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Swedish Bilateral Support to Environmental Capacity Development – Overview of Key Results and Lessons Learned

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Foreword

Climate change and environmental degradation pose serious threats to poverty reduction and democratic development. To meet these challenges efficient environmental management systems need to be developed. This is achieved through competent, well-functioning and democratic public institutions at regional, national and local level. National capacity, laws and institutions for environmental management have developed considerably in developing countries during recent years. Environmental legislation and dedicated agencies are now in place in most countries.

Despite the progress made, environmental agencies are still often weak due to unclear mandates in policy formulation and law enforcement, a lack of influence in governments and a low priority in national budgets.

The Swedish Government's policy for environmental and climate change in Swedish development cooperation 2010–2014 strongly promotes strengthened institutional capacity in public administration as a priority activity, and Sweden has contributed to national environmental management through support aiming at strengthening environmental institutions in a number of partner countries.

There is a need to further develop methods for support to national environmental management and environmental institutions. This report aims at documenting and analyzing key results and lessons learned from Swedish bilateral support to national environmental capacity development in eleven countries.

Johan Schaar, PhD
Director
Department for Policy Support
Sida

Acknowledgements

The study was commissioned by Sida and is based on a review of evaluation reports and programme documents for eleven Swedish-supported programmes in Vietnam, Lao PDR, China, Kenya, Tanzania, Burkina Faso, Serbia and Western Balkan (Albania, Macedonia and Serbia). Interviews with Sida staff and technical advisors, a literature review and a lessons learned seminar at Sida have also been conducted as part of the study. All the supported programmes aim at strengthening environmental ministries or agencies at the central or provincial levels.

This document has greatly benefited from the exchange of experiences on Swedish support to capacity development of environmental institutions that took place at a seminar at Sida on the 9th of November 2009. The seminar participants as well as the people interviewed as part of the study are gratefully acknowledged for their contributions. Special thanks go to Mats Segnestam, Tomas Andersson, Maria Berlekom, Marianne Tegman, Ewa Brederman, Annika Otterstedt and Niels Juhl Busch who provided comments on an earlier draft of this document. Responsibility for the content of the report rests with the authors alone.

Acronyms

CDE – Capacity Development in Environment
CDM – Clean Development Mechanism
CDTF – Community Development Trust Fund
CPLAR – Vietnam – Sweden Cooperation Program for Land Administration Reform
DoE – Department of Environment
DoNRE – Department of Natural Resources and Environment
DEP – Directorate of Environmental Protection
EEA – Environmental Education and Awareness
EIA – Environmental Impact Assessment
ELIS – Environment and Land Information System
EPA – Environmental Protection Agency
EPL – Environmental Protection Law
EPS – Environmental Programme Support
ERS – Economic Recovery Strategy
GIS – Geographic Information System
HR – Human Resources
ICZM – Integrated Coastal Zone Management
MENR – Ministry of Environment and Natural Resources
MoEP – Ministry of Environmental Protection
MoNRE – Ministry of Natural Resources and Environment
MRDP – Mountain Rural Development Programme
NCSSD – National Conservation Strategy for Sustainable Development
NEC – National Environment Committee
NEMA – National Environmental Management Authority
NEMC – National Environmental Management Council
NGO – Non-Governmental Organisation
NRM – Natural Resources Management
OECD – Organisation for Economic Co-operation and Development
OECD/DAC – OECD Development Assistance Committee
REDD – Reduced Emissions from Deforestation and Degradation
SEA – Strategic Environmental Assessment
SEE – South Eastern Europe
SEM – Strengthening Environmental Management
SEMA – Strengthening the Environmental Management Authority
SEMLA – Strengthening Environment Management and Land Administration
Sida – Swedish International Development Cooperation Agency
STEA – Science, Technology and Environment Agency
WREA – Water Resources and Environment Administration

Executive summary

Recent assessment reports emphasise that the impacts of climate change and escalating environmental degradation risk becoming key constraints to economic growth and poverty reduction in many poor countries. While various global, regional and national commitments to address environmental problems do exist, the institutions and governance structures to address environmental problems and adapt to the impacts of climate change are typically very weak in many developing countries. There is consequently a growing recognition of the need to strengthen the capacity to manage natural capital and critical ecosystem services in order to ensure development results.

The Paris Declaration on Aid Effectiveness reflects a new consensus on capacity development as a fundamentally endogenous process where developing countries need to be in the driving seat. This creates particular challenges for environmental capacity development, which has been particularly project oriented and supply driven. Additional challenges for environmental capacity development include the strong need for cross-sector coordination, that environmental ministries and agencies are young and particularly weak, and the low demand for improved environmental management among many developing country governments. The growing attention to climate change has raised attention to the need for national policy coordination led from the highest political and organisational levels. This may provide a window of opportunity for developing stronger environmental management capacity more broadly. Against this background, there is a need to take stock of the experiences and lessons learned from environmental capacity development.

Purpose and scope of the study: The purpose of this study is to document and analyse key results and lessons learned from Swedish bilateral support to environmental capacity development. The study was commissioned by Sida and fed into Sida's results analysis for 2009, which had a particular focus on environmental and climate change issues. It also served as a background document for the development of a new Swedish policy for the environment and climate change in development cooperation.

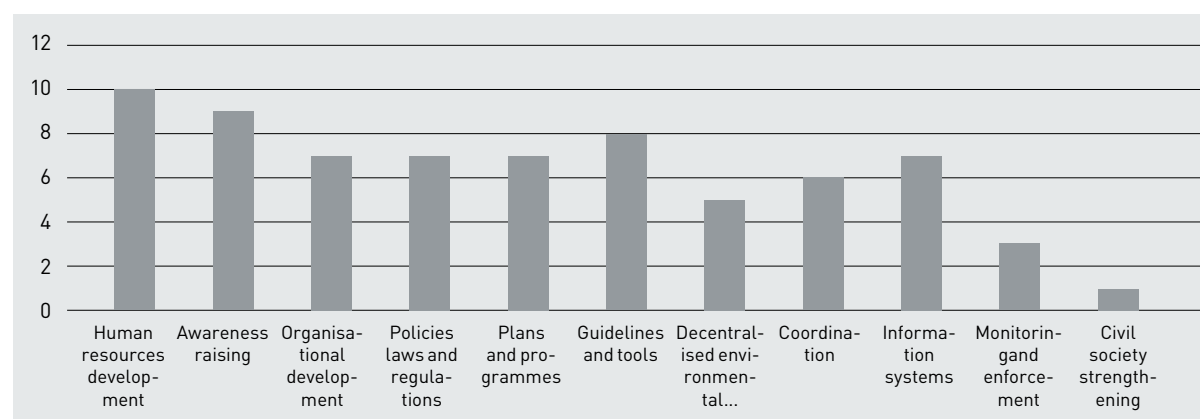
The study is based on a review of evaluation reports and programme documents for eleven Swedish-supported programmes in Vietnam, Lao PDR, China, Kenya, Tanzania, Burkina Faso, Serbia and Western Balkan (Albania, Macedonia and Serbia). Interviews with Sida staff and technical advisors, a literature review and a lessons learned seminar at Sida have also been conducted as part of the study. All the supported programmes aim at strengthening environmental ministries or agencies at the central or provincial levels.

The supported programmes: There are large differences in programme size among the reviewed supports, ranging from the 200 MSEK SEM-

LA project in Vietnam to a 7 MSEK project in Serbia. The supports targeted mainly national level ministries and agencies, yet some supports included important sub-national components. Besides Sida, the Swedish EPA, KemI and different Nordic consultancy companies were key Swedish-based actors involved in the respective supports.

Figure Ex1 gives an overview of the focus areas of the Swedish supports. All programmes reviewed have invested substantially in human resources development for staff in environmental agencies through trainings, workshops, training materials etc. Many programmes also include components aimed at raising public awareness about environmental issues through e.g. inclusion of environmental components in educational curricula and publication of information materials. Swedish supports have made significant contributions to the development of policies, laws, regulations, guidelines and tools as well as to changes in organisational structures and mandates of environmental ministries and agencies. Several programmes also supported the development of information systems such as GIS, databases of polluters and land use registration.

Figure Ex1: Focus areas of Swedish supports



Source: Authors

Most reported results are at the activity and output level. Outcome level results, e.g. increased environmental awareness or changed firm behaviour, are fewer and considerably vaguer. Impacts from Swedish supports on environmental quality, poverty reduction and economic development take a long time to materialise and there is a general difficulty involved in attributing changes in impact indicators to specific interventions such as capacity development programmes. Accordingly, there are only a few attempts to report impact level results.

Conclusions

Swedish supports have made important contributions to improved legislative frameworks, organisational mandates and staff competence. By working directly with environmental ministries and agencies, Swedish supports have contributed to significant and tangible results in terms of improved legislative frameworks, human resources development and clearer organisational mandates for environmental management. However, most programmes have been delayed in their achievements of stated objectives. The start-up phase of the programmes seems to be particularly vulnerable to delays.

Swedish-supported programmes considered to be highly relevant. The programmes generally address important specific problem areas, are in line with country policies and are country owned. However, there is a risk that priorities expressed by environmental ministries differ from ‘real’ government priorities as revealed when difficult trade-offs between economic growth and environment are made (in e.g. PRSPs and budget allocations).

Cross-sector coordination and high level dialogue critical for ensuring that outputs are translated into sustainable outcomes and impacts. Most of the supported programmes seem to rely on an implicit assumption that investments in increased capacity for environmental management will automatically lead to an improved environment and indirectly also contribute to poverty alleviation. Swedish-supported programmes have generally been weak in facilitating policy implementation through for example stimulating high-level political demand, improved mechanisms for cross-sector coordination and enhanced monitoring and enforcement of environmental laws and regulations. The potential for pursuing a high-level political dialogue on environmental issues in the countries where Sweden supports environment capacity development has been rarely realised.

Assuring sustainability is a major challenge for all supported programmes. Underfunded environmental ministries and agencies are likely to have strong incentives to look for project funding from development agencies, yet such funding may limit an important negotiation process related to the national budget between environmental ministries on the one hand and planning and finance ministries on the other. The capacity of environmental ministries and agencies to participate in the budget negotiation process is crucial for the sustainability of investments in environmental capacity development. However, the reviewed programme documents and evaluation reports have not sufficiently addressed these critical issues.

Attention to climate change creates opportunities for high-level policy coordination. The growing attention to climate change has increased the demand for the services provided by environmental ministries in for example Vietnam and Kenya. It has also raised attention to the need for national policy coordination led from the highest political and organisational levels. This offers opportunities for environmental ministries and agencies to work more closely with centrally placed ministries such as Finance and Planning. The attention to climate change may thus represent a window of opportunity for increasing the efficiency and effectiveness of support to environmental capacity development. At the same time, climate change may risk crowding out other critical environmental issues, such as chemicals management and environmental health, resulting in lower political and financial attention given to these issues.

Programme reports contain clear objectives but the results are often difficult to distinguish and are seldom reported on the outcome and impact levels. There is scope for improvements both regarding reporting according to established criteria for RBM as well as accessibility of programme documents in Sida’s data systems and archives. It should however be acknowledged that even with improved reporting it will be difficult to clearly attribute changes in outcome and impact indicators to Swedish-supported programmes. While programme reports sometimes tend to

give a somewhat ‘rosy’ view of the programmes, independent evaluations of the different supported programmes added valuable information and insights to this evaluation.

Recommendations

Use a broad country system approach to support capacity development in order to manage environment and climate change issues: The focus of the programmes reviewed in this study has mainly been on policy formulation and strengthening of environmental sector organisations. In order to reach impacts, there is a need to complement this approach by identifying and addressing key constraints to environmental management that lie outside the environmental sector. Important ingredients in a broadened approach to environmental capacity development are to ensure high-level policy coordination and to find institutional arrangements that make ministries of finance, planning, agriculture, energy, industry and other powerful actors assume a greater responsibility for environmental management. Developing agencies can also play an important role in strengthening the demand side of environmental governance through support to civil society, research, media and parliament.

Increase the support to capacity development programmes on environment management and climate change: Based on the broad Swedish experiences from supporting environmental capacity development and natural resources management, Sweden should have the potential to increase its ambition regarding sector supports in the environment field. How to design an environmental sector support programme is highly context dependent, but synergies between the environment, including climate change, and natural resource sectors such as water, forests, agriculture and energy may be sought.

Improve the use of institutional analysis: The design of supports should be based on a thorough institutional analysis that looks beyond technical needs assessments and covers political and economic constraining and enabling factors for managing environmental and climate change issues. While improved institutional analysis is often recognized as important, there seems to be a possibility to make improved use of existing methodological guidance within this area.

Pursue a strategic dialogue on environment and climate change issues: In order to increase high-level political attention on the environment and climate change, Sida should use the opportunity to pursue high-level dialogues with partner country governments. Analytical work that links environmental problems to key national priorities such as economic growth, public health, poverty reduction and agricultural productivity, may provide an important basis for a strategic dialogue. Sida could support such work, preferably linked to the development of PRSPs or other key policy processes, and in collaboration with other donors.

Improve the systematic integration of environment and climate change issues in all contributions: There is a need to move beyond a ‘do-no-harm’ approach and proactively identify opportunities to enhance environmental management in different interventions.

Increase the capacity at Swedish embassies and Sida country offices to engage in a dialogue on environmental and climate change issues: A more ambitious Swedish agenda in this area will require specific expertise as well as general competence development at Swedish embassies and within Sida country teams.

Deepen the knowledge on environmental capacity development: The scope of the present review is limited to 11 supports in nine countries. In order to gain a good understanding of key challenges and opportunities in environmental capacity development, further studies and international collaboration are needed. Since the OECD evaluation in 1999, no major international stocktaking of the experiences from environmental capacity development has been conducted.

1. Introduction

Recent assessment reports emphasise that the impacts of climate change and escalating environmental degradation risk becoming key constraints to economic growth and poverty reduction in many poor countries (e.g. World Bank, 2010; Millennium Ecosystem Assessment, 2005). While various global, regional and national commitments to address environmental problems do exist, the institutions and governance structures to address environmental problems and adapt to the impacts of climate change are typically very weak in many developing countries. There is consequently a growing recognition of the need to strengthen the capacity to manage natural capital and critical ecosystem services in order to ensure development results.

The Paris Declaration on Aid Effectiveness reflects a new consensus on capacity development as a fundamentally endogenous process where developing countries need to be in the driving seat. This creates particular challenges for environmental capacity development, which has been particularly project oriented and supply driven. Additional challenges for environmental capacity development include the strong need for cross-sector coordination, that environmental ministries and agencies are young and particularly weak and the low demand for improved environmental management among many developing country governments. The growing attention to climate change has raised attention to the need for national policy coordination led from the highest political and organisational levels. This may provide a window of opportunity for developing stronger environmental management capacity more broadly.

Against this background, there is a need to take stock of the experiences and lessons learned from environmental capacity development. This study focuses on experiences and lessons learned from Swedish support to environmental capacity development. The study was commissioned by Sida and fed into Sida's results analysis for 2009, which had a particular focus on environmental and climate change issues. It also served as a background document for the development of a new Swedish policy for the environment and climate change in development cooperation².

1.1 PURPOSE AND SCOPE

The purpose of the study is to document and analyse key results and lessons learned from Swedish support to environmental capacity development. The scope of the study is limited to contributions that Sida has financed bilaterally, with an explicit focus on strengthening environmental ministries and agencies at the central or district levels. In dialogue with Sida, 11 different supports in nine countries were selected for this review. The supports were in effect during the period 1999–

2 A first draft of the study was written in December 2009.

2009³. They differ largely in size and represent different country contexts.⁴ The study does not constitute a formal evaluation or detailed review of the different Sida-supported environmental capacity development programmes.

1.2 METHODOLOGY

The study was conducted by the Environmental Economics Unit at the University of Gothenburg and financed within the framework agreement the University has with Sida. The study was carried out in the following steps: (i) a brief overview of key literature on environmental capacity development; (ii) a review of evaluation reports and programme documents for the contributions forming part of the study; (iii) a seminar at Sida on key results and lessons learned from support to environmental capacity development;⁵ (iv) selected interviews with Sida staff and technical advisers;⁶ and (v) analysis of findings and report writing.

The study is hence mainly a desk study. Time-constraints implied that it was not possible to consult with the direct or indirect target groups or beneficiaries of the Swedish-supported programmes. The possibility to conduct other interviews was also limited. Another constraint to the study is its reliance on secondary information sources, mostly in the form of project and evaluation documentation. There has not been full accessibility to all key reports and several of the accessed reports were of limited quality. For some of the programmes no final independent evaluations have been conducted. In those cases the results analysed in this study stem from final programme reports written by programme staff (or consultants), which may lead to a positive bias. Finally, sustainable results of capacity development programmes take time to materialise, and most of the programmes reviewed in this study are still ongoing or have recently been finalised. Hence, there is a bias in the study towards results on the level of activities and outputs rather than outcomes and impacts.

1.3 STRUCTURE OF THE REPORT

The report proceeds as follows: Chapter 2 provides a background and discusses key issues in environmental capacity development; Chapter 3 contains a descriptive overview of Swedish bilateral support to environmental capacity development; Chapter 4 documents and analyses key results of Swedish supports; and finally Chapter 5 contains conclusions, lessons learned and recommendations to Sida. Appendix 1 contains a summary of the key results of the different programmes and forms an important basis for the analysis in the main report.

3 The support to the National Environmental Management Council (NEMC) in Tanzania covered the period 1986–2000, but was included in the study at the request of Sida.

4 It should be noted that with this scope, the study only covers a small part of Swedish environment related support. Swedish environment related support has mainly been provided through mainstreaming environment into Sida's different contributions. An indicative figure of this mainstreaming approach is that almost 60% of Sida's disbursements in the period 2006–2008 had environment and sustainable development as a 'principal' or 'significant' objective. Less than 4% of Sida's disbursements in 2008 were to specific environmental programmes and projects. Two-thirds of this support was channelled through global and regional organisations and only one-third was channelled through bilateral support. The figures build on how Sida programme officers have classified Sida disbursements in Sida's information system. (Sida, 2009)

5 See Appendix III for the seminar agenda and list of participants.

6 See Appendix II for a list of interviewees.

2. Environmental Capacity Development – Key Concepts and Challenges

2.1. CAPACITY DEVELOPMENT – A CHANGING AGENDA

‘The Challenge of Capacity Development – Working Towards Good Practice’ is the title of the OECD DAC guidelines on capacity development (OECD, 2006).⁷ The title indicates that capacity development involves considerable challenges and that good practice is, at best, evolving. In fact, the guidelines were produced against the backdrop of the disturbing gap between efforts put into support for capacity development and the outcomes of these efforts in terms of sustainable country capacity.

The Paris Declaration on Aid Effectiveness reflects a new consensus on capacity development as a fundamentally endogenous process where developing countries need to be in the driving seat. Aid agencies should align their support to partner country strategies and priorities and work through country systems in a coordinated and harmonised way. This view is further strengthened in the Accra Agenda for Action from 2008, which also promotes the provision of South-South cooperation to complement technical cooperation between developing countries and donors (Box 1).

Box 1 Accra Agenda for Action – Developing countries will strengthen their capacity to lead and manage development

§ 14. Without robust capacity – strong institutions, systems and local expertise – developing countries cannot fully own and manage their development processes. We agreed in the Paris Declaration that capacity development is the responsibility of developing countries, with donors playing a supportive role, and that technical cooperation is one means among others to develop capacity. Together, developing countries and donors will take the following actions to strengthen capacity development:

a) Developing countries will systematically identify areas where there is a need to strengthen the capacity to perform and deliver services at all levels – national, sub-national, sectoral and thematic – and design strategies to address them. Donors will strengthen their own capacity and skills to be more responsive to developing countries’ needs.

b) Donors’ support for capacity development will be demand driven and designed to support country ownership.

To this end, developing countries and donors will (i) jointly select and manage technical co-operation, and (ii) promote the provision of technical cooperation by local and regional resources, including through South-South cooperation.

c) Developing countries and donors will work together at all levels to promote operational changes that make capacity development support more effective.

⁷ The OECD guidelines is a key guiding document on capacity development for development cooperation and was for example used as a benchmark for Swedish support to capacity development in an evaluation by the Swedish Auditor General (Riksrevisionen, 2009)

There has been a consequent shift in focus from viewing capacity mainly in technical terms and at the level of individuals or organisations to an understanding of capacity development as being fundamentally dependent on an enabling environment and the incentives this environment creates for the behaviour of organisations and individuals. Individual competences, organisations, intra-agency management and enabling conditions are important building blocks of institutional capacity (Figure 1).

Figure 1 The main building blocks of institutional capacity

Enabling conditions	Organisational setup and stakeholder interaction	Intra-organisation processes	Individual competence
legal and policy frameworks, and work approaches, needed for the manifestation of capacities at other levels	organisational structure and interaction among relevant public and private actors, as well as with development	mission, planning and decision-making, structure and resources, and the organisational culture	knowledge and skills of individuals, as well as their ability to set objectives and achieve those objectives

Source: OECD, 2009.

2.2 ENVIRONMENTAL CAPACITY DEVELOPMENT – CHALLENGES AND TRENDS

Capacity development in the environment field has a long history. As an example, the Swedish support to the National Environment Management Council in Tanzania discussed in this report started already in 1986. Following the United Nations Conference on Environment and Development in 1992, efforts were stepped up and the OECD DAC set up a special Task Force on ‘Capacity Development in Environment’, which was defined as ‘the ability of individuals, groups, organisations and institutions in a given context to address environmental issues as part of a range of efforts to achieve sustainable development’ (OECD, 1999).

Environmental capacity development is a very broad area. In order to ensure efficient and sustainable environmental management, public authorities need capacity to perform a wide range of functions. An overview of ‘best practice’ core functions for environmental management, developed by the OECD, are listed below in Figure 2.

Most countries have environmental agencies and policies in place: In practice, public authorities in most countries perform only a small part of these identified core functions for efficient environmental management. A comprehensive evaluation of environmental capacity development, which was initiated by the OECD in 1999, identified that most developing countries had some form of agency or ministry with an overall responsibility for environmental management. Many of these agencies were found to have focused heavily, often with support from donor agencies, on producing:

- environmental policies;
- environmental plans (National Environmental Action Plans, National Conservation Strategies, District Environmental Action Plans, etc.);
- framework environmental laws;
- EIA guidelines and procedures and environmental standards;
- environmental databases;
- numerous environmental publications.

Comparatively little effort was found to have been put into identifying and supporting mechanisms to facilitate implementation of the plans and strategies produced with the aims of improving environmental quality and the underlying economic and social conditions of the environmental resource users (OECD, 1999).

Figure 2 Core functions of public authorities ensuring environmental management

I. Setting objectives and allocation on finance	Formulating environmental policies Developing legal frameworks Creating the evidence base for problem analysis and decision-making Conducting economic analysis of policies and programmes Analyzing and addressing social effects of environmental policies Applying strategic financial planning Managing public environmental expenditure
II. Environmental policy integration	Balancing environmental with development and sectoral strategies Greening territorial development policies Integrating environmental and security policies Promoting environmentally sound product policies Ensuring preparedness and response to disasters and accidents
III. Policy implementation	Establishing environmental standards Conducting environmental assessments at the project level Setting company-specific requirements Correcting market failures through economic instruments Creating markets to achieve environmental goals Promoting environmental goals through «Information» regulation Facilitating corporate initiatives to improve environmental performance Enabling the provision of environmental services
IV. Compliance assurance	Conducting the identification and profiling of the regulated community Compliance assistance to the regulated community Detecting non-compliance Ensuring non-compliance response
V. Overall management	Defining organisational structures and providing leadership Ensuring intra-agency activity and budget planning Organising effective interaction, internally and externally Coordinating international cooperation efforts Managing human resources Monitoring and reporting performance

Source: OECD, 2009

Environmental capacity development is particularly challenging: The same evaluation also identified a number of factors that made environmental capacity development particularly challenging:⁸

- (i) *Low demand for improved environmental management* in many developing countries was identified as maybe the most fundamental challenge to environmental capacity development. The evaluation concluded that there was a considerable gap between the relative priorities accorded to environmental issues by the donor community and by recipient governments.
- (ii) *Cross-sector collaboration and coordination is needed* in order to prevent or solve most environmental problems. However, non-sectoral planning departments are commonly better placed to coordinate cross-sectoral environmental issues than are weak environmental agencies.
- (iii) *Weak environment ministries:* Support to environmental capacity development has also been hampered by the extremely weak capacity of the environmental sector organisations in many developing countries. Common characteristics include (i) limited political influence and fiscal support; (ii) young and poorly staffed; (iii) centralised with limited representation at the district level; (iv) overlapping mandates with other ministries; and (v) low enforcement capacity.
- (iv) *A supply-driven global environmental agenda distorts partner country environmental priority setting:* The growing donor support for global environmental issues, principally linked to the Rio Conventions on Biodiversity, Desertification and Climate Change, was found to have made environmental agencies devote considerable attention to implementing projects related to these issues while downplaying local and national environmental priorities. The growing emphasis on global environmental issues was also found to have exacerbated the capacity constraints faced by developing countries' environmental institutions.
- (v) *Conceptual confusion:* The 'compounded conceptual confusion resulting from the fusion of two poorly-defined frameworks – "environment" and "capacity development"' was found to have resulted in loose frameworks for political consensus building rather than practical action. A consequent challenge identified was to target support to capacity development to specific environmental functions or problems.

Ten years later the same challenges largely appear to remain valid. Despite support to environmental capacity development, the Country Policy and Institutional Assessments undertaken by the World Bank indicate that capacity for environmental management has been relatively stable since the late 1990s. According to these assessments, the weakest dimensions of environmental management are public information and participation, cross-sectoral coordination and policy implementation (World Bank, 2008). There has been no major effort attempting to take stock of the results and lessons learned from environmental capacity development since the OECD evaluation in 1999. Danida, one of the leading agencies in this area, has summarised lessons learned in a good-prac-

⁸ The factors are listed in an attempt to summarise some of the many factors identified in the comprehensive OECD evaluation.

tice paper (Danida, 2006) and key results in a thematic review (Danida, 2009). Some of the lessons learned are summarised in Box 2.

Box 2 Danish support to environmental capacity development: Lessons learned

- More focus on systems development and capacity development of institutions, rather than only capacitating individuals.
- Ensure that the training and institutional development fits within Government policies and mandates for the concerned institutions.
- Capacity development of institutions involved in environmental management should be provided with careful considerations to the role of the institution vis-à-vis other lead agencies and Government organisations with responsibilities in regards to environmental management.
- Use of regional and local consultants for capacity development should be encouraged to overcome cultural and language barriers. International consultants should be used only where it is justified from a technical or institutional point of view.
- Existing internal human capacity and leadership commitment are important factors – understanding of institutional context, inter-organisational dependencies and networks is needed as well as an improved joint framework for analytical work.
- Long-term capacity development support in an enabling environment is effective.
- High need for coordination and harmonisation of capacity development support – few coherent approaches are observed
- A better balance between skills transfer and wider institutional support, and between support to the centre and district levels
- Sustainability of capacity development support and properly designed and executed exit strategies are key challenges

Source: Henning Nohr, Danish Ministry of Foreign Affairs, Sida seminar, November 9, 2009

Towards a broadened view of environmental capacity development. The OECD Environment and Development task team on Governance and Capacity Development for Natural Resource and Environmental Management was initiated in 2008. The task team aims to: (i) provide guidance and tools for aid agencies to integrate environmental considerations into their activities related to governance and capacity development; (ii) identify approaches to capacity development in line with the Paris declaration; and (iii) promote greater coherence in the policies of donor countries. Outputs and planned activities of the task team are listed in Box 3.

Two important issues that have strongly risen on the agenda during the last decade are climate change and the Paris Declaration on Aid Effectiveness.

Climate change is one of many environmental challenges, but the increased understanding of current and expected impacts has created global attention at the highest political level. Today climate change is often talked about and dealt with as a stand-alone issue. The attention given to climate change provides both opportunities and risks for environmental capacity development.

Ecosystems play important roles for both adaptation and mitigation and there are large overlaps between climate change and other environmental challenges. Therefore, environmental management capacity in general remains important for climate change and could potentially

Box 3 The OECD Environment and Development Task Team on Governance and Capacity Development for Natural Resources and Environmental Management

The task team is developing a Policy Guidance that aims to assist donor and partner countries in the development of key capacities required to manage their environmental affairs successfully by

- (i) promoting understanding of the importance of a 'country system' approach to environmental management;
- (ii) identifying the key capacities needed to implement such an approach (including capacities in donor agencies); and
- (iii) suggesting a framework for developing those capacities.

So far, the Task team has issued background papers on

- (i) making the economic case for greening development planning;
- (ii) assessing environmental management capacity: towards a common reference framework;
- (iii) integrating public environmental expenditures within multi-year budgetary frameworks;
- (iv) stock-taking of capacity development activities involving OECD environmental authorities.

Source: Author, building on OECD, 2008 and 2009.

benefit from the climate change-induced interventions. Thus, environmental management capacity is important for climate change and is likely to benefit from the climate change-induced interventions. Climate change makes cross-sectoral capacity development and coordination among the environment, energy, agriculture and finance sectors even more important. Furthermore, effective responses to climate change (as to many other environmental challenges) call for national policy coordination led from the highest political and organisational level. The OECD promotes coordination of climate change at the highest governmental level in partner countries. This offers opportunities for environmental ministries and agencies to work more closely with centrally placed ministries like finance and planning (or the Prime Minister's Office).

At the same time, climate change may risk crowding out other critical environmental issues, such as chemicals management and environmental health, resulting in lower political and financial attention given to these issues. Environmental ministries and agencies may also lose some direct links to, and financing from, development partners when ministries of finance or planning become the preferred dialogue partners on climate change. The capacity of environmental ministries and agencies to attract increased financing through the national budget is accordingly receiving growing attention among development partners (OECD, 2009; Bird and Lawson, 2008).

The Paris Declaration on Aid Effectiveness. Capacity development for the environment and environmental sector support has been particularly project oriented and supply driven. According to a review of the Rio conventions, the environment community has been slow in recognising the need for change along the Paris principles (Sharma, 2009). Lack of harmonisation and poorly aligned support can weaken environmental authorities. An analysis of developing country environmental authority budgets reveals relatively large portfolios of externally financed pro-

jects⁹ and low budgets for recurrent expenditures to cover core functions such as monitoring, control and supervision (Bird and Lawson, 2008). This was found to have led to a diversion from addressing national environmental priorities. Another consequence was that a large part of the resources available for environmental action are beyond the control of the Ministry of Finance and ultimately also the Parliament, undermining accountability and public management capacities. The study strongly recommends that donor agencies harmonise, make use of country systems, support environmental authorities' capacity to access funds through the national budget and increase transparency of environmental support.

9 The study included case studies from Tanzania, Mozambique, Mali and Ghana. As an example: in 2005/06 the Ghanaian Environmental Protection Agency was managing 28 separate projects financed by 10 different funding agencies. The projects are not restricted to capacity development but include all kinds of externally financed environmental projects/programmes.

3. Overview of Swedish bilateral support to environmental capacity development

This chapter gives an overview of the 11 Swedish bilateral supports to environmental capacity development in 9 countries included in the study.

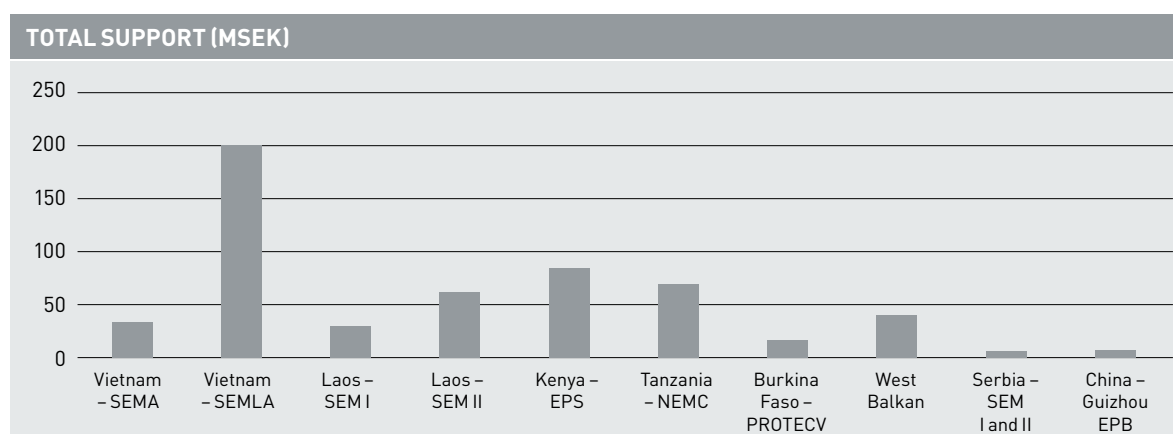
3.2. COUNTRIES AND PROJECTS

The identified supports relevant for this study are located in Vietnam, Lao PDR, China, Kenya, Tanzania, Burkina Faso, Serbia and Western Balkan (Albania, Macedonia and Serbia). Table 1 below summarises the supports. For more information on background, objectives and results, see Appendix 1.

3.3. COST OF SUPPORTS

The total cost of the reviewed supports amounts to 551 million SEK. The support to different projects varies from 7 MSEK to 200 MSEK, where the support to Vietnam (SEMLA) is the largest. The supports to Lao PDR, Kenya and Tanzania have also been fairly large. In comparison, the supports to China and Serbia have been small (Figure 3).

Figure 3 Cost of Swedish supported projects



Source: Authors

Table 1 Summary of supports¹⁰

Country	Support	Time period	Amount	Inst in partner country	Swedish/ international actors
Vietnam	Strengthening Environment Management Authority (SEMA)	1997–2002	33 MSEK	NEA	Sida, SEPA, IUCN
Vietnam	Strengthening Environment Management and Land Administration (SEMLA)	2004–2009	200 MSEK	Ministry of Natural Resources and Environment	Sida, Swedish EPA/Keml/Ramböll Natura AB
Lao PDR	Strengthening Environmental Management (SEM I)	2001–2004	30 MSEK	Science, Technology and Environment Agency (STEA)	Sida, Ramböll Natura AB
Lao PDR	Strengthening Environmental Management (SEM II)	2005–2010	62 MSEK	Water Resources and Environment Administration (WREA)	Sida, Grontmij AB
Kenya	Environmental Programme Support	2006–2011	85 MSEK	MENR, NEMA	Sida, Danida
Tanzania	Support to the National Env. Management Council (NEMC)	1986–2000	70 MSEK	National Environment Management Council (NEMC)	Sida, Orgut Consulting AB
Burkina Faso	Development of a three year programme for decentralized env. and nat.resources management	2007–2010	16 MSEK	Ministry of Environment	Sida
Western Balkan (Albania, Serbia, Macedonia)	SEPA co-operation with environmental authorities in Western Balkan	2005–2009	40 MSEK	Environmental authorities in Western Balkan	Sida, Swedish EPA
China	Capacity Development of the Environmental Administration	2005–2009	8 MSEK	Guizhou Environmental Protection Bureau	Sida, Ramböll Natura and Hifab (Swedish Geological)
Serbia	Strengthening Environmental Management in the Ministry of Environmental Protection Phase I	2004–2005	7 MSEK (for both phase I and II)	Ministry of Environmental Protection, Directorate for Environmental Protection	Sida, Niras Consulting Engineers and Planners A/S.
Serbia	Strengthening Environmental Management in the Ministry of Environmental Protection Phase II	2006–2007	7 MSEK (for both phase I and II)	Ministry of Environmental Protection, Directorate for Environmental Protection	Sida, Niras Consulting Engineers and Planners A/S.

Source: Authors

9 Some of the supported programmes include components with a different focus than strengthening environmental ministries and agencies. Notably, the SEMLA-programme in Vietnam contains a substantial component on strengthening land registration, the programme in Kenya includes a component for strengthening civil society and community organizations and the support in Burkina Faso includes the development of a broad sector programme for environment and natural resources management. This should be taken into account when comparing the costs of the different supports.

3.4. FOCUS AREAS OF SWEDISH SUPPORTS

In order to give an overview of the focus of Swedish-supported environmental capacity development, the 11 Swedish supported projects have been divided into 11 identified focus areas (Box 4).

Box 4 Environmental Capacity Development Support – Focus Areas

Coordination: Efforts to encourage dialogue and cooperation between different sectors, levels of environmental administration and donors.

Decentralised environmental management: Work undertaken to facilitate and support decentralised environmental management.

General awareness raising: Outreach to target groups in order to raise awareness of the environment, e.g. campaigns and radio programmes on environmental issues.

Human resources development: (HRD) This broad category includes hosting of training events, curriculum development and training materials on environmental issues.

Information systems: Generally IT-based tools to facilitate environmental management, e.g. websites and databases.

Monitoring and enforcement: Work undertaken to facilitate checks on environmental quality including indicator systems and monitoring systems as well as to strengthen enforcement of laws and regulations.

Organisational development: New organisations and agencies created in order to improve environmental management, or existing organisations given new roles.

Policies, laws and regulations: Mostly taking place at the national and provincial levels, including Environmental Protection Acts, Nature Conservation Acts and policies related to the implementation of legislation.

Plans and programmes: These put in place the framework for the implementation of the policies, laws and regulations (including strategies and macro-plans, land use, sectoral, local authority, and community-level plans).

Guidelines and tools: Concrete information providing assistance on environmental issues e.g. procedures, models and studies.

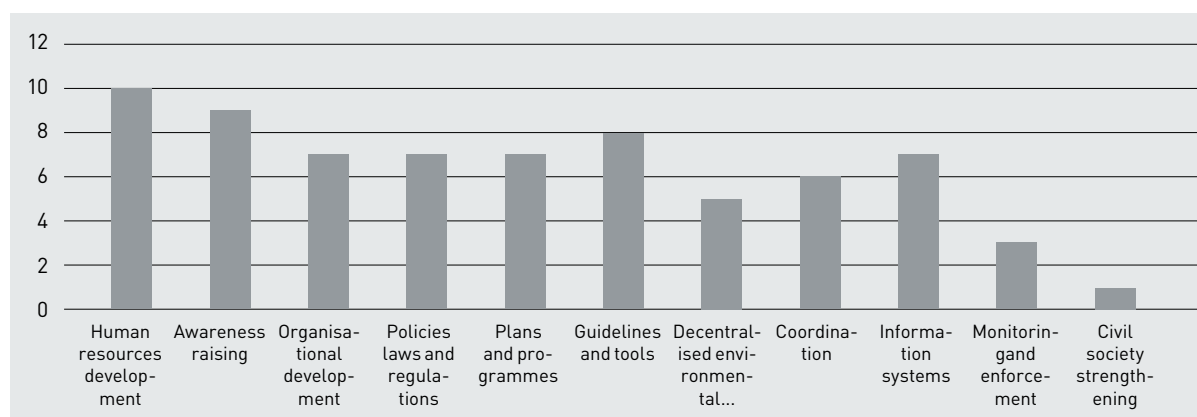
Civil society strengthening: When an intervention specifically targets civil society, such as NGOs and CSOs, in order to further the environmental debate.

Source: Authors¹¹

To analyse and give an overall picture of what has been supported, each support has been reviewed and one or more focus areas have been identified for each support. The focus areas for each support were identified based on project documentation. Given the limited scope of the support to the two projects in Serbia, these supports have been regarded as one in this overview; hence ten supported projects have been divided into the different focus areas. Although this approach has limitations, e.g. the focus areas can be on several different levels, which make comparison difficult, it still gives an indication of what issues and functions the different supports have been concentrated on. Figure 4 below shows which focus areas have been most commonly supported.

¹¹ These focus areas build on the report by Danida, 2009. Thematic Review of Special Interventions within Environment (2004–2008).

Figure 4 Focus areas of Swedish supported projects



Source: Authors

All of the supported projects targeted human resources development, followed by awareness raising, which is included in all but one of the supports. 6–7 of the supports targeted organisational development, development of policies, laws, regulations, plans, programmes, guidelines and tools. Half of the projects included support to decentralised environmental management. Six of the projects focused on enhancing coordination. 7 projects invested in information systems. Only three of the projects focused on improving monitoring and enforcement. Civil society strengthening was a focus area in one of the reviewed supports. The focus areas of the supported programmes are further discussed in section 4.1.

3.5. ACTORS IN THE SUPPORTED PROGRAMMES

In several of the 11 reviewed supported projects, two Swedish authorities (Swedish EPA and KemI) and Nordic consultancy companies were important actors besides Sida. While Ramböll Natura was the key Swedish actor in the SEMLA programme in Vietnam, Swedish EPA together with KemI provided targeted inputs. Swedish EPA was the key Swedish actor in the support to Western Balkan and Serbia. Ramböll Natura was involved in three of the reviewed supports (China, Lao PDR SEMI and, as mentioned, Vietnam SEMLA). In the case of China, Ramböll Natura collaborated with another consultancy Hifab (Swedish Geological). Grontmij AB has been the key actor for the second phase of the SEM programme in Lao PDR. Furthermore, Niras consulting firm was the leading actor in the support to SEM I and SEM II in Serbia, and Orgut Consulting AB was a long-term consultant in Tanzania.

In the partner countries, environmental ministries and agencies at the national level have been the key actors. In Vietnam, Lao PDR and China provincial level environmental administrations have played an important role. Local and regional consultants have participated in many of the programmes.

4. Results of Swedish bilateral support to environmental capacity development

This chapter summarises and discusses key results of Swedish bilateral support to environmental capacity development. Naturally, results from diverse and broad programmes that have been in effect over several years are not easily summarised. Rather than attempting to give a complete picture of the supported programmes, the following overview points to areas of key results as reported in different evaluation and programme reports. Appendix I provides more information about the specific programmes and their results.

The structure of the chapter follows the OECD criteria for evaluation and results-based management (as defined in Appendix II). Linkages are also made to the focus areas for environmental capacity development included in Box 4 and figure 4 as well as to the key challenges for environmental capacity development identified in Chapter 2.

4.1 ACTIVITIES, OUTPUTS AND OUTCOMES

Most reported results are at the activity and output levels: Common examples include trainings, guidelines and consultation processes. Reported results on the outcome level, e.g. increased environmental awareness or less environmentally harmful production processes by industry, are fewer. Outcome results are often vague (if mentioned at all). Furthermore, if only reading the evaluation reports and programme documents, it is sometimes difficult to understand how the results on the outcome level were assessed. For example, while the SEM I programme in Laos is reported to have led to ‘increased awareness among the general public about environmental issues’, it is not documented how the evaluators substantiated this finding other than by talking to stakeholders and reading local newspapers. There is also a lack of conceptual clarity in many of the programme and evaluation reports reviewed. There is a clear tendency to report activities as results.

Large focus on human resources development: All programmes reviewed (as indicated in figure 4) have invested substantially in human resources development for staff in environmental agencies through trainings, workshops, training materials etc. Effects of these activities in terms of increased knowledge or changed behaviour among agency staff have however rarely been measured or documented. In the SEMLA programme in Vietnam alone, more than 220 training courses were held during 2006–2009, reaching around 12 000 officers. The SEMLA programme is an exception with its evaluation of seven different training modules. The findings from this evaluation indicate that for some training programmes, the ‘success rates for putting training into practice’ has been as high as around 90% while in other programmes participants have experienced greater difficulties to make use of their

training. The SEMLA programme also contributed to the establishment of a strategic framework for human resources development for the natural resources/environment sector. This may increase the likelihood that human resources development activities continue well beyond the end of Swedish support.

Many programmes include components aimed at raising public awareness about environmental issues: Activities and outputs include environmental components in educational curricula in Tanzania and Lao PDR, information materials, contribution to an environment day in Lao PDR and community projects in Kenya and Vietnam. However, the reporting on outcomes of these activities and outputs is scant or deficient.

Significant contributions to changes in organisational structures and mandates: In Vietnam, Lao PDR and Kenya, the Swedish-supported programmes have contributed to widened or clearer organisational mandates of environmental ministries and agencies. In Vietnam the Department of Chemical Management under the Ministry of Industry and Trade was established with a mandate to coordinate chemicals management in the country. In Kenya a thorough functional analysis was conducted, which later resulted in a strengthening of the Ministry of Environment and other organisational improvements. In Lao PDR, the Water Resources and Environment Administration was given a clear mandate in relation to the new EIA decree.

Important outputs in terms of contributions to development and adoption of policies, laws, regulations, guidelines and tools: These focus areas have received considerable attention in most of the Swedish supports. Examples include contributions to revised environmental protection laws and SEA guidelines in Vietnam and Lao PDR, EIA guidelines in Tanzania, Albania and Lao PDR, a law and guidelines for chemical management in Vietnam, and a sector programme for decentralized environmental management in Burkina Faso. In several cases, new or revised laws and guidelines have been adopted, which are important outputs related to the Swedish supports. In other cases, for example the Environmental Policy in Kenya, Swedish support has contributed to broad consultation processes around key policy documents that have not (yet) been approved by a cabinet or parliament.

Decentralised environmental management mainly through district level pilot programmes in Vietnam and Lao PDR: While most supported programmes focus on strengthening environmental management capacity at the central level, the programmes in Vietnam, Lao PDR, China and Burkina Faso also include collaboration and support to provincial environmental administration. The supported programmes in Lao PDR and Vietnam have included substantial investments in capacity building in 9 and 6 selected provinces respectively. Key programme-supported activities comprise trainings, community level projects and piloting of different modules. As an example, an integrated Environment and Land Information System was developed in one of the provinces in Vietnam and later adopted by the Ministry of Natural Resources and Environment and developed into an integrated NRE database to be used on a national scale. This kind of replication, or up-scaling, is identified in the SEMLA programme as a key outcome indicator since successful replication would imply stronger long-term impacts. In general, environmental management capacity at the pro-

vincial level is very weak and the sustainability of the results from the supported programmes is a significant concern.

Information systems: Examples of activities within this area include the development of a GIS database in China and Lao PDR used for integrated environmental spatial planning and storage of geographical and environmental data. Furthermore, other IT-based tools, such as a database of polluters in Western Balkan and an intranet at the Directorate of Environmental Protection in Serbia, have also been developed. The integrated Environment and Land Information System (ELIS) in Vietnam (mentioned above) is another example. The outcomes of these investments are not clear in the reviewed reports, with the exception of ELIS in Vietnam which reportedly has contributed to improved land registration.

Cross-sector coordination: Although several programme documents indicate a good understanding of the importance and relevance of cross-sector coordination for environmental management, this study has found surprisingly little evidence on how the supported programmes have promoted improved collaboration across sectors and ministries in the different countries. Most programmes have focused heavily on strengthening environment ministries and agencies through technical advisors working from within these organisations. Establishing effective cross-sector coordination may require a different approach where higher level decision makers are involved in the change process. The design of an integrated programme in Vietnam to strengthen environmental management and land administration (i.e. SEMLA) may explain some of the success of this programme in integrating the environment in land use planning. One good example where the SEMLA programme in Vietnam facilitated cross-sector coordination was the establishment of the Department of Chemical Management under the Ministry of Industry and Trade with a mandate to coordinate chemicals management in the country.

Monitoring and enforcement: Only few programmes have put a significant focus on monitoring and enforcement of environmental laws and regulations. The SEMA programme in Vietnam developed manuals for environmental inspections and invested substantially in training of environmental inspectors. In Kenya, inspectors have been trained and registered and partnerships have been formed with the police to undertake enforcement actions. These activities were however not included in the original design of the programme. Key challenges in this area include weak staffing at the district level and that environmental concerns are simply overruled when weak environmental agencies try to enforce laws and regulations.

Civil society strengthening: Besides the programme in Kenya, which includes a specific Community Environmental Fund, civil society strengthening has not been a focus area for the supported programmes. This is not surprising since the programmes included in this study are specifically targeted at environmental ministries and agencies and Swedish support to civil society is often provided through in other ways. Nevertheless, given the low demand for stepped up environmental management efforts in the countries targeted for Swedish support, possibilities to strengthen constituencies that could demand improved environmental management could have been investigated and pursued to a larger extent.

4.2 IMPACTS

Few results on the level of impacts: Impacts on environmental quality, poverty reduction and economic development take a long time to materialise. There is also a general difficulty attributing changes in impact indicators to specific interventions such as capacity development programmes. Accordingly, there are at most only a few results on the level of impacts from the Swedish supported programmes.

The SEMLA programme in Vietnam is basically the only programme for which there has been an attempt to assess programme impacts. An ‘impact assessment’ conducted upon the closure of the programme in June 2009 attempted to study the contributions of the programme to the Intermediate Objectives for the programme, i.e.

(i) improved service delivery and use of environment management and land administration services; (ii) SEMLA recommendations for policy reforms adopted by the government; and (iii) SEMLA models replicated to other areas. Findings of the assessment include that the average time for issuing land user rights certificates had fallen in several of the provinces where the SEMLA programme was active and that several of the province pilot programmes had been replicated with government funding. It can however be discussed whether these results should be classified as outcomes rather than as impacts (see Appendix I).

Increased capacity does not necessarily translate into improved environment and reduced poverty: Most of the supported programmes seem to rely on an implicit assumption that investments in increased capacity for environmental management will automatically lead to an improved environment with important linkages to poverty alleviation. However, the linkages from programme activities and results to target groups and beneficiaries are rarely well specified. The mid-term evaluation of the SEMLA programme concluded that in order for trainings, new policies and guidelines to result in improved service delivery for the poor, they need to be accompanied by attitudinal changes and clear and enforceable mechanisms for monitoring performance (Andersen et al., 2008).

4.3 RELEVANCE

Programmes address important problems: The Swedish-supported programmes are generally considered as relevant in terms of addressing important problem areas (the weak capacity to address pressing environmental problems) and development issues (environmental problems linked to opportunities for economic growth and poverty reduction).

Are programmes aligned to partner country priorities or merely to the priorities of environmental ministries? The reviewed programme and evaluation reports consider most of the supports to be relevant in the sense that they are country owned and in line with partner country policies and priorities. There is however an insufficient qualification of these statements in most of the reports reviewed. There may be a risk that ‘stated’ priorities expressed by environmental ministries (sometimes backed up by top level decision makers) in meetings with donors around possible environmental sector supports differ from ‘real’ government priorities as revealed through implementation of programmes in key sectors. Even when environmental priorities are included in national development strategies, it seems important to analyse whether these priorities

are reflected in real political priorities for example in terms of budget allocations for environmental management.

In for example Vietnam, there has been a strong sense of ownership of the SEMLA programme by the Ministry of Natural Resources and Environment. However, a recent evaluation of Sida's environmental support to Vietnam finds that '*...many other institutions in the Vietnamese government continue to view environmental concerns as a potential constraint to the central policy objective of economic growth through industrialisation... Conflicts between economic and environmental interests are widespread and environmental considerations in these circumstances are rarely prioritized*' (Niras, 2009, p. 42). During recent years in Vietnam, total expenditure on the environment has represented only around 1 % of the national budget.

In Kenya, environmental priorities did not feature strongly in the Economic Recovery Strategy for Wealth and Employment Creation (the poverty reduction strategy) at the time when the Swedish/Danish environmental capacity development programme was developed. Kenya also lacked a national environmental policy and an updated environmental legislation. Given these circumstances, the programme was deliberately designed to strengthen environmental awareness and constituencies through a civil society and community component. Due to political and contextual changes during the programme period, the support from high political levels in Kenya appears to have increased.

No systematic focus on strengthening the demand for improved environmental management. A delicate issue for developing agencies supporting environmental capacity development is how to deal with situations when partner country governments show low demand for stepped up efforts on environmental management. Environmental ministries may be interested in getting donor funding, but their activities are not a high government priority. Just providing funding to environmental agencies may lead to a proliferation of environmental projects without major impacts (as described in Chapter 2).

Some analysts suggest that in such situations an important role for developing agencies can be to support analytical work that links environmental problems to key national priorities such as economic growth, public health, poverty reduction and agricultural productivity (Ahmed and Sanchez Triana, 2008; EC, 2009; Poverty Environment Initiative, 2008; Drakenberg et al., 2009). Examples of such studies include cost of environmental degradation studies, cost of climate change adaptation studies, public environmental expenditure reviews etc. Another option for developing agencies is to support environmental constituencies, such as civil society, media and parliament, which can demand strengthened environmental management. Ensuring the right to access to information, public participation and access to justice in environmental matters¹² are essential for enabling these constituencies to demand environmental improvements (Ahmed and Sanchez Triana, 2008). The Swedish support to the training of independent environmental journalists is one example of how development agencies can strengthen environmental constituencies. Tanzanian environmental journalists played a crucial role in stopping the planned shrimp-farms in the Rufiji-delta in Tanzania in 1997, something that the Swedish-supported National

12 For environmental matters, these 'access rights' are stated as commitments in Principle 10 in the Rio Declaration as well as in the Aarhus convention, which turns these commitments into legal obligations.

Environmental Management Council would not have been able to accomplish without widespread public support.

Nevertheless, this review has not been able to identify that the Swedish supports to environmental capacity development have systematically targeted these types of activities aiming at strengthening the demand for environmental management (the civil society component in the programme in Kenya is an exception).

4.4 EFFECTIVENESS AND EFFICIENCY

Delays in goal achievement are common: Most programmes have been delayed in their achievements of stated objectives. The start-up phase of the programmes seems to be particularly vulnerable to delays. It generally takes more time than expected to create a joint understanding of programme objectives and activities and to recruit technical advisors etc.

There are big differences among the supported programmes in terms of the extent to which stated objectives have been achieved. Evaluations indicate a high level of goal achievement of the programmes in Lao PDR and Vietnam while the programmes in Western Balkan (particularly Albania), Kenya and to some extent Tanzania seem to have had less success in reaching the stated objectives. However, the reviewed reports only provide limited information for an analysis of which factors may explain these differences.

There are generally few and not very elaborative considerations of efficiency in the reviewed evaluations and programme reports. This is probably due to the difficulties involved in both estimating whether costs are justified by programme results and specifying and comparing with alternative approaches to reach the same results. In some cases, efficiency-related strategic choices have nevertheless been identified. These are discussed below.

A choice between broad or focused programmes: A mid-term evaluation of the SEMLA programme in Vietnam identified the choice between broadening the programme to new areas (in response to expanded mandates of the environment ministry) and focusing and consolidating the programme to fewer areas as strategic from an efficiency point of view. A more focused programme, argued the evaluators, would facilitate a shift in the balance of the programme from policy formulation to implementation. Stepped up efforts on policy implementation were needed since ‘while the formulation of policies and subsequent legal documents is without doubt a necessary first step in all policy areas, it is not a sufficient step in any policy area’ (Andersen et al., 2008). A focus on a smaller number of activities was also identified as important for improving efficiency in the Swedish support to the Environmental Protection Bureau in Guizhou in China.

The use of technical advisors: The extent to which technical advisors should be used also has implications for efficiency. The larger of the reviewed programmes in Lao PDR, Vietnam and Kenya have all involved teams of long- and short-term technical advisors provided through Nordic consultancy companies. Many of the programmes have incorporated expert inputs from the Swedish EPA and/or Chemical

Agency in its design. Swedish EPA has contributed to the programmes mainly through short-term technical advisors. In for example Vietnam, visits by the Swedish EPA generally lasted 1–2 weeks.

The evaluation reports reviewed and interviews conducted do not allow for a comparative analysis of the pros and cons of using long-term vs. short-term technical advisors or the relative merits of technical advisors from consultancy firms and Swedish authorities respectively. In line with broader lessons learned from capacity development (e.g. OECD, 2006), there are some indications also from this study that the use of long-term technical advisors in some programmes have resulted in gap-filling (for example conducting trainings, writing operational plans and guidelines) instead of developing capacity within partner organisations to perform these tasks. Perhaps more surprising is the finding in one evaluation report, relating to the support to Albania, that also short-term technical advice seems to have resulted in gap-filling. The evaluation report indicates that much of the work on drafting legislation and guidelines on EIA and SEA was done by Swedish experts, yet it is likely that it would have been more efficient, in terms of building institutional capacity, to support the staff of the Ministry to undertake the task with foreign expert support (Sipu, 2009).

Another efficiency-related issue is the balance between contracting international or national consultants for the provision of technical advice and training. This overview indicates that there has been a large reliance on international consultants in the reviewed programmes.

South-South cooperation: There is a growing interest in South-South cooperation for capacity development. Vietnam has emerged as a regional centre of excellence for the use of Strategic Environmental Assessment, partly through the support of SEMLA. Neighbouring states and the Vietnamese Ministry of Natural Resources and Environment have developed an interesting proposal for networking and sharing of Vietnamese experiences.

Donor coordination: There seems to be scope for increased efficiency through improved donor coordination in several programmes. The mid-term review of the SEM II programme in Lao PDR states that supports are provided on project rather than programme basis, which makes the government's management of externally supported programmes time consuming and costly. Different donors have different financial control and reporting requirements and harmonisation between development partners remains weak if not to say non-existent (Sida, 2008b). In Burkina Faso, Sweden has supported the development of a sector approach to environmental management, but many donors (and agencies in Burkina Faso) seem to prefer continuing with a project based approach. However, the picture is mixed and several examples of donor coordination do exist. In Kenya, Swedish support is based on delegated cooperation with Denmark, who is the lead partner. In Vietnam, a specific donor coordination group was established for developing and implementing regulations and guidelines relating to strategic environmental assessments.

4.5 SUSTAINABILITY:

Assuring sustainability is a major challenge for all supported programmes: The sustainability of the capacity to manage the environment in the different countries after the Swedish supports have ended is difficult to assess since most programmes are still in effect or have recently ended.

Attempts to ensure sustainability include replication and scaling up of pilots, creation of human resources strategies rather than just training programmes and integrating programmes into existing administrative structures. However, from the reports reviewed, it seems that assuring sustainability is a major challenge for all supported programmes.

In Tanzania, an evaluation report concluded that the National Environmental Management Council (NEMC) was ‘dangerously dependent on Sida’. Sida was for many years the only donor providing consistent institutional support to NEMC and Sida funds comprised a large share of the organisation’s budget. In Lao PDR, a similar situation exists where Sweden is the only donor behind the SEM II programme. The intended third phase of the project was at risk when Sweden decided to phase out its development cooperation with Lao PDR and a good exit strategy had not been developed. If Finland had not decided to support a third, somewhat revised, third phase of the programme, the sustainability of the Swedish and Lao PDR investment in capacity development was perceived to be at risk.

Most Swedish supports funded as separate projects: As stated in Chapter 2, analyses of developing country environmental authority budgets reveal relatively large portfolios of externally financed projects that comprise sustainability. Most Swedish supports have been funded as separate projects with separate budgets and reporting systems in the environmental ministries and agencies. In for example Lao PDR, the funds are channelled through the treasury, but there is a special financial unit created with Swedish funds for managing the project finances. When several donors create these types of project units in a ministry it may weaken rather than strengthen the administrative capacity of the ministry. An alternative model would be that several donors fund the implementation of an overall strategy or programme of an environmental ministries or agency. The support to Kenya where Sweden and Denmark jointly finance the same programme which is channelled through ordinary budget procedures is a move in this direction.

Few efforts to create high level commitment for environmental management: Given the importance of high level political commitment for the sustainability of investments in environmental capacity, it is noteworthy that few major efforts have been made to raise awareness and interest for key environmental issues among top level decision makers outside the environment sector. The potential for combining the support to environmental ministries with a high-level political dialogue on environmental issues between the Swedish government and the partner country government seem to rarely have been realised. Not even in Vietnam, which has been subject to the largest Swedish support to environmental capacity development, has a systematic effort to conduct a high level political dialogue on environmental issues been realised (Niras, 2009).

5. Conclusions, Lessons learned and Recommendations

5.1 CONCLUSIONS AND LESSONS LEARNED

Based on the review of literature, evaluations and programme documents as well as the interviews conducted, several specific conclusions as well as broader lessons learned emerge. In addition, Appendix I contains a range of lessons learned from the different supported programmes, as reported in programme documents and at the lessons learned seminar at Sida.

- *Conclusion: Swedish supports have made important contributions to improved legislative frameworks, organisational mandates and staff competence.* By working directly with environmental ministries and agencies, Swedish supports have contributed to significant and tangible results in terms of improved legislative frameworks, human resources development and clearer organisational mandates for environmental management. However, most programmes have been delayed in their achievements of stated objectives. The start-up phase of the programmes seems to be particularly vulnerable to delays.

Lesson learned: Experiences from several of the supported programmes show that a long-term perspective is needed when working with environmental capacity development. It takes time to build contacts and establish trust and working relationships, not least since environmental ministries and agencies are often very weak in comparison to other governmental organisations.

- *Conclusion: Swedish-supported programmes considered to be highly relevant.* Without functioning environmental agencies, laws and regulations, it is difficult to imagine a process towards environmentally sustainable development in any country. In this sense, the relevance of the supported programmes is high. Moreover, the programmes generally address important specific problem areas, are in line with country policies and are country owned. However, there is a risk that priorities expressed by environmental ministries differ from ‘real’ government priorities as revealed when difficult trade-offs between economic growth and environment are made (in e.g. PRSPs and budget allocations).

Lesson learned: Good institutional analyses are essential when designing support to environmental capacity development. While it may be relatively easy to identify weaknesses in capacity within environmental ministries and agencies in terms of staffing, competence and resources, it seems more difficult to identify underlying factors (often outside the “environmental sector”) that constrain or facilitate the development of improved environmental

management. For example, there is remarkably little information on corruption, vested interests and power relations in the reviewed reports, even though corruption is rampant in all of the programme countries and often linked to natural resource extraction (U4 Anti-Corruption Resource Center, 2009). Other factors that merit further attention include formal and informal relations between environmental authorities and other ministries (central and line) and the capacity to attract increased financing through the national budget. It also seems crucial to assess the status of internal management systems and the ability of partner organisations to effectively absorb increased financial resources. Agreed objectives and activities have in some cases turned out to be mere wish-lists that have not been possible to implement in agreed time-frames. Improved analysis of these types of factors is crucial for improving the relevance, effectiveness and sustainability of Swedish support to environmental capacity development, yet there seem to be a need for methodological development and guidance within this area.

- *Conclusion: Cross-sector coordination and high level dialogue critical for ensuring that outputs are translated into sustainable outcomes and impacts.* Most of the supported programmes seem to rely on an implicit assumption that investments in increased capacity for environmental management will automatically lead to an improved environment and indirectly also contribute to poverty alleviation. However, in order to translate formal rules into ‘rules in use’, the heavy focus on policy formulation in most Swedish-supported programmes needs to be complemented with a focus on policy implementation. It is usually when policies, laws and regulations are to be implemented that opposition, both within the public and the bureaucratic arena, gains momentum and risks blocking reform processes. Swedish-supported programmes have generally been weak in facilitating policy implementation through for example stimulating high-level political demand, improved mechanisms for cross-sector coordination and enhanced monitoring and enforcement of environmental laws and regulations. It seems as if the potential for pursuing a high-level political dialogue on environmental issues in the countries where Sweden supports environment capacity development has been rarely realised.

Lesson learned: Creating high-level political commitment and cross-sector coordination is necessary but difficult. In several countries there is a strong ‘silo mentality’ where different ministries compete with each other. In combination with a traditional view of the environment as a constraint on much needed economic growth, it can be very difficult to contribute to substantial changes outside the ‘environment sector’. Several programme documents indicate a good understanding of the importance of both high-level political commitment and cross-sector coordination for environmental management, but in practice there seem to have been few systematic efforts to achieve these types of outcomes.

- *Conclusion: Assuring sustainability is a major challenge for all supported programmes.*

Since environmental issues in the countries receiving Swedish support are generally not high political priorities, there is a risk that environment capacity development becomes supply rather than demand driven. Underfunded environmental ministries and agencies are likely to have strong incentives to look for project funding from development agencies, yet such funding may limit an important negotiation process related to the national budget between environmental ministries on the one hand and planning and finance ministries on the other. The capacity of environmental ministries and agencies to participate in the budget negotiation process is crucial for the sustainability of investments in environmental capacity development. However, the reviewed programme documents and evaluation reports have not sufficiently addressed these critical issues.

Lesson learned: The development of good exit strategies is well known to be a difficult area. Of particular importance seem to be to support the capacity of environmental ministries and agencies to participate in the negotiations relating to the national budget process. In order to improve sustainability the recurrent budget must be financed by the treasury.

- *Conclusion: Attention to climate change creates opportunities for high-level policy coordination.* The growing attention to climate change has increased the demand for the services provided by environmental ministries in for example Vietnam and Kenya. It has also raised attention to the need for national policy coordination led from the highest political and organisational levels. This offers opportunities for environmental ministries and agencies to work more closely with centrally placed ministries such as Finance and Planning. The attention to climate change may thus represent a window of opportunity for increasing the efficiency and effectiveness of support to environmental capacity development. At the same time, climate change may risk crowding out other critical environmental issues, such as chemicals management and environmental health, resulting in lower political and financial attention given to these issues.

Lesson learned: Coordination of climate change issues may be attractive for environmental ministries and agencies since it potentially involves management of large funds. If support of a policy coordination function on climate change (or environment more broadly) is proposed to be allocated to for example a ministry of planning, it may be met with resistance from environmental ministries and agencies. Development agencies need to be aware of the different incentives and interests involved when initiating supports in this area.

- *Conclusion: Programme reports contain clear objectives but the results are often difficult to distinguish and are seldom reported on the outcome and impact levels.* Objectives are often relevant and clearly stated in programme reports. However, the reporting of results is often insufficient and lacks conceptual clarity. In some cases activities are reported as results and often there are no clear links between activities/outputs and outcome level results. Furthermore, results stated on the outcome or impact levels are often vague and the findings are not

always substantiated. One explanation to the insufficient reporting of results could be that several of the supports were initiated years before the more focused approach to Results Based Management (RBM) at Sida came into place. This study shows that there is scope for improvements both regarding reporting according to established criteria for RBM as well as accessibility of programme documents in Sida's data systems and archives. It should however be acknowledged that even with improved reporting it will be difficult to attribute changes in outcome and impact indicators to Swedish-supported programmes. Change processes are highly complicated and there are many influencing factors.

Lesson learned: Programme reports, developed by partner organisations (or often the technical advisors in the programmes), sometimes tend to give a somewhat 'rosy' view of the programmes. Problems in the implementation of the programmes seem in some cases to have not been explicitly discussed in the reports, which limit the use of the reports for managers and funders in addressing the problems. The independent evaluations of the different supported programmes provided valuable information and insights to this evaluation. Experiences from Norwegian supported capacity development programmes on natural resources management also demonstrate that independent evaluations can uncover corruption in supported programmes that have not been detected through normal reporting and auditing procedures (U4 Anti-Corruption Resource Center, 2009).

5.2 RECOMMENDATIONS

The Swedish government has identified environment and climate change as one of three thematic priorities for development cooperation. So far, integrating environmental concerns into supported sectors, programmes and projects has been the key strategy to implement this thematic priority. As presented in Chapter 1, the supports to environmental capacity development discussed in this study only constitute a small share of Sida's environmentally related supports. Recently the government committed special funds in a climate change initiative, and financing targeting climate change adaptation may increase in the coming years. Against this background, the Swedish government may consider combining the integration approach with stepping up its targeted support to capacity development for environment management in partner countries. The recommendations below are written to enhance such a dual approach.

- *Use a broad country system approach to support capacity development in order to manage environment and climate change issues:* The focus of the programmes reviewed in this study has mainly been on policy formulation and strengthening of environmental sector organisations. In order to reach impacts, there is a need to complement this approach by identifying and addressing key constraints to environmental management that lie outside the environmental sector. Important ingredients in a broadened approach to environmental capacity development are to ensure high-level policy coordination and to find institutional arrangements that make ministries of finance, plan-

ning, agriculture, energy, industry and other powerful actors assume a greater responsibility for environmental management. Developing agencies can also play an important role in strengthening the demand side of environmental governance through support to civil society, research, media and parliament.

- *Increase the support to capacity development programmes on environment management and climate change:* Based on the broad Swedish experiences from supporting environmental capacity development and natural resources management, Sweden should have the potential to increase its ambition regarding sector supports in the environment field. In pursuit of efficiency Swedish development assistance is likely to continue to focus on a few key sectors in each partner country. Hence a sector support may have to be defined broadly in order to reach a sufficient volume. For this purpose, synergies between the environment, including climate change, and natural resource sectors such as water, forests, agriculture and energy may be sought. How to define the boundaries of the environment sector and how to design an environmental sector support programme is highly context dependent¹³. For example, while environmental ministries and agencies most likely will play an important role in these supports, it is not probable that they will be the preferred counterparts for all parts in a sector support. In some cases it may be more appropriate to support policy coordination functions on climate change within planning ministries or to stimulate demand for environmental management by supporting civil society organisations.
- *Improve the use of institutional analysis:* The design of supports should be based on a thorough institutional analysis that looks beyond technical needs assessments and covers political and economic constraining and enabling factors for managing environmental and climate change issues. Key constraining factors found outside the “environmental sector” are important to include in the analysis. While improved institutional analysis is often recognized as important, there seems to be a possibility to make improved use of existing methodological guidance within this area.
- *Pursue a strategic dialogue on environment and climate change issues:* In order to increase high-level political attention on the environment and climate change, Sida should use the opportunity to pursue high-level dialogues with partner country governments. This will be logical in the cases where Sweden provides environmental sector support to the country in question. However, Sida may also bring up critical environmental issues in a strategic dialogue linked to other sectors Sida is supporting in countries not subject to Swedish environmental sector support. By collaborating with the lead donors and donor coordination groups on the environment and climate change in the different partner countries, Sida can be kept informed about key issues and joint positions may be elaborated. Analytical work that links environmental problems to key national priorities such as eco-

13 See Danida (2009) *Good Practice Paper on Environmental Sector Programming* as well as the recent background paper for the European Commission on sector approaches in the environment and natural resources sectors (Buhl-Nielsen and Bird (2009)).

conomic growth, public health, poverty reduction and agricultural productivity, may provide an important basis for a strategic dialogue. Sida could support such work, preferably linked to the development of PRSPs or other key policy processes, and in collaboration with other donors.

- *Improve the systematic integration of environment and climate change issues in all contributions:* Since successful environmental management requires behavioural changes by multiple actors in many different sectors, Sida should continue to strive for the integration of environmental and climate change concerns into all supported sectors and programmes. There is a need to move beyond a 'do-no-harm' approach and proactively identify opportunities to enhance environmental management in different interventions. The lack of a proactive approach was one of several weaknesses identified in an evaluation of the integration of environmental concerns in Swedish development cooperation undertaken in 2006. Since then the attention given to environmental and climate change issues in development cooperation has increased considerably. However, recommendations relating to a more pro-active approach and improved monitoring and follow-up of Sida's environmental policy remain, by and large, to be implemented.
- *Increase the capacity at Swedish embassies and Sida country teams to engage in a dialogue on environmental and climate change issues:* Working with environmental capacity development requires a thorough understanding of the issues. A more ambitious Swedish agenda in this area will also require investments in the capacity at Swedish embassies and Sida country teams. Currently, there is a lack of specific expertise on the environment and climate change and there also seems to be a need for a continued focus on training on environmental and climate change issues within many country teams.
- *Deepen the knowledge on environmental capacity development:* The scope of the present review is limited to 11 supports in nine countries. In order to gain a good understanding of key challenges and opportunities in environmental capacity development, further studies are clearly needed. Since the OECD evaluation in 1999, no major stocktaking of the experiences from environmental capacity development has been conducted. Besides evaluations of individual programmes, linkages to the broader literature on environmental governance and environmental policy integration are recommended. Sida should also continue to follow the methodological developments undertaken by the OECD Environment and Development Task Team on Governance and Capacity Development for Natural Resources and Environmental Management as well as by the European Commission, World Bank and Danida.

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Appendix I: Summary of Swedish bilaterally supported programmes for environmental capacity development

This appendix aims at giving a brief overview of the reviewed supports. The overview covers areas such as background, objective, and key results. It also includes information on the efficiency, effectiveness, relevance and sustainability of the supports. Lessons learned and enabling and hindering factors are also covered in the overview. The information in this appendix is excerpted from project evaluations, reviews and reports and the presentations given at a lessons learned seminar at Sida in November 2009 (see list of references above). The authors have summarized the reviewed information but have not intended to draw analytical conclusions from the material in this part of the report.

Vietnam

Strengthening Environmental Management Authority (SEMA) ¹⁴	
Time period:	May 1997 – 2002
Cost of Swedish Support:	33 MSEK
Partner Country Institution:	National Environmental Agency
Swedish Counterpart:	Sida, SEPA/KEMI,

Background:

Sida has been involved in the field of land administration reform and management of natural resources and the environment in Vietnam since the mid 1980s. The Vietnam National Environmental Agency (NEA) was established in 1994. Swedish support to NEA was given from the start but in 1997 the more substantial SEMA programme was initiated.

Six of NEA's Divisions received the bulk of Project assistance and were the direct beneficiaries: Policy & Legislation Division; Environmental Inspection Division; Nature Conservation Division; Database Management Division; Education & Training Division; and Administration and International Division. SEMA also included capacity development support to six provinces: two in the North (Thai Nguyen and Ninh Binh), two in the Centre (Nghe An and Binh Dinh), and two in the South (Ba Ria-Vung Tau and Dong Thap). The collaborating partners in the provinces were the Environmental Management and Inspection Divisions of the Departments of Science, Technology and Environment (DoSTEs).

An institutional collaboration with IUCN for provision of technical assistance to the programme was established.

Objectives:

The long-term goal or development objectives:

1. An established capacity within MoSTE, NEA and DoSTEs to develop and implement policies and strategies and to perform other

¹⁴ The whole text about the SEMA project is based on NIRAS 2009

key functions within their mandate in the context of the National Plan for Environment and Sustainable Development and the Law on Environment Protection.

2. A strengthened capacity within the Government of Vietnam to consider environmental implications in responding to anticipated future increases in development investment.

The specific or immediate objectives were to:

1. Enhance capacity of Senior Management of the National Environmental Authority (NEA), in particular with relation to international collaboration, policy development and planning.
2. Strengthen institutional capacity of NEA.
3. Train environmental officers.
4. Develop an effective national environmental inspection service.

The above objectives were to be reached through four crosscutting project components, see “activities/outputs below.

Key Results:

Impact: No comprehensive evaluation of impacts has been conducted for the project and the Logframe and M&E system is very limited at the outcome and impact level.

Outcomes: According to Niras (2009) key outcomes of SEMA were the following:

- The institutional structure of NEA was further developed, with clarified roles and responsibilities of various divisions.
- Long-term (up to 2010) environmental strategy and medium-term (up to 2005) action plan was prepared and submitted for government approval.
- Inter-sectoral consultation was enhanced.
- The inspection service at the central and local levels was enabled to play a more proactive, professional and effective role and a strategic plan was prepared for this purpose.
- Human resources development within NEA, DoSTEs and Line ministries.

Activities/Outputs:

1. Environmental Policy and Improved Institutional Framework

- The National Strategy for Environmental Protection (NSEP: 2001–2011) and the National Environmental Action Plan (NEAP: 2002–2005) were developed;
- Contribution was made in environmental protection policy and strategy documents both in national and provincial levels.
- Training in environmental policy analysis, using the PoleStar Software was conducted
- The roles and responsibilities of 3 NEA divisions – Inspection, Pollution Control and Environmental Impact Assessment were clarified.
- The Policy & Legislation Division of NEA was supported in preparing a Strategic Human Resource Development and staffing plan.

- Institutional arrangement review of environmental management, inspection and control in the DoSTEs, as well as a detailed review of environmental management and inspection practices in the Ninh Binh and Binh Dinh DoSTEs.
 - A national environmental information system was established, comprising a network of users and co-operating agencies with applications for database, GIS and Internet access.
 - Several inter-ministerial advisory groups were set up to guide development of strategic documents like the NSEP, NEAP and National Report for Rio+10 Conference, enabling close collaboration between NEA and its partners.
2. *An Established Environmental Inspection Service*
- Institutional arrangement review of the DoSTEs with reference to environmental management and inspection functions;
 - 5-year strategic plan developed for an effective inspection service at NEA;
 - A handbook for effective inspections was developed and used;
 - Legal instruments related to environmental inspection reviewed and regulations were drafted;
 - Existing practices reviewed and a strategy produced on chemical safety and control with recommendations for legal, administrative and institutional changes, as well as for training and awareness raising.
 - Over 100 inspectors from NEA, DoSTEs and line ministries were trained with 41 themes covering subjects like environmental systems, management, technology, inspection, economics, information management etc;
 - 35 inspectors from MoSTE, NEA and the DoSTEs were trained in overseas training courses; – laboratory/mobile sampling and analytical equipment were supplied to each of the 6 project DoSTEs and to the inspection division in NEA.
3. *An Effective System for the Management & Dissemination of Information about Environmental Protection*
- Environmental information databases: Six environmental information databases were developed on NEA's Website and environment protection journal (all issues);
 - a national environmental GIS database standard was established
 - GIS databases for 6 DoSTEs were developed based on the national standard.
 - The database management division of NEA was equipped with IT equipment to expand NEA's LAN; the procurement of additional software for the 6 project DoSTEs and 6 PCs for the departments responsible for environmental management in 5 line ministries – ministries of health, industry, MARD, MPI, and office of government, as well as in MoST;
 - Training imparted to about 150 staff from NEA, DoSTEs and line ministries;
 - Two courses conducted for 46 participants from NEA, DoSTEs and line ministries covering basic training information management, and accessing environmental information on the Internet;
 - Workshop conducted on the application of remote sensing technology for environmental management in Vietnam.

4. *Increased Environmental Awareness*

- Awareness raising activities included publication of public environmental awareness strategy and seminars/workshops for decision makers and technical/managerial staff
- 20 workshops, seminars and conferences were organized that covered a total of 1,127 participants, including 305 women and 922 men;
- NEA Newsletter/Bulletin was upgraded to a monthly Environment Protection Journal (EPJ).
- In all 6 project provinces, small-scale environmental awareness activities were implemented.
- A total of 31 training courses were organized to help improve the technical competence of the staff in the NEA, DoSTEs and line ministries. The major areas of training covered were environmental inspection, environmental economics, information management, policy planning, species threat assessment, English language etc. In all some 692 people participated in these training programmes, which included 184 women and 508 men.
- The project supported the training of 30 people abroad in the areas of environmental inspection, planning & management of industrial estates, environmental management, and English. These included 12 women and 18 men representing NEA, DoSTEs and line ministries. The training took place in Sweden, Thailand, UK, and Singapore.
- 71 persons were sent on study tours abroad to Sweden, Switzerland, Australia, India, and South Korea to learn about environmental inspection, cleaner production and chemical safety, environmental education training systems, use of economic instruments, information management, biodiversity conservation, and environmental institutional development. These included 14 women and 57 men representing NEA, DoSTEs and line ministries.

OECD Evaluation Criteria:

Effectiveness and Efficiency: NIRAS (2009) states that it is difficult to assess how effective or efficient the programme has been but that there are indications that the project was relatively effective and reasonable efficient.

Relevance: Implemented in the same period where Vietnam economic development had firmly taken root and accelerated SEMA is considered to have been very timely. The rapid economic development process had large environmental impacts which accentuated the need for stronger environmental management. In this context the objectives and activities of SEMA are considered to have been highly relevant.

Sustainability: Niras (2009) finds that assessments conducted at the end of the project concluded that the project had reasonable results in regard to sustainability.

Lessons learned:

- SEMA was the first nationally executed project on environment; its implementation responsibility was assigned to a relatively newly established agency. Capacity building on national execution should precede project implementation, or at least be included as a project

activity. Initial delays and setbacks were eventually resolved as all partners concerned gained experience through implementation.

- The observed lack of integration of the project within NEA is closely linked to the above issue. Having had no inputs on the modalities of national execution it was left to “learning-through implementation” to resolve this problem, which ultimately took time to realize and institutionalize.
- There was need for a better assessment of the absorptive capacity of the staff while planning project activities, both at the Centre and in the provinces.
- The process of project development, particularly identification of activities and outputs should have been more participatory and consultative.
- Staffing of key positions within the project’s management structure should be stable to avoid dislocations and setbacks.
- Some elements of the co-operative arrangement need to be improved. While clear roles and responsibilities have been defined for each partner, the requirement for SEPA to work through the IUCN and for IUCN to provide back-up to the SEPA advisors has not worked in actual practice. A direct bilateral agreement between NEA and SEPA would be a preferable and more practical alternative.
- The GOV should ensure that crucial decisions affecting the environment sector was taken as soon as possible. Similar integration must take place at the provincial levels as well. Central and provincial governments need to act on recommended institutional changes for the environmental authorities.
- Considering the increased level of donor interest in environmental projects there is need to ensure effective, efficient and transparent collaboration with the donor community, for which the ESG and its associated partnerships must be institutionalized and made fully functional.
- The co-operation between NEA and MARD on nature conservation needs to be further improved. For NEA to fulfil its mandated key responsibility in implementing the Biodiversity Action Plan it would have to work much more closely and effectively with the other agencies and institutions concerned with this subject.
- In terms of the model for HRD, while traditional activities like training, study tours, seminars and workshops should continue, consideration should also be given to identifying and implementing joint activities by the beneficiaries and the consulting experts/institutions, either international or local. Some successful examples of such joint activities were the development of the Handbook on Environmental Inspection, development of the NSEP and NEAP etc.

Vietnam

Strengthening Environmental Management and Land Administration Programme (SEMLA)	
Time period:	December 2004 – June 2009
Cost of Swedish Support:	200 MSEK (Total programme cost was 250 MSEK)
Partner Country Institution:	Ministry of Natural Resources and Environment
Swedish Counterpart:	Sida, SEPA/KEMI, Ramboll Natura

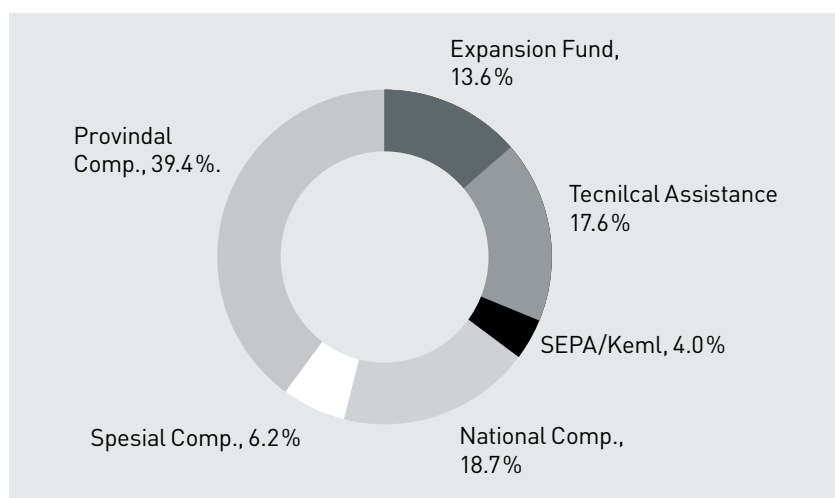
Background:

Previous Swedish-Vietnamese cooperation in the field of land administration reform and management of natural resources and the environment in Vietnam was organised through separate programmes such as Strengthening the Environmental Management Agency (SEMA), Provincial Coastal Management (PCM), Mountain Rural Development Programme (MRDP) and the Vietnam – Sweden Cooperation Programme for Land Administration Reform (CPLAR). In 2004, a decision was made to integrate Environmental Management and Land Administration into one integrated programme, Strengthening of Environmental Management and Land Administration Programme (SEMLA). This implies that the SEMLA programme includes a substantial component for support to land registration and is hence not only a support to environmental capacity development

The SEMLA programme is divided into one national component and provincial components involving six provinces. The cooperation is focused on the following areas:

- Integrated management of natural resources and environment
- Integrated pollution management
- Market oriented land administration and Real Estate Market development
- Institutional, organisational, capacity and HR development
- Environment and Land Information System (ELIS)
- Capacity building
- Public awareness raising

The support consisted mainly of technical assistance coordinated by the Swedish consulting company Ramböll Natura, twinning arrangements with Swedish EPA and Swedish Chemical Inspectorate. Support was also given to the development and implementation of different training modules and pilot programmes at national and provincial level. The total five year budget for the SEMLA programme of 250 million SEK was divided as follows:



Objectives:

Development Objective: To contribute in meeting the demands and needs of the country in an efficient and equitable way, by having a Natural Resource and Environmental Management (NREM) system in place that supports: (i) economic growth and poverty alleviation,

- (ii) sustainable development and environmental protection; and
- (iii) strong local governance and participation of the population in decision making processes¹⁵.

Intermediate Objective: (i) Improved service delivery and use of environment management and land administration services; (ii) SEMLA recommendations for policy reforms adopted by government; (iii) SEMLA models replicated to other areas.

National component objective: To strengthen the capacity of the NRE Sector to provide NREM by developing a unified and coherent policy, legislative and institutional framework and by improving capacity for better implementation of environmental management and land administration at national and local levels.

Provincial component objective: Improved capacity for NREM implementation for better environmental management and land administration in selected provinces

Key Results:

Impact: The 2007 evaluation of the SEMLA programme concluded that “direct measurement of SEMLA’s contribution to poverty alleviation is probably not possible during SEMLA’s implementation period, if at all, due to the slow maturation of impacts at this level and the many confounding influences caused by Vietnam’s rapid economic growth” (Andersen et al, 2008). Similar difficulties apply to detecting changes in environmental quality, linkages between changes in environmental quality and poverty reduction and the measurement of the SEMLA’s contribution to these changes. The findings from the impact assessment conducted upon the closure of the SEMLA programme in June 2009 report are mainly on the outcome, output and activity level (see below).

Outcomes

Legislation and policy development: SEMLA is assessed to have strongly contributed to the adoption of an improved and more comprehensive legal framework for NREM, including support to the development of: (SEMLA M&E Group, 2009 a and b)

- Law of Chemicals and guiding documents
- Guidelines for implementing the Law on Environmental Protection from 2005 (including a range of different environmental standards, norms and mechanisms)
- Legal documents on integrated land and environmental database
- Land policy legislation;
- Legislation on organisational and human resources development related to environmental management

Changes in Organisational Structures and Mandates: SEMLA has contributed to:

- the establishment of Department of Chemical Management under the Ministry of Industry and Trade with a mandate to coordinate chemicals management in the country
- revision of the organisational structure of Ministry and Department of Natural Resources and Environment (MoNRE/DoNRE)
- decentralization of government functions in the NRE sector, e.g. delegation of land registration to commune level.

¹⁵ This is the objective as it reads after at revision in 2008.

Human Resources Development: SEMLA has contributed to the establishment of a National Human Resource Development Strategic Framework for the NRE Sector. SEMLA has also invested heavily in different types of training modules (see outputs below). An attempt to assess the outcomes of these trainings in terms of changes in knowledge and behaviour of civil servants who have participated in trainings is included in the 2009 Impact Assessment (SEMLA Monitoring and Evaluation group, 2009a). An extensive evaluation of the seven different SEMLA training modules has been conducted which is based on surveys and interviews with a randomized sample of staff participants in training events. The findings from this evaluation indicate that for some training programmes the “success rates for putting training into practice” has been as high as around 90% while in other programmes participants have faced difficulties in putting training into practice due to lack of equipment. The evaluation as a whole does however not give a clear and sufficiently good overview of the outcomes of the considerable investments in training modules. One indication of this is the lack of a good summary in the evaluation report itself and in the main Impact Assessment report.

Improved Service Delivery: The average time for issuing land user rights certificates have fallen in several of the “SEMLA provinces”. This change was strongly attributed to SEMLA through introduction of “One Stop Shop”, decentralization of land registration to district and commune level. The land user rights certificates are seen as one of the most direct linkages between SEMLA and poverty reduction (SEMLA Monitoring and Evaluation group, 2009a). However, the 1997 evaluation point to previous experiences where One Stop Shops have worked well during but not after the programme life time (Sida, 2008).

Outcomes on the provincial level: A substantial share of the SEMLA budget has been devoted to a wide range of activities grouped in eight areas (see below) in the six provinces that form part of the programme. The reporting and evaluation of *outcomes* on the provincial level is however mainly focused on changes in knowledge and behaviour resulting from different training courses conducted (SEMLA M&E Group, 2009 a and b). This is briefly accounted for in the previous paragraph on Human Resources Development. The SEMLA final impact assessment report also includes an analysis of *the extent to which pilot programmes conducted in the six provinces have been replicated*. The degree of replication is seen as an outcome indicator since successful replication would imply stronger long term impacts of the SEMLA programme. There are many examples of replications of SEMLA models, but the strongest evidence on the sustainability and viability of SEMLA models is when replication has taken place using government funding without support from the SEMLA expansion fund or other donors. The adoption and development by MoNRE of the Environment and Land Information System (ELIS) as an integrated NRE database to be used on a national scale is highlighted as an example of replication of major significance. Two other instances of replication are also highlighted: (i) The replication of land registration model piloted in Dong Nai Province and Bien Hoa City to all district in the Province using own resources in 2008/2009; and (ii) 6 Training modules for NRE staff at all levels, piloted in SEMLA provinces and 3 other provinces outside SEMLA, will be used nation-wide by MoNRE (SEMLA M&E Group, 2009 a).

Outputs/Activities: The outcomes identified above are all supported by a range of different outputs and activities, *some* of which are summarized below¹⁶:

Legislation and policy development:

- Reviews of various laws, regulations and guidelines were undertaken to identify gaps, overlaps and inconsistencies. Based on these reviews, the needs for amendments and modifications for 32 issues of Land, Environment and relevant laws and regulation were defined and a strategy to resolve the issues was established. The results of these reviews formed the background for a proposal of “50 new laws and legal documents every year in 2008 and 2009” (SEMLA M&E Group, 2009 a, p.20).
- Development of guidelines to support the implementation of SEA and EIA; Chemical safety, land use planning and registration.

Changes in Organisational Structures and Mandates

- Support to developing the public administration reform plan issued by MoNRE as well as to different decrees regarding mandates and organization of MoNRE and DoNREs.

Human Resources Development: SEMLA has invested heavily in training of primarily staff within MoNRE and DoNREs:

- Over 220 training courses were held during 2006–2009.
- Around 12,000 officers trained.
- Around 5000 officers trained in environmental management.
- Around 2700 officers trained in land administration.
- Around 4500 officers trained in other skills (English, software, project management etc.) (Bertilsson, 2009).
- Various training manuals and materials have been produced, including manuals on environmental management and skills for district and communal staff members (5 modules); Climate change; project management skills; Training of trainers; and SEA.

Outputs on the provincial level:

Pilot programs have been implemented in the six different provinces in the areas of

- Pollution Prevention, Control and Rehabilitation
- Cleaner Production
- Chemical safety
- EIA and SEA
- Environmental and land information system
- Integrated land use planning
- Land registration and real estate market development
- Provincial capacity building and public awareness raising¹⁷

OECD Evaluation Criteria:

Effectiveness: According to the 2009 Impact Assessment the SEMLA programme has managed to fulfil most of the objectives included in the

¹⁶ For further information of the many activities and outputs of the SEMLA programme see (SEMLA M&E Group, 2009)

¹⁷ For further information of the many activities and outputs of the SEMLA programme at the provincial level see (SEMLA M&E Group, 2009)

log frame of the programme. There is however only little information and qualitative discussions about objectives that have not been achieved, obstacles in reaching stated objectives and unintended effects of the programme. The 2007 evaluation questioned widely held belief that there is an automatic linkage between improved capacity among civil servants, improved laws and regulations and improved service delivery that reaches the ultimate beneficiaries of the SEMLA programme, the urban and rural poor. In order for trainings, new policies and guidelines to result in improved service delivery for the poor they need to be accompanied by attitudinal changes and clear and enforceable mechanisms for monitoring performance (Sida, 2008).

Efficiency: The final Impact assessment report from 2009 does not include an explicit assessment of the extent to which the costs of the SEMLA programme is justified taking the results and other alternatives into account. The 2007 evaluation did not include a thorough assessment of the efficiency of the SEMLA programme but highlighted some strategic choices with efficiency implications. A key strategic choice was considered to be between broadening the SEMLA programme to new areas (in response to expanded MoNRE mandates) and focusing and consolidating the programme to fewer areas. The evaluation noted that “*while the formulation of policies and subsequent legal documents is without doubt a necessary first step in all policy areas, it is not a sufficient step in any policy area*”, and pointed to the need for the SEMLA programme to focus more on policy implementation (Andersen et al, 2008).

Relevance: The mid-term evaluation (Andersen et al, 2008) concluded that SEMLA was highly relevant in relation to overall policies of both the Vietnamese and the Swedish government as well as in relation to the Vietnamese (changing) context.

Sustainability: The 2007 evaluation concluded that the chances for sustainability of the SEMLA programme are rather weak unless the ways of working change during the remaining Programme implementation period. Identified factors threatening sustainability included: (i) the limited number of regular MoNRE staff in the SEMLA national programme office; (ii) frequent outsourcing of implementation activities; (iii) technical advisers were used as gap fillers to a certain extent and (iv) the heavy focus on policy formulation and the corresponding need to change to focusing more on policy implementation.

The final impact assessment of the SEMLA programme includes a short paper titled “Sustainability of SEMLA Results and Replication” written by the Chief Technical Adviser and the National Programme Director at SEMLA. The paper describes how SEMLA pilots have been replicated, how training modules and other programme components have been mainstreamed into government activities and procedures, how experiences from SEMLA have been disseminated at workshops, via websites etc. The paper concludes that sufficient momentum has been created to ensure that processes of sharing and replication will continue in the future without SEMLA financing and sees this as the best indicator of the sustainability of the results achieved by SEMLA (SEMLA Monitoring and Evaluation group, 2009a). The report does not include information on MoNREs financial situation and the share that the SEMLA programme has constituted of MoN-

RE/DoNREs budgets, which could have been a perhaps equally relevant indicator for the sustainability of the programme.

Other issues:

Coordination: The highly sectoral government system in Vietnam was identified as one of the key constraints to the integrated approach promoted in the SEMLA programme (Embassy of Sweden Hanoi, 2004). This study has however not been able to find thorough information about the extent to which the SEMLA programme has facilitated improved collaboration across sectors and ministries in Vietnam. One good example where SEMLA has facilitated coordination is the establishment of Department of Chemical Management under the Ministry of Industry and Trade with a mandate to coordinate chemicals management in the country.

The donor coordination concerning SEA also included coordination between different ministries, including Ministry of Agriculture and Ministry of Planning and Investment.

Lessons learned: (Bertilsson, Per, 2009)

- Long-term perspective and approach to capacity development
- Work at both policy and implementation level facilitating feedback
- Integration of programme into national structures
- Establish strong relationships (takes time)
- Use a combination of international, including regional and local resources.
- Promote modern learning and training approaches
- Do not forget the bosses
- Maintain continuous and close dialogue
- Effective communication methods – avoiding “lost in translation”
- Proven ability to contribute is entry to involvement in critical and sensitive processes.
- Link to policy critical for real, large and sustainable contribution and impact.

Lao PDR

Strengthening Environmental Management Project Phase I (SEM I)	
Time period:	2001–2004
Cost of Swedish Support:	30 million SEK
Partner Country Institutions:	Department of Environment in the Science, Technology and Environment Agency (STEA)
Swedish Counterpart:	Sida, Ramböll Natura AB

Background:

Sida has since 2001 supported environmental management in Lao PDR, first through the Strengthening Environment Management project (SEM) from 2001–2004 which was followed up by the present project, SEM phase II (see below). The Department of Environment (DOE) in the Science, Technology and Environment Agency (STEA) was the host agency for SEM phase I. Support was given mainly through technical advice and assistance from the Swedish consulting company (Ramböll Natura AB), equipment procurement and training events.

Objective: The overall project development objective was to contribute to “an enhanced government environmental management capacity, and incorporation of environmental concerns into the development process”. From the broad overall development objective, four specific project objectives were identified for the SEM phase I: (i) enhanced environmental management capacity within DOE, (ii) a fully functioning network for information and coordination of environmental issues at the central level, (iii) environment offices established and functioning in three provinces, and (iv) increased awareness among the general public about environmental issues.

Key Results:

The external review states that environmental capacity has been enhanced within the DoE compared to the beginning of the project. However, there has been no assessment of impacts and outcomes of this programme. The external review of the project concludes that it is impossible to say anything about the project impact objective and if it has contributed to poverty alleviation or not. The review concludes that a comparison between states of the environment within a five year period would perhaps give an indication on impact results.

Key results are limited to the *output and activity levels*.

Activities/outputs

1. *Enhanced environmental management capacity within DoE*
 - New STEA office established with the DoE as a separate department
 - More equipment (e.g. computers, printers, phones) purchased and used
 - Improved technical capacity (especially capacity within Environmental Impact Assessment, EIA)
2. *A fully functioning network for information and coordination of environmental issues at the central level*
 - A new National Environment Committee (NEC) established
 - Environmental Committees operating in pilot provinces
 - Informal networks developed from stakeholder consultations associated with EIA and Environmental Education and Awareness (EEA)
 - A donor’s environmental roundtable has been established
3. *Environment offices established and functioning in three provinces*
 - STEA offices operating in the three pilot provinces with integrated environmental units
4. *Increased awareness among the general public about environmental issues*
 - Increased general public awareness of environmental issues where the national strategy for EEA has been a significant achievement

OECD Evaluation Criteria

Effectiveness: According to the external review the project has enhanced the environmental management capacity of STEA/DoE and the project made significant achievements (between 2001–2003), although less than originally anticipated (Milne, 2003).

Efficiency: The SEM project was implemented in a cost-effective manner according to the external review. For example, cost savings include holding most short-term training courses in Laos, using exter-

nal trainers. For the cost of sending one person abroad for a short course a much larger number of people can be trained locally (Milne, 2003).

Relevance: Relevance is not sufficiently mentioned in the reporting. However, the initial project design and direction was to build capacity for environmental management, primarily in DoE at national level. This focus was according to reporting an appropriate starting point and complemented other donor-environmental projects identified by the project formulation team. The project design around the four main objectives was based to a large extent on needs expressed by STEA and other stakeholders (Milne, 2003).

Sustainability: According to the external review it is clear that without the support of the SEM project most of the operational activities of the DoE at central and provincial level would be reduced. The long-term financial and human resources sustainability of STEA/DoE was assured at the time of the review (2003). The review identified that the DoE activities was heavily financially dependent on Sida, both on regional and national levels. Furthermore the review concluded that without a commitment by the government to improve longer-term DoE financial and human resources sustainability, the merits of continued Sida support through a second phase are questionable. (Milne, 2003).

Lessons learned:

The external review of the project concludes that “While spending money is not an objective of this project (nor should it be), the low level of actual against planned expenditure reflects internal capacity constraints. It may also reflect that the project has been a little too ambitious in setting its annual work plan, given the realities of operating constraints” (Milne, 2003).

The beginning of the project was mostly focused on building up and strengthening structures, which was not originally planned.

Enabling and hindering factors:

- It took a longer time than expected for external advisory experts to settle down in the new surroundings, and to create a working relationship and trust with the counterpart.
- In the beginning there were difficulties in finding suitable external advisory experts and many changes in staffing were made.
- Changes in key personnel temporarily slowed down progress.
- Language differences were also a hindering factor in the beginning and persisted with some counterparts.
- Competing responsibilities to other donor-funded projects hindered some personnel that was originally planned to be engaged in SEM.
- The STEA/DoE management system and business process were not as efficient as needed to support project management and implementation and some of the managers lacked sufficient management training. Moreover, the central and provincial offices were constrained by the lack of staff. During SEM I there were no external advisors in the situated in the provinces and the financial administrative capacity was low. This was changed during SEM II and external advisors at were also stationed in the pilot provinces.

Lao PDR

Strengthening Environmental Management Project Phase II (SEM II)	
Time period:	2004–2010
Cost of Swedish Support:	62 million SEK
Partner Country Institutions:	Department of Environment, Water Resources and Environment Administration (WREA)
Swedish Counterpart:	Sida, Grontmij AB

Background:

In addition to the three pilot provinces that participated during SEM phase I, an additional six provinces are included in the SEM phase II. Support was given mainly through technical advice and assistance from the Swedish consulting company (Grontmij AB), and training events. As Swedish development cooperation with Lao PDR is being phased out, discussions are being pursued with other donors on the planned third phase of the support to strengthening environmental management in Lao PDR.

Objective: The development objective of the second phase of the SEM programme is to contribute to “*strong environmental management in Lao PDR to support national goals of sustainable development and poverty eradication*”.

The purpose of SEM II is to support Water Resources and Environment Administration (WREA) to (i) achieve effective coordination of environmental policy issues within government and with donors; (ii) to function effectively as Environmental Assessment licensing, monitoring, regulatory and advisory body; (iii) to increase staff capacity; (iv) environmental education and awareness; (v) to establish a network for environmental data coordination and; (vi) support the provinces.

Key Results:

There have so far been no assessments of impacts and outcomes of this programme. However the mid-term review observed improvements of environmental management at central, provincial and district level and found that the project has enhanced the environmental capacity of WREA/DoE through capital equipment, training and hands-on experiences. Furthermore, the mid-term review also observed an increased awareness and understanding of the importance of environmental management issues.

Key results are limited to the *output and activity levels*. The results are based on background reports, interviews and presentations; hence the information is heavily influenced by SEM II technical advisors. An external evaluation report has not been available.

Activities/outputs:

1. *Environmental Law, Policy and Action Strategy*

- A new Environmental Protection Law and National Ambient Standards drafted
- A final draft of National Environmental Quality standard prepared
- New Decree on EIA developed and approved
- WREA can make strategic environmental planning
- Integrated Spatial Plans for sustainable development completed in two provinces

2. *Environmental Management and Impact Assessment and Environmental Monitoring*

- WREA conducted several reviews of large projects
- WREA organisation developed to cope with specific aspects
- SEA and EIA guidelines developed and used
- Increased capacity and more staff with competence to review EIAs within WREA
- Management system between WREA and line ministries developed
- Pollution cases investigated and resolved

3. *WREA Capacity and Staff Development*

- English language skills dramatically improved
- All departments in WREA have environmental educated staff
- On the job training rather than training courses
- Trainers trained

4. *Environmental Education and Awareness*

- Development of training materials for the University
- Transfer of awareness campaigns to organisations (EG World Environment Day)
- Green School Program under implementation

5. *Environmental Reporting and Data Dissemination*

- A lot of environmental data collected from different sources and ministries (water quality, population, EIA and Inspection database)
- A GIS formatted database created and used in provinces for integrated environmental spatial planning and storage of environmental data
- Environmental reports

6. *Support to 9 provinces*

- All 9 provinces have received environmental training
- Direct training support to selected provinces
- Field test equipment purchased for ambient monitoring

OECD Evaluation Criteria

Effectiveness: According to the mid-term review (2008) the achievement of results is on track and follows the work plan and major improvements of environmental management at central, provincial and district level have been observed. It is positive that WREA situated in the Prime Minister's office.

Efficiency: Nothing found about efficiency in reporting.

Relevance: *Relevance is not mentioned in the reporting. However,* the goal of SEM II is strong environmental management in Lao PDR to support national goals of sustainable development and poverty eradication. The Lao Government recognize that a clean, healthy and productive environment is central for poverty eradication and long term sustainable development (Sida 2008a).

Sustainability: Today, in Lao PDR specific challenges and environment risks are increasing faster than the STEA/WREA capacity to handle these risks. The sustainability of the programme could be at risk when Sida is phasing out. It is important that the support continues during a third phase (Bostrand, 2009). WREA recognised the risks early and a project outline was developed to be presented when opportunity came for continued funding. Discussions are now being pursued

with other donors (Finland) on the planned third phase of the support to strengthening environmental management in Lao PDR.

Lessons learned:

- Mandate, clear responsibilities, and laws a precondition for good governance
- The internal organisational structure plays an important role
- Working close to management makes things go faster – imply full cycle implementation
- Good cooperation between ministries a catalyst for implementation
- Activities outside a mandate might imply development of a mandate
- Language important as most environmental knowledge in English
- Computer training important (GIS and other) few data now but lots of data in the future
- Well known freeware software make training easier and limit budget requirements
- Difficult to set conditions if officers have no tradition or personal expertise – understanding technical issues lead to higher quality messages
- On the job training with a consultant important – no real learning without doing – but training seminars still important
- Lack of basic ambient data make permitting and monitoring activities complicated
- Use of provincial advisors provide basic knowledge to WREA about the situation in the province and build up capacity at provincial level
- Implementation through the departments in provincial offices imply ownership and capacity building
- The social and environmental obligations in energy concessions agreements will certainly prevent some of the impact and therefore also impact in poverty
- Women play an important role in the administration
- Study tours improve networking
- The “dominating” donor imply highest influence
- Things take time

Enabling and hindering factors:

Enabling factors:

- WREA situated in the Prime Minister’s office
- When the new EPL and bylaws implemented
- WREA recognised as an environmental authority – development of unique high responsibility during SEM II
- WREA responsible for compliance certificates to large projects covered by Electrical/Mining laws
- Highly motivated and open minded staff in WREA
- Universities with increasing number of environmental educated candidates
- A SEM III implemented

Hindering factors:

- Weak environmental mandate
- If all responsible, no one will be responsible
- Limited experienced environmental candidates
- Lack of local environmental consultants (special expertise)

- Limited state funding for staff and equipment
- The WREA organisation with a weak internal cooperation
- Cooperation between ministries weak
- A SEM III not implemented

Other:

Coordination:

Coordination between development cooperation programmes and partners remain weak. Support is provided on project rather than programme basis that makes the government's management of externally supported programmes time consuming and costly. Different donors have different financial control and reporting requirements and harmonization between development partners remains weak if not to say non-existent. (Sida 2008b)

Kenya

Environmental Programme Support – Kenya	
Time period:	2006–2011
Cost of Swedish Support:	85 million SEK; Total Sida/Danida support is approximately 210 million SEK
Partner Country Institution:	Ministry of Environment and Natural Resources (MENR) National Environmental Management Authority (NEMA) Community Development Trust Fund (CDTF)
Swedish Counterpart:	Swedish Embassy in Nairobi

Background:

The joint Danish/Swedish Kenya Environmental Programme Support includes three major components implemented with three different counterparts:

- Policy Development (MENR): support to the development of an overall environmental policy/strategy in an open and participatory process with broad stakeholder participation.
- Strategic Management (NEMA): support to the fulfilment of NEMA strategic plan for improved environmental management in relation to natural resource management on national, provincial and district levels including the development of a framework for Integrated Coastal Zone Management (ICZM).
- Community and Civil Society (CDTF): support to innovative approaches to awareness and advocacy on poverty-environmental linkages and promotion of community based environmental management using the Community Environmental Fund under the Community Development Trust Fund (CDTF) as a financial intermediary to support implementation of NRM projects at community level.

The programme is implemented at national level, but also includes activities at provincial, district and community levels. Swedish support is based on “Delegated Cooperation” with Denmark who is the lead partner. The technical assistance involved in the support includes a long term senior policy advisor for the Policy Development Compo-

nent and a TA team for the strategic management component as well as short term consultants for different assignments.

The programme will be phased out during 2010 (one year earlier than planned) and be replaced by a broader and bigger Danish supported Natural Resources Management Programme 2010–2014, a support of approximately 375 million Dkr.

Objectives:

The overall objective of the programme is to create sustainable environmental management frameworks in support of improved livelihoods in Kenya.

The programme should contribute to: (i) the Economic Recovery Strategy for Wealth and Employment Creation (ERS), which is Kenya's poverty reduction strategy; (ii) the Millennium Development Goal no. 1 – poverty reduction and no. 7 – to ensure environmental sustainability; and, (iii) the implementation of the Environmental Management and Coordination Act.

The immediate objectives of the programme are: (i) an improved Government of Kenya policy framework for environmental management emphasising poverty environmental linkages, (ii) enhanced Government of Kenya capacity to support crosscutting and decentralised environmental management and (iii) awareness, capacity and best practices generated from civil society participation in undertaking natural resource management projects, in environmental management and planning at national and local levels.

Key Results:

There have so far been no assessments of impacts and outcomes of this programme. The summary of key results is thus limited to the *output and activity levels*.

Policy Development Component:

- The production of a new draft environmental policy in a thorough and participatory manner is considered as a substantial achievement (Danida, 2008). However, the new environment minister, from 2008, has so far not shown any interest in continuing the process of getting the draft environmental policy approved and implemented.
- The very thorough functional analysis of MENR and NEMA conducted by international consultants produced detailed recommendations for increasing staff numbers at MENR, reorganising the ministry and building the capacity of staff to operate effectively in the new structure. The ministry has gone a long way towards implementing these recommendations (Danida, 2008).
- The Environment Department established within MENR following the recommendation in the functional analysis is highlighted as an especially important output. This new department assists the Permanent Secretary in moving forward the agenda of the ministry, thus addressing one of the major constraints on the ministry's performance: the centralisation of decision making and consequent overloading of the Permanent Secretary (Danida, 2008 and Angwenyi, 2009).
- Some awareness raising events and materials have been produced.

Strategic Management Component:

- Stepped up efforts for compliance and enforcement is considered as the most visible and high profile result. Inspectors have been trained and registered and partnerships have been formed with the police to undertake enforcement actions.
- District Environmental Officers have been trained on EIA reviews as part of plan to decentralize the approvals of EIA.

Community and Civil Society Component:

- A number of awareness and advocacy projects as well as community projects were approved during 2007–2008 and considered to be following the plan included in this component. The Danida/Sida Review of the programme conclude that “the community environment projects appear to have good potential for contributing to poverty alleviation and sustainable environmental management in the areas in question, and it seems clear that demand is present” (Danida, 2008).

OECD Evaluation Criteria

Effectiveness: The program has so far failed to produce many of the planned outputs and reach stated objectives. The programme did not take off as planned. The inception report notes that most of the activities planned for the inception phase had not been implemented (Kenya MENR, Danida, Sida, 2007b). In September 2008 (after more than half the programme period had passed) only 26% of the total program budget had been used (Danida, 2008). Factors that explain the low absorption capacity of the programme include poor staffing at NEMA and NEMR, the slow programme start and the 2008 post election crisis.

Efficiency: The reports reviewed and interviews conducted for this report do not provide for an assessment of the extent to which the costs of the programme is justified taking the results and other alternatives into account.

Relevance: The inception report notes that stakeholders view the integrated approach to environment management adopted by the programme as highly relevant for Kenya and for the MENR, NEMA and CDTF. The emphasis on poverty environment linkages, decentralised environment management and improvement of livelihoods for the people is also considered as appropriate (Kenya MENR, Danida, Sida, 2007b). The 2008 joint sector review notes that “*since the elections the environment sector appears to enjoy support from high political levels and has received increasing media attention*” (Danida, 2008). This can be seen as an indication of the relevance of the programme in relation to national priorities.

Sustainability: The programme was designed to enhance the national ownership by MENR and NEMA to take the full responsibility for programme implementation and coordination of activities and relevant stakeholders. Programme sustainability would be strengthened by ensuring that programme funding was only a supplement to GoK funding. Local ownership and sustainability would be strengthened through participatory planning and capacity building in communities receiving CDTF funding (Kenya MENR, Danida, Sida, 2006a). The inception report however noted that “*stakeholders are yet to appreciate the programme as*

theirs. The fact that people have not read the documents is an indication that they view it as external” (Kenya MENR, Danida, Sida, 2007b).

Other issues:

Coordination: The programme document clearly recognizes the need for a cross sectoral approach and ensuring that other sectors have ownership and understanding of guidelines and regulations (Kenya MENR, Danida, Sida, 2006a). The inception report however notes that “*there is not much effort put to attempt to involve key related sectors such as Water, Agriculture, Energy and Regional development*” and that “*unlike in other sectors such as water and education, it is apparent that low attention has been granted to donor coordination in the MENR/NEMA*” (Kenya MENR, Danida, Sida, 2007b).

Lessons learned: (Based on presentation by Nohr, 2009 and interview with Angwenyi, 2009)

- Need to have a long term strategy (> 10 years) when working with environment capacity development.
- Accept and understand political context
- Support Drivers of change – individuals matter
- The Functional Analyses conducted were costly but formed a very important basis for the organizational changes conducted within NEMR
- Key to engage with and check realism of partner organizations strategic plans early in the programme. For example NEMA was a very young organization when program started and the real priorities were not revealed by overly ambitious “strategic plans”.
- Identify immediate objectives and put resources into the development of annual work plans
- Let Technical Advice be demand driven and embedded in institutions and be very clear about the role of the Technical Advisors, are they management advisors or operational advisors?
- Focus on management/HR and not only technical people and develop management system (account systems, performance monitoring etc.)
- Ensure national commitment (ownership), raise awareness in political system (Parliament) and support external pressures (civil society, private sector)
- Conduct thorough risk analyses’

Tanzania

Swedish Support to the National Environment Management Council in Tanzania

Time period:	1986–2000
Cost of Swedish Support:	85 million SEK
Partner Country Institutions:	National Environment Management Council (NEMC)
Swedish Counterpart:	Sida, Orgut Consulting AB

Background:

The National Environment Management Council (NEMC) came into being in 1983 with a broad mandate to oversee environmental management issues. Sida was the main bilateral partner to NEMC

during 1986–2000. Sida's support to the NEMC covered capital equipment, training, technical advisors, and financial resources for specific tasks in each Directorate. The project goal gradually evolved from 1986 but there are no clearly identified goals from the first five years. During that period the support was a part of the Tanzania-Sweden forestry support with focus on community forestry and soil conservation and management and utilisation of industrial plantation.

Between 1991 and 1997 the goal was to strengthen training and transfer of knowledge, participation of the rural people (particularly women), incorporation of environmental aspects, planning improvements and commercialisation. NEMC was originally structured around three directorate (i) Natural resources, (ii) Pollution Prevention and Control, and (iii) Finance and Administration. A fourth directorate was established in 1990 (Environmental Education and Documentation).

Objective: The general objective of the programme can be summarised as: (i) Strengthening technical capabilities of Directorates, (ii) Initiating National Conservation Strategy for Sustainable Development process, (iii) Purchasing basic office equipment, (iv) Improving capacity of the documentation centre (v) Raising public awareness on environment (vi) Strengthening internal human resource capacity.

Key Results:

Impact: According to the evaluation (2000) Sida support has been vital to the growth and development of NEMC. The linkages between the Swedish support to NEMC and changes in environmental quality and poverty reduction in Tanzania have however not been possible to assess.

Outcomes:

According to the evaluation (2000) it is clear that Sida's support has had a positive and significant influence on the ability of the NEMC to fulfil its mandate and perform various technical functions within this mandate.

The demand for NEMC's services was noted to have increased during the long period of Swedish support. Several important stakeholders asked for technical assistance from NEMC in relation to e.g. EIA. Through taking a tough stance in some high profile development proposals, for example the Rufiji Prawns project in 1997, NEMC managed to contribute to changes in the project implementation as well as to raise both political and public attention to environmental issues. Tanzanian environmental journalists played a crucial role in stopping the planned shrimp-farms.

The introduction of environment into educational curricula is also likely to have contributed to improved awareness and knowledge about environmental issues (although no surveys have been conducted to substantiate this finding) (Milne, 2000).

Activities/Outputs¹⁸:

The tables below describe activities and output results for the four different directorates.

¹⁸ As stated in the evaluation from 2000. The results achievements reported from 1989–1997.

Directorate of Natural Resources (including EIA)

Objectives	Activities/Output results
Workshops on Environmental management (1989–92)	• Four national workshops on EIA to develop process, discuss • One workshop on dams and environmental management
National Conservation Strategy for Sustainable Development (NCSSD) process (1990–94)	• Several preparatory national workshops • NCSSD completed in 1993, released in January 1994
Inventory of all natural resources and environmental conservation projects (1992–97)	• Surveys completed in all mainland areas of Tanzania, documents produced
Inventory of wetlands (1992–97)	• Inventory completed for Dodoma, Singida, Arusha, and Kili-manjaro regions
Support EIA review (1993–97)	• 23 major EIA reports reviewed, including field visits • EIA Directorate separated from Natural Resources in 1997 • Public hearings for first time with Rufiji Prawn farm project EIA review
Marine Contingency Plan (1993–97)	• Draft plan produced with assistance of International Maritime Organisation
Assess methods of community participation (1993–97)	• Small number of studies completed and reports produced
Preparation of national guidelines and procedures for EIA in Tanzania (1995–97)	• Draft EIA guidelines and process completed • Development of sectoral guidelines for mariculture and roads • Extensive consultation and co-ordination has occurred • Follow up on several environmental issues throughout the country
Wetland Monitoring (1994–97)	• Limited monitoring work completed through Sida funds

Directorate of Pollution and Control

Objectives	Activities/Output results
Survey of polluting activities (1989–1990)	• Activity appears to have occurred later in the programme • Preliminary survey on manufacturing carried out in Dar es Salaam, Lake Zone and Southern Zone • Report prepared on Chang'ombe industrial area • Standard survey methods developed
Strengthening monitoring and laboratories capacity (1989–90)	• Portable monitoring and lab testing equipment purchased later in project • Portable equipment has been used but gas chromatography equipment still in boxes
Urban air quality monitoring (1990–93)	• Measurement of air quality in Dar es Salaam and Ubungo power station area • Dar es Salaam study focused on analysis of sources, characteristics of pollution and recommendations for mitigation measures • Consultant reports prepared with assistance from Department of Chemistry and University of Dar es Salaam
Improved pesticide management, including storage and implementation (1990–93)	• Studies on pesticide management at Vikuge, Twiga, cement and Saruji ceramic plants • Advice provided to improve pesticide management at these facilities • Worked with TPRI to develop Prior Informed Consent protocols for pesticides and other hazardous chemicals
Study to evaluate lubricant recycling (1990–93)	• Study on recovery and recycling completed and report prepared

Objectives	Activities/Output results
Hazardous chemicals management and awareness (1990–91)	• Work planned for 1990/91 but most activity occurred later in the programme • Assessment of flow and end-use pattern of chemicals across Tanzania, report done • Data base developed for chemicals in key industries in Tanzania, updated regularly • Register a potentially toxic chemicals developed • Strong networks developed with key stakeholders, including workshops • PIC committee established in 1996 and has been active • Draft plan for National Oil Spill Contingency completed
Mining operation survey in Southern, Eastern and Western Zones (1991–94)	• Surveys completed for small and large scale mining operations, reports prepared
Introduce mercury recycling techniques in small scale mining sector (1991–94)	• Pilot study completed by Department of Chemistry, University of Dar es Salaam • Recycling techniques introduced in small scale mining in several areas
Draw priority list of polluted water sources and identify monitoring options (1992–94)	• Inventory work completed for Morogoro, Pangani and three other regions
Draw guidelines for environmental reporting (1993–94)	• Proposals on guidelines drafted and discussed with stakeholders
Inventory of hospital wastes (1993–94)	• Study completed with Dar es Salaam municipality and report completed • Study completed on safe disposal of medical wastes
Environmental standards and regulations (1993–97)	• Work started in 1996, including establishing standards committee • Standards for water and air developed with Tanzania Bureau of Statistics • Consultant report on regulatory process and enforcement mechanism prepared
Municipal waste management (1994–97)	• Survey of Dar es Salaam, Tanga, and Moshi completed to establish environmental status • Demonstration projects on refuse recycling carried out for Dar es Salaam • Demonstration project for refuse recycling in smaller urban areas completed • Technical assistance provided to Dar es Salaam to identify new landfill site • Study completed for Ngorogoro on more efficient waste management practice • Initiation of community-based pollution control project with NGOs. • Work to develop national plan for solid waste management was initiated
Environmental auditing, monitoring and reporting (1994–97)	• Consultant report completed on monitoring programmes in municipalities and industries in collaboration with other institutions • Follow-up work completed in industries in 6 regions • Work done to standardise procedures for monitoring • Phasing out of leaded fuels in Tanzania • Consultant study completed on scale of problem, and procedures and guidelines for phasing out leaded petrol (with assistance of Cleaner Production Centre)

Directorate of Research, Environmental Education and Documentation

Objectives	Activities/Output results
Environmental education consultancies, workshops (1989–97)	Workshops completed for adult educators on incorporating environment into curricula
Introduced Environmental Education into primary schools with collaboration TIE and MEC (1990–94)	- Production of audio-visual materials for teachers use in classrooms - Environmental education introduced in “Maarifa ya Jarnii” subject in 1995
Introduce Environmental Education into secondary schools with collaboration of TIE and MEC (1990–94)	- Production of audio-visual materials for teachers use in classrooms - Environmental Education introduced in social studies subject in 1995 - Introduction of environment in curricula from several post-secondary institutes
Production of publications on environmental issues	- Production and dissemination of brochures, calendars and still pictures - Establishment of bi-monthly newsletter with significant quality improvement over time - Oversee production and dissemination of technical reports from other Directorates
Environmental awareness and sensitisation (1990–97)	Completed seminars and workshops for NGOs, Members of Parliament economic planners (mostly on EIA), industrialists, women’s group, youth groups
State of the Environment Report (1996–97)	- Through UCLAS and AGENDA, completion of draft report in 1999 - Completed initial work to design environmental information system to support regular production of SOER in Tanzania
Establish documentation centre	- Acquisition of technical and non-technical material has been on-going - Acquire and install computer-based system for cataloguing and literature searchers - One-third of material has been catalogued and shelved

Directorate of Finance and Administration

Objectives	Activities/Output results
Acquisition of office equipment and literature (1989–97)	Equipment purchased throughout Sida support programme includes computers, printers, and software, lab equipment for monitoring, office furniture, library material, video camera and slide projector
Acquisition of vehicles (1989–90)	Six vehicles were purchased through Sida funds. Four are still on the road at this time (2000)
Strengthen financial management system (1994–97)	- Financial technical advisor worked to improve manual system of accounts and establish coding system for project expenditures; improvements have occurred since 1994 - Computerisation of financial management systems has only occurred through Dutch programme for one specific project in NEMC; corporate accounts are still manual
Streamlining sector legislation on environment (1996–97)	- Review of NEMC Act completed in 1994 and sent to VPO but no changes occurred - Seminar given to MPs to raise awareness on need to improve legislation - Legal input provided into EIA guideline and regulation formulation - Study commissioned to review need for Environmental Tribunal
Reviewing village/district by-laws	Work with LEAT to review by-laws and report completed

OECD Evaluation Criteria

Effectiveness: The tables above indicate that a large number of activities were conducted in all of the four Directorates. However, the evaluation compared timing and objectives and concluded that progress was slower than anticipated in many cases. For example, between 1994–1997 there were numerous of examples where objectives were not achieved as planned. According to the evaluation this was most likely due to inexperience in project planning, the lack of a strategic plan for the organisation from the inception and a poor internal management system.

Efficiency: According to the evaluation report efficiency cannot be properly measured as there are no or inconsistent financial information.

Relevance: The evaluation from 2000 states that NEMC is Tanzania's most visible environmental body, and has a strong position to influence sustainable development which in turn addresses poverty. Sida support to NEMC has been designed to strengthen the Council's ability to advice government and formulate policy relating to environment and development. According to the evaluation Sida support to NEMC has played a major role in this process and thus making a substantial contribution to sustainable development in Tanzania. (Milne, 2000)

Sustainability: According to the evaluation (2000) Sida support has been vital to the growth and development of NEMC. However, Sida being the only donor providing consistent institutional support to NEMC resulted in a situation where NEMC was “*dangerously dependent on Sida*”. Sida support constituted over 60% of the total NEMC income from 1994 and several proceeding years. This was clearly not sustainable.

After the end of Swedish support NEMC has remained largely dependent on project funding, from GEF and other sources. Luttrell and Pantaleo (2008) found that 54% of the NEMC budget was earmarked for a plethora of projects which appear to lie outside its stated objectives.

Lessons learned:

- Institutional support to the operational activities of an organisation will not ensure long-term effectiveness and efficiency. Financial and technical support to the organisation's internal management system is equally, if not more, important to long-term sustainability.
- Before technical functions are strengthened, it is crucial to assess the status of the internal management systems and the ability of the organisation to effectively absorb increased financial resources.
- Modern financial management, project planning and management, and general management information systems are vital to ensure that funds are used effectively and can be monitored regularly.
- Important to support communication systems. The support to NEMC is according to the evaluation report (2000) an example of where 13 years of technical support can be compromised if the host agency is unable to communicate with the outside world.

Enabling and hindering factors:

A detailed evaluation of both the Council's activities and Sida support project was hampered by poor documentation of project goals, objectives, inputs and outputs, especially during the first years from

inception. The evaluation report (2000) therefore states that an accurate accounting of Sida investments since 1986 cannot be made.

Burkina Faso

Support to the ministry of environment in burkina faso to prepare a three year programme for decentralized environment and natural resources management

Time period:	December 2007 – December 2010
Cost of Swedish Support:	16.4 million SEK
Partner Country Institutions:	Minister's of Environment Office
Swedish Counterpart:	Sida

Background:

Environmental and natural resources management in Burkina Faso has for many years mainly consisted of the implementation of a range of different projects, largely financed by different development agencies. However, a sector oriented approach to rural development (agriculture, animal husbandry, and environment/forestry) is being developed. Within the framework of this broad sector programme, in 2006 the Ministry of Environment initiated the development of a provisional ten year programme for decentralised environment and natural resources management. As part of this long term effort Sida is funding the preparation of a three year environment sector programme. This preparatory phase was initiated in December 2007 and was intended to be 18 months long and completed by May 2009. The programme has been delayed and it is likely to be prolonged to December 2010 if certain conditions are met. Sweden has so far (May 2010) disbursed about 11 million SEK out of the budgeted 16.4 million SEK.

Objectives:

The main objective of the preparatory project is the development, adoption and launching of a three year programme for the environment sector. There are three specific objectives with 1–2 expected results each:

- *Objective 1: “Development of a three year programme”*: to develop of a three year programme of action to implement the first trench of the ten year programme for decentralised environment and natural resources management.
 - *Expected output*: The PDA Three year programme document is finalised, adopted and launched.
- *Objective 2: “Creating an enabling environment”* : to build a conducive institutional/legal framework and strengthen stakeholders capacities;
 - *Expected output*: The three year PDA programme exists and has been internalised by all stakeholders.
 - *Expected output*: A conducive environment exists for the implementation of the three year PDA programme through the usage of good practices in environmental management, preparation of plans, strengthened capacity of actors and improved legislation.
- *Objective 3: “Project management”*: to efficiently manage the project.
 - *Expected output*: The efficient implementation of the project and the mobilization of resources allow for the launching of the three year PDA programme by the end of the project.

Key results:

The project has not been evaluated. The following text is based on a review of program documents (the latest programme report covers the period December 2007- December 2008) and on an interview with Sida programme officer in Burkina Faso, Mr. Göran Björkdahl.

Impacts and Outcomes: No information about impacts and outcomes of the project is yet available.

Activities/Outputs: The three year environment sector programme was adopted by the Ministry of Environment late April 2010 and can be considered as the main output of the project. During the development of the programme different consultations and studies have been conducted and various outreach activities have taken place with aim to create an enabling environment for the programme. Examples include support to reforestation activities, making research findings available, and initiating the creation of an improved database on environment. Environmental units within ministries and regions have been established in order to strengthen their capacity to manage environment and natural resources. Detailed plans and inventories related to different aspects of forest management have also been developed as part of the project. A large number of planned activities have not yet been undertaken. There is also a perception that the project has contributed to an enhanced coordination and a growing understanding of the benefits of a programmatic approach within the Ministry of Environment and among other actors such as regional and local authorities and NGOs. In terms of donor coordination and harmonization, the effects have been limited. Luxemburg is planning to jointly fund the new three year programme together with Sweden.

OECD Evaluation Criteria

Relevance: Sida's assessment memo (November 2007) discusses relevance mainly in terms of the importance and advantages of a sector programme instead of numerous and uncoordinated strategies and action plans. The project is in line with efforts for harmonisation and alignment and Sida wishes to be the first donor and to attract others to engage with the Ministry of Environment in that direction.

Effectiveness and Efficiency: The project has suffered from serious delays. This was partly caused by the change of minister of environment. The new minister was not totally supportive of a sector approach in the beginning. The ministry is also characterized by relatively strong directorates (especially the one in charge of forestry) and a weak central coordination unit (the minister and around 15 staff). This central coordination unit has not managed to execute the activities in the original work plan in the pace that was stated in the original project document. Failure to recruit an international technical assistant led to the recruitment of a national expert as late as July 2008. There has also been some reluctance from the directorates which may not be favouring the transition to a sector approach.

Sustainability: Sida is discussing to jointly fund the three year sector programme together with Luxemburg. Although some other donors are involved in environment and natural resources issues, other donors have not shown a big interest in moving towards a sector approach and promoting coordination. A public financial management study of the environment sector was conducted with Swedish support in 2007 and

a complementary study will be conducted during 2010. The first study identified several institutional weaknesses relating to planning and budgeting for environmental management, which imply that the sector most likely will be dependent on external financing for the foreseeable future.

Lessons Learned:

- The change of Minister of Environment delayed the process. The previous minister was very supportive of the project, but it took some time to get the new minister to fully back the project.
- The project approach to environmental management in Burkina Faso has strengthened the directorates within the Ministry of Environment. Their capacity to develop and implement different types of projects is strong. The capacity to coordinate environmental management at the central level is however very weak. Those who benefit from the project approach have been acting against or moved very slowly in the process of developing a sector programme.
- The interest for advancing the aid effectiveness agenda (harmonization, alignment etc) in the environmental sector in Burkina Faso has been very limited.

Enabling and hindering factors:

- There has been a growing awareness of climate change risks and opportunities at higher political levels. The Ministry of Environment put a lot of effort into organising the high level Global Forum for Sustainable Development in Burkina Faso in October 2009. This may have detracted resources from the Swedish supported project but at the same time it may have improved the overall context and support for environmental management in the Country.

Western Balkan

Swedish Environmental Protection Agency's cooperation with environmental authorities in the Western Balkan	
Time period:	2005–2009
Cost of Swedish Support:	40 million SEK
Partner Country Institutions:	Environmental Authorities in Western Balkan (Albania, Macedonia and Serbia)
Swedish Counterpart:	Sida, Swedish EPA

Background:

The programme concerns the cooperation between the Swedish Environmental Protection Agency (EPA) and environmental authorities in Albania, Macedonia and Serbia. The programme is still ongoing and consists of two projects in Albania with focus on Environmental Impact Assessment and Water monitoring, three projects in Serbia with focus on Water Management and Flood risk management and two projects in Macedonia focusing on EU preparations and Waster management. In Albania, the Ministry of Environment, Forestry and Water Administration is the cooperation partner, while in Serbia it is the Water Directorate under the Ministry of Agriculture, Forestry and Water management. As the project in Macedonia started more recently no evaluation has covered this support and therefore the support Macedonia will not be covered in this study.

Objective:

The specific programme objective is to support the environmental authorities in Western Balkan in the development of effective environmental management in order for the countries to fulfil national and international obligations. The cooperation should also facilitate the processes relating to EU-alignment, stabilisation and association.

Key Results:

There have so far been no assessments of impacts and outcomes of this programme. The summary of key results is thus limited to the *output and activity levels*.

*Activities/Outputs:**Water monitoring, Albania*

- On-the job training for a limited number of individuals combined with seminars and workshops to discuss specific issues
- Two experts have provided assistance and advice including introduction of specific analytical methods and standards (for ammonium and nitrate), repair and reactivation of laboratory equipment, review and improvement of sampling strategies, generally increased awareness of quality control measures.

Development of EIA methodology, Albania

- General EIA guidelines approved by the Ministry of Environment (Dec, 2006)
- Seminars on EIA guidelines carried out to MEFWA staff
- Regarding sector specific EIA guidelines, drafts have been prepared for hydropower projects, urban landfills and quarrying
- Regulations relating to trans-boundary environmental impact developed and approved

Transboundary water management, Serbia

- Two publications on transboundary water cooperation were envisaged under this project component
- Material has been gathered for an assessment of transboundary water cooperation in South East Europe (SEE)
- A publication “Balkan Vital Graphics” produced, with project co-funding, a chapter on transboundary water cooperation in SEE
- Technical documents to support negotiations with Romania and Croatia have been prepared

Water Management Plan for Kolubara River Basin, Serbia

- A working group has been established as the mechanism of cooperation and collaboration between the participating institutions. The working group has received several trainings.
- Two public consultations have been organised in the context of the project (mainly attended by industries/business people, farmers, representatives of environmental NGOs and other persons directly affected)
- A database of polluters in line with proposals from the project is under development

OECD Evaluation Criteria

Effectiveness: According to the evaluation study (2009), there are considerable differences in effectiveness for the different projects in the programme. While projects in Serbia seem to be making progress in relation to stated objectives (some delays are reported however), the effectiveness of the two projects in Albania is seriously contested by the evaluation. Lack of commitment and ownership for the projects within the Ministry is identified as a key problem.

Efficiency: The evaluation report (2009), considers the project implementation in Serbia as reasonably efficient. For example, in two of the projects a working group methodology where different institutions are brought together has been introduced and applied systematically. The approach has proven to be very successful in terms of managing activities and facilitating collaboration. In Albania, the collaboration has been characterised by limited absorption capacity and more traditional expert-recipient interaction. According to the evaluation study (2009) the EIA/SEA project has been focused on drafting of legislation and guideline sand much of this work has been done by the Swedish experts on the basis of discussions with Ministry staff. A more efficient approach, in terms of building institutional capacity, would have been to support the staff of the Ministry to undertake the task with foreign expert support.

Relevance: According to the evaluation study (2009) the programme is considered relevant in relation to the needs of the target group, the national policies and strategies as well as to other donor interventions in both countries.

Sustainability: The ownership of the Serbian central authorities are assessed to be strong compared to the case of Albania where ownership of the projects seems to be less apparent. Furthermore the projects have limited explicit replication, mainstreaming or institutionalisation elements in their design.

Lessons learned:

- It takes time to build contacts, relations and the trust needed to succeed in development cooperation
- It is important to understand the realities/working conditions in the partner countries. The situation in the region can be difficult as resources are scarce and projects are often hampered by political changes and local politics
- There need to be greater attention on assessing institutional capacity in planning phase
- Sustainable results: institutionalisation
- Improve internal learning

Enabling and hindering factors:

Enabling factors:

- Driving forces – EU approximation and membership
- Ownership – at senior management level
- Clear priorities and plans/strategies
- Dedicated staff

Hindering factors:

- Limited capacity/resources
- Lack of openness/willingness to share information

- Political instability and “invisible” power structures
- EU timetable – tick off instead of reform

Other:

The evaluation report discusses the role of Swedish EPA and notes that many of the technical inputs are provided by non-EPA staff (in Serbia and Albania). In order to make better use of the unique competence of EPA the evaluation suggests that EPA's role in the project is increased. Furthermore, it is suggested that EPA develops its capacity to conduct institutional analysis as part of initial project assessments.

Cross-cutting issues, for example gender equality and gender mainstreaming are not visible in the projects. According to the evaluation study (2009) the awareness seems to be low both among counterpart staff and the experts involved in the collaboration.

Serbia

Strengthening Environmental Management in the Ministry of Environmental Protection, phase I	
Time period:	Jan2004 – Nov2005
Cost of Swedish Support:	3.8 million SEK
Partner Country Institutions:	(the former) Ministry for Protection of Natural Resources and Environment
Swedish Counterpart:	Sida and Niras Consulting Engineers and Planners A/S.

Background:

The Sida support for strengthening environmental management in Serbia started in January 2004. The project was concentrated on three major issues, (i) management structure; (ii) Organisational development; and (iii) Communication. The implementation was obtained through a combination of direct training at seminars and workshops and on-the-job training in working groups. Although not all expected results were achieved the project was deemed to be successful and was followed up by a second phase.

Objective:

The objective of the project was *improve the management capacity the environmental sector in Serbia* which was supported by two immediate objectives: (i) *To improved the management capacity within the Directorate to efficiently make use of its present and future human resources* and (ii) *to modernise the internal organisation of the directorate in order to clarify, make transparent and if possible simplify its administrative structure.*

Key Results:

There have so far been no assessments of impacts and outcomes of this programme. The summary of key results is thus limited to the *output and activity levels.*

Activities/Outputs:

1. *To improve the management capacity within the Directorate to efficiently make use of its present and future human resources:*
 - “Assessment the present management structure” is a part of the TOR for developing a Management Strategy for the Directorate

- “Introduce the management of to modern management methods” completed with Seminar 4.
 - Revision of the Directorate’s organisation
 - Initiation of description of procedures for major administrative processes in the Directorate
 - Initiation of the development of an Intranet for Directorate
 - Adoption of the Communication Strategy and initiation of its implementation
2. *Training carried out to allow management and staff to fulfil new roles in modern management*
 - A Communication Unit established to be in charge of the Communication Strategy
 - 13 meetings, seminars and workshops conducted
 - A brief training needs assessment undertaken as a part of the specific evaluation after each seminar and review prior to the upcoming seminar
 3. *Selected priority and pilot projects implemented in the ministry – management capacity*
 - Introduction of principles of project management completed
 - An introduction course completed and material for new staff produced
 - Strategic statement expressing the Vision, Mission and Values of the Directorate completed
 - Budgeting templates, guidance and procedures for a first step in a Strategic Management approach produced
 4. *Manual for management issues prepared*
 - Manual for management issues prepared
 5. *A reorganisation of the Directorate, its relation to the Ministry and its subordinated institutions analysed, prepared and initiated*
 - A final document containing a description of the new organisation approved
 6. *Selected priority and pilot project implemented in the Directorate – organisation*
 - The project team assisted in revising the Institutional Framework chapter of the National Environmental Strategy and Action Plan.
 7. *Communication strategy developed and introduced to support the activities in the new law and to fit the new management structure and the organisation of the Directorate*
 - Draft Communication strategy approved and final version published on the Directorate web page.
 8. *Training within communication management planned and carried out*
 - Training sessions conducted
 9. *Priority communication projects prepared and initiated*
 - Development of an Intranet for the Directorate agreed as a priority project to be initiated with assistance from the project
 10. *Evaluation and dissemination of Information*
 - Material and project results concerning Strategic Budgeting exchanged with results from a Norwegian supported project.
 - A final workshop with relevant institutions and ministries on results from different project components conducted

OECD Evaluation Criteria

Effectiveness: According to Velthoen (2005) the implementation of the project has been effective. For example the final activities of the Working Groups and the clear ownership of the Directorate gave the project a big thrust forward. The progress made with the intranet and the organisation can also be seen as effective.

Efficiency: The project team worked with a broad spectrum of staff in the various divisions and departments of the Directorate of Environmental Protection, including managers, ordinary employees and contracted staff. Most people have been dedicated to learn and participate in the work, which mainly was undertaken by working groups organised among DEP staff and managers, and assisted by the consultant's expert team. This approach has proven to have far more impact than traditional consultancy delivery services as well as in order to sustain project result through the ownership created in the process. (Niras, 2005)

Relevance: The programme was requested by the former Ministry for Protection of Natural Resources and Environment and the Terms of Reference was resumed by the Directorate for Environmental Protection.

Sustainability: According to Velthoen (2005) the Directorate had clear ownership of the project and the ownership and activities of the Directorate is seen to demonstrate sustainability of the project. Furthermore, the "working group" approach (see above under efficiency) where the majority of the project achievements will sustain or even evolve over time.

Lessons learned:

- Commitment from the leadership important for successful implementation
- Clear mandates are needed to be provided to working groups
- Communication should be firmly established for each task

Serbia

Strengthening Environmental Management in the Ministry of Environmental Protection, phase II	
Time period:	April 2006 – October 2007
Cost of Swedish Support:	3.2 million SEK
Partner Country Institutions:	Ministry of Environmental Protection
Swedish Counterpart:	Sida and Niras Consulting Engineers and Planners A/S.
Objectives:	The objective of the project was to improve the management capacity in the environmental sector in Serbia.

Background:

The main aim of the SEM II project was to consolidate and further develop the environmental management capacitating activities undertaken as a part of the first phase of the project. (See SEM phase I above) The SEM II project was organised in three main components (i) Improve Process Management; (ii) Improve Environmental Communication; (iii) Develop a Code of Conduct.

Objective: The objective of the project was *improve the management capacity in the environmental sector in Serbia*

Key Results:

According to the final report (Niras 2008) the overall objective to improve the management capacity in the environmental sector has been achieved. However, there are no assessments of impacts and outcomes of this programme. The summary of key results is thus limited to the *output and activity levels*.

Activities/Outputs:

- Capacity built in the Division of Policy and Strategy Development to develop policies and strategies (achieved to a limited extent)
- Annual Strategic Programming and Budgeting system developed (but only implemented to a limited extent)
- Capacity to process management supported in the Directorate (but only achieved to a limited extent in the MoEP)
- Ethical standards and Code of Conducts developed for both the Directorate and the Inspection
- Implementation of the Management Strategy in general supported in the Directorate (but only achieved to a limited extent in the MoEP)
- Implementation of the Communication strategy supported in the Directorate (but only achieved to a certain extent in the MoEP)
- Management training in subordinated institutions (achieved to a limited extent)

OECD Evaluation Criteria

Effectiveness: Due to circumstances outside of the control of the project, all project activities was not carried out as planned. Delays were due to the National Election February 2007 and the project was also put on hold for two months when the Ministry was preoccupied hosting the 6th Ministerial Conference: Environment for Europe. However, according to the final reporting of the project, the overall objective was achieved.

Efficiency: The SEM II project achieved what it was set up to achieve given circumstances outside the control of the SEM II Project. According to the final reporting of the project the continuous monitoring of project expenses in relation to project results, and effective economic management, has ensured a cost efficient implementation of the project.

Relevance: The three main components included in the project (Improve Process Management, Improve Environmental Communication and Develop a Code of Conduct) address three key issues in relation to proper environmental management in Serbia.

Sustainability: The sustainability of the SEM II Project is assessed to be high, mainly due to the formation of a new Ministry of Environmental Protection. The formation of the Ministry was beyond the influence of the SEM II project but represents a positive change in the enabling environment for the project. However, in terms of organisational institutional strengthening and individual skills development the sustainability has been hampered due to the closing down of the Directorate for

Environmental Protection, which resulted in changes in counterpart staff from the SEM I project and the first part of the SEM II project.

Enabling and hindering factors:

The project implementation was constrained by the organisational and manpower changes as well as the delays induced by the National Election in February 2007 and the following formation of a new government and for the first time a Ministry of Environmental Protection. The election also constrained the possibilities to build on results achieved through the SEM I project due to the organisational changes and changes in staff.

Furthermore the project was put on hold during two months when the Ministry of Environment was preoccupied arranging the 6th Ministerial Conference: Environment for Europe.

China

Capacity Development of the Environmental Administration and the development of a Master Plan for Restoration of Abandoned Mining Areas and Sustainable Zinc Production	
Time period:	2005–2009
Cost of Swedish Support:	8 million SEK
Partner Country Institutions:	Guizhou Environmental Protection Bureau
Swedish Counterpart:	Sida, Ramböll Natura AB and Hifab (Swedish Geological)

Background:

In June 2005, Ramböll Natura and Hifab (Swedish Geological) were contracted to perform a capacity development of both the environmental administration and the development of a master plan for restoration of abandoned mining areas and sustainable zinc production at the Guizhou Environmental Protection Bureau (GEPB). The project was finalised in 2009. The environmental capacity building activities included gender awareness, Environmental Impact Assessments (EIAs), Geographic Information Systems (GIS), management and organisation, monitoring, public awareness, risk assessment, site investigations, site rehabilitation, Strategic Environmental Assessments (SEAs), and new training methods.

Objective:

The project objectives are (i) *Increased environmental administration capacity in Guizhou Province*; and (ii) *An appropriate Master Plan of restoration of abandoned mining areas and sustainable development of zinc industries in Bijie prefecture*

Key Results:

Impact:

There have so far been no assessments of impacts of this programme. The summary of key results is thus limited to the *outcome, output and activity levels*.

Outcomes:

- (i) Increased environmental administration capacity by conducting a broad range of capacity building activities, and

- (ii) A completed Master Plan which provides Bijie Environmental Protection Bureau with detailed action plans for how to approach the rehabilitation of contaminated sites located in the region

Activities/Outputs:

- A Management Training Programme combined with a Training of In-house Trainers program design and carried out at 4 seminar occasions.
- A gender assessment prepared for Bijie Environmental Protection Bureau
- A gender training module for senior management staff from Bijie Environmental Protection Bureau and Bijie county Environmental Protection Bureaus performed
- Three training events on risk assessment for (i) Site investigation Departments and (ii) Bijie Environmental Protection Bureau, and health risk training for country level Environmental Protection Bureaus performed
- Training events at four occasions (2 classroom training and 2 on-the-job training events) focusing on the topics (i) environmental sampling and monitoring, (ii) contaminated sites assessment and rehabilitation, and (iii) environmental auditing was performed
- Two training events on (i) SEA knowledge training for Environmental Protection Bureau's of Guizhou province, and (ii) EIA approval training for Bijie Environmental Protection Bureau performed
- Improved base of equipment (GIS software licence purchased)
- GIS database including a wide range of geographical and environmental data completed
- Two training events on public awareness training of trainers completed
- A public awareness team established at the Bijie Environmental Protection Bureau with the ability to perform new public awareness trainings for potential practitioners in the Bijie Prefecture
- Two study tours completed (to Sweden and to Qingdao)
- Training events have provided staff from Bijie Environmental Protection Bureau with new skills needed for meeting present environmental changes
- Two topic reports with findings and recommendations on Sustainable Zink Processing Research and Development, and Zink Waste inventory and waste rehabilitation completed

OECD Evaluation Criteria

Effectiveness: The project is assessed to have achieved the project objectives.

Efficiency: According to the final reporting, focus on a smaller number of activities would have increased the efficiency as international consultants would have been allowed to gain more knowledge regarding local conditions and client needs before training events and more follow-up activities would have been possible.

Relevance: Nothing about relevance in reporting.

Sustainability: At the arranged final workshop representatives from the Ministry of Environmental Protection participated and expressed their strong support to the project and there has been a continued dialogue with both Guizhou Environmental Protection Bureau and Bijie

Environmental Protection Bureau regarding the upcoming implementation of the Master Plan. Furthermore the training modules provided by the project are expected to increase involvement of local staff at the EPBs in e.g. EIAs. This is expected to increase the environmental performance as local staff often has more knowledge and understanding of local conditions (compared to external experts). However, when it comes to further improving the environmental situation the final report states that “mitigating these environmental issues is further complicated as the Bijie Prefecture has a weak economy and lack financial resources required for environmental projects”. Furthermore the report states that continued financial and technical support for implementation of e.g. the Master Plan is needed as well as follow-up training events.

Lessons learned:

Local consultants with their in-depth understanding of local issues and concerns play a crucial role for successfully achieve project objective.

Enabling and hindering factors:

Most of the International Consultants had limited experiences working in China, hence Bijie Environmental Protection Bureau’s project management and for each training seminar event was therefore crucial. According to the final reporting project management and coordination has increased significantly within the Bijie Environmental Protection Bureau.

Local consultants played an important role as they provided critical information to international consultants during training material preparation. Most international consultants were involved in only one or two missions which made it difficult for them to gain an understanding of the Bijie context.

According to the final report it would have been more efficient to focus on a smaller number of activities due to the small budget.

Appendix II: Results based management and OECD/DAC Evaluation Criteria

In the analysis of the Swedish supports OECD DAC evaluation criteria is used in combination with the OECD DAC definitions of terms related to the chain of results normally used in results based management. The terms are defined as follows:

Box A1 OECD Evaluation Criteria

Impact – “Positive and negative, primary and secondary long term effects produced by a development intervention”.

Efficiency – “A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results”.

Effectiveness – “The extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance”.

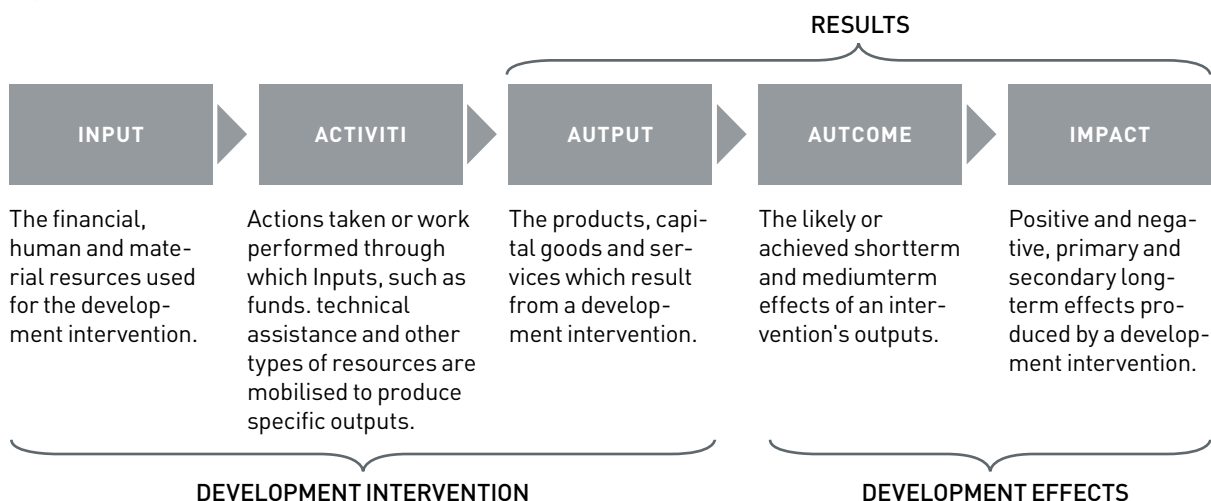
Relevance – “The extent to which the objectives of a development intervention are consistent with beneficiaries’ requirements, country needs, global priorities and partners’ and donors’ policies”.

Sustainability – “The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time”.

Source: Sida/OECD, 2007

The results chain comprises: i) supplied resources, ii) implemented activities, iii) immediate results of the activities (outputs), iv) the likely or achieved short-term and medium-term effects of an intervention’s outputs (outcomes) and v) long term development effects that can be derived from these results and other influencing factors (impact). The results-chain model (figure 1) illustrates cause-and-effect relationships, linking inputs and activities to outputs, outcomes and impacts.

Figure 1 Results Chain



(Sida, 2007)

Appendix III: List of interviewees and people consulted

Interviews:

Ms. Anne N. Angwenyi, Program Officer, Natural Resources Management, Danish Embassy Nairobi. Interview conducted *October 13 2009 in Nairobi*.

Mr. Alex Tamen, Sida Nairobi, Telephone interview conducted *October 21 2009*.

Ms. Lisbet Bostrand, Sida, Vientiane, Lao PDR. Telephone interview conducted *November 5 2009*.

Mr. John Horberry, Manager, UNDP-UNEP Poverty-Environment Facility, UNDP-UNEP Poverty-Environment Initiative, Nairobi. Interview conducted *October 11 2009 in Nairobi*.

Mr. Peter G. Jensen, TA Team Leader SEM II Project, Grontmij Carl Bro, Water Resources and Environment Administration, Vientiane, Lao PDR. Telephone interview conducted *November 4, 2009*

Mr. Niels Juul Busch, Former TA for the SEMLA programme in Vietnam, Ramböll Natura AB, Denmark. Telephone interview conducted *November 3 2009*.

Mr. Göran Björkdahl, Regional Programme Officer, Environment and Natural Resources Management, Sida, Burkina Faso, *May 4, 2010* (phone)

People consulted:

Mr. Tomas Andersson, former Programme Officer at Sida in Tanzania, handling the support to NEMC

Mr. Jerker Söderlund, Sida, Programmes and methods department

Mr. David Annandale, Consultant and former Chief Technical Advisor to the Vietnam-Denmark Development Cooperation in Environment Programme

Appendix IV: Lessons learned seminar at Sida Nov 11 2009, agenda and participants

Seminar: Exchange of experiences on Swedish support to capacity development of environmental institutions

Monday 9th of November 2009, 9.30–12.30

Agenda

9.30 Introduction

- Maria Berlekom, *Head of the Environment and Climate Change Team at Sida*

9.40 Swedish support to capacity development of environmental institutions – an overview

- Daniel Slunge and Emelie César, Environmental Economics Unit, University of Gothenburg

9.50 Experiences and knowledge from different countries

- Western Balkan – Marianne Tegman and Ewa Brederman, Swedish Environmental Protection Agency
- Vietnam – Per Bertilsson, former Team Leader SEMLA Programme
- Western Balkan and Vietnam: KemI's experiences from support to environmental capacity development, Ingela Andersson, Swedish Chemical Inspectorate
- Laos – Nils Bull, Grontmij

11.00 Coffee/Tea

11.15 Danida's experiences from support to environmental capacity development, including the joint Danish/Swedish support to Kenya

- Henning Nohr, *Technical Advisory Services, Danida*

11.45 Reflections and discussions

- What are the key lessons learned from supporting capacity development within the field of environment?
- How well is Swedish support to environmental capacity development in line with the Paris Agenda on Aid Effectiveness?
- How can Sida better assess its partner organisations' capacities to handle support to environmental capacity development?
- Recommendations for future Swedish support to environment capacity development?

12.30 End of Seminar

List of participants

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Sida works according to directives of the Swedish Parliament and Government to reduce poverty in the world, a task that requires cooperation and persistence. Through development cooperation, Sweden assists countries in Africa, Asia, Europe and Latin America. Each country is responsible for its own development. Sida provides resources and develops knowledge, skills and expertise. This increases the world's prosperity.

Swedish Bilateral Support to Environmental Capacity Development – Overview of Key Results and Lessons Learned



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