effectiveness in implementation of aid?

Impacts	The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended	<p>17. Has the level of ambition in the development objectives been adequate? To what extent were they targeted on measuring and achieving environmental impacts versus other (e.g. social or economic) impacts?</p> <p>18. Have the use of programmatic approaches improved environmental management at the local and central levels? (attribution vs. contribution issue to be addressed).</p> <p>19. Which results and effects of the programmatic approaches can be documented both with respect to improved environmental management in itself, and to the outcomes and – to the degree possible – impacts hereof.</p> <p>20. Any lessons learned on which modalities provide most “value for money” in the field of environment?</p>
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. Probability of long term benefits. The resilience to risk of the net benefit flows overtime	<p>21. Has the use of programmatic approaches increased the local ownership, both in terms of sustaining the financing of the activities and in terms of integration in the local plans?</p> <p>22. Are there indications of increased sustainability as a result of increased use of local management systems and the offset in Government policies and plans?</p> <p>23. Has the use of local financial systems resulted in more local ownership, when it comes to financing and allocation of government contributions?</p>

The approach of 3C evaluation is given in the table below, with special emphasis on evaluation of the use of programmatic approaches in the field of environment.

Table 5.2 3Cs evaluation approach in the field of environment

3 Cs approach	General Description	Questions in relation to the use of 3C criteria in the evaluation
Coherence	There is non-occurrence of effects of policy [intervention] that are contrary to the intended results or aims of policy [intervention]	1. Has the programme approach ensured coherence between Danida interventions and Government policies and plans? Has the Danida support been given with due considerations to Government contributions in the sense that the ODA has not overfunded specific programme activities? 2. Priorities of environmental interventions to pursue same objectives as development programmes, i.e. poverty reduction and sustainable economic development.
Complementarity	There is no overlapping of development assistance in the environment sector	3. Has programme elements, such as Joint Financing Agreements, basket funding or similar arrangements been developed and have they enhanced the complementarity and ensured best use of funds? Has comprehensive overviews of the environmental support in particular countries been established and used as a foundation for (joint) planning? If not, why not? What difference, if any, has the Danish involvement made?
Coordination	That two or more development partners harmonise their policies, programmes, procedures and practices so as to maximise the development effectiveness of aid resources.	4. Has the programmatic approaches used helped foster increased harmonisation and alignment in line with the Paris Declaration and the Accra Agenda for Action (AAA) - over and above what individual projects might have done? 5. Has the coordination between Implementing Agencies and the ODA development partners been improved by the application of programmatic approaches in the field of environment?

Source: Adapted from www.three-cs.net. Text in [...] is added for clarity.

7. Time Table

The evaluation will be launched as soon as possible after the selection of the consultancy team and not later than 15 September 2009. The draft evaluation report shall be ready by mid March 2010.

After launching, a Draft Inception Report will be prepared by the Consultant and circulated for comments among stakeholders and in the Reference Group. The final Evaluation Report will be prepared based on comments to the Draft Evaluation Report from stakeholders, reference group members and the Evaluation Management.

8. Composition of the Evaluation Team

The Evaluation Team shall consist of international and regional/local consultants with experience in evaluation of development assistance (i.e. evaluations that conform to the DAC evaluation definition).

The organisation of the team's work is the responsibility of the consultant and should be specified and explained clearly in the tender. The Team Leader should be an international consultant. The Team Leader is responsible for the team's reporting to and communication with the Evaluation Management, and for the organisation of the work of the team. The Team Leader will participate in the Evaluation Reference Groups' meetings and other meetings as required.

Copenhagen 24 June, 2009.

The full text of the ToR can be found on the CD-ROM

Appendix 2

Key References

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Appendix 3

Evaluation of Adherence to Programmatic Criteria for Environmental Support Programmes in Case Study Countries

	Egypt	Zambia		Tanzania	
Criteria	ESP	1st ESP: NRM/LSW	ENRMMP	1st ESP: PFM + SCP	2nd ESPS UDEM + EISP
1. Strengthening the capability of the poor	Weak: Though some investments at governorate level were designed to benefit the poor, most benefits likely to be indirect and longer term.	Good: Targeted poor communities in Game Management Areas and in peri-urban Lusaka	Fair: Limited evidence so far that design will directly impact on poor. Future success will depend on how the Interim EF and the CSO fund selection criteria allow these funds to target poor.	PFM Good : Targeted villages to manage forest reserves SCP Good: Targeted poor urban dwellers to manage local waste collection	Fair / Weak: indirect support through national and local structures to improve urban waste management, which would benefit poor. EISP Weak: focus more on national capacity building in ministries for environmental management with long-term benefits to the poor
2. National ownership	Good: Programme explicitly supports Law 4, and EEAA policy statements. However, Danida funding of activities was strongly seen as additional aid funds, and were tightly controlled by TA	Fair: Recognised the primacy of the NEAP, and sought to build local ownership through community boards and councils. LSW based on local govt and health legislation	Fair : In principle well aligned, but govt. ownership has not been very strong so far or wide across stakeholders, especially outside MTENR, and even within MTENR	PFM Good: was designed to build on legislation, FBD committed SCP Fair: used sustainable cities concept but had limited national linkages	UDEM Weak: Though on paper UDEM concept supported, PMO-RALG did not take sufficient ownership EISP Fair: While EMA support was a govt. initiative, the Act was new (2004) and wider govt. commitment less strong

	Egypt	Zambia		Tanzania	
Criteria	ESP	1st ESP: NRM/LSW	ENRMMP	1st ESP: PFM + SCP	2nd ESPS UDEM + EISP
3. Capacity development	Good: Capacity development at various levels	Fair: mainly local capacity development of local govt. & communities	Good: Capacity development is a central focus though exact approach still depends on assessments that are yet to be done.	PFM Good: built community and district ownership SCP Fair-training at municipally and community level	Fair - UDEM & EISP design criticised for lack of detailed inst. capacity assessment but both have extensive CB support and aimed to follow GoT Capacity Building Programme (2005) in terms of mainstreaming
4. Long time perspective	Fair: Programme ran for seven years with major redesign half way through. With Danida exiting from Egypt no possibility of extending support	NRM Weak: three years then extensions before closure LSW: Fair: Two phases over five years but then discontinued	Weak : Programme designed to run for four years only	PFM Good: continued support over 12 years SCP Weak: each city received a fixed period of support of three or five years	UDEM Weak – Four year time frame, and with slow results, RDE may cancel and merge with WB Strategic Cities Project EISP: Fair – Five year timeframe (to match MKUKUTA)
5. Coordinated support	Weak: EEAA coordination of donors not strong – different projects run without complementarity (except for linkage between SEAM and ESP). Donor coordination essentially information exchange, with no joint analysis	Weak: Danida funded both components alone	Fair: Four donors joined programme but only two of these funding so far. Norway may not fund, and UNDP has limited resources. No other donors (especially larger ones have shown interest so far).	PFM Fair: Finland, WB and Norway funding in complementary way SCP Weak: no other donor	Weak: although planned for other donors to join, there was no agreement in place at start up For EISP, though basket funding proposed, this has not taken off and funding has been inadequate

	Egypt	Zambia		Tanzania	
Criteria	ESP	1st ESP: NRM/LSW	ENRMMP	1st ESP: PFM + SCP	2nd ESPS UEDEM + EISP
6. Works at multiple levels	Good: Provided support for national frameworks/ systems as well as components for sub-sectors (in private sector and <i>governorates</i>) and for local demonstration and capacity building	Fair/Weak: NRM worked at local level, though some linkage with NRCF to national level, but little interaction between them. LSW also limited linkages between city and national	Good: Provides support for national frameworks/ systems as well as components for sub-sectors and through the Interim Environmental Fund and the CSO fund for local demonstration and capacity building	PFM Good: combined community, district and national actions within policy framework SCP Weak: mainly at city level, with poor links to PMO-RALG & other national bodies	UEDEM Good – design involves explicit links between PMO-RALG and LGAs EISP Fair: focus more on MDAs (mainstreaming of line ministries) and setting up of EMUs at LGA level was deferred to later in the design. ¹
7. Accountability & Transparency. Use of local systems	Fair: Danida procurement and financial systems took precedence, though local financial and audit systems were used and local procurement for smaller purchases. Weak capacity of EEAA planning and M&E meant that ESP developed its own reporting system	Weak: NRM components managed by Danida: little use of GRZ systems, though District was co-signatory. National coordinator initially housed in RDE and not part of MENR LSW – designed as separate unit, later adopted by LCC as semi-autonomous	Fair: Basket-funding offers possibility for Zambian procurement and financial systems to be used, but considerable assistance needed to enhance the capacity of local systems.	PFM Good: Designed to use local govt systems SCP Fair – using municipal systems though managed by TA	Good: Govt. leads on management structures and funds flow through GoT systems (though concerns about efficiency has led to Value for Money studies by Danida)
8. Common programme management and result structure	Fair: ESP was managed with a PMU placed within EEAA, so operating as a normal project. But co-management between TA and EEAA was appreciated and seen as more integrated than other projects.	Weak: different components to be supported separately, and under different ministries (Local Govt for Urban Env, and MENR for NRM)	Fair: MTENR is managing ENRMMP, led by Planning Dept, but some issues over weak leadership in Ministry and difficulty of keeping statutory bodies on board. Results framework is good	Fair: FBD managed programme, though results framework driven by different donor. Joint reviews were planned and took place SCP Weak: each city designed as separate project though under	Weak: The ESPS comprises three different sub-sector components with no common management and separate results frameworks.

¹ Though in fact EMUs were set up in 90% of LGAs by 2009 and their funding has become a PAF indicator.

	Egypt	Zambia		Tanzania	
Criteria	ESP	1st ESP: NRM/LSW	ENRMMP	1st ESP: PFM + SCP	2nd ESPS UEM + EISP
9. Integrated components	Initially weak but improved later. Seven components at the start with little connection between some of them. Synergy expressed on paper (e.g. between central and local levels), but less integration in practice due to administrative/ political differences between central government and governorates. EEAA maintained full control of ESP, and early devolution has reversed. EPF has not delivered much outside of Danida EMG. Limited EEAA funds reach EMUs, who largely depend on governorate for resources.	Weak: urban and NRM aspects had little integration, though NRM aspects were linked to each other	Initially weak but improving. On paper ENRMMP has strong inclusion of various actors (on steering committees) and capacity building is available for all MDAs.	PFM Good – local, national and research components integrated in Danida programme and took over from earlier projects SCP Weak – separate projects were not integrated	Fair: All components were implemented within the GoT systems. But the ESP components were not particularly integrated with each other. Budgets could be transferred between components if needed, and an ESPS management budget allowed for reviews, studies.
10. Allows Policy dialogue	Weak. Limited evidence that ESP was designed by Danida for policy influence. Although support for a strategic plan for EEAA was proposed by ESP reviews, no such strategy was requested or prepared.	Weak: focus was on local environmental work with limited national dialogue thru NRCF. LSW also did not focus on building policy dialogue	Weak so far. Limited evidence that ENRMMP has been used by Danida (or SAG members) for policy influence. But Senior Govt officials represented on Steering Committee	PFM Fair : dialogue though FBD and national steering committee (NFPSC) SCP Weak – lack of a channel to influence national policy – no urban ministry as such	Fair: the anchoring of UDEM in PMO-RALG should have brought policy influence, except that PMO-RALG was known to be weak and with a large reform agenda Good: choosing to work through VPO and EWG structure

Acronyms: NRM: Natural Resource Management, ENRMMP: Environment and Natural Resources Mainstreaming Programme; PFM: Participatory Forest Management; SCP: Sustainable Cities Programme; UDEM: Urban Development and Environmental Management Framework; EISP: Environmental Management Act – Implementation Support Programme. EMG: Environmental Management for the Governorates, EEAA: Egyptian Environmental Affairs Agency, NRM: Natural Resources Management, SAG: Sector Advisory Group, EMU: Environmental Management Unit, RBO: Regional Branch Office, LSW: Lusaka Solid Waste

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