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**FINAL REPORT**

**Mid-Term Review**

**Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalise Solid Waste Transformation (COMPOST)**

GEF ID: 9048

PIMS No. 5541



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Summary details of the Evaluation

***Title of UNDP supported GEF financed project:***

Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalise Solid Waste Transformation (COMPOST)

***UNDP and GEF project ID#s:***

UNDP-GEF Project ID: 5541; GEF Agency ID - PIMS No. 9048;

***Evaluation time frame:***

8th July – 9 August 2019

***Date of evaluation report:***

9 August 2019

***Region and countries included in the project:***

Africa; Ethiopia

**GEF Operational Program/Strategic Program:**

**GEF Focal Area:** UGI and ISWM

**GEF-4 Strategic Objective 1:** Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.

***Implementing Partner and other project partners:***

**Implementation Modality:**

National Implementation (NIM)

**Implementing Partner:**

Ministry of Urban Development and Construction (MUDC)

**Responsible Parties/ Partners:**

City Administrations of Adama, Bishoftu, Bahir Dar, Diredawa, Hawassa and Mekele

***Mid Term Review team members:***

Muyambi Fortunate and Sisay Nune

***Acknowledgements:***

The MTR team would like to thank Mr. Girma Workie, the Project Manager, for logistical support; Mrs. Kidanua Abera, UNDP CO for briefing and technical support; and Beza Syum UNDP Programme Assistant, for administrative and logistical support during the evaluation mission and report-drafting period. We are also grateful for the opportunity for individual consultations in Bishoftu, Bahir Dar, Hawassa and Mekele city administration.

Government staff at Bishoftu, Bahir Dar, Hawassa and Mekele, and other project actors gave their time to provide views on project activities. The staff of the Project Partners and stakeholders at national and local levels, were very forthcoming during consultations.

List of abbreviations and acronyms

|  |  |
| --- | --- |
| **AR5** | 5th Assessment Report (of the IPCC) |
| **ATA** | Agricultural Transformation Agency |
| **CO** | UNDP Country Office |
| **CRGE** | Climate Resilient Green Economy |
| **EDC** | Entrepreneurship Development Centre |
| **EFCCC** | Environment, Forest and Climate Change Commission |
| **ETB** | Ethiopian Birr |
| **EoP** | End of Project |
| **GDP** | Gross Domestic Product |
| **GEF** | Global Environment Facility |
| **GHG** | Greenhouse Gas |
| **GI** | Green Infrastructure |
| **GoE** | Government of Ethiopia |
| **GTP** | Growth and Transformation Plan |
| **HoAREC** | Horn of Africa Regional Environment Centre |
| **IPCC** | Inter-governmental Panel on Climate Change |
| **ISWM** | Integrated Solid Waste Management |
| **LPC** | Local Project Coordinator |
| **MFI** | Micro-finance Institution |
| **MoA** | Ministry of Agriculture |
| **MoF** | Ministry of Finance |
| **MRV** | Monitoring, Reporting and Verification |
| **MSE** | Micro and Small-scale Enterprise |
| **MtCO2e** | Million tonnes of Carbon Dioxide Equivalent |
| **MUDC** | Ministry of Urban Development and Construction |
| **NAMA** | Nationally Appropriate Mitigation Action |
| **NAPA** | National Adaptation Programme of Action |
| **NGO** | Non-Governmental Organisation |
| **NIM** | National Implementation Modality |
| **PET** | Polyethylene Terephthalate |
| **PM** | Project Manager |
| **PMU** | Project Management Unit |
| **PSC** | Project Steering Committee |
| **RAP** | Resettlement Action Plan |
| **RBM** | Results-Based Management |
| **REDD+** | Reducing Emission for Deforestation and Forest Degradation |
| **SESP** | Social and Environmental Screening Procedure |
| **SDG** | Sustainable Development Goal |
| **SWM** | Solid Waste Management |
| **SWMP** | Solid Waste Management Proclamation |
| **tCO2e** | Tonnes of Carbon Dioxide Equivalent |
| **ToC** | Theory of Change |
| **ToT** | Training of Trainers |
| **TVET** | Technical and Vocational Education and Training |
| **UGI** | Urban Green Infrastructure |
| **UNDP** | United Nations Development Programme |
| **UNFCCC** | United Nations Framework Convention on Climate Change |
| **US$** | United States Dollar |

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# Executive Summary

Table 1: Project Information Table

|  |  |
| --- | --- |
| **UNDP-GEF PIMS ID:** 5541 | **GEF ID:** 9048 |
| **Planned start date:** *October 1, 2016* | **Planned end date:** *September 30, 2021* |
| **FINANCING PLAN** | |
| GEF Trust Fund | US$ 6,667,123 |
| UNDP TRAC resources | US$ 250,000 |
| UNDP | US$ 5,504,000 |
| **(1) Total Budget administered by UNDP** | **US$ 12,421,123** |
| **PARALLEL CO-FINANCING** | |
| Government | US$ 21,604,340 (MUDH) |
|  | US$ 180,000 (Ethiopian Standards Agency) |
|  | US$ 1,653,824 (MEFCC) |
|  | US$ 1,639,175 (Adama City Administration) |
|  | US$ 3,202,803 (Bahir Dar City Administration) |
|  | US$ 3,078,083( Bishoftu City Administration) |
|  | US$ 2,824,911 (Dire Dawa City Administration) |
|  | US$ 2,799,884 (Hawassa City Administration) |
|  | US$ 3,878,849 (Mekelle City Administration) |
| *NGOs* | US$ 49,500 (ENDA) |
|  | US$ 200,000 (HOAREC) |
|  | US$ 47,519 (Institute for Sustainable Development) |
| *Private Sector* | US$ 200,000 (MDLGS) |
| **(2) Total co-financing** | **US$ 41,358,888** |
| **(3) Grand-Total Project Financing (1)+(2)** | **US$ 53,780,011** |

***Project Description***

The COMPOST project is designed to promote greater use of Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI) approaches in Ethiopian cities and towns that will assist the Government of Ethiopia in achieving the objectives of its Growth and Transformation Plan (GTP II). This will be achieved through four outcomes: i) strengthening the regulatory and legal framework and institutional coordination mechanisms to integrate ISWM and UGI within urban systems; ii) a developed market-based system with micro and small enterprises (MSEs) that are supported professionally to ensure financial sustainability of compost production and utilisation; iii) implementation of a Nationally Appropriate Mitigation Action (NAMA) that transforms the capacity of integrated urban systems to generate large emission reductions; iv) operationalised urban systems that integrate ISWM and UGI, with quantified GHG emission reductions, within a NAMA framework.

***MTR Ratings and Achievement Summary Table***

|  |  |  |
| --- | --- | --- |
| Aspects of Project performance | Rating | Achievement Description |
| Project strategy/ design |  |  |
| Problem ID and assumptions | N/A | Main assumptions in line with best practice on UGIS and ISWM. Sustainability of financing and outcomes are likely. |
| Relevance; country priorities | N/A | Design relevant to international and national priorities, noting broader development effects, sustainability and stakeholder inclusion |
| **Progress towards Results** |  |  |
| Objective | S | All four of indicators are "On target", but with considerable work remaining to achieve the targets by End of Project (EoP). |
| Component 1 | S | The project has made progress, with five output indicators clearly "On target. One Output indicator is "Not on target", because the resettlement Action Plan (RAP) is not developed due to current political situation of the country evicting illegally settled people did not materialised and it is still a challenge in some of the cities. |
| Component 2 | MS | Output indicators 2.1 -2.4 are on target for while Output indicator 2.5 and 2.6 are not target. There is need to integrate the UGI Standards in curriculum in education and establish the voluntary carbon offset scheme to support urban and peri-urban. |
| Component 3 | S | Implementation progress is “On Target” towards 2 output target. The last 2 output indicators (3.3 and 3.4) are on progress and are targets for final review at the end of the projects 2021. |
| Component 4 | S | All the output indicators are on target although there is a need to accelerated reforestation of required cover area. |
| Project implementation and adaptive management | | |
| Management arrangements: Implementing partner | S | Good MUDC support via administrative, financial and personnel inputs. |
| Management arrangements: UNDP support | S | Good support to PSC & PMU towards objectives & in oversight/ monitoring, with prospects for improvement performance for the EoP. |
| Work planning | S | Planning timely & thorough, the project has given attention to greater coordination between Project Team members, Project coordinators at cities/towns and with project partners and stakeholders, and towards a more results-oriented approach to Activity. |
| Finance and co-finance | HS | Project funds managed efficiently and cost-effectively. Financial management now in place. Good co-financing. |
| Monitoring systems | MS | Procedures followed correctly but not results-based monitoring; reporting on Activities rather than results & has not assessed measurable progress towards targets. |
| Risk management | MS | ProDoc identified and proposed mitigation of risks. There has been little attention to risk reporting during implementation. Should be addressed. |
| Stakeholder inclusion | MS | Substantial consultation with stakeholders at national, cities, & household levels. Others stakeholders such as private sectors are crucial to make implementation successful. Continuously make an attempt to engage wider stakeholders especially MSEs for effective implementation and sustainability |
| Reporting | MS | Progress of implementation & management issues have been regularly reported by project management to PSC & UNDP, with lessons learned shared and taken on board by project partners. Reporting should be on results and progress towards Outcomes, not just Activities |
| Communication | MS | The project has made little efforts to communicate its results to an audience in the region. There remains a strong need for continued and extended communication, in particular informed by a Communications Strategy |
| Sustainability of outcomes | Likely | Financial, socio-economic, institutional and environmental risks to sustainability exist. A Sustainability Plan is strongly called for, and could increase the prospect of sustainability. |

***Summary of conclusions***

The project has made good progress on:

* Building capacity of the Municipal staff and SMEs has created an opportunity for increased knowledge and skills for compost productions and waste management.
* Adopting the ISWM and UGI standards from existing national standards have been transposed to the Six Cities and approved, adopting the title deeds using cadastral maps as a tool to safeguard UGI and ISWM jurisdictions, and the ISWM guideline in which source sorting is the major component has been developed.
* The establishment of MSEs has been over achieved
* MSEs have been linked with financing institutions to support so that they can access loan for their business
* Market outlets and linkage for compost generated by municipal composting plants has been created
* Market linkage has been created for the non-organic recyclable waste types (PET and HDP plastic, card board and paper).
* The standardized baseline for calculating emission reduction has been established for the six cities in four components.
* 4 MRV mechanisms have been developed for the four components
* Development of comprehensive technology baselines and prioritisation of technology options for ISWM and UGI is in progress
* NAMA registration on the UNFCCC NAMA Registry is in progress
* Open green spaces and riparian corridors have been rehabilitated in the six cities and protection mechanism embraced
* Established two more compost facility than originally planned and two more about to be completed
* Good hectare of land have been identified for afforestation/reforestation activities for which title deed has been developed

Progress has been slow in some areas, which needs critical attention if targets are to be achieved. These include:

* The resettlement Action Plan (RAP) has not been developed due to current political tension decision makers and law enforcement offices are engaged with other priorities than dealing with the issue.
* Twining agreement did not materialize but the learning and scale up best practice happened.
* The integration of SWM and UGI Standards in curriculum in education has not been done.
* The voluntary carbon offset scheme to support urban and peri-urban reforestation has not been achieved due to delayed recruitment of the consultant, however the consultant is now on board
* Bahir Dar and Hawassa compost sheds construction has not been completed due inflation of prices for construction materials. The contractor abandoned the site.
* The blending of chemical fertilizer with compost output has not been done because the ATA blending facilities are no longer functional so there was no link with the ATA.

### Component 1

**Output 1.1**

ISWM and UGI standards adopted from existing national standards have been transposed to the Six Cities and approved by responsible body of the cities. Solid waste management and UGI, guidelines, manuals and model MoU have been developed and cities have been supported in mainstreaming them to the local contexts.

**Output 1.2**

The title deeds using cadastral maps has been adopted as a tool to safeguard UGI and ISWM jurisdictions. The same has been done for compost shades and transfer stations of the cities. Barriers to achieve project output is free grazing and delay in construction of compost shed in Hawassa and Bahir Dar. However, it must be noted that the project overachieved in construction of compost shed from the original plan to establish only two

**Output 1.3**

The ISWM guideline in which source sorting is the major component has been developed. Cities have been supported in mainstreaming the guideline and experts have been trained on how to implement. Accordingly, an Integrated Solid Waste Management Plan (ISWM) has been developed for the six project cities in order to implement the source sorting effectively and establish solid waste management system. But the award programme as an incentive to award those active in source sorting has not been implemented. Moreover, there is absence of separate transportation system for organic and non-organic (degradable and non-degradable) materials in most of the cities (except in Adama).

**Output 1.4**

Adoption of national standard for organic compost with quality assurance systems (QAS) in place and ongoing at the regional (sub-national) level. Compost preparation standard has been developed and submitted to the Ethiopian Standardizations Agency for approval. The guideline and hand book on compost preparation has been developed and is under review by technical experts. But the National Standardization Council of the Agency have not met to approve the standard.

**Output 1.5**

The resettlement Action Plan (RAP) has not developed. Due to current political situation of the country evicting illegally settled people did not materialised and it is still a challenge in some of the cities.

**Output 1.6**

Twining agreement did not materialize but the learning and scale up best practice happened. However the sisterhood relationship could not be established due to high turnover of leadership in the cities.

### Component 2:

**Output 2.1**

The establishment of MSEs has been over achieved. A total of 93 MSEs (43 in ISWM and 50 in UGI) have been established and are functioning However, efforts need to be made to enhance the occupational health and safety conditions because some of the MSEs are not operating within compost shed.

**Output 2.2**

93 MSEs have been linked with financing institutions to support them also established. The MSEs were supported with skills and technological enhancement in the ISWM-UGI value chain and business plans.

**Output 2.3**

6 market outlets and linkage for compost generated by municipal composting plants has been created. Expand the market to farming communities has not been realised because the compost quality and safeguards have not been completed. There is slow action in finalizing construction of compost sheds in Hawassa and Bahir Dar and availability of system to transport clean degradable compost separately.

**Output 2.4**

Six market linkage has been created in the six cities between MSEs and different waste recycling companies mainly in PET type of plastic (plastic water bottles). Market linkages for HDP type of plastic, card boards, paper have also been created though in small quantity. The cost of operation is high due to unavailability of technology that grinds plastic bottle.

**Output 2.5**

The integration of SWM and UGI Standards in curriculum in education has not been done. The project management should consider bringing Ministry of Education on board to accelerate the implementation of integration of SWM and UGI Standards in curriculum in education.

**Output 2.6**

The voluntary carbon offset scheme to support urban and peri-urban reforestation has not been achieved although in progress.

### Component 3

**Output 3.1**

The standardized baseline for calculating emission reduction has been established for the six cities in four components.

**Output 3.2**

The 4 MRV mechanisms have been developed for elements from Output 3.1 and Measuring, Reporting and Verifying (MRV) mechanism also established for four components.

**Output 3.3**

Development of comprehensive technology baselines and prioritisation of technology options for ISWM and UGI is in progress.

Output **3.4**

NAMA registration on the UNFCCC NAMA Registry is in progress.

### Component 4:

**Output 4.1**

Construction of four compost sheds has been completed. Of these compost production has been started in the two. The other two in, Bahir Dar and Hawassa are delayed. This was due to contractual problems mainly related to price escalation on construction materials following devaluation of the local currency (Birr) and delays due to procurement bureaucratic procedures at the Municipalities. The blending of chemical fertilizer with compost output has not been done because, as indicated above, the ATA blending facilities are no longer functional so there was no link with the ATA.

**Output 4.2:**

Three open green spaces and riparian corridors have been rehabilitated and cleaned. Soil and water conservation structures have been constructed and tress planted through community mobilization.

**Output 4.3:**

Atotal of 21,875.38 hectare of land have been identified for afforestation/reforestation activities of which title deed has been developed for 16,031.2 hectare and approved by the responsible city agencies. There is need to accelerate the efforts to cover the indicated 33,309 ha in time. This has also been affected by land availability, illegal settlers and landuse conflicts.

**Adaptive management**

Overall, the project practices effective adaptive management at the workplan level. Some of the applied are indicated under strengths. The project followed adaptive management. Examples of adaptive management the project has exercised are; Diredawa shed was built using wood for roofing. After monitoring the municipality was recommended to change it to metal structure, inclusion of wind break structure on Mikelle’s shed was recommended after monitoring, the greenery areas of the cities were shifted to un settled areas to avoid resettlement related problems, cash co-financing was introduced following cost inflation in shed construction, construction of 6 sheds instead of two was agreed after understanding the problem related to transportation of waste and procurement of compost turner was decided after understanding the challenge with labour based composting.

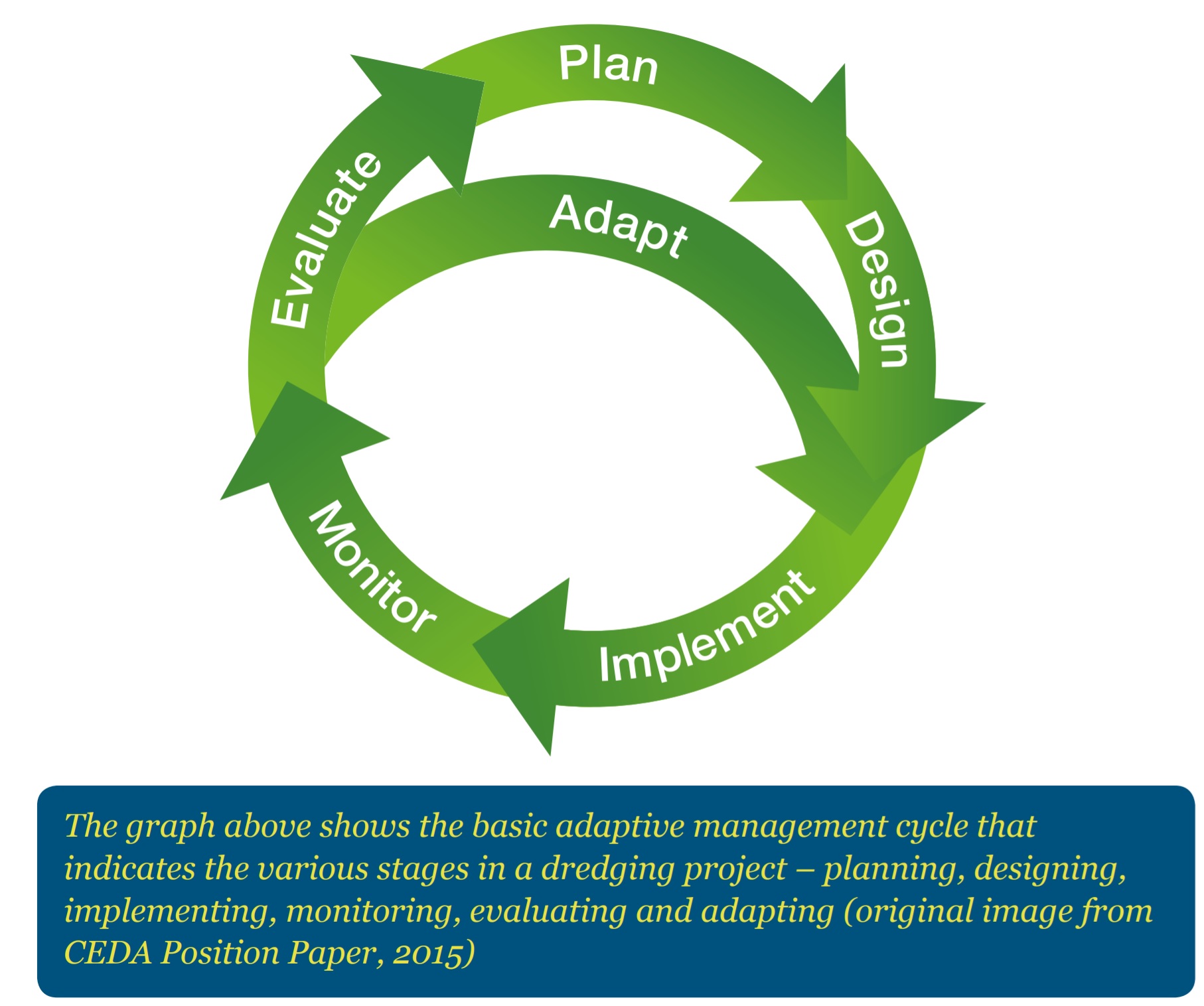
* ***Strengths***

Work planning is well-managed by the PMU. Financial management and disbursement procedures are generally followed well. The project is judged to be managed cost-effectively. Co-financing of the project through MUDC and City Administrations exceeded the expected. Monitoring systems employed by the PMU, using annual work plans and milestones, with verification by site visits, have been moderately effective, and improvements have been proposed.

* ***Weaknesses***

The Results Framework is not well used in Project quarterly reporting. The PMU is reporting quarterly on output and activities rather than progress towards targets (outcomes). Financial reporting should be included in Project semi-annual and annual reports. Risk management and mitigation are not handled effectively at the moment and there is need for improvement, with reporting and feedback. PSC meetings are held once instead of twice a year. The frequency and timing of these meetings was less than intended during the first two years of the project. Communication and visibility need improvement before EoP.

***The basic steps of adaptive management are plan, design, implement, monitor, evaluate and adapt.***

*Usually adaptive management takes place after robust M&E or evaluation is conducted (see diagram below}*

***Source:*** <https://www2.iadc-dredging.com/wp-content/uploads/2016/10/facts-about-adaptive-management.pdf>

The above-mentioned changes under strength are not the result of M&E. Hence, strengthening M&E is key to put the adaptive management effective. Moreover, a higher budget and resource requirements for monitoring, evaluation and adjustment; a mechanism to deal with a lower or higher effort due to newly identified requirements; a mechanism to deal with differing total costs from the initial calculation; strong cross-sectoral project management skills; and flexibility for a differing implementation timeframe are key requirements for adaptive management.

**Management arrangements**

1. **Effectiveness of Implementing Partner/ donor execution**

* ***Strengths***

The current PMU based at MUDC has done a thorough and effective job of project management and administration since their recruitment, with regular monitoring of the work of the partner organizations and other project support provided by the UNDP CO.

The implementing partners (MUDC and the six cities) are committed to respond to the needs of the city dwellers in the management of waste as well as increasing the greenery to make the cities habitable. The waste management challenges in the urban centers is well recognised by the city dwellers and each household is committing its contribution despite the fact the amount of money is not sufficient. However, the implementing partners are subsidizing the waste collection from each household.

The implementing partner assigned dedicated staff with office and equipment to make a follow-up of day-to-day activities in both ISWM and UGI.

The implementing partner committed significant amount of financial resources to make the project achieve its outcomes (effectiveness). As much as possible the implementing partner and the donor are working hard to make coordination between different sectors effective through establishment of steering and technical committees in order to steer and guide the implementation. The project is well connected with federal CRGE facility owing to its contribution to GHG emission reduction towards implementation of Nationally Determined contributions.

* ***Weaknesses***

The project has realized delays in ISWM especially in delayed construction of compost sheds in Hawassa and Bahirdar that have had the effect of delaying implementation of compost production in full scale. These delays were confirmed to the MTR consultants by the project management team and Municipal Cities’ Administration during the MTR mission. Causes of the delays have been associated with hiking prices of the construction materials, delayed procurement of contractors due to bureaucracy in procurement process at the Municipal level. Each institution has its approval procedures, which have to be observed before approval is granted.

The implementation of the project, though it is effective, is sensitive to risks associated with political unrest. In the future project design should analyse risks sufficiently. Probably, stakeholders need to be consulted to overcome such challenges within the remaining period.

Steering committee composition is currently lack the benefits of ideas and opportunities that might have emerged from representative of private sector and MSEs.

***Recommendations***

|  |  |  |
| --- | --- | --- |
| **Rec. No** | **Recommendation** | **Entity responsible** |
| **Corrective actions for the design, implementation, monitoring and evaluation of the project** | | |
| 1 | Establish robust M&E system to accommodate adaptive management with sufficient budget | UNDP-GEF NAMA and MUDC |
| 2 | Reporting on progress in project Quarterly/ Semi-Annual/ Annual reports should be linked to results (Outputs) rather than Activities, and should make more specific reference to progress towards Outcomes in the RF. Financial reporting should assess direct co-financing by project partners on an annual basis. | PMU and Project Team |
| **Actions to follow up or reinforce initial benefits from the project** | | |
| 3 | **Output 1.1** Developed ISWM and UGI standards that are transposed to the regional (sub-national) level.   1. Correct the RF from 10 to 2. 2. Continue sanitizing communities in waste management and protection and maintenance of UGI | Project office/MUDC and cities |
| 4 | **Output 1.2** Tools and protocols for the enforcement of legal ISMW/UGI jurisdictions and the adoption of best practices for sustainable land management regarding urban greenery, waste management and ISWM   1. The indicator for this output should be corrected to one. 2. Establish mechanism to control free grazing, illegal settlers and accelerate construction of compost shed in Hawassa and Bahir Dar | Project office/MUDC and cities |
| 5 | Output 1.3: Incentives for, and promotion of, source-sorting by households in all kebeles in selected municipalities.   1. Avail separate transportation system for organic from inorganic waste 2. Worth trying the award program 3. Explore other mechanism to encourage households in sorting organic and inorganic waste to avoid contamination | Project office/MUDC and cities |
| 6 | Output 1.4: An adopted national standard for organic compost with quality assurance systems (QAS) in place at the regional (sub-national) level   1. Facilitate approval of the national standard for organic compost with quality assurance system and mainstream | Project office/MUDC and cities |
| 7 | Output 2.1: A developed capacity building programme in conjunction with the Entrepreneur Development Centre (EDC) to enhance the occupational health and safety conditions of Micro & Small Enterprises (MSEs) – especially in SWM – and to enhance the entrepreneurship skills of all MSEs   1. Improve working environment/condition of MSEs | Each cities |
| 8 | Output 2.3: Market outlets for compost generated by the municipal composting plants through long-term contracts with public (municipalities, city/town administrations), and private (landscapers, nurseries, farmers) institutions so as to support urban agriculture and peri-urban forestry on a large-scale.   1. Test quality of compost to protect consumers from heavy metals and any other harmful substance | Project office/MUDC |
| 9 | Output 2.5: Integrated SWM and UGI Standards in curriculum in education.   1. Engage the Ministry of Science and Education immediately to accelerate the implementation of this output. | NAMA-GEF project office and UNDP |
| 10 | Output 4.2: Rehabilitated and cleaned open green spaces and riparian corridors   1. The project should report on achievements towards riparian corridors | NAMA-GEF project office |
| 11 | Output 4.3: Reforestation of 33,309 ha of degraded land in 6 cities and towns, including support for existing nurseries to produce compost-grown seedlings   1. Accelerate implementation of afforestation/reforestation | NAMA-GEF project office/MUDC/cities |
| **Proposals for future directions underlining main objectives** | | |
| 12 | * Analyse the lessons learned from the pilot efforts, with respect to different factors presented by their specific conditions, documentation of impacts of UGI and ISWM, all leading to documentation of opportunities for future implementation and scaling-up. | Project Team, UNDP CO, MUDC |
| 13 | Sustainability and Impact   * Begin now on developing a Sustainability Plan * The Sustainability Plan should consider whether there should be follow-up activities to extend the lifespan of the existing initiatives. City Administrations should mainstream the project activities into their annual budget estimates. |  |
| 14 | * Finalize construction of compost sheds in Hawassa and Bahir Dar and equip them with necessary technology * Avail separate transportation for organic waste, mechanism for quality assurance and expand market outlets * Enhance occupational health standard | cities |
| 15 | * Accelerate implementation of afforestation/reforestation * Ensure the land allocated for afforestation/reforestation shall remain for forestland for at least 20 years * Avail sufficient financial resources through payment for ecosystem service to finance management of the forest. Voluntary carbon offset mechanism is one of the envisaged payment mechanisms, similar to waste collection, urban dwellers can be asked to pay certain amount for UGI, so it is highly recommended that robust system is put in place. | Cities/UNDP GEF |
| 16 | * Adaptive management following timely M&E is required. Adaptive management should be executed after proper M&E is conducted. | UNDP/NAMA – GEF  MUDC and Project Team |

# Introduction

## Purpose of the Mid-Term Review and objectives

The *GEF Monitoring and Evaluation Policy*[[1]](#footnote-1) has two overarching objectives:

* To promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities, and contribution to global environmental benefits;
* To promote learning, feedback and lessons learned among the GEF and its partners, as basis for decision-making on policies, strategies, program management, and projects and to improve performance.

For all UNDP-GEF full-sized projects, and some mid-sized projects, M&E policy requires a Mid-Term Review (MTR) be undertaken at the halfway stage. As outlined in the *Guidance for conducting Midterm Reviews*[[2]](#footnote-2), the MTR is an opportunity to provide an independent, unbiased overview of the project that identifies the potential for improvement and produces actionable, realistic, results-oriented and concrete recommendations. At this stage, the project still has time to recover from problems and improve its prospects for delivery; a successful MTR can catalyze change in a project by outlining how recommended changes have the potential to improve the project’s results.

UNDP Ethiopia has instituted an MTR of the COMPOST Project, which was undertaken in July-August 2019.

## Scope and Methodology

Two consultants, Muyambi Fortunate (International lead consultant) and Sisay Hailemariam (National consultant), were selected to conduct the MTR, which assesses early signs of project success or failure and identifies necessary changes to be made. The project performance is measured based on the indicators of the project’s logical framework and the appropriate Tracking Tool(s).

Specific tasks of the evidence-based review are outlined in the Terms of Reference (**Annex 1**). The review team has assessed the following three categories of project progress. For each category, the review team is required to rate overall progress using a six-point rating scale as required by GEF evaluation criteria (**Annex 2**):

|  |
| --- |
| 1. Project Strategy   * Project Design * Results Framework/Logframe |
| 2. Progress Towards Results   * Progress towards outcomes analysis * Remaining barriers to achieving the project objective |
| 3. Project Implementation and Adaptive Management\*   * Management Arrangements * Work planning * Finance and co-finance * Project-level monitoring and evaluation systems * Stakeholder engagement * Reporting * Communications |
| 4. Sustainability   * Financial risks to sustainability * Socio-economic to sustainability * Institutional framework and governance risks to sustainability * Environmental risks to sustainability |

To achieve these tasks, the Consultant team followed standard methodology for UNDP-GEF reviews, as outlined in the *Guidance* document. This methodology sought to ask questions in the key analysis areas in three phases of a participatory and consultative approach:

1. Review of relevant documents
2. Semi-structured interviews with all stakeholders and field visits:

* UNDP and Implementing Partner MUDC staff who have project responsibilities
* Project stakeholders
  + Government ministries at national and local level
  + Local government representatives
  + City administrators
  + Community members

1. A Presentation/ Briefing Meeting with the key stakeholders, with discussion of and feedback on the initial findings, followed by development of the draft and final report

Questions were asked of stakeholders were based on an Evaluative Matrix (**Annex 3**), but interviews were conducted in a conversational, interactive style and the questions were modified appropriately to suit the specific respondents. The observations from these different data sources were cross-checked against each other, in a process of "triangulation".

After the consultancy contracts were approved and signed, discussions by email with UNDP Country Office (CO) personnel confirmed the logistics of the mission and its itinerary of consultations and site visits. Key documents were assembled and initial study began.

The Consultant team arrived in Addis Ababa on 7 July 2019. The first briefing meeting was held on 8th July 2019 with the UNDP CO staff at the UNDP Offices, where the team was briefed on the background of the programme, documentation sources and stakeholder identification, deliverables expected and the timing of such delivery. Consultations and meetings began on 8th July 2019. A full itinerary of visits and meetings was discussed and agreed (**Annex 4).**

A field visit to a, Bishoftu, Bahir Dar, Hawassa and Mekele cities was made during 9-18 July 2019. Due to time constraint the MTR team could not visit Diredawa and Adama cities. Further consultation of stakeholders in Addis Ababa occurred during 8-9 July and 18 July 2019; a list of persons met during the site visits and other consultations is given in **Annex 5**. Document collection and review has occurred throughout the mission and during periods both preceding and following it; a list of the documents examined is provided in **Annex 6**.

A briefing meeting was held on 18th July 2019 in the Addis Ababa in the context of a Project Technical Committee meeting, to present initial findings to key stakeholders for their comment and feedback.

The findings from the evaluation mission, together with comments received during the briefing meeting, are summarized in this draft version of the MTR report. Comments received on the draft text will be incorporated into a final version, with an audit trail summarizing these comments and the Consultant's response.

## Structure of the MTR report

The review report is comprised of:

* An Executive Summary, with Project Summary Table, a brief project description, a Review rating table and a summary of of conclusions, recommendations and lessons learnt
* An introduction, summarizing the review's purpose, scope and methodology
* A brief description of the project and its development context, including the background to the project
* The findings, conclusions and recommendations of the Mid-Term Review
* Annexes including information about the review process, project co-financing, a proposed revised Strategic Results Framework, Management Effectiveness Tracking Tool.

The following Annexes provide additional supporting documentation to the Report:

Annex 8. UNDP-GEF MTR Audit Trail

Annex 9. Signed UNEG Code of Conduct Form

Annex 10. Signed MTR final report clearance form

# .0 Project description and background context

## Context of the project and problems it seeks to address

### Background and context

The COMPOST project is designed to promote greater use of Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI) approaches in Ethiopian cities and towns that will assist the Government of Ethiopia in achieving the objectives of its Growth and Transformation Plan (GTP II). This will be achieved through four outcomes: i) strengthening the regulatory and legal framework and institutional coordination mechanisms to integrate ISWM and UGI within urban systems; ii) a developed market-based system with micro and small enterprises (MSEs) that are supported professionally to ensure financial sustainability of compost production and utilisation; iii) implementation of a Nationally Appropriate Mitigation Action (NAMA) that transforms the capacity of integrated urban systems to generate large emission reductions; iv) operationalised urban systems that integrate ISWM and UGI, with quantified GHG emission reductions, within a NAMA framework.

At the end of its lifetime, the COMPOST project will deliver direct annual emission reductions from UGI initiatives and ISWM equal to approximately 306,000 and 132,321 tCO2e, respectively. These will accrue from the annual generation of 45,489 tonnes of compost from 151,629 tonnes of household organic waste, and the reforestation of 33, 309 ha of degraded land by the end of the 5-year project lifetime. By assuming a lifetime of 20 years for compost facilities and managed landfills as well as for carbon sequestration and the generation of renewable biomass for thermal energy, the direct emission reductions generated by the project will be 8.33 MtCO2e, giving a GEF abatement cost of 0.80 US$/tCO2e. The number of direct jobs created through composting by the end of the 2021 will be 744, of which at least 50% will be for women and youth. Additional direct jobs will be created by the UGI activities of the project, such as in nurseries, and digging and planting of trees. The project will produce co-benefits such as increased resilience of urban areas to drought and flooding hazards, and improved quality of life in urban areas.

The Global Environment Facility (GEF) in collaboration with UNDP has committed financial resources and in-kind contribution equivalent to US$ 12,421,123 to support creating opportunities for municipalities to produce and operationalise solid waste transformation. From the total indicated sum GEF trust fund value is US$ 6,667,123 and UNDP TRAC resources is US$ 250,000. The rest of the indicated amount is in kind contribution from UNDP. The goal of the project is to promote significantly greater use of ISWM and UGI approaches in Ethiopian cities and towns in alignment with the national Growth and Transformation Plan for the urban sector. The main focus is the six cities and towns of Adama, Bishoftu, Bahir Dar, Diredawa, Hawassa and Mekele. Partnership has been established with like-minded organizations from federal to city levels who are organized under steering committee and technical committees. The project is expected to produce co-benefits such as increased resilience of urban areas to drought and flooding hazards, and improved quality of life in urban areas.

### Problems/challenges to be addressed

To support Ethiopia’s CRGE vision for sustainable urban green growth and mitigate such adverse environmental impacts, Ethiopia must address significant capacity and financial gaps. Local governments within cities and towns lack the knowledge, capacity and financial resources necessary to implement significant greenhouse gas (GHG) emission reduction measures based on ISWM and UGI 12. In spite of a range of strategies and plans promoting urban greenery in Ethiopia, 13 UGI activities are weakly enforced and given little importance. Dumping areas require cleaning to be able to support Ethiopia’s UGI Standards on urban greenery development in open green spaces and along river banks. Moreover, almost all cities and towns in Ethiopia collect and dispose of only half of the solid waste generated, and have little or no disposal infrastructure in terms of either well-designed and operated landfill sites or disposal through recycling or incineration of organic waste. A baseline assessment has been carried out on the SWM systems in the 6 cities and towns (Adama, Bahir Dar, Bishoftu, Dire Dawa, Hawassa and Mekelle) targeted by the UNDP-implemented, GEF-financed COMPOST project, and it found that both the collection efficiency of MSW at the household level and the solid waste disposal rate at the landfill are, at most, 75%. With a low disposal rate (70%), these rates give an overall system efficiency of 52% of MSW being disposed of at landfills.14

The major challenges along the MSW value chain in Ethiopian cities are: Generation – MSW is not sorted at the household level in a systematic manner. With only an informal economy related to the collection of recyclable waste at the household level, MSW collection suffers from a lack of investment; Collection and transportation of waste – Primary waste collection can be characterised as crude in all cases, with door-to-door collection by micro and small enterprises (MSEs) with 2-wheel wheelbarrows, and MSE personnel employed under very poor conditions with little regard to occupational health and safety. The collection system has no transfer stations, and filled communal bins are then loaded by skip trucks owned by the municipality or city administration for dumping at a landfill. The major challenges regarding waste collection are: (1) cost recovery by either the MSEs or the city/town administration; and (2) a collection rate that is only approximately 75%; Disposal of waste – In most cities and towns, the solid waste is dumped at open landfills that are not fenced, permitting access to scavengers who pick waste that have commercial value.

A significant fraction of MSW is dumped in open public spaces such as green areas and along river banks. The current regulatory framework is virtually silent on waste collection and disposal enforcement mechanisms. Financial constraints - There are several problems related to financing the SWM system, including: (1) due to socio-economic acceptability, not all cities and towns have recourse to the ‘water bill’ method, making cost recovery a problem; (2) in cases where the contractual agreement for household waste collection is between the households and the MSEs, there is a higher rate of waste dumping, and weaker oversight by the city administration or municipality on the quality of waste collection and disposal; and (3) there is no cost recovery by the city administration/municipality for waste that is transported from communal bins to the landfill. Energy recovery – There is no energy recovery at any of the waste disposal sites in the cities and towns considered in the baseline despite the fact that disposal sites such as in Adama and Hawassa were originally designed as sanitary landfills fitted with landfill gas capture equipment.15

*11 The baseline study undertaken in 16 cities and towns shows that per capita waste generation varies between 0.15 kg/person/day to 0.85 kg/person/day. The study was carried out during the development of the SWM Standards.*

*12 This refers to urban and peri-urban tree-planting, urban agriculture and urban green spaces.*

*13 Ethiopia draft UGI Standards, Ethiopia draft UGI Handbook, Urban Land Development and Management Policy and Strategy, Construction Industry Development Policy.*

*14 These numbers were derived from the baseline assessments that were carried out during the design of this project, as well as baseline assessments carried out by GIZ during the development of the SWM Standards.*

Insufficient number of technically-qualified stakeholders involved in UGI – Most cities do not have a sufficient number of MSEs that are technically qualified to implement UGI projects involving nursery operations or the planting of trees and shrubbery. Meeting the demands for a 30% increase in UGI, as outlined in the GTP II, will require increased attention to the training of MSE personnel in nursery operations, plantation of reforested areas and maintenance of reforested areas; No cost recovery for UGI initiatives – The financing of UGI initiatives is primarily from locally-collected revenues. With limited capacities to leverage other sources of financing, ULGs are unable to implement a broader set or scale of UGI initiatives that meet the targets of GTP II. Furthermore, ULGs generally do not have a full understanding of the true costs of implementing and maintaining UGI initiatives, and hence cannot articulate these costs to potential funding sources.

In response to the already present and expected impacts of climate change, Ethiopia’s National Adaptation Programme of Action (NAPA) recommends increasing the use of sustainable biomass resources.16 The UNDP- implemented, GEF-financed COMPOST project directly addresses this recommendation by supporting the development of biomass-based compost market development. Through the use of compost, mainly by municipalities for reforestation activities, the project will simultaneously promote urban greenery development to enhance ecosystem services (including carbon sequestration) while increasing solid waste management to strengthen greenhouse gas mitigation and environmental protection. The project will support the transfer of technical expertise for developing a national standard for compost, as well as putting in place a quality assurance system.

## Development context

The COMPOST Project serves the development needs of Ethiopia, in line with the goals of its relevant donor organisations under the United Nations mandate.

Climate change is exacerbating sustainable green development of Ethiopian cities and towns. The National Policy and Strategy on Disaster Risk Management (2013) of the Government of Ethiopia (GoE) details how urban centres are exposed to increasing risks of floods and forest and bush fires due to climate change in the future. Stakeholder consultations with Ethiopian Government representatives indicates that removal of tree cover for urban expansion, charcoal production and agriculture is already a concern due to the resulting adverse impacts on the environment; urban heat islands are an expected outcome and are predicted to grow in size due to temperature increases.1 Similarly, increases in impervious surfaces associated with urbanisation are reducing soil infiltration and increasing surface runoff during storms. Consequently, flooding is common in dense urban areas. Extreme flooding conditions have contributed to erosion and loss of fertile topsoil. These conditions are already noted in the IPCC’s 5th Assessment Report, AR5.

Ethiopia is one of the fastest-growing economies in the world.5 Ethiopian cities and towns currently produce 60% of the country’s GDP and house approximately 19.5% of Ethiopia’s economically-active population. In spite of its importance, urban growth has largely been unplanned and uncoordinated, giving rise to a range of problems, including poor land-use planning related to UGI, inefficient waste management, limited opportunities for employment and a deteriorating urban environment. Ethiopia’s urbanisation growth rate reached 4.9% in 2013, leading to an increase in energy needs that has accelerated forest degradation to a rate as high as 5%/year in some regions due to the need for fuelwood and charcoal. The resulting deforestation has resulted in land degradation, landslides, flood risks and increased siltation in nearby water bodies. Rapid urbanisation is adversely impacting the urban and peri-urban environment through the loss of arable soils, loss of riparian buffer zones to absorb runoff and reduce impacts to sensitive fresh water bodies, and higher risks of shortages of water supplies for households and agricultural lands.

Ethiopia aspires to become a middle income country by 2025, as detailed in the Climate Resilient Green Economy (CRGE) vision of the Government of Ethiopia (GoE). With the country’s focus on efforts towards developing a renaissance of its cities to contribute to building a green economy, and in addition to the CRGE, Ethiopia has developed a number of strategies supporting urban green development that cover both Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI). The link between SWM and UGI comes through their integration under the pillar for Environmental Sustainability under the GTP II of the Ministry of Urban Development and Construction. Urbanisation is generating a range of environmental impacts from the perspectives of both ISWM and UGI.

***UN development goals***

The Common Country Programme Document (CCPD) for 2016-2020 describes how the Federal Government of Ethiopia and the United Nations country management team developed a single United Nations Development Assistance Plan (UNDAP). This plan included the entire range of activities supported by UN organizations in Ethiopia, integrating the requirements of the UN Development Assistance Framework (UNDAF) with the country programme documents of UNDP, the United Nations Population Fund and the United Nations Office for Project Services. The UNDAP was particularly aligned with the country programme action plans signed by the Federal Government of the Ethiopia.

Country programme document for Ethiopia (2016-2020) Pillar II on Climate change and resilience-building pledges to support the Government’s ambition to achieve rapid, inclusive and green growth where UNDP will provide upstream and downstream support for implementation of the CRGE Strategy by targeting the relevant line ministries, regional governments and local communities.

Under UNDAF/Country Programme Outcome 2 is:

By 2020 private-sector driven industrial and service sector growth is increasingly inclusive, sustainable, competitive and job-rich.

UNDAF Outcome 5: By 2020 key Government institutions at federal and regional levels, including cities, are able better to plan, implement and monitor priority climate change mitigation and adaptation actions and sustainable resource management.

The Ministry of Urban Development and Construction and six Municipalities in six cities have well developed plan to address waste management and urban and peri-urban forestry which have significant impact on GHG emission reduction, climate change adaptation and sustainable management of resources. The project supported in creating system in solid waste collection, the establishment of compost sheds, afforestation and reforestation of degraded lands and establishment of ISWM and UGI MRV system.

UNDAF Outcome 13: By 2020, national and subnational institutions apply evidence-based, results-oriented and equity-focused decision-making, policy formulation, programme design, monitoring, evaluation and reporting.

The development of MRV system, various tools and standards for compost making and UGI enabled decision makers to plan, implement, monitor, verify and report in a scientific manner. Policy makers and urban planners benefited from the project because evidence are already generated for policy formulation.

UNDP Strategic Plan Output:

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.

Output 1.3 indicator 1.3.1: Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level.

Each municipality has committed significant amount of financial and material provision (co-finance) to make the objective of the project real. The cities visited during the mission confirmed that the commitment shall continue even after the project life.

All the MSEs could access finance from MFI to run their business. NAM GEF project provided concrete training in preparation of business plan to the MSEs and most of the MSEs acquired certificate of competence.

Output 1.3 indicator 1.3.2:

1. Number of additional people benefitting from strengthened livelihoods through solutions for management of natural resources, ecosystems services, chemicals and waste;

Both waste management and A/R provided jobs for women, youth and men. Nearly 11,000 people secured job.

1. Number of new jobs created through solutions for management of natural resources, ecosystem services, chemicals and waste.

Both waste management and A/R provided new jobs for women, youth and men. UGI provided 10,243 new jobs and ISWM provided 450 new jobs.

**GEF objective and programme**

The relevant GEF Strategic long-term Objective is to:

"Align GEF support with SDG implementation."

The Strategic Program for GEF-7 that applies to the NAMA COMPOST project is:

Demonstrate mitigation options with systemic impacts - Sustainable Cities Impact Program."

## Project description and strategy

**The Project objective of NAMA COMPST is: “***To promote significantly greater use of ISWM and UGI approaches in Ethiopian cities and towns in alignment with the national Growth and Transformation Plan for the urban sector”.*

The project was designed to for a long-term impact to achieve GHG emission reductions with strong sustainable development and adaptation co-benefits through composting of organic MSW and the enhanced use of this compost in UGI (intermediate goal). The long-term outcomes of the project relate to addressing the five underlying problems that are discussed in namely: inadequate regulatory framework for ISWM and UGI; low levels of cost recovery for waste management and investments in UGI; inadequate technological options for waste management; low levels of human and institutional capacity for the better integration of SWM and UGI, as proposed in the GTP II; and poor coordination of stakeholders to address the underlying issues, leading to sub-optimal management of urban waste and UGI. The ultimate goal for the project is to deliver the socio-economic and ecological benefits of integrating ISWM and UGI.

The project is achieving the GHG emission reductions through its four Component/ Outcome areas. Some indicators for the Objective and each of the Outcome areas are summarized below:

**Component 1:** The enabling framework created and enforced to support ISWM and UGI.

**Component 2**: The private sector value chain for compost is created and professionalism is promoted to support sustainable production and utilisation of compost.

**Component 3:** Architecture for Nationally Appropriate Mitigation Action (NAMA) development and implementation is established.

**Component 4:** Integration of UGI and ISWM in urban systems, including design and implementation in 6 cities and towns.

**Component 1: The enabling framework created and enforced to support ISWM and UGI.**

**Output 1.1**: Developed ISWM and UGI standards that are transposed to the regional (sub-national) level.

**Output 1.2**: Tools and protocols for the enforcement of legal ISMW/UGI jurisdictions and the adoption of best practices for sustainable land management regarding urban greenery, waste management and IUWM.

**Output 1.3:** Incentives for, and promotion of, source-sorting by households in all kebeles in selected municipalities.

**Output 1.4:** An adopted national standard for organic compost with quality assurance systems (QAS) in place at the regional (sub-national) level.

**Output 1.5:** A Resettlement Action Plan for illegal settlers within the project boundary according to UNDP’s Displacement and Resettlement Standard.

**Output 1.6:** A twinning programme with other cities and towns experienced in ISWM and UGI, and with institutions developing and implementing standards, to inspire and build capacities.

**Component 2: The private sector value chain for compost is created and professionalism is promoted to support sustainable production and utilisation of compost.**

**Output 2.1:** A developed capacity building programme in conjunction with the Entrepreneur Development Centre (EDC) to enhance the occupational health and safety conditions of Micro & Small Enterprises (MSEs) – especially in SWM – and to enhance the entrepreneurship skills of all MSEs.

**Output 2.2:** An established financing mechanism to support the establishment of new MSEs and to support the skills and technological enhancement of existing MSEs in the ISWM-UGI value chain.

**Output 2.3:** Market outlets for compost generated by the municipal composting plants through long-term contracts with public (municipalities, city/town administrations), and private (landscapers, nurseries, farmers) institutions so as to support urban agriculture and peri-urban forestry on a large-scale.

**Output 2.4:** Market outlets for the non-organic recycled waste processed by the municipal sorting plant through long-term contracts with recycling firms.

**Output 2.5:** Integrated SWM and UGI Standards in curriculum in education.

**Output 2.6:** An established voluntary carbon offset scheme to support urban and peri-urban reforestation.

**Component 3: Architecture for Nationally Appropriate Mitigation Action (NAMA) development and implementation is established**.

**Output 3.1:** Established standardised UGI and ISWM baselines for calculating emission reductions.

**Output 3.2:** Developed MRV mechanisms for each of the 3 elements in Output 3.1.

**Output 3.3:** Developed comprehensive technology baselines and prioritisation of technology options for ISWM and UGI.

**Output 3.4:** NAMA registered on the UNFCCC NAMA Registry and implemented – initially covering 6 regional cities and towns but with the potential for scale-up within Ethiopia.

**Component 4: Integration of UGI and ISWM in urban systems, including design and implementation in 6 cities and towns.**

**Output 4.1:** Composting plants built, equipped and implemented in 6 regional cities and towns and linked with the Agricultural Transformation Agency’s blending facilities to progressively complement blended chemical fertilisers with compost.

**Output 4.2:** Rehabilitated and cleaned open green spaces and riparian corridors.

**Output 4.3:** Reforestation of 33,309 ha of degraded land in 6 cities and towns, including support for existing nurseries to produce compost-grown seedlings

## Project implementation arrangements

The project management implementation arrangements follows NIM (National Implementation Modality), which is the UNDP format for a Program Based Approach on donor harmonization and government ownership. Under NIM, the Federal Government of Ethiopia exercises full ownership of a partnership that includes all relevant stakeholders in a common effort. The Implementing Partner for this project is the MUDC. The Implementing Partner (IP) is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Project Management Structure is shown in Figure 1.

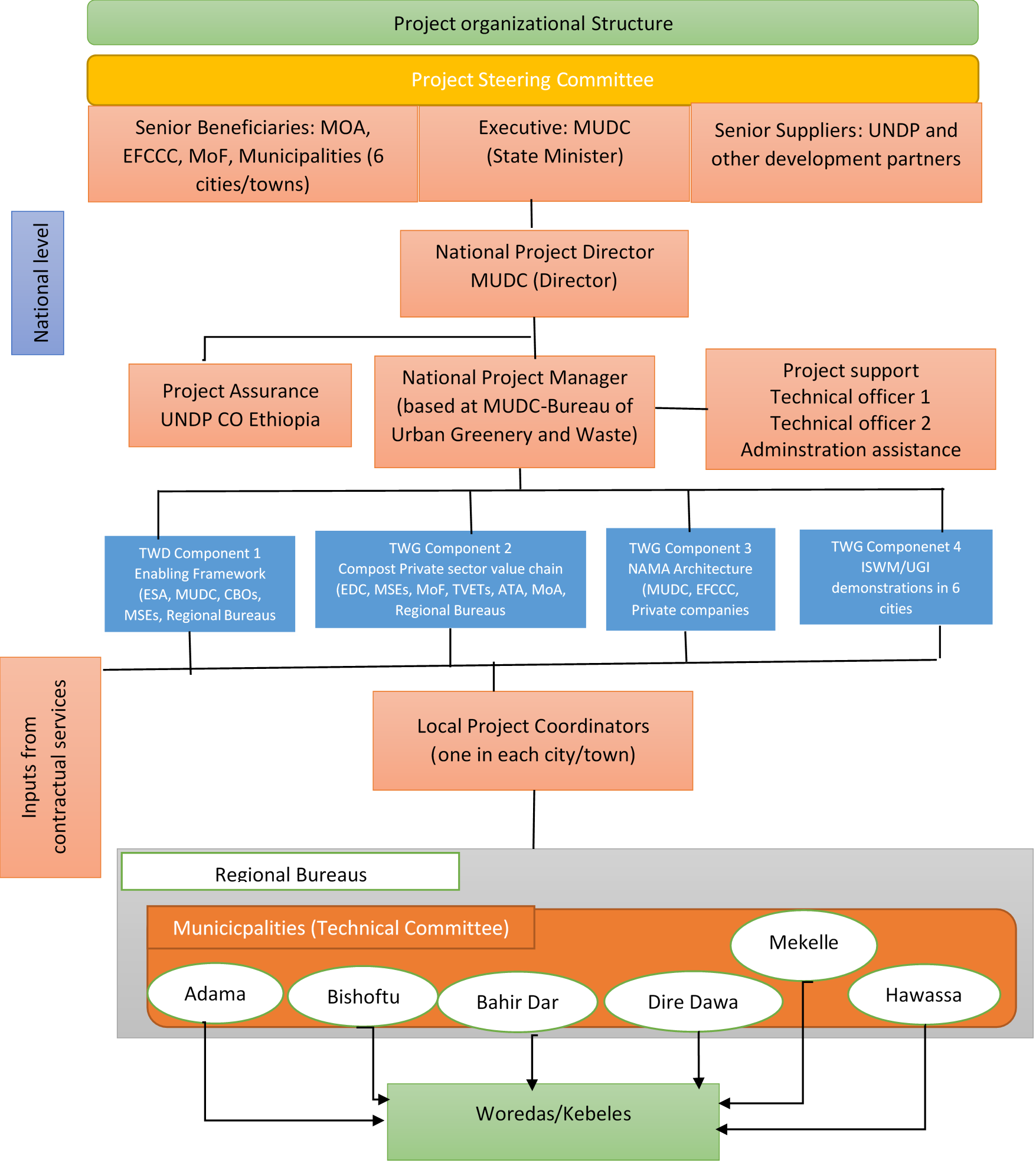


Figure 1 Project Management Structure

In the Structure, there is a Project Steering Committee that is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. The Project Steering Committee is comprised of the representatives of the following institutions:

* Environment, Forest and Climate Change Commission,
* Ministry of Finance, the Ministry of Agriculture,
* Selected representatives from Regional Bureaus,
* One local project coordinator from each city/town,
* A representative of the private sector and
* A representative of MSEs, as well as the Project Manager.

The Project Manager participates as a non-voting member in the PSC meetings and is also responsible for compiling a summary report of the discussions and conclusions of each meeting.

The PSC should meet twice a year, to approve the annual work plans and annual progress reports, and it provides overall guidance for the project throughout implementation.

The Project Coordination Unit (PCU) is in charge of overall project administration and coordination with project sites and relevant organizations, under the overall guidance of the PSC. There are two Technical Officers who work under the Project Manager based in MUDC Urban Climate Resilient Bureau, coordinating activities with partners in UGI and ISWM sectors. The bureau head acts as project director representing MUDC. Project assurance and oversight is provided by the UNDP CO and by the UNDP-GEF Regional Office.

## Project timing and milestones

A summary of the key project milestones and their dates is provided in Table 1.

Table 2. Project milestone dates

|  |  |
| --- | --- |
| **Milestone** | **Date** |
| Project Designed | 2016 |
| GEF approval | Jan 2017 |
| Local Project Appraisal Committee meeting held | ???? |
| Agency Approval (UNDP, MUDC and MoF ProDoc signature, after LPAC endorsement) | March 2017 |
| Inception workshop | 1st June 2017 |
| Project launch | 31st Oct 2017 |
| First Project Steering Committee meeting | May 2012 |
| Actual field implementation start | March 2017 |
| Mid-term Evaluation | July 2019 |
| Terminal Evaluation due | 2021 |
| Expected project ending date | March 2021 |

## Main stakeholders

A summary list of stakeholders is provided below.

* Ministry of Urban Development and Construction (MUDC)
* Ministry of Finance (MoF)
* Environment, Forest and Climate Change Commission (EFCCC)
* Ministry of Agriculture and Natural Resources (MoANR)
* Horn of Africa Regional Environment Centre (HoAREC)
* Technical Vocational Educational Training institutions (TVETs)
* Ethiopian Standards Agency (ESA)
* Wondo Genet College of Forestry and Natural Resource of Hawassa University
* Micro-finance institutions (MFIs)
* Association of Micro-Finance Institutions
* Federal Urban Job Creation and Food Security Agency
* City/Town Administration

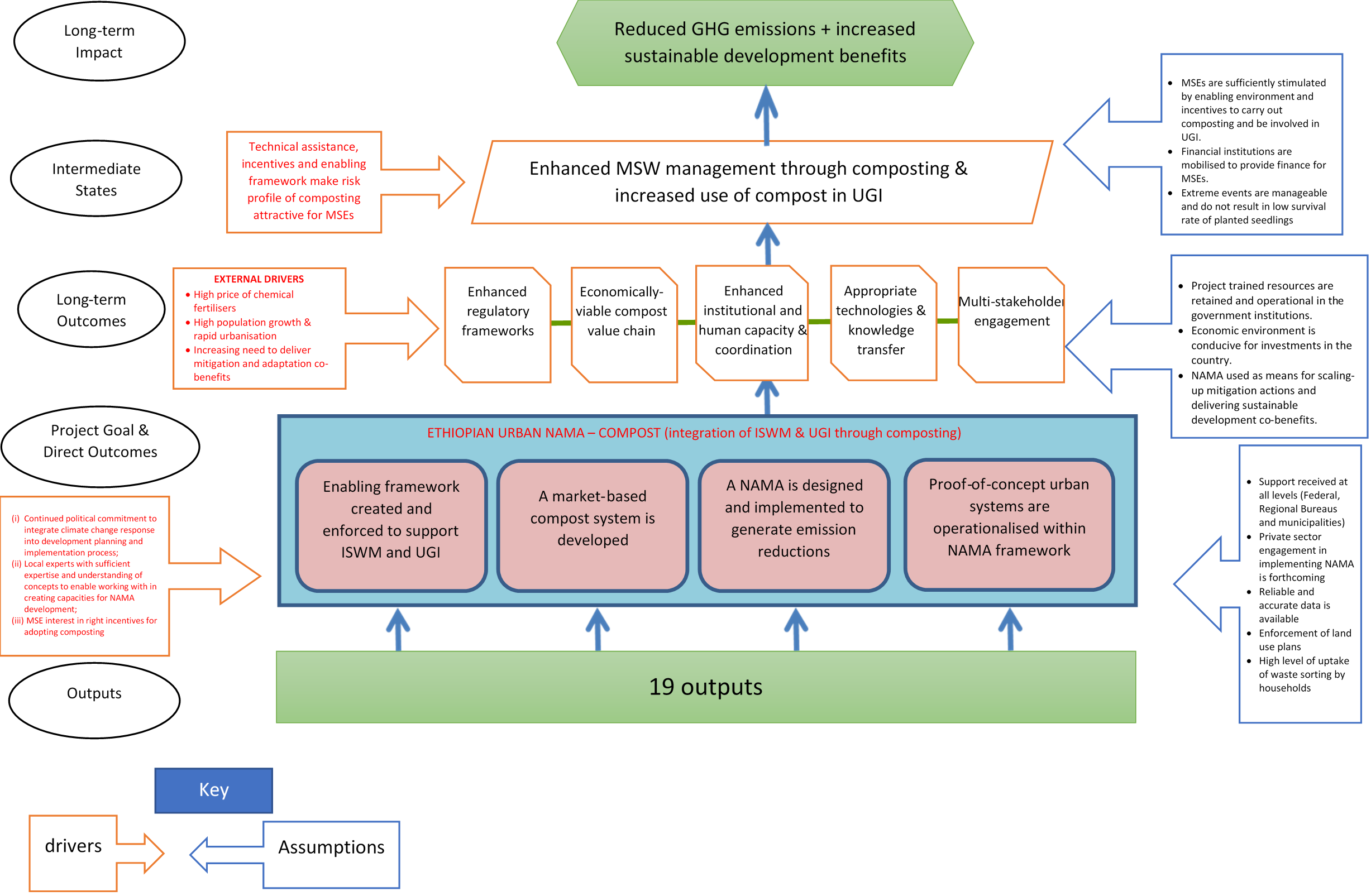
# Findings

## Project strategy

### Project Design

* ***Project identification and assumptions***

**Theory of Change**: the longer-term impact is set towards the reduction of GHG emissions and sustainable development benefits that are described below. The assumptions and drivers are well thought and if implemented properly the actions described under output, outcome and intermediate state shall result the long-term impact.



It must be noted that the external drivers are determinant factor to achieve the results at the impact level. Therefore, the project management unit and UNDP should closely work with the steering and technical committee. Technical assistance and the incentives to motivate the MSEs should be always to their interest and must be developed in a participatory manner. In conclusion, the project management and the implementing partner should keep an eye on the drivers and assumptions all the time while implementing the activities on the ground. Hence, the MTR team believes the theory of change is well designed to lead the project towards the intended objective.

* ***Relevance to international and country priorities***

By the end of the project period, the COMPOST project will deliver direct annual emission reductions from UGI initiatives and ISWM. The emission reduction may be equal to approximately 306,000 and 132,321 tCO2e, respectively. These will accrue from the annual generation of 45,489 tonnes of compost from 151,629 tonnes of household organic waste, and the reforestation of 33, 309 ha of degraded land by the end of the 5-year project lifetime. By assuming a lifetime of 20 years for compost facilities and managed landfills as well as for carbon sequestration and the generation of renewable biomass for thermal energy, the direct emission reductions generated by the project will be 8.33 MtCO2e. Management of waste in the six cities would provide significant health impact in addition to increase the images of the cities, contributing to achieve some of the Sustainable Development Goals (SDGs) and attracting tourists.

Reforested areas offer a wide range of benefits beyond the GHG emission reductions, due to carbon sequestration, and will contribute to meet the above-mentioned SDGs to ensure the promotion of an economically, socially and environmentally sustainable future.

Afforested/Reforested areas within the city system boundary contribute at least to the following SDGs:

|  |  |  |
| --- | --- | --- |
| **SDG** | Description | Benefits examples |
| SDG 11 | Sustainable cities and communities. Make cities and human settlements inclusive, safe, resilient and sustainable | * supporting and enhancing biodiversity; * providing opportunities for open-access outdoor recreation * enhancing the visual quality of the landscape |
| SDG13 | Climate action: Make urgent action to combat climate change and its impact | * improving air quality * strengthening climate resilience |
| SDG 15 | Life on land: Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss | * protect soil erosion and land degradation * provides fuel and construction wood to combat forest degradation and deforestation * implementing partners started to include UGI into their planning |

Other sustainable benefits directly related to the amount of safe Municipal Solid Waste disposed or composted are indicated below

1. Creation of jobs due to composting (composting provides better and more stable income and safer working conditions to waste pickers)
2. Saved landfill space due to composting (land for landfill sites is becoming scarce in most developing countries due to increases in land prices and opposition to landfills)

|  |  |  |
| --- | --- | --- |
| **SDG** | Description | Benefits examples |
| SDG 8 | Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all | * Creation of jobs due to the composting activities and waste collection from households and open markets |
| SDG11 | Sustainable cities and communities. Make cities and human settlements inclusive, safe, resilient and sustainable | * Saving landfill space; keeping cities clean and good environment to work and walk; keep rivers and streams clean; keep sewerage system functional; etc |

* **International agreements/ frameworks**

Ethiopia submitted its Intended National Determined Contribution (NDC) to UNFCCC before any country under Least Developed Country category. Ethiopia also ratified the Paris Agreement on 9 March 2017, turning the INDC into its NDC. Sectors identified to mitigate GHG are Agriculture (livestock and soil), Forestry, Transport, Electric Power, Industry (including mining) and Buildings (including Waste and Green Cities). The aim is to reduce national GHG level by 64% in 2030 from “business as usual” level.

According to source from UNFCCC website NAMAs and NDCs are already linked. Many African countries have built their Intended Nationally Determined Contributions (INDCs) formulation on NAMA development experiences and NAMA concepts. The institutional and individual technical capacities gained and experience/knowledge acquired during the NAMA development process provide a good basis for (I) NDC development. Moreover, some (I)NDCs already include specific mitigation actions/NAMAs and/or provide important information as a reference and starting point for developing concrete actions.

According to UN Habitat, Cities around the world are responsible for 70% of CO2 emission globally. Hence, the Paris Agreement cannot realistically be achieved without the action by cities to limit GHG emissions. Similarly, achieving the 17 SDGs will be difficult since SDG-13 is all about climate action, including reduction of GHG. Therefore, the initiatives supported by NAMA-GEF project has direct relevance to Paris Agreement, among others.

Afforestation and reforestation of degraded areas over 20 years shall sequester substantial amount of CO2 from atmosphere while provision of forest products and services to the community. Additionally, due to provision of services and products, local community will not be forced to cause deforestation and forest degradation, hence the project’s contribution to REDD+ is significant. The afforestation/reforestation has also direct contribution to AFR100.

* **National priorities**

The Ethiopian Climate Resilient Green Economy Strategy (CRGE) has recognized the need for creating modern and clean cities. The strategy has projected waste production to increase by 75% by 2030 from the baseline 2010. The driving force for this increase is the rapid urban population growth and associated infrastructure in the urban and peri-urban areas. The strategy recommended that rapid growth of cities will require large scale investment in urban infrastructure, including the development of management systems for solid and liquid waste, two of the largest sources of emissions in this sector. The proposed strategy is a) *Use of landfill gas management technologies (e.g., flaring) to reduce emissions from solid waste, and b) Reduction of methane production from liquid waste.*

Growth and Transformation Paln-2 (GTP II) has ambitious plan of producing organic compost by farming community. However, the technology so far available is not conducive to produce and transport the compost to farm. The project is well aligned with GTP II ambition which can supply useful information to improve composting method in farming community. On the other hand, the organized MSEs can supply significant amount of compost to farming community once environmental and social safeguard is addressed.

Recent initiatives of Prime Minister of Federal Republic of Ethiopia Dr. Abiy Ahmed’s mobilized the Ethiopian people (children, youth, adults and elders) to plant 4 billion seedlings and the mobilization demonstrated remarkable lessons for future actions on how to combat climate change related impacts. On 29 July 2019, more than 350 million seedlings were planted in urban and rural lands. Prior to 29 July 2019 and on the same day various panel discussions on radios, TVs and other medias were conducted; and various journalists covered stories on forestry and its contribution to climate change and other social and economic development.

* **Broader development effects**

The project's objective, is to promote significantly greater use of ISWM and UGI approaches in Ethiopian cities and towns in alignment with the national Growth and Transformation Plan for the urban sector.

The first Project Component intends to establish the regulatory and legal framework, institutional and coordination mechanisms, and tools for supporting the national policy environment for integrating ISWM and UGI within urban systems in 6 selected cities and towns. Under such approach;

* the ISWM and UGI standards that are transposed to the regional level will be developed,
* tools and protocols for the enforcement of legal ISMW/UGI jurisdictions developed
* the adoption of best practices for sustainable land management regarding urban greenery, waste management and IUWM done,
* incentives for, and promotion of, source-sorting by households in all kebeles in selected municipalities provided,
* national standard for organic compost with quality assurance systems (QAS) in place at the regional (sub-national) level adopted,
* a Resettlement Action Plan for illegal settlers within the project boundary according to UNDP’s Displacement and Resettlement Standard developed
* a twinning programme with other cities and towns experienced in ISWM and UGI implemented, and
* institutions developing and implementing standards, to inspire and build capacities developed and implemented.

The second component intends to develop and support market-based system participating Micro & Small Enterprises (MSEs) to ensure the financial sustainability of compost production and utilisation. The outcome out of this component is to develop a capacity building programme in conjunction with the Entrepreneur Development Centre (EDC) to enhance the occupational health and safety conditions of Micro & Small Enterprises (MSEs), establish a financing mechanism to support the establishment of new MSEs and to support the skills and technological enhancement of existing MSEs in the ISWM-UGI value chain, generate market outlets for compost by the municipal composting plants through long-term contracts with public (municipalities, city/town administrations), and private (landscapers, nurseries, farmers) institutions so as to support urban agriculture and peri-urban forestry on a large-scale, market outlets for the non-organic recycled waste processed by the municipal sorting plant through long-term contracts with recycling firms, integrate SWM and UGI Standards in curriculum in education and establish a voluntary carbon offset scheme to support urban and peri-urban reforestation.

The third component intends to design and implement A NAMA to catalyse the transformational capacity of integrated urban systems to generate large emission reductions. Under this approach, the target is to make sure that project establish standardised UGI and ISWM baselines for calculating emission reductions, developed MRV mechanisms for each of the 3 elements, develop comprehensive technology baselines and prioritisation of technology options for ISWM and UGI and register NAMA on the UNFCCC NAMA Registry and implemented – initially covering 6 regional cities and towns but with the potential for scale-up within Ethiopia.

The fourth component is to have and operationize a proof-of-concept urban systems integrating ISWM and UGI with quantified GHG emission reductions in a NAMA framework. The project plans to build and equip composting plants in 6 regional cities and towns and linked with the Agricultural Transformation Agency’s blending facilities to progressively complement blended chemical fertilisers with compost, rehabilitate and clean open green spaces and riparian corridors, and reforestate 33,309 ha of degraded land in 6 cities and towns, including support for existing nurseries to produce compost-grown seedlings.

* **Lessons from other projects and programmes**

The World Bank was financing the Second Urban Local Government Development Programme (ULGDP II) during designing of COMPOST, which was also implemented by then MUDC. This relevant programme supported ULGs to implement activities such as roads, water supply, sanitation, solid waste and greenery. The COMPOST project built on ULGDP II and provide examples of opportunities for GHG emission reductions and compost market growth for other cities/towns to replicate.

GIZ has had significant experience in implementing waste and urban greenery activities throughout Ethiopia. It has established a set of Standards for Urban Greenery and for Solid Waste Management. The COMPOST project adopted implementation of two standards in the 6 target cities and towns.

* **Sustainability and viability considerations**
* **Social sustainability**

NAMA-GEF project is well aligned with the country’s CRGE and GTPII. Above all the project addresses pressing challenge of city dwellers. Recent studies are showing that most of the city dwellers are becoming asthma patients, among others. Waste is becoming a discussion point in most cases because the waste generated from households and institutions are mostly dumped into rivers and green areas. Since MUDC and city municipalities engaged in waste management the situation is improving but not completely resolved. However, the impact the NAMA-GEF created on the six cities is significant and hopefully it will be sustainable.

* **Economic/Financial sustainability**

The MSEs are trying to create sustainable market for their products. Most of the MSEs told to the MTR team that if there is sustainable market they can be profitable. Some individuals already expanded their business and operating in full scale. Therefore, the economic sustainability will be determined by the availability of market.

* **Environmental sustainability**

Using the available guidelines MSEs are producing compost and the compost constituents (available nutrient content) is being evaluated by research institutions and most of the MSEs are already certified. What is remaining is determination of the level of heavy metals and other harmful materials. Apart from this, both UGI and compost removes or mitigates GHG emission hence the project’s environmental benefit is significant. As long as the project continues creating the necessary capacity at organizational and individual level and integrate it to the government regular program there will be environmental sustainability.

* **Stakeholder involvement in decision-making processes**

Stakeholders have been involved in decision-making at the level of project implementation. Under the framework of national implementation modality, MUDC is responsible for project implementation at the national level. At broader level, the PSC must approve all project decisions; as noted, the PSC includes all representation of key stakeholders at the national level and city/town administration level.

Other beneficiaries are the inhabitants in the six cities, federal level institutions (EFCCC, MUDC, MOA, MOF, private sector,) regional institutions (Bureau of Urban Development and Construction, municipalities, etc), woreda and Kebele institutions.

The project should attempt to identify/revise the PSC members and bring important ones such as UN habitat (if they have an office in Addis), Ministry of Science and Education, private sector representative, and MSEs Representatives. It is also good to revise the technical committee composition; and at least consider to include relevant UNDP projects in the technical committee.

* **Gender issues**

The ProDoc explicitly addressed gender and the project implemented the plan indicated in the ProDoc accordingly.

Table 1 of the MTR indicates proportion of women beneficiaries. At MTR the figure exceeded the project target of reaching 50 percent. In UGI more than 60 percent are women who are actively engaged. Nearly 65 percent of women are operating in ISWM. Women participation has impact on their family meeting the basic needs and improving their standard of living.

The project was implemented in a manner where women and youth benefitted. The COMPOST project improved gender equality and women’s empowerment in the project’s capacity through the creation of employment opportunities in ISWM as well as UGI initiatives. Significant proportion of MSEs in the business of household waste collection and its delivery to landfills are owned and operated by women. With GEF financing, women – and, in particular, female-headed MSEs – are supported to have an active role in ISWM and UGI development and implementation, such as with organic waste sorting at the household level, transport, and the production and marketing of compost; in urban greenery infrastructure, women are participating in tree seedling growth in nurseries using compost, transporting seedlings, planting, management of forest plantations and urban agricultural plots.

The project tracks achievements against plans disaggregated by gender. Some of observed challenges are already discussed in the report like lack of appropriate women friendly compost making technologies and techniques is worth noting. As recommendation it is stated that improving compost making technique in compost shed to increase participation of women is highly required.

Table 3. Number of MSEs accessing Micro finance institutions (MFI)

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **City Administration** | **No of MSE** | | **No of Female** | | **No of Male** | | **Total Jobs Created** | | **No of Youth** | | **No of MSEs accessing finance from Micro Finance Institution** | |
| **UGI** | **ISWM** | **UGI** | **ISWM** | **UGI** | **ISWM** | **UGI** | **ISWM** | **UGI** | **ISWM** | **UGI** | **ISWM** |
| Adama | 6 | 6 | 1,196 | 78 | 798 | 33 | 1,994 | 111 | 1,595 | 78 | 6 | 6 |
| Bahir Dar | 19 | 6 | 1,267 | 52 | 845 | 24 | 2,112 | 76 | 1,690 | 61 | 19 | 6 |
| Bishoftu | 7 | 6 | 1,325 | 54 | 713 | 18 | 2,038 | 72 | 1,630 | 64 | 7 | 6 |
| Dire Dawa | 8 | 7 | 70 | 39 | 57 | 32 | 127 | 71 | 102 | 53 | 8 | 7 |
| Hawassa | 7 | 13 | 1,296 | 48 | 864 | 22 | 2,160 | 70 | 1,730 | 48 | 7 | 13 |
| Mekelle | 3 | 5 | 1,015 | 20 | 797 | 30 | 1,812 | 50 | 1,450 | 40 | 3 | 5 |
| **Total** | **50** | **43** | **6,169** | **291** | **4,074** | **159** | **10,243** | **450** | **8,197** | **344** | **50** | **43** |

*Source: Project Office*

Significant number of youths are interested to work in UGI compared to ISWM. It is very well noted during the MTR mission that young entrepreneurs are making a lot of success in making business in both sectors.

All the MSEs could access finance from MFI to run their business. During the field mission the MTR mission noted that one MSE in Hawassa accessed 360,000 ETB from Omo microfinance. Similarly, others can access as long as their business plan is feasible. NAM GEF project provided concrete training in preparation of business plan to the MSEs.

The MTR team noted that a few women are participating in compost making shed because the interviewee (all were men!) confirmed that working with the current mode of compost making is not suitable for women. Most of the women are at waste collection end. The MTR team is informed that semi manual system will be introduced to all compost sheds very soon. The semi-manual tool will help women to be part of the compost making group.

Monthly income of the women who are collecting the waste is 1500.00ETB of which 150 -200 ETB is deducted for saving. According to some respondents the income is not enough to support their lives.

Different trainings on entrepreneurship skills, life skill, income generating activities (bee keeping, urban agriculture, urban nursery, vegetable and fruit tree planting, and ecotourism practice) were provided to women. Additionally, safety materials and working tools/equipment (glove, mask, waste transportation truck, nursery tools, tree seedling plantation tools, boat, over coat, etc.) provided.

### Design of the Results framework

The NAMA COMPOST Results Framework is a standard GEF framework, using the terminology of objectives and components. It appears largely sound and outcomes are specifically identified and there is coherence between indicators, baselines and targets for the Outcomes. All Indicators are SMART; as they are sufficiently specific or measurable.

The Results Framework should be seen as a working framework that can be subject to periodic review by stakeholders, at least insofar as identifying indicators or targets that implementation has revealed may require some revision. Such review should be undertaken in the context of annual project meetings, for approval by the PSC. For example, some changes to the result Framework were proposed. These changes involved the modification of output 4.1 (operational municipal composting plants that are linked with the Agricultural Transformation Agency (ATA) blending facilities to progressively compliment blended chemical fertilizers with compost) but the ATA blending facilities are no longer functional so there was no link with the ATA. The project changed the target of this output by building 4 more composting plants from original two planned. The changes were apparently approved at the first meeting of the PSC and enacted as they appear in Quarterly and Annual Reports. The changes appeared to streamline and improve the delivery of this Output and to demonstrate a degree of adaptive management.

## Progress towards Results

### Progress towards output results and barriers to achieving the project objectives

***Project Objective***

The Project Objective is: "*To promote significantly greater use of ISWM and UGI approaches in Ethiopian cities and towns in alignment with the national Growth and Transformation Plan for the urban sector*"

In the Results Framework, there are four indicators at Objective level. These indicators are:

**1. Regulatory and legal framework, institutional and coordination mechanisms, and tools are established for supporting national policy environment for integrating ISWM and UGI within urban systems.**

It is anticipated that by the end of the project, ISWM and UGI standards that are transposed to the regional level will have been developed, tools and protocols for the enforcement of legal ISMW/UGI jurisdictions and the adoption of best practices for sustainable land management regarding urban greenery, waste management and IUWM done, incentives for, and promotion of, source-sorting by households in all kebeles in selected municipalities provided, national standard for organic compost with quality assurance systems (QAS) in place at the regional (sub-national) level adopted, a Resettlement Action Plan for illegal settlers within the project boundary according to UNDP’s Displacement and Resettlement Standard developed and a twinning programme with other cities and towns experienced in ISWM and UGI, and with institutions developing and implementing standards, to inspire and build capacities developed and implemented.

*The expected outcome is: “the regulatory and legal framework, institutional and coordination mechanisms, and tools are established for supporting the national policy environment for integrating ISWM and UGI within urban systems in 6 selected cities and towns”.*

**2. A market-based system is developed and participating Micro & Small Enterprises (MSEs) are supported professionally to ensure the financial sustainability of compost production and utilisation.**

The project planned to develop a capacity building programme in conjunction with the Entrepreneur Development Centre (EDC) to enhance the occupational health and safety conditions of Micro & Small Enterprises (MSEs), establish a financing mechanism to support the establishment of new MSEs and to support the skills and technological enhancement of existing MSEs in the ISWM-UGI value chain, generate market outlets for compost by the municipal composting plants through long-term contracts with public (municipalities, city/town administrations), and private (landscapers, nurseries, farmers) institutions so as to support urban agriculture and peri-urban forestry on a large-scale, market outlets for the non-organic recycled waste processed by the municipal sorting plant through long-term contracts with recycling firms, integrate SWM and UGI Standards in curriculum in education and establish a voluntary carbon offset scheme to support urban and peri-urban reforestation.

*The expected outcome is: “a market-based system is developed and participating Micro & Small Enterprises (MSEs) are supported professionally to ensure the financial sustainability of compost production and utilisation”.*

***3*. A NAMA is designed and implemented to catalyse the transformational capacity of integrated urban systems to generate large emission reductions.**

By the end of the project, the target is to make sure that project establish standardised UGI and ISWM baselines for calculating emission reductions, developed MRV mechanisms for each of the 3 elements, develop comprehensive technology baselines and prioritisation of technology options for ISWM and UGI and register NAMA on the UNFCCC NAMA Registry and implemented – initially covering 6 regional cities and towns but with the potential for scale-up within Ethiopia.

*The expected outcome is “a NAMA is designed and implemented to catalyse the transformational capacity of integrated urban systems to generate large emission reductions”.*

1. **Proof-of-concept urban systems integrating ISWM and UGI are operationalised with quantified GHG emission reductions in a NAMA framework.**

The project planned to build and equip composting plants in 6 regional cities and towns and linked with the ATA’s blending facilities to progressively complement blended chemical fertilisers with compost, rehabilitate and clean open green spaces and riparian corridors, and reforestate 33,309 ha of degraded land in 6 cities and towns, including support for existing nurseries to produce compost-grown seedlings.

*The expected outcome is: “proof-of-concept urban systems integrating ISWM and UGI are operationalised with quantified GHG emission reductions in a NAMA framework”.*

**UN Development Objectives**

It is beyond the scope of this MTR to assess progress towards the development objectives of the UN Development Assistance Framework and the UNDP Country Programme.

All four of indicators are "On target", but with considerable work remaining to achieve the targets by EoP. Progress towards the Objective is judged to be Moderately Satisfactory.

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| *Progress toward the Project Objective is rated as* ***Moderately Satisfactory****.* |

***Progress towards Components/ Outcomes***

### Component 1: The enabling framework created and enforced to support ISWM and UGI

The expected outcome from outputs proposed in Component 1 is *“the regulatory and legal framework, institutional and coordination mechanisms, and tools are established for supporting the national policy environment for integrating ISWM and UGI within urban systems in 6 selected cities and towns”.* The proposed outputs of Component 1 consist of:

**Output 1.1:** Developed ISWM and UGI standards that are transposed to the regional (sub-national) level.

The project was expected to transpose 10 ISWM and UGI standards for regional bureaus and six municipalities. The indicator should be corrected as two, not ten. The progress so far is that the ISWM and UGI standards adopted from existing national standards have been transposed to the Six Cities and approved by responsible body of the cities.

The transposing has passed through multiple stages; reviewing of the existing national standard by experts to assess its suitability to the selected cities and consultative workshops have been conducted with the city and regional government officials, experts and relevant stakeholders on the adopted standards to ensure acceptance and ownership by the implementers. Moreover, with the aim of establishing systems, increase community ownership and sustainability of project interventions in solid waste management and UGI, guidelines, manuals and model MoU have been developed and cities have been supported in mainstreaming them to the local contexts.

The progress towards the output indicator is assessed as “On Target”.

**Output 1.2:** Tools and protocols for the enforcement of legal ISMW/UGI jurisdictions and the adoption of best practices for sustainable land management regarding urban greenery, waste management and ISWM.

It was expected that 6 tools for safeguarding legal UGI and ISWM jurisdictions for 6 cities developed and Enforcement of the current land ownership and land-use legislation in Ethiopia will be supported. Rather this indicator has to be corrected. In reality it is only one tool that is developed-land titling for UGI and ISWM.

The title deeds using cadastral maps has been adopted as a tool to safeguard UGI and ISWM jurisdictions. So far from a total of 21,875.38 hectare of land identified for afforestation/reforestation activities in the six cities, title deed has been developed for a total of 16,031.2 hectare of land. This is helping in legally protecting the greenery areas from illegal activities. The same has been done for compost shades and transfer stations of the cities.

Appropriate soil and water conservation measures are under construction to protect soil erosion and develop moisture to facilitate tree growth.

Barriers to achieve project outcome is free grazing may destroy the soil and water conservation structures and trees planted, illegal settlers are claiming land within the park boundaries (e.g., Bahir Dar Millennium Park) and delay in construction of compost shed in Hawassa and Bahir Dar.

The progress towards the output indicator is assessed as “On Target”,

**Output 1.3:** Incentives for, and promotion of, source-sorting by households in all kebeles in selected municipalities.

It was expected that **one** mechanism in the form of an incentive (for source sorting of waste at households) for each of the **six** cities in the Project will be provided.

The project has developed ISWM guideline in which source sorting is the major component. Cities have been supported in mainstreaming the guideline and experts have been trained on how to implement. Moreover, awareness raising campaign is undergoing by cities through media and community outreach. Parallel to this effort, cities are distributing pair of bags with different colours for waste storage in some pilot areas as incentive for households (so far for 18,380 households) to sort waste. Moreover, one city, Adama, has allocated separate transportation system (tractor pulled trailers) for the organic waste which the project is trying to propagate to the remaining cities. But the award programme as an incentive to award those active in source-sorting activities has not been implemented.

There absence of separate transportation system for organic and non-organic (degradable and non-degradable) materials in most of the cities (except in Adama) which may limit the production of compost, time consuming and may also limit its usage to urban greenery alone; because the current compost produced and consumed for agriculture purpose is prepared from vegetable waste collected from market, not from houses (e.g., Bahir Dar). The households may not consider having different bags as incentives. Once different transportation mechanism is secured, since each household is paying for its waste to be collected there should be certain percentage of payment deduction for those who are sorting organic and non-organic waste. There should be penalty for those who refuse sorting the waste at household level. Moreover, implementing the already prepared the city specific ISWM plan will be a best solution which may be helpful to establish system on the overall solid waste management.

The progress towards the output indicator is assessed as “On Target”,

**Output 1.4:** An adopted national standard for organic compost with quality assurance systems (QAS) in place at the regional (sub-national) level.

So far an adoption of national standard for organic compost with quality assurance systems in each city is in progress. At national level compost preparation standard has been developed and submitted to the Ethiopian Standardization Agency for approval. In the meantime, cities are producing compost using the draft standard and in collaboration with Agricultural Institutes and Universities on quality assurance. Moreover, a consulting firm recruited by the project has developed guideline and hand book on compost preparation which is under review by experts. The steering committee of the standardization Agency have not met to approve the standard.

The progress towards the output indicator is assessed as “On Target”,

**Output 1.5:** A Resettlement Action Plan for illegal settlers within the project boundary according to UNDP’s Displacement and Resettlement Standard.

The project was expected to develop the Resettlement Action Plans and illegal settlers compensated and integrated in COMPOST project with jobs. The resettlement Action Plan (RAP) is not developed so far because the cities are implementing project activities in areas where there is no existing settlements to avoid resettlement related tensions.

Due to current political situation of the country evicting illegally settled people did not materialised and it is still a challenge in some of the cities. This phenomenon may limit the implementation progress and may also create more space for more illegal activities.

The progress towards the output indicator is assessed as “Not on Target”,

**Output 1.6:** A twinning programme with other cities and towns experienced in ISWM and UGI, and with institutions developing and implementing standards, to inspire and build capacities.

The project was to undertake twinning agreements with three cities (possibly New York City, or other cities in Uganda, India or Australia). Twining agreement did not materialize but the learning and scale up best practice happened. Its practicality is questionable as learned from past experience of Horn of Africa Regional Environment Centre and Network (HoAREC&N) initiative.

Communication has been started with three cities of Uganda (Jinja, Mokono and Kampala) where a group of higher officials and experts conducted exposure visit to initiate twining program 2017. Similarly, exposure visit has been done to Austria cities for government leadership drawn from federal as well as the cities who are also members of project steering committee. Both visits had influenced project implementation mainly in compost production and solid waste management. For instance, compost sheds were designed after the Uganda visiting and procurement of Tractor pulled turners was decided after the visit to Austria. However the sisterhood relationship could not be established due to high turnover of leadership in the cities.

The progress towards the output indicator is assessed as “On Target”,

**Progress toward Component 1**

Under component 1 there are six outputs. All of the outputs have relevance to achieve component 1 target. The outputs are designed to address tools and protocols, standards, incentives, action plans, and twining programs. By implementing each output, the desired outcome of component one can be addressed: *“the regulatory and legal framework, institutional and coordination mechanisms, and tools are established for supporting the national policy environment for integrating ISWM and UGI within urban systems in 6 selected cities and towns”.*

The project has made progress, with five output indicators clearly "On target”. One Output indicator is "Not on target", because the resettlement Action Plan (RAP) is not developed due to current political situation of the country evicting illegally settled people did not materialised and it is still a challenge in some of the cities. This phenomenon may limit the implementation progress and may also create more space for more illegal activities. Overall, progress is considered Satisfactory; this could change towards Highly Satisfactory if Resettlement Action Plan (RAP) are developed and implemented.

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| *Progress toward Component 1 is rated as* ***Satisfactory****.* |

### Component 2: The private sector value chain for compost is created and professionalism is promoted to support sustainable production and utilisation of compost.

The expected outcome from outputs proposed in Component 2 is: “a *market-based system is developed and participating Micro & Small Enterprises (MSEs) are supported professionally to ensure the financial sustainability of compost production and utilisation”.*

**Output 2.1**: A developed capacity building programme in conjunction with the Entrepreneur Development Centre (EDC) to enhance the occupational health and safety conditions of Micro & Small Enterprises (MSEs) – especially in SWM – and to enhance the entrepreneurship skills of all MSEs.

The project is expected that by 2021, 12 MSEs participating in capacity building programme for entrepreneurship skills focusing on ISWM will be formed. The establishment of MSEs is over achieved (see progress below). However, efforts need to be made to enhance the occupational health and safety conditions because some of the MSEs are not operating within compost shed, for example. Compost preparation is done manually which restricted women’s participation because it requires energy. Technology usage could improve both participation as well as improved compost quality. Also provision of suitable working safety materials such as hand gloves and overalls would help.

A total of 93 MSEs (43 in ISWM and 50 in UGI) have been established and are functioning. All have been capacitated through training and provision of equipment and facilities including the compost sheds.

The progress towards the output indicator is assessed as “On Target” although delay in construction of compost shed in Hawassa and Bahir Dar; lack of suitable materials and tools need to be hamper the operations of the MSEs.

**Output 2.2:** An established financing mechanism to support the establishment of new MSEs and to support the skills and technological enhancement of existing MSEs in the ISWM-UGI value chain.

The target was to have 12 MSEs receive assistance from established financial mechanism (2 per city). So long as the associations saved some amount they can access finance from the credit and saving institutions. The MTR team, however, noted some of the associations demand more financial resources to expand their business.

All of the MSEs (93) established with the support of the project are saving their income in saving and Credit Institutions which has given them an opportunity to access credits. Moreover, they have been supported in developing business plans so that they can easily access credit from the financing institutions.

The progress towards the output indicator is assessed as “On Target”

**Output 2.3:** Market outlets for compost generated by the municipal composting plants through long-term contracts with public (municipalities, city/town administrations), and private (landscapers, nurseries, farmers) institutions so as to support urban agriculture and peri-urban forestry on a large-scale.

It is expected that by 2012, 6 market outlets for compost are generated by municipal composting plants. Market linkage has been created. However, to expand the market to farming communities, safeguards should be completed, i.e., due to mishandling of the compost collected from each household, experts have concern about heavy metals and other harmful materials.

Market linkage has been created between municipality greening activities and compost producing MSEs in the six project cities. In addition the municipalities, MSEs in most cities have created linkage with flower farms and nursery sites as additional market. The project has also recruited a consultant to study market potential for compost and create the linkage.

The progress towards the output indicator is assessed as “On Target” although there is slow action in finalizing construction of compost shed and availability of system to transport clean degradable waste separately.

**Output 2.4:** Market outlets for the non-organic recycled waste processed by the municipal sorting plant through long-term contracts with recycling firms.

Under this output, it was expected that by 2018, 6 market outlets for nonorganic recycled waste are generated from municipal sorting plants. Market linkage has been created in the six cities between MSEs and different waste recycling companies mainly in PET type of plastic (plastic water bottles). Market linkages for HDP type of plastic, card boards, paper etc are also created though in small quantity.

The progress towards the output indicator is assessed as “On Target” although MSEs profitability is determined by the cost of operation and according to some their operation cost is high due to unavailability of technology that grinds plastic bottle.

**Output 2.5:** Integrated SWM and UGI Standards in curriculum in education.

The project was expected by 2018 to have 12 educational institutes (6 vocational institutes and 6 universities) have ISWM and UGI courses in their curricula activity. This has not been done. But the Ministry of Urban Development and Construction has developed model modules and supported MSEs in all regions in adopting them. Accordingly MSEs are being assessed and given with Certificate of Competence (COC) in ISW and UGI by the cities after trainings.

The progress towards the output indicator is assessed as “Not on Target” as there no integrated SWM and UGI Standards in curriculum in education implemented. The project management may consider to bring Ministry of Science and Education on board to accelerate the implementation.

**Output 2.6:** An established voluntary carbon offset scheme to support urban and peri-urban reforestation.

It was expected that 2 voluntary carbon offset agreements by 2019 and a total of 6 agreements by 2021. The work is in in progress. However, signing two agreements in 2019 within the remaining time seems unrealistic. The carbon offset mechanism is established for which a consultant is recruited and is working on it.

The progress towards the output indicator is assessed as “Not on Target”

**Progress toward Component 2**

The expected outcome from outputs proposed in Component 2 is: “a *market-based system is developed and participating Micro & Small Enterprises (MSEs) are supported professionally to ensure the financial sustainability of compost production and utilisation”.* The outcome can be achieved when all the outputs under component two are addressed. Capacity building program, financing mechanism to support the establishment of new MSEs, support the skills and technological enhancement of existing MSEs in the ISWM-UGI value chain, market outlet, standard curriculum development, and voluntary carbon offset are key outputs for **sustainable production and utilisation of compost.**

The implementation progress is on course towards the targets for only 4 Output indicators and not on target for 2 output indicators. Overall, progress is considered moderately satisfactory; this could change towards to Satisfactory if SWM and UGI Standards are integrated in curriculum in education and voluntary carbon offset scheme to support urban and peri-urban are established.

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| *Progress toward Component 2 is rated as* ***Moderately Satisfactory****.* |

### Component 3: Architecture for Nationally Appropriate Mitigation Action (NAMA) development and implementation is established

The expected outcome from outputs proposed in Component 3 is “a *NAMA is designed and implemented to catalyse the transformational capacity of integrated urban systems to generate large emission reductions”.*

**Output 3.1:** Established standardised UGI and ISWM baselines for calculating emission reductions.

The project is to establish 4 UGI and ISWM standardised baselines. The standardized baseline for calculating emission reduction is established for the six cities in four components; compost production using displaced landfill organic waste, urban and peri-urban reforestation of degraded land and displacement of non-renewable fuel wood by renewable biomass generated from managed forests.

The progress towards the output indicator is assessed as “On Target”

**Output 3.2:** Developed MRV mechanisms for each of the 3 elements in Output 3.1.

The 4 MRV mechanisms have been developed for elements from Output 3.1. Measuring, Reporting and Verifying (MRV) mechanism is established for four components: compost production using displaced landfill organic waste, urban and peri-urban reforestation of degraded land and displacement of non-renewable fuel wood by renewable biomass generated from managed forests.

The progress towards the output indicator is assessed as “On Target”

**Output 3.3:** Developed comprehensive technology baselines and prioritisation of technology options for ISWM and UGI.

This target is for second phase to be evaluated end of 2021

Output **3.4**: NAMA registered on the UNFCCC NAMA Registry and implemented – initially covering 6 regional cities and towns but with the potential for scale-up within

This target is for second phase to be evaluated end of 2021

**Progress toward Component 3**

The expected outcome from outputs proposed in Component 3 is “a *NAMA is designed and implemented to catalyze the transformational capacity of integrated urban systems to generate large emission reductions”.* This outcome can be realized when the four outputs are achieved. The outputs are process oriented where baseline establishment on standardized ISWM and UGI being the first output. Then, MRV is established while comprehensive technology baselines and prioritization of technology options for ISWM and UGI developed.

Implementation progress is “On Target” towards 2 output target indicators under this Component. Progress under this component is considered satisfactory. The last 2 output indicators (3.3 and 3.4) are targets for final review at the end of the projects 2021.

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| *Progress toward Component 3 is rated as* ***Satisfactory****.* |

### Component 4: Integration of UGI and ISWM in urban systems, including design and implementation in 6 cities and towns.

The expected outcome from outputs proposed in Component 4 is: “p*roof-of-concept urban systems integrating ISWM and UGI are operationalised with quantified GHG emission reductions in a NAMA framework”.*

**Output 4.1:** Composting plants built, equipped and implemented in 6 regional cities and towns and linked with the ATA’s blending facilities to progressively complement blended chemical fertilisers with compost.

Construction of four compost sheds has been completed. Of these compost production has been started in the two (Bishoftu and Adama). The other two (Mekele and Diredawa) will start soon. Construction in the remaining two (Bahir Dar and Hawassa) are not yet finalized due to contractual problems mainly related to price escalation on construction materials following devaluation of the local currency; Birr and delays due to procurement bureaucratic procedures at the Municipality. More, effort is being exerted to meet the yearly targets through producing compost at temporary sheds constructed by the municipalities.

But blending chemical fertilizer with compost output was dropped and there is no direct relationship with ATA.

The progress towards this output indicator is assessed as “On Target” although one of the activities under this output on blending chemical fertilizer with compost output was dropped and funds reallocated. The project changed the target of this output by building more 4 composting plants from original two planned. The changes were apparently approved at the first meeting of the PSC and enacted as they appear in Quarterly and Annual Reports. The changes appeared to streamline and improve the delivery of this Output and to demonstrate a degree of adaptive management.

**Output 4.2**: Rehabilitated and cleaned open green spaces and riparian corridors.

Three areas have been rehabilitated; damping sites in Hawassa and Dire Dawa which already were closed before start of the project have been fully rehabilitated and changed into recreational sites; degraded area with 349.4 ha of land has been rehabilitated and covered with vegetation in Mekele. Riparian corridors in and around the city were rehabilitated in three project cities; namely Adama city along the stream of Tikur Abbay of Migira Dabe Soloke, Bahir Dar city along river Abbay (Tis Abbay), and Bishoftu city along lakes of Horra Alsade and Cheleleka. It is on-going activity and will be scaled up to other sites where flood and erosion are problems around river, lake, streams, ponds, etc. Beside this, soil and water conservation structures have been constructed and tress planted through community mobilization to rehabilitate the already degraded land.

The progress towards this output indicator is assessed as “On Target”

**Output 4.3:** Reforestation of 33,309 ha of degraded land in 6 cities and towns, including support for existing nurseries to produce compost-grown seedlings

It is expected that by 2021, 33,309 ha of reforested degraded land will be achieved. A total of 21,875.38 hectare of land identified for afforestation/reforestation activities of which title deed has been developed for 16,031.2 hectare and approved by the responsible city agencies. This will help to ensure sustainability of the greenery areas by protecting them from re-allocation for another land use as well as land encroachment. The total area of reforested land so far is 3,192.95 ha. Therefore, accelerated methods are required to cover the indicated 33,309 ha in time. This has also been affected by land availability, illegal settlers and landuse conflicts. But as indicated in the table 4 below there is progress on this output as the areas to be planted has been identified, title deed developed.

Table 4: Areas identified to be planted.

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| City Name | Area planned to be planted at the end of 2021(ha) | Areas Identified for R/A and Fuel wood as of 30 June 2019 (ha) | Title deeds developed as of June 2019 (ha) | Area planted as of 30 June 2019 (ha) | Total number of tree seedlings planted as of June 2019 |
| Adama | 4,130 | 4,130 | 3,726.5 | 969.47 | 2,423,650 |
| Bahir Dar | 9,856 | 5,000 | 3,069 | 600.05 | 1,940,000 |
| Bishoftu | 4,467 | 4,467 | 4,467 | 459.10 | 1,150,500 |
| Dire Dawa | 7,471 | 2,400 | 207.38 | 22.33 | 67,500 |
| Hawassa | 4,385 | 4,385 | 4,385 | 780.00 | 2,184,000 |
| Mekelle | 3,000 | 1,500 | 1,500 | 362.00 | 1,915,000 |

The progress towards this output indicator is assessed as “On Target” as the preliminary work for preparing the land for planting has been done. The area to be planted has been identified and title deeds developed although area planed is still low (9.6% of the total area has been reforested).

**Progress toward Component 4**

The expected outcome from outputs proposed in Component 4 is: “p*roof-of-concept urban systems integrating ISWM and UGI are operationalized with quantified GHG emission reductions in a NAMA framework”.* The three outputs are key for achieving the component outcome. Building of Composting plants in 6 regional cities and towns, Rehabilitated and cleaned open green spaces and riparian corridors, Reforestation of 33,309 ha of degraded land in 6 cities and towns, including support for existing nurseries to produce compost-grown seedlings are the main outputs to reduce GHG emission from the project intervention, among others.

The implementation progress under this Component is rated Satisfactory. There is a need to accelerated reforestation of required cover area.

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| *Progress toward Component 4 is rated as* ***Satisfactory****.* |

## Project implementation and adaptive management

Adaptive management has been defined as "accommodating changes in project design and implementation to changes in context (implementation environment), if any, with the overall objective of meeting project goals and objectives". Knowledge of the state of the implementation environment will come from project monitoring and evaluation, from information sources provided by external evaluation or from within the project.

### Management Arrangements

***Overall project management***

In the ProDoc, it was stated that project management arrangements would follow NIM (National Implementation Modality), which is the UNDP format for a Program Based Approach on donor harmonization and government ownership. Under NIM, the Federal Government of Ethiopia exercises full ownership of a partnership that includes all relevant stakeholders in a common effort. The Implementing Partner for this project is the MUDC. The Implementing Partner (IP) is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Project Management Structure is shown in Figure 1.

In the Structure, there is a Project Steering Committee that is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. The Project Steering Committee is comprised of the representatives of the following institutions: The PSC is chaired by the State Minister of MUDC. The PSC is comprised of the Environment, Forest and Climate Change Commission, the Ministry of Finance, the Ministry of Agriculture, selected representatives from Regional Bureaus, one local project coordinator from each city/town, a representative of the private sector and a representative of MSEs, as well as the Project Manager. The Project Manager participates as a non-voting member in the PSC meetings and will also be responsible for compiling a summary report of the discussions and conclusions of each meeting. From the ProDoc, it was stated that representatives of the private sector and MSEs are members of the Project Steering Committee, however, these two representations have not been observed to attend PSC meetings neither have they been selected nor informed.

***Project start-up and implementation***

This project started with 6 months delay which had a significant effect on implementation. The project started with the establishment of the management office, coordinating and convening initial meetings of the Project Steering Committee, contracting of any project consultants/ implementation partners, and the conduct of project Inception. The Project Manager and the 2 Technical Officers were recruited one year later after project start. This had an effect on the project activity implementation with delayed project management. Implementation and expenditure typically gather momentum towards and beyond mid-term.

The NAMA COMPOST project experienced similar GEF Projects with a slow momentum in project start-up for 6 months (it was supposed to start in Oct 2016 but it started Jan 2017). Since all GEF projects include elements on co-financing from Implementing Partners, they may need senior management or even cabinet approval before the agency can sign on any agreement; this process can take 6 months depending on how engaged and active the IP is in promoting the ProDoc to the decision makers. In the case of NAMA COMPOST, the approval process by government took place within 3 months, which in UNDP experience is apparently rather quick. This approval was achieved in March 2017, with the signing of the Project Document.

The identification and establishment of the PMU office in the MUDC was finalized in June 2018. The Inception workshop took place in 1st June 2017, with project launch happening immediately afterwards. The first meeting took place on 31st Oct 2017, the second happened 12th -13th August 2018. This year two meetings took place on 21st Jan 2019 and adhoc on April 2nd 2019. However, the PSC members were supposed to meet at least twice in a year but they have been meeting once in a year. The National Project Manager is planning to hold a PSC meeting in November 2019.

There are two Technical Officers who work under the National Project based in MUDC offices, coordinating activities with partners in UGI and ISWM sectors. Processes of recruitment and appointment of the Project Manager and 2 Technical Officers took place during May and June 2018 respectively one year after the project start. This delay in recruitment affected the implementation of the project activities. The administrative assistant in the structure was replaced with the Project Finance Officer who is working under National Project Coordinator MUDC. The MUDC was running the project through Urban Climate Resilience Bureau. It was very clear from the Municipal Cities’ Administration that we visited, that project activities progressed well when the current Project Manager was recruited. The delayed recruitment of the Project Manager might have hampered the implementation of some project activities that caused delayed ISWM and UGI activities like shade construction, preparation of PIRs, preparation of work plans and convening the PSC meetings.

***Quality of Execution by Implementing Partner***

The current PMU based at MUDC has done a thorough and effective job of project management and administration since their recruitment, with regular monitoring of the work of the partner organizations and other project support provided by the UNDP CO.

The project has realized delays in ISWM especially in delayed construction of Compost sheds in Hawassa and Bahir Dar that have had the effect of delaying implementation of UGI activities. These delays were confirmed to the MTR consultants by the project management team and Municipal Cities’ Administration during the MTR mission. Causes of the delays have been associated with hiking prices of the construction materials, delayed procurement of contractors due to bureaucracy in procurement process at the Municipal level. Each institution has its approval procedures, which have to be observed before approval is granted. However, despite of the delay in construction of the compost sheds, the project has started compost production on temporary sheds to avoid delays in meeting their targets. Moreover, the cities have allocated co-financing in cash to compensate the budget shortage caused by inflations.

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| *Project management by the Implementing Partner is rated as* ***Satisfactory****.* |

***Quality of support provided by UNDP***

UNDP is the responsible GEF Agency for the project, and carries general backstopping and oversight responsibilities. The Project Document outlines UNDP’s responsibilities on management arrangements and the section on monitoring and evaluation. UNDP has maintained the oversight and management of the overall project budget. It has been responsible for monitoring project implementation, timely reporting of the progress to the UNDP Regional Service Centre and the GEF, as well as organising mandatory and possible complementary reviews, financial regular spot checks on utilization, audits and evaluations on an as-needed basis. It has also supported the implementing partner in the procurement of the required expert services and other project inputs and administer the required contracts. Furthermore, it has also supported the coordination and networking with other related initiatives and institutions in the country and outside the country like organising visits to Austria and Uganda. It has supported the PSC in carrying out its objectives and independent project oversight and monitoring functions.

UNDP has provided supervision and backstopping to the Project and project performance is a result of it, and a commitment to frequent monitoring and communication with ministries will maintain the momentum of implementation progress. There is no evidence that UNDP has communicated project results to stakeholders and public at large although there has been a donor group visiting Bishoftu this year. Better communication with stakeholders and public at large about the project achievements and plans would be appreciated.

Implementing entities appreciated the quality of support provided by UNDP. EFCCC GEF-focal person appreciated the efforts so far made by UNDP and considered the project as flagship project which will be scaled-up by the Government to other cities as well.

Similarly, the implementing agencies at city level appreciated the support provided by UNDP. According to them since the appointment of the Project Manager the implementation has accelerated. In line with the support from MUDC and particularly the interest of the Urban Climate Resilient Bureau Head is appreciated. UNDP seconded full time two technical officers and one project manager has facilitate smooth implementation of the project.

A key role played by the UNDP CO is that of oversight, monitoring and evaluation such as regular monitoring on financial utilization and documentation, output verification monitoring, and annual team monitoring with IP. As noted in Section 4.3.4 below, there have been some improvement in the monitoring of progress towards project results, with both Project Reports and PIRs tending to emphasize Activities undertaken and results (Outputs and Outcomes) achieved.

The project has not yet developed improved mechanisms and templates for tracking, monitoring and reporting progress towards results; M&E and oversight should improve. Nonetheless, the project has a manual called projects implementation manual (PIM) that is used to guide implementation of the project activites.

Overall, the UNDP CO has provided **satisfactory** support, with the prospect for improved performance for the duration of the project.

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| *Quality of support provided by UNDP is rated as* ***Satisfactory****.* |

### Work planning

The approach to management of work planning followed the NIM Guidelines. This management approach is discussed in more detail below in **Section** Error! Reference source not found..

***Preparation of Annual Work Plans and Budgets***

Work planning was accomplished by the Project Team, comprised of the Project Coordination Unit, Project Manager and Technical officers, PSC and Project coordinators at the cities/towns, partners and UNDP CO, on an annual schedule, using as a basis the original 5-year Project Work plan. Project team meetings have been held each year to assess progress and to confirm or adjust the work plans for the upcoming year.

The process of preparing AWPs appears to be stepwise, with Technical officers preparing their plans, cities determining their targets and activities for their annual plan, then submit them to the Project Manager, who then prepares the project AWP based on his perception of priorities. The AWP is then presented to the PSC for approval. This process results in project-level AWPs that are done in collaboration with technical committees drawn by cities/towns, implementing agency and Project Technical team. This is an improved approach for a formal annual planning meeting to take place, with all relevant stakeholders present to prepare the AWPs together.

Annual work plans are approved by the PSC, upon recommendation from the Project Technical Committee. As noted above, PSC meetings should be held twice a year; at one of these meetings the Annual Work plan for the upcoming year to be approved. The frequency and timing of these meetings was less than intended during the first two years of the project, as they have been meeting once a year. The PSC meetings need to occur more regularly and according to the agreed timetable.

***Use of Results Framework as a management tool***

Results-based adaptive management has been practiced to some extent with work planning, in that adjustments to upcoming plans were made based on performance against existing milestones, which were in turn based on Outputs derived from the Results Framework (see below Section 4.3.4). If necessary, and according to any obstacles met, there was discussion on approaches to addressing challenges and re-setting quarterly or annual milestones. If higher-level changes were needed, such as changes to Project targets, they were referred to the PSC for discussion and approval.

The NAMA COMPST Project Team and its Steering Committee have made decisions on project design based on information gained during monitoring of project progress. The project document itself has not been changed, but some changes to the result Framework were proposed. These changes involved the modification of output 4.1 (operational municipal composting plants that are linked with the Agricultural Transformation Agency (ATA) blending facilities to progressively compliment blended chemical fertilizers with compost) but the ATA blending facilities are no longer functional so there was no link with the ATA. The project changed the target of this output by building 4 more composting plants from original two planned. The changes were apparently approved at the first meeting of the PSC and enacted as they appear in Quarterly and Annual Reports. The changes appeared to streamline and improve the delivery of this Output and to demonstrate a degree of adaptive management.

The work planning approach started with the intended Outcome target in mind, leading to the Output and then Activity needed to achieve it. Equally, reporting was upwards from Activities via Outputs towards the Outcome targets.

A focus on Activity-oriented planning can lead to project resources being spent on goods or services that may be potentially unproductive or unsustainable in terms of the intended Outcomes. This project followed a good approach of planning from Outcome target in mind, leading to the Output and then Activity needed to achieve it

As noted above in Section 4.3.1, the current NPM is reporting based on the Logical Framework, and this mechanism has guided the Project Team on work planning that is guided by the project design and Project Implementation Manual for UN agencies assistant programmes in Ethiopia.

Given these good practices, work planning to date is judged to be S**atisfactory** because the project has given attention to greater coordination between Project Team members, Project coordinators at cities/towns and with project partners and stakeholders, and towards a more results-oriented approach to Activity planning, the prospects are good for improved performance in the remainder of the project term.

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| *Work Planning is rated as* ***Satisfactory****.* |

### Finance and co-finance

The GEF funding commitment to the project at the outset amounted to a grant of US$ 6,667,123. Co-finance commitments were provided by a grant from UNDP TRAC Resources of US$ 250,000, and from MUDC, with cash contribution for equipment and human resources for implementation of NAMA COMPOST, as well as direct involvement of project activities. Over the course of the project period the amount proposed was US$ 6,917,123. In-kind commitments were made by MUDC, Cities Administration and other partners of US$ 19,784,048. The ratio of GEF funding to total co-financing commitment is 1: 2.86

A breakdown of financing commitments and amounts materialized at the time of this MTR is provided in Table 3 below.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sources of Co-financing | Name of Co-financer | Type of Co-financing | Amount Confirmed at CEO endorsement / approval | Actual Amount Materialized at Midterm | Amount % of Expected Amount |
| Donor | GEF | Cash | 6,667,123 | 4,733,925 | 71% |
| Donor | UNDP TRAC RESOURCES | Cash | 250,000 | 511,600 | 200% |
| Partner | Cities and MUDC | Cash and in-kind | 17, 423,705 | 29,230,132 | 167.8% |
| Partner | Ethiopian Standardization Agency | In-kind | 180,000 | 126,000 | 70% |
| Partner | Environment, Forest and Climate Change Commission | In-kind | 1,653,824 | 1,147,422 | 69.4% |
| Partner | NGOs and CIFA | In-kind | 296,519 | 1,500,000 | 505% |
| Partner | Private Sector, COBA | In-kind | 200,000 | 170,000 | 85% |
| Total Project funds | | | 6,917,123 | 5,245,525 | 75.8% |
| Total Co-finance funds | | | 19,784,048 | 32,173,554 | 163% |
| Ratio Co-finance: GEF funds | | | 2.86:1 | 6.13:1 |  |

The UNDP-GEF funding reported[[3]](#footnote-3) as disbursed to date was US$ 5,245,525, which is some 71% of the project budget commitment. MUDC and Cities co-financing to date is of US$ 3,868,000 cash and 25,342,192 in-kind. Other partners like Ethiopian Standardization Agency, Environment, Forest and Climate Change Commission, NGOs and CIFA, Private Sector and COBA contributed 2,943,422 in-kind in form of expertise input in evaluating and enriching the compost standard, leader ship support as member of PSC, expert input in evaluating and enriching the carbon offset mechanism proposal, expert support in monitoring project progress, leadership support as GEF focal point, leader ship support as member of PSC, working on solid waste recycling in Hawassa, Diredawa, Bahirdar and providing pressing machine for plastic bottles.

Some co-financing at city administration has materialized in implementation of specific activities and their co-financing target will be well exceeded.

**Table 5. Project co-financing (in US$)**

Source: data supplied by Project Manager

Co-financing information provided to the MTR team by city administration for example in Bahir Dar include; 4 million Birr for purchase of water pumps, 5.2 m Birr co-financing of the construction of COMPOST shed, 280,000 Birr for purchase of seedlings in the degraded and new areas and 160,000 Birr for establishment of water and soil conservation practices. In Adam city, the co-financing include; 5 M Birr for the construction of shed, 13 m Birr for fencing green areas, 2 m Birr for seedling and 0.4 m Birr for protection of green areas. In Bishoftu, the co-financing included 0.6 m Birr for seedling, 0.3 m Birr for UGI management and 0.5 m Birr for organic waste transportation. In Dire Dawa city in-kind contribution include 250,000 Birr for seedling, 317,700 Birr for public awareness and printing and 8,550 Birr for nursery establishment. In Hawassa, the co-financing included; 3.7 m Birr for fencing, 1.45 m Birr for landscaping and 7.5 m Birr for construction of the compost shed. In Mekele, co-financing included 5 m Birr for nursery, 3.6m for landfill, 2.3m Birr for the additional compost shed, and 13.2m Birr for the green areas rehabilitation and development.

The UNDP GEF-NAMA project has served as catalyst to government to allocate significant amounts of finances in-kind and cash. The UNDP-GEF finance was limited to certain activities due to a) inflation caused by devaluation that escalate the price for some construction materials and b) continued to finance some activities after other donors have completed certain activities. For example, Hawassa old landfill was closed with the support of KfW. The KfW fund was only to bury the waste and fill soil up to the required depth and install gas outlets. The rehabilitation of the old landfill was fully financed by the GEF-UNDP finance. Similarly, several costs have been covered from World Bank Urban Institutional and Infrastructure Development Program and the government coffer. The NAMA COMPOST project has collaborated with World Bank project in arranging high standard training for 12 days on Solid Waste Management by international consulting firm which was not possible to be financed by the project alone budget.

MUDC and Cities Administration have contributed in-kind in form of staff time (expertise inputs from federal to city level), offices and office supplies, vehicles, land for sheds’ construction and Procurement of TV and radio program by MUDC. Financial transactions are apparently recorded in the Ministry of Finance in their financial accounting system, according to standard NIM procedures that should allow for proper control, reporting and monitoring of expenditure.

A 5-year Work plan was presented to Technical Committee, PSC and MUDC and was agreed. According to the implementing partners, the implementation of this plan has operated efficiently. The reporting on Quarterly Project Reports and Project Implementation Reviews do provide financial breakdown against project components through Funding Authorisation and Certificate of expenditure (FACE). Information provided by the Project Manager allows an assessment of expenditure against Components and Project Management, including M&E and Administration – see Table 4 below.

Table 6. Expenditure against project Components (in US$)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Component** | **Budget** | **% of total budget** | **Expenditure to date** | **Amount remaining** | **% remaining** |
| Component 1 | 990,000 | 14.3 | 1,018,341 | -28,341 | -2 |
| Component 2 | 819,878 | 11.9 | 561,285 | 258,593 | 31 |
| Component 3 | 754,489 | 10.9 | 399,111 | 355,378 | 47 |
| Component 4 | 4,035,274 | 58.3 | 2,966,331 | 1,068,943 | 26 |
| Project Management | 317,482 | 4.6 | 189,831 | 127,651 | 40 |
| **Total** | **6,917,123** | **100** | **5,134,900** | **1,782,224** | **25** |

Source: data supplied by Project Manager

The budget allocation and expenditure rates have both been higher on all Components. The expenditure on component 1 exceeded the funds allocated. There was re-allocation from other components and this was approved by PSC.

The internal audit of the NAMA COMPOST Project took place in June 2018 and June 2019. The external Audit was carried done for the year ending 31st December 2017 and 2018. Both external audits gave unqualified opinion for the audits done for the year ending 31st December 2017 and 2018.

It appears safe to conclude that project funds have been managed efficiently, and cost-effectively. The expenditure is more than the target for the midterm and additional resource from UNDP has been utilized. The rating for finance and co-finance is Highly Satisfactory

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| *Finance and co-finance are rated as* ***Highly******Satisfactory.*** |

### Project-level monitoring and evaluation systems

***Results-based management process***

The ProDoc emphasized the importance of Results-Based Management, and included with the Results Framework a plan for measurement of project indicators, with timings (annual, mid-term, end of project) indicated for each.

Reporting of the project progress has occurred in its Quarterly and Annual Reports (see below Section 4.3.6), which are prepared by the Project Manager and shared with the PSC. The narrative is more about activities, i.e. things being done, than achievement of results and, indeed, Outcomes themselves. As noted above in Section 0, this focus on activities has implications for both work planning and the monitoring of progress. But the Annual Project Implementation Reviews (PIRs) and annual progress reported presented to the PSC have focussed specifically on the Outcome level.

As part of the M&E plan, external evaluations are scheduled for project mid-term and end. A mid-term review (MTR) has now been conducted. Towards the end of the project (three months before termination of project), a terminal evaluation should be conducted, again contracting independent consultants. The final evaluation will analyze the delivery of the project results as targeted in the project plan. It will assess impact, sustainability, efficiency and effectiveness of the project results. It will also note lessons learned and provide recommendation for follow-up activities.

The monitoring tools used in this process have involved all the key project partners, using the most up-to-date existing information. The UNDP CO has conducted periodic field visits to assess project progress, as have members of the PMU.

The financial allocation of GEF funds to Project Management in the GEF component of the budget was US$ 317,482. The amount earmarked for M&E was not identified, and this should be clarified. The MTR team feels that these resources appear to have been managed and allocated effectively.

**Overall assessment of monitoring systems**

Procedures have been followed correctly but the Project Team has not applied results-based monitoring as thoroughly as it should; the reporting has largely been on output and activities using UNDP output verification monitoring program rather than results (outcomes), and has not really assessed measurable progress towards targets. For this reason, monitoring systems applied to date are rated as Moderately Satisfactory. However, the prospects look good for an improved approach to results-based reporting for the remainder of the project term.

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| *Monitoring systems are rated as* ***Moderately Satisfactory****.* |

***Risk management***

The ProDoc provided a risk assessment, which looked at threats and barriers to project implementation and laid the basis for a risk identification and mitigation measures. APR/PIRs have similarly identified similar risks. The risks identified by these documents appear to be comprehensive, with appropriate ratings applied. As per standard UNDP requirements, these risks were to be monitored quarterly by the Project Manager. The Project Manager is required to report on the status of the risks to the UNDP Country Office, which will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high. Management responses to critical risks are also reported to the GEF in the annual PIR.

A discussion of risks and their mitigation should have been part of the reporting. However, there does not seem to be much discussion of risk in Quarterly or Annual Project Progress Reports. It’s only in PIR for 2018 and 2019, that the critical risk management on environment was identified. The project SESP screening rated this project as having 'high risk". In the PIRs it is stated that this risk is not uploaded to the Atlas risk log, something that should be done immediately. There is a need to undertake a full ESIA for this project and to develop a ESMP to ensure that proper mitigation measures are in place. Given the fact that there are potential risks and impact related to forced resettlement and impact on livelihoods, as well as potential impacts on underserved people, each with significant risk for potential grievances, it is critical that the project is properly prepared for handling these risks. Risks associated with limitation to enhance the occupational health and safety conditions could also result significant risk to beneficiaries.

There have been four quarterly Project Reports and one Annual Progress Report to date, and two PIRs, and they show little evidence of risk identification or efforts to mitigate those risks. Although sheds as raised by the cities have leachate collection ponds and are constructed within the lad fills to avoid social risks. The resettlement related risks are higher than forecasted during project preparation. There are also risk of land encroachment on greenery areas that need to be mitigated. However, some risks will be mitigated through the plantation activities considering areas where there are no illegal stealers and the project strictly worked on gazetting and securing title deeds for plantations sites to avoid future illegal settlement issues.

As there has been some risk identification and mitigation measures although there is little attention to reporting of risk identification or mitigation. This aspect of the project management need to receive much attention during implementation. It should receive more attention and reporting in future.

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| *Risk management is rated as* ***Moderately Satisfactory****.* |

### Stakeholder engagement

In the design phase (as noted in Section 4.1.1 above), the ProDoc described substantial consultation with stakeholders at national, regional, woredas and kebeles levels. This inclusive approach has continued during implementation, with the partnerships that have been developed between the project and regional, woredas and kebeles government agencies and with city administration and MSEs at the local level stages of project implementation. All cities, MOF, EFCCC, ESA are involved during AWP development and approval. These are major stakeholders that can help in avoiding duplication of efforts. MSEs and private sector such as Dream Light of Bahir Dar are involved at city level technical working group during planning and reporting. Private sector involvement during implementation is ensured. For example COBA, EKT, and other private sectors have market linkages with MSEs.

The project has steering and technical committees who oversee the implementation of the project. These committees are mostly drawn from the government institutions which represent sectors related to ISWM and UGI. However, others stakeholders such as private sectors are crucial to make implementation successful. For example, without the role of private sector, non-degradable plastic recycling could not materialise. Therefore the project should continuously make an attempt to engage wider stakeholders especially MSEs for effective implementation and sustainability.

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| *Stakeholder inclusion is rated as* ***Moderately Satisfactory****.* |

### Reporting

The M&E plan is being implemented as part of a system of reporting and approval as envisioned in the ProDoc, and refined and clarified in the Inception Report, in line with UNDP-GEF policies.

Quarterly and Annual Progress Reports are prepared regularly and submitted to PSC, UNDP and then to Ministry of Finance. The PIRs at the end of June is submitted to UNDP GEF according to the Atlas standard format, covering:

1. progress of implementation:

* progress towards outcomes/ outputs of the Project,
* lessons learned;

1. project implementation challenges

* risks and issues, with actions taken
* Financial status summary.

The quarterly and annual Progress Report is prepared by the Project Management Unit (Project Manager and 2 Project Technical officers) together with head and experts of the Cities Climate Resilient Bureau of MUDC, using information supplied by Technical Officers and project partners, and is submitted by the National Project Coordinator to the PSC. The annual Project Implementation Review (PIR), also prepared in part by the Project Manager as well as the UNDP CO, is shared with the PSC. Project Management ensure that the UNDP CO receives quarterly progress reports providing updates on the status of planned activities, the status of the overall project schedule, the achievement of milestones, and an outline of the activities and milestones planned for the following quarter.

As noted above in **Section 4.3.4**, quarterly reporting was largely on Activities under Outputs level, rather than progress towards Results, and certainly not towards Outcome Indicator/ Targets. . However, PIR and annual reports presented to PSC are at outcome level. And, as noted above in **Section 4.3.4**, there was financial reporting in the Progress Reports – this has been done separately. Technical and financial reporting should provide more detail at Outcome level in future, to allow more effective monitoring of progress.

The Project Implementation Reviews (PIR), are also prepared and submitted by the Project Team to the UNDP-CO, UNDP Regional Coordination Unit, and UNDP HQ for review and official comments, followed by final submission to the GEF. The PIRs are intended to report progress at the Outcome level, and the two PIRs to date (2018 and 2019), the reporting has been largely on outcomes.

Reports have been presented to PSC members during their meetings and through this means, the key national ministries and city/town administration has been kept abreast of the Project’s implementation progress.

It appears that, overall, the progress of implementation and management issues have been regularly reported by the project management to the PSC and to UNDP, with lessons learned shared and taken on board by the project partners. PSC meetings have been presented with issues needing decisions, and such decisions have been taken. As indicated in the Output Verification Report (June 2019), it’s stated that from AWP and quarterly reports review indicate that there are gaps on results reporting, most reports focus on activities. Reporting should be on results and progress towards Outcomes, not just output and activities, and this needs to be improved in future, and there is scope for improvement in the reporting and coordination with other partners.

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| *Reporting is rated as* ***Satisfactory****.* |

### Communication

The project has made some concerted efforts to communicate its results to an audience in the region through radio, television spots, YouTube, twitter and Facebook. The project Manager informed the MTR team that there were a number of television and radio spots both at national and local level. Some sign posts have been seen at the COMPOST sheds and location of the degraded areas planted. There has been also efforts to publish articles and information on the project implementation and impact. However, the MTR team did not see any materials indicating some communication and visibility that have been used as opportunities to spread the messages about UGI and ISWM in the 6 cities, for example project brochures, posters, pullup banners and t-shirts e.t.c. The MTR Team had access to 8 websites that describe the project activities and intended/expected achievements that have been developed to spread awareness of the project. There remains a strong need for communication, in particular informed by a Communications Strategy.

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| *Communication is rated as* ***Moderately Satisfactory****.* |

## Sustainability of project outcomes

### Risks to sustainability

It is early, at project mid-term, for an assessment of sustainability prospects but it is important to consider the risks facing project Outcomes and possible actions to deal with them. But there are certain risks associated with stability of the country as well as financial risks. To some extent environmental/health risks might cause unintended results.

The approach of the project to risk management is discussed in **Section 4.3.4** above, and the risks to sustainability are discussed below.

***Financial risks***

According to the ProDoc, a detailed financial model has been developed to substantiate investments in composting of urban solid waste generated by households in the 6 target cities and towns.

The government of Ethiopia devaluated Birr against US dollar in 2018. As a result of the devaluation the price of construction materials has increased significantly. Moreover, the cost of living increased as well. Related to the cost of living the payment to daily labourers and other employees have significantly increased which forced the operational cost to exceed the planned budget. The delay in completion of the compost shade in some of the cities is linked with this price inflation. However, since the cities have taken ownership of all project investments and are budgeting for the infrastructures like any other assets of the cities, financial sustainability is not an issue. Moreover, composting and greenery activities are outsourced to MSEs and therefore will continue operational as long as the business is profitable.

***Socio-economic risks***

The project design recognises the importance of inclusion and empowerment of stakeholders at national, regional, woredas and kebeles levels, so there has been attention to social risks

Ethiopia is experiencing political change. The political change caused disruption in fulfilling or meeting targets in both government and donor assisted projects and programs. Additionally, the change caused uncertainties in the society which made project progress to some extent delayed. There is still such uncertainties which may affect future implementation for example the case of Hawassa. There is need to address the sustainability of the interest and awareness raised, through the development of sustainable mechanisms for supporting these activities in future. Gender equity principles are integrated into government guidelines, and were specifically addressed during the project as men and women were involved in the project implementation.

***Institutional framework and governance risks***

MUDC and City Municipalities are well-established Institutions in terms of its staffing and services. Its mandate is consistent with the project objectives. The NAMA COMPOST project activities have the potential to become mainstreamed within cities/towns regular work plans and implemented side-by-side with planned activities. Without this attention to future prospects, there is a risk that this process will not be followed, missing the opportunity to sustain developments established under the project.

The UNDP-GEF NAMA project is an innovative project in terms of connecting value chains along the different sectors, viz., Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI). The ISWM activities start at the source and the organic waste goes to compost making. Once the compost is prepared the UGI makes use of the compost to improve the urban greening and peri urban forest development. Likewise the non-degradable plastic wastes are collected and compressed in a manner suitable for transportation to the capital Addis for further processing.

The project is being operationalized through government formal institutions. Additionally, the project gave due attention in this regard and considered the institutional and legal aspect the first priority to address it as outcome 1 (The regulatory and legal framework, institutional and coordination mechanisms, and tools are established for supporting the national policy environment for integrating ISWM and UGI within urban systems.). Accordingly, the project has put significant time and resources to identify the right institutions as the main stakeholders and established steering and technical committees to steer and guide the implementation according to the project document.

Framework conditions such as adoption of standards in composting as well as UGI will increase sustainability for the ISWM. Land titling for urban greening and composting will secure the title deed to the associations so that they can work towards the intended outcomes.

The political situation has direct influence on the institutional and governance because decision makers are highly engaged in the political process. Sometimes, some political leaders are rotated which causes leadership turnover and institutional memories mostly dissipated because there are no handover notes and handover process in these institutions.

Grass-root institutions such as the MSEs are also impacted and they are so sensitive to small disruptions. They may dissolve the association easily. Additionally, the investment they made on tree nursery and seedling production could be damaged or robbed illegally. One of the association the MTR team talked in Hawassa expressed their deep concern in this regard.

***Environmental risks***

This project has a strong theme of environment, so there are few environmental impacts created by project actions themselves.

The compost prepared by the MSEs is certified by relevant institutions in each regional state for example the Bishoftu MSEs compost is certified by the Debreziet Agricultural Research Institute. The certification is related to the nutrient content and pH level. However, the level of heavy metals and other harmful materials’ test is not yet undertaken. Therefore, until the test is conducted it is crucial to avoid using it to agricultural production purpose. For this reason, the environmental risk is considered to be moderate likely.

Financial, socio-economic, institutional and environmental risks to sustainability exist; most of these have been identified but only some are being addressed, with need for continued attention. Financial, socio-economic, institutional and environmental risks to sustainability were considered at all level of the project starting from the conceptualization stage. The successful Co-financing is one of the indicators that shows ownership, the market based approach that project is following that includes the compost production and selling and the voluntary offset mechanism being established is also a sustainability outcome. Overall, the sustainability of project Outcomes is considered at this stage to be **Likely.** A Sustainability Plan is strongly called for, and could increase the prospect of sustainability.

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| *Sustainability of project Outcomes is rated as* ***Likely****.* |

### Approaches for improving sustainability

The project team should make a directed effort, beginning now, to develop a Sustainability Plan and Exit Strategy that propose specific actions to promote sustainability of all Outcome areas beyond the end of the project period. Such a plan should include reduction of the risks identified in the preceding section, with specific actions that could be taken, and should be initiated at the earliest opportunity during the remainder of the project. The Sustainability Plan and Exit Strategy should include actions to be taken both at the field and national levels, based on the risks identified.

Existing waste production system’s challenges are linked with collection of waste from source. Improving the collection by any means would resolve the uncertainty towards healthy compost production. The combination of combating adulteration in waste collection and putting the right instrument to avoid it plus testing the quality of compost produced could increase the confidence of the experts to promote it to farming community rather than limiting it to UGI. This condition could make the system more sustainable.

Provision of land titling to the areas which are not yet legalised should be accelerated to overcome the challenge of land grabbing. Additionally, law enforcement is key. The responsible institution should comply with the environmental managements developed and agreed in the start of the project. For example, new illegal houses are coming to exist next to Hawassa compost shade which may cause hindrance in the production due to noises or unfavourable smells the new settlers may claim. Law enforcement in Bahir Dar should be strengthened to mitigate the current risks of land grabbing by illegal settlers.

Completion of the compost shades in all cities and dedicating sufficient land for urban and peri urban greening and management of the same requires sufficient fund. UNDP-GEF NAMA project confirmed the inflation and subsequent results. Therefore, the project may solicit more fund to cover the lost value.

# Lessons learnt, Conclusions and Recommendations

## Lessons Learnt

1. **Creating Opportunities to organize MSEs along Value Chain**. Cities (municipalities and organizations) such as Hawassa used to travel many kilometers of distance for procurement of ornamental seedlings for city beautification. The NAMA COMPOST project MSEs have been created in the business area of seedling raising with the support of the municipality. The MSEs started raising seedlings mainly ornamental type then the municipality became the first market by procuring the seedlings using fund from the NAMA COMPOST project to green project targeted areas. This encouraged the MSEs to raise more seedlings. Now the MSEs’ capacity has grown and have started selling to other close by cities that has reduced their travel costs. Similarly, capital of the SMEs is growing and are expanding their business. The same is happening in the other cities where NAMA COMPOST is intervening.

1. **Peri-urban afforestation/reforestation and land titling**. Urban and Per-urban forestry (Urban forests) should be a priority to the City mayors to make sure that the ever-increasing urban population will have sufficient and sustainable water supply. In the current mode of water use/abstraction of surface and underground, there might be significant risk for many urban centers to be in the state of emergency. The challenge in this regard is mainly related to unregulated illegal and formal settlements particularly in steep slope and mountainous landscapes. Complete land use change from forest, grassland and in some cases agriculture land to unplanned settlements is the obvious and continuous practice. Local government could not be able to stop this kind of settlement either due to lack of capacity or corruption. The important message is that to have a vibrant urban area each municipality should be capitated to plan and implement proper land use and to have sufficient forest area within and around. Aim towards **Climate Smart Urban development. NAMA GEF Project can be considered as pioneer in this regard.**
2. **Linkage between compost production and Urban and Peri urban afforestation/reforestation including greening.** Compost is produced from waste that is produced by urban/city dwellers. The compost producers and urban greenery MSEs are connected by the municipality and the compost produced is used for plantations in urban and peri urban areas. Application of fertilizer to plantation is not that much customary practice. However, this project proved that applying compost for afforestation/reforestation provides significant result (up to 90 percent survival rate). The linkage gave confidence to the compost producers because of sustainable market.

## Conclusions and summary of findings

The conclusion and summary of the findings are evidence-based and connected to the MTR’s findings which highlight the strengths, weaknesses and results of the project.

### Progress in implementation of output

### Component 1

**Output 1.1**

ISWM and UGI standards adopted from existing national standards have been transposed to the Six Cities and approved by responsible body of the cities. Solid waste management and UGI, guidelines, manuals and model MoU have been developed and cities have been supported in mainstreaming them to the local contexts.

**Output 1.2**

The title deeds using cadastral maps has been adopted as a tool to safeguard UGI and ISWM jurisdictions. The same has been done for compost shades and transfer stations of the cities. Barriers to achieve project output is free grazing and delay in construction of compost shed in Bahir Dar and Hawassa.

**Output 1.3**

The ISWM guideline in which source sorting is the major component has been developed. Cities have been supported in mainstreaming the guideline and experts have been trained on how to implement. But the award programme as an incentive to award those active in UGI activities has not been implemented. There is absence of separate transportation system for organic and non-organic (degradable and non-degradable) materials in most of the cities (except in Adama).

**Output 1.4**

Adoption of national standard for organic compost with quality assurance systems (QAS) in place and ongoing at the regional (sub-national) level. Compost preparation standard has been developed and submitted to the Ethiopian Standardization Agency for approval. The guideline and hand book on compost preparation has been developed and is under review by experts. But steering committee of the standardization Agency have not met to approve the standard.

**Output 1.5**

The resettlement Action Plan (RAP) has not developed. Due to current political situation of the country evicting illegally settled people did not materialised and it is still a challenge in some of the cities.

**Output 1.6**

Twining agreement did not materialize but the learning and scale up best practice happened.

However the sisterhood relationship could not be established due to high turnover of leadership in the cities.

### Component 2:

**Output 2.1**

The establishment of MSEs has been over achieved. A total of 93 MSEs (43 in ISWM and 50 in UGI) have been established and are functioning However, efforts need to be made to enhance the occupational health and safety conditions because some of the MSEs are not operating within compost shed.

**Output 2.2**

93 MSEs and financing mechanism to support them also established. The MSEs were supported with skills and technological enhancement in the ISWM-UGI value chain and business plans.

**Output 2.3**

6 market outlets and linkage for compost are generated by municipal composting plants has been created. Expand the market to farming communities has not been realised because the compost quality and safeguards have not been completed. There is slow action in finalizing construction of compost shed and availability of system to transport clean degradable compost separately.

**Output 2.4**

6 market linkage has been created in the six cities between MSEs and different waste recycling companies mainly in PET type of plastic (plastic water bottles). Market linkages for HDP type of plastic, card boards, paper have also been created though in small quantity. The cost of operation is high due to unavailability of technology that grinds plastic bottle.

**Output 2.5**

The integration of SWM and UGI Standards in curriculum in education has not been done. The project management should consider bringing Ministry of Science and Education on board to accelerate the implementation.

**Output 2.6**

The voluntary carbon offset scheme to support urban and peri-urban reforestation has not been achieved although in progress.

### Component 3

**Output 3.1**

The standardized baseline for calculating emission reduction has been established for the six cities in four components.

**Output 3.2**

The 4 MRV mechanisms have been developed for elements from Output 3.1 and Measuring, Reporting and Verifying (MRV) mechanism also established for four components.

**Output 3.3**

Development of comprehensive technology baselines and prioritisation of technology options for ISWM and UGI is in progress.

Output **3.4**

NAMA registration on the UNFCCC NAMA Registry is in progress.

### Component 4:

**Output 4.1**

Construction of four compost sheds has been completed. Of these compost production has been started in the two. The other four in Mekele, Diredawa, Bahir Dar and Hawassa are delayed. This was due to contractual problems mainly related to price escalation on construction materials following devaluation of the local currency (Birr) and delays due to procurement bureaucratic procedures at the Municipality. The blending of chemical fertilizer with compost output has not been done.

**Output 4.2**: Three open green spaces and riparian corridors have been rehabilitated and cleaned. Soil and water conservation structures have been constructed and tress planted through community mobilization.

**Output 4.3:**

Atotal of 21,875.38 hectare of land have been identified for afforestation/reforestation activities of which title deed has been developed for 16,031.2 hectare and approved by the responsible city agencies. There is need to accelerate the efforts to cover the indicated 33,309 ha in time. This has also been affected by land availability, illegal settlers and landuse conflicts.

## Recommendations

1. As indicated in the Output Verification Report (June 2019), it’s stated that from AWP and quarterly reports review indicate that there are gaps on results reporting, most reports focus on activities. Reporting should be on results and progress towards Outcomes, not just output and activities, and this needs to be improved in future, and there is scope for improvement in the reporting and coordination with other partners.
2. There are best practices in NAMA GEF project where the forestry project could learn such as application of compost to trees to increase survival rate and improve tree growth. Similarly, NAMA GEF project could learn from the forestry project. The MTR team recommends regular meeting schedule to be set for these two and other similar projects annually. The current communication with other projects such as UNDP forest and UNDP bio energy projects is based on needs. If good working relation is created, the compost producer associations may have more opportunity to sell their compost to the forestry project.
3. Improving compost making technique in compost shed to increase participation of women.
4. The MTR team recommends that the Ministry of Science and Higher Education should be a member of steering committee to assist the implementation of Output 2.5: Integrated SWM and UGI Standards in curriculum in education.
5. There is need to create strong linkage of compost production to urban greenery MSEs.

**Annexes**

* 1. MTR Terms of Reference
  2. Rating Scales
  3. MTR Evaluative Matrix
  4. MTR mission itinerary
  5. List of persons interviewed
  6. List of documents reviewed
  7. Audit trail from received comments on draft MTR report
  8. Signed UNEG Code of Conduct form
  9. Signed MTR final report clearance form

Annex 1. Terms of Reference

1. **INTRODUCTION**

This Terms of Reference (ToR) is developed for the UNDP-GEF Midterm Review (MTR) of the project titled Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalise Solid Waste Transformation (COMPOST) (PIMS 5541) implemented through the Ministry of Urban Development and Construction, which is planned to be conducted in 2019. NAMA COMPOST is a five year project which is started on the 1st of January 2017 and is now on mid of its implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process is initiated before the submission of the second Project Implementation Report (PIR). The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*

(<http://web.undp.org/evaluation/guidance.shtml#gef>).

**2. PROJECT BACKGROUND INFORMATION**

The COMPOST project is designed to promote greater use of Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI) approaches in Ethiopian cities and towns that will assist the Government of Ethiopia in achieving the objectives of its Growth and Transformation Plan (GTP II). This will be achieved through four outcomes: i) strengthening the regulatory and legal framework and institutional coordination mechanisms to integrate ISWM and UGI within urban systems; ii) a developed market-based system with micro and small enterprises (MSEs) that are supported professionally to ensure financial sustainability of compost production and utilisation; iii) implementation of a Nationally Appropriate Mitigation Action (NAMA) that transforms the capacity of integrated urban systems to generate large emission reductions; iv) operationalised urban systems that integrate ISWM and UGI, with quantified GHG emission reductions, within a NAMA framework.

At the end of its lifetime, the COMPOST project will deliver direct annual emission reductions from UGI initiatives and ISWM equal to approximately 306,000 and 132,321 tCO2e, respectively. These will accrue from the annual generation of 45,489 tonnes of compost from 151,629 tonnes of household organic waste, and the reforestation of 33, 309 ha of degraded land by the end of the 5-year project lifetime. By assuming a lifetime of 20 years for compost facilities and managed landfills as well as for carbon sequestration and the generation of renewable biomass for thermal energy, the direct emission reductions generated by the project will be 8.33 MtCO2e, giving a GEF abatement cost of 0.80 US$/tCO2e. The number of direct jobs created through composting by the end of the 2021 will be 744, of which at least 50% will be for women and youth. Additional direct jobs will be created by the UGI activities of the project, such as in nurseries, and digging and planting of trees. The project will produce co-benefits such as increased resilience of urban areas to drought and flooding hazards, and improved quality of life in urban areas.

The project is implemented though Ministry of Urban Development and Construction in Six cities; Adama, Bishoftu, Bahir Dar, Diredawa, Hawassa and Mekele. Partnership has been established with like-minded organizations from federal to city levels who are organized under steering committee and technical committees.

**3. OBJECTIVES OF THE MTR**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project’s strategy, risks and opportunities to achieve project objectives and sustain results.

**4. MTR APPROACH & METHODOLOGY**

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach[[4]](#footnote-4) ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.[[5]](#footnote-5) Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to Ministry of Urban Development and Construction, Environment, Forest and Climate Change Commission, Ministry of Finance; executing bureaus in the cities, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, academia, local government and MSEs, etc. Additionally, the MTR team is expected to conduct field missions observe project activities in the six cities; Adam, Bishoftu, Hawassa, Diredawa, Bahir Dar and Mekele.

In general, the approach and methodology will be

* Conduct desk review
* Collect primary data using appropriate tools in line with evaluation questions and log frame indicators
* Key Informant Interview with program stakeholders and Focus Group Discussion with communities
* Field visits to the implementation sites in the six cities

Approach and methodology can be adjusted based on consultants’ experience and on the details of the information required.

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

**5. DETAILED SCOPE OF THE MTR**

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

**i. Project Strategy**

Project design:

* Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document. Discussion of TOC focusing on mapping the assumptions behind the project’s desired changes and the causal linkage between the interventions and the intended program outcomes
* Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
* Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
* Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
* Review the extent to which relevant gender and crosscutting issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
* If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

* Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
* Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
* Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
* Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

**ii. Progress Towards Results**

Progress Towards Outcomes Analysis:

* Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

**Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Strategy** | **Indicator[[6]](#footnote-6)** | **Baseline Level[[7]](#footnote-7)** | **Level in 1st PIR (self- reported)** | **Midterm Target[[8]](#footnote-8)** | **End-of-project Target** | **Midterm Level & Assessment[[9]](#footnote-9)** | **Achievement Rating[[10]](#footnote-10)** | **Justification for Rating** |
| **Objective:** | Indicator (if applicable): |  |  |  |  |  |  |  |
| **Outcome 1:** | Indicator 1: |  |  |  |  |  |  |  |
| Indicator 2: |  |  |  |  |  |
| **Outcome 2:** | Indicator 3: |  |  |  |  |  |  |  |
| Indicator 4: |  |  |  |  |  |
| Etc. |  |  |  |  |  |
| **Etc.** |  |  |  |  |  |  |  |  |

**Indicator Assessment Key**

|  |  |  |
| --- | --- | --- |
| Green= Achieved | Yellow= On target to be achieved | Red= Not on target to be achieved |

In addition to the progress towards outcomes analysis:

* Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
* Identify remaining barriers to achieving the project objective in the remainder of the project.
* By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

**iii. Project Implementation and Adaptive Management**

Management Arrangements:

* Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
* Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
* Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

* Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
* Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
* Examine the use of the project’s results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

* Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
* Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
* Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
* Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?
* Are program activities cost effective and has planned targets been achieved on time?
* Is the expenditure justifiable when compared to the plans, progress and outputs of the program
* What are the options for improving the cost efficiency of the program
* Is the program’s strategic financial and administrative management efficient in reaching the objectives?

Project-level Monitoring and Evaluation Systems:

* Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
* Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

* Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
* Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
* Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

* Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
* Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
* Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

* Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
* Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
* For reporting purposes, write one half-page paragraph that summarizes the project’s progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

**iv. Sustainability**

* Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
* In addition, assess the following risks to sustainability:

Financial risks to sustainability:

* What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project’s outcomes)?

Socio-economic risks to sustainability:

* Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

* Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

* Are there any environmental risks that may jeopardize sustenance of project outcomes?

Impact

* Identify early signs of impact
* What tangible impact has the program had on the program beneficiaries to date

**Conclusions & Recommendations**

The MTR team will include a section of the report setting out the MTR’s evidence-based conclusions, in light of the findings.[[11]](#footnote-11)

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

* Lessons learned; The midterm evaluation is expected to extract lessons and successes of the program

The MTR team should make no more than 15 recommendations in total.

**Ratings**

The MTR team will include its ratings of the project’s results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

**Table. MTR Ratings & Achievement Summary Table for (Promoting Sustainable Rural Energy Technology for Household and Productive Uses Project)**

|  |  |  |
| --- | --- | --- |
| **Measure** | **MTR Rating** | **Achievement Description** |
| **Project Strategy** | N/A |  |
| **Progress Towards Results** | Objective Achievement Rating: (rate 6 pt. scale) |  |
| Outcome 1 Achievement Rating: (rate 6 pt. scale) |  |
| Outcome 2 Achievement Rating: (rate 6 pt. scale) |  |
| Outcome 3 Achievement Rating: (rate 6 pt. scale) |  |
| Etc. |  |
| **Project Implementation & Adaptive Management** | (rate 6 pt. scale) |  |
| **Sustainability** | (rate 4 pt. scale) |  |

1. **TIME FRAME**

The total duration of the MTR will be approximately 40 days over a time period of 8 weeks starting on March 2019*,* and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

|  |  |
| --- | --- |
| **TIME FRAME** | **ACTIVITY** |
| *May, 28, 2019* | Application closes |
| *May30, 2019* | Select MTR Team |
| *June. 5, 2019* | Prep the MTR Team (handover of Project Documents) |
| *June 6-9, 2019 4 days* | Document review and preparing MTR Inception Report |
| *June 13-17, 2019 4 days* | Finalization andValidation of MTR Inception Report- latest start of MTR mission |
| *June 18 – June 30, 2019 (12 days)* | MTR mission: stakeholder meetings, interviews, field visits |
| *July 1, 2019* | Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission |
| *July 2-8, 2019 (7 days)* | Preparing draft report |
| *July 9-10, 2019 (2 days)* | Incorporating audit trail from feedback on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report) |
| *July 11, 2019* | Preparation & Issue of Management Response |
| *NA* | (optional)Concluding Stakeholder Workshop (not mandatory for MTR team) |
| *July 15, 2019* | Expected date of full MTR completion |

Options for site visits should be provided in the Inception Report.

1. **MIDTERM REVIEW DELIVERABLES**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Deliverable** | **Description** | **Timing** | **Responsibilities** |
| **1** | **MTR Inception Report** | MTR team clarifies objectives and methods of Midterm Review | No later than 2 weeks before the MTR mission: (June.13, 2019) | MTR team submits to the Commissioning Unit and project management |
| **2** | **Presentation** | Initial Findings | End of MTR mission: (July. 8, 2019) | MTR Team presents to project management and the Commissioning Unit |
| **3** | **Draft Final Report** | Full report (using guidelines on content outlined in Annex B) with annexes | Within 3 weeks of the MTR mission: (July. 11, 2019) | Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP |
| **4** | **Final Report\*** | Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report | Within 1 week of receiving UNDP comments on draft: (July 15, 2019) | Sent to the Commissioning Unit |

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

1. **MTR ARRANGEMENTS**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is UNDP Ethiopia Country Office.

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

1. **TEAM COMPOSITION**

A team of two independent consultants will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas: (*the weight in braces to all these qualifications are the max amount of points that an applicant can earn for the technical evaluation*)

* Recent experience with result-based management evaluation methodologies; (13)
* Experience applying SMART indicators and reconstructing or validating baseline scenarios; (10)
* Competence in adaptive management, as applied Waste Management, Urban Greenery, Emission Reduction and Composting Technology; (8)
* Experience working with the GEF or GEF-evaluations; (8)
* Experience working in East Africa, Ethiopia; (7)
* Work experience in relevant technical areas for at least 10 years; (11)
* Demonstrated understanding of issues related to gender and experience in gender sensitive evaluation and analysis. (10)
* Excellent communication skills; (7)
* Demonstrable analytical skills; (8)
* Project evaluation/review experiences within United Nations system will be considered an asset; (8)
* A Master’s degree Environmental Since, Business Management, Natural Resource Management, Development Studies, Urban Management or other closely related field. (10)

Annex 2. Rating scales

|  |  |  |
| --- | --- | --- |
| **Ratings for Progress Towards Results:** (one rating for each outcome and for the objective) | | |
| 6 | Highly Satisfactory (HS) | The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”. |
| 5 | Satisfactory (S) | The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings. |
| 4 | Moderately Satisfactory (MS) | The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings. |
| 3 | Moderately Unsatisfactory (HU) | The objective/outcome is expected to achieve its end-of-project targets with major shortcomings. |
| 2 | Unsatisfactory (U) | The objective/outcome is expected not to achieve most of its end-of-project targets. |
| 1 | Highly Unsatisfactory (HU) | The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets. |

|  |  |  |
| --- | --- | --- |
| **Ratings for Project Implementation & Adaptive Management:** (one overall rating) | | |
| 6 | Highly Satisfactory (HS) | Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”. |
| 5 | Satisfactory (S) | Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action. |
| 4 | Moderately Satisfactory (MS) | Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action. |
| 3 | Moderately Unsatisfactory (MU) | Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action. |
| 2 | Unsatisfactory (U) | Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management. |
| 1 | Highly Unsatisfactory (HU) | Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management. |

|  |  |  |
| --- | --- | --- |
| **Ratings for Sustainability:** (one overall rating) | | |
| 4 | Likely (L) | Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future |
| 3 | Moderately Likely (ML) | Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review |
| 2 | Moderately Unlikely (MU) | Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on |
| 1 | Unlikely (U) | Severe risks that project outcomes as well as key outputs will not be sustained |

Annex 3. MTR Evaluative Matrix

|  |  |  |  |
| --- | --- | --- | --- |
| **Evaluative Questions** | **Indicators** | **Sources** | **Methodology** |
| **Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?** | | | |
| To what extent are lessons from other relevant projects incorporated into the project design? | Lessons learned identified and appearing in project documents. | Project documents; UNDP CO | Document analysis |
| To what extent does the project address country priorities and is country-driven? Is the project concept in line with national development priorities and plans of the country (or of participating countries in the case of multi-country projects)? | Policy, legislation and safeguard analyses | Project documents; UNDP documents; Government documents; Inception report | Document analysis |
| Were stakeholders thoroughly consulted? | Stakeholder analysis | Project documents; stakeholders | Document analysis;; Stakeholder consultation |
| How well are gender issues identified and addressed? | Gender strategies | Project documents | Document analysis |
| How thoroughly were environmental and social risks – including externalities – identified, and addressed with mitigation strategies? | Risk management strategies; Sustainability plan | Project documents | Document analysis |
| **Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?** | | | |
| By each Outcome, to what progress has been made towards the Mid-Term target? | Progress towards project indicators | Project documents; Project Annual & Quarterly Reports; APRs; PIRs; GEF Tracking Tool; Stakeholders in Project Team and implementing partners | Document analysis; Stakeholder consultation; Site visits |
| What are the reasons for success in reaching/ exceeding Mid-Term targets? What are the reasons/ challenges in slower-than-expected progress? | Candid and useful project commentaries | Project Annual & Quarterly Reports; APRs/ PIRs; GEF TT; Stakeholders in Project Team and implementing partners | Document analysis; Stakeholder consultation; Site visits |
| **Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project’s implementation?** | | | |
| **Management arrangements** | | | |
| How do current management arrangements compare with those originally outlined? Have changes been made and are they effective? Are reporting and responsibility lines clear? Is decision-making transparent and timely? | Clear and effective project implementation manual, management arrangements | Project documents; Project Annual & Quarterly Reports; UNDP/ Project team | Document analysis; Stakeholder consultation |
| Is there appropriate focus on results, by Partner Agency and Implementing Partner? Is reporting candid and realistic? | Results-based, cogent reporting by UNDP and BEDO | Project documents; Project Annual & Quarterly Reports | Document analysis |
| Is technical support by UNDP and consultants to Implementing Partner adequate? | Form and results of support provided | Project Annual & Quarterly Reports; APRs/ PIRs; Stakeholders | Document analysis; Stakeholder consultation |
| Are risks to progress – environmental, social, administrative – identified and mitigated in a timely manner? | Risk management approaches and outcomes | Project Annual & Quarterly Reports; APRs/ PIRs | Document analysis |
| **Work planning** | | | |
| Were there any delays in project implementation" If so, what were the reasons and have they been solved? | Achievement of project implementation milestones | Project Annual & Quarterly Reports | Document analysis; Stakeholder consultation |
| Are work-planning processes results-based? How is the Results Framework used as a management tool, (including any changes made)? | Quality of work planning; "Correct" Results Framework | Project documents; Results Framework; Project Annual & Quarterly Reports; APR/s PIRs | Document analysis; Stakeholder consultation |
| **Finance and co-finance** | | | |
| Are financial controls, allowing transparent decision-making and timely flow of funds, well established? | Effectiveness of financial controls | Inception Report; Project Annual & Quarterly Reports; Audit reports | Document analysis; Stakeholder consultation |
| Are funds well-managed? Have there been any well-justified budget revisions, based on evidence from reporting? | Effectiveness, efficiency of financial management | Project Annual & Quarterly Reports; Audit reports; Project Team | Document analysis; Stakeholder consultation |
| What co-financing has been mobilised since inception, and what (if any) additional funds have been leveraged? | Co-financing sustained and extended | Project documents; Project Annual & Quarterly Reports; Project Team | Document analysis; Stakeholder consultation |
| **Project level Monitoring & Evaluation** | | | |
| Has the M&E plan been appropriate, sufficiently funded and well-implemented? | Active implementation of M&E plan | Project documents; Inception Report; Project Annual & Quarterly Reports | Document analysis; Stakeholder consultation |
| Has adaptive management been implemented in response to PIRs? | Adaptive management applied | Project Annual & Quarterly Reports; APR/s PIRs; Project Team | Document analysis; Stakeholder consultation |
| Are monitoring tools and systems relevant, cost-effective and inclusive of stakeholder concerns? | Monitoring tools developed and in use | Project Annual & Quarterly Reports; Project Team; Stakeholders | Document analysis; Stakeholder consultation |
| Are risks identified and managed via the M&E system? | Risks identified and mitigated | Project Annual & Quarterly Reports; APR/s PIRs; Project Team | Document analysis; Stakeholder consultation |
| **Stakeholder engagement** | | | |
| Has the project engaged local and national stakeholders effectively in support of project objectives and sustainability? | Stakeholders at different levels engaged | Project Team; Stakeholders | Stakeholder consultation; Site visits |
| **Reporting** | | | |
| How has adaptive management been reported by the Project Team and shared with the Project Board? How have any lessons from adaptive management been documented and incorporated into project management? | Regular reporting to Project Board, used for decision-making | Project Annual Reports; Minutes of Project Board meetings; Project Board members | Document analysis; Stakeholder consultation |
| How well does the Project Team fulfil GEF reporting requirements? | GEF reporting requirements satisfied | APRs/PIRs; UNDP CO | Document analysis; Stakeholder consultation |
| **Communication** | | | |
| Is internal and external communication with project and national stakeholders regular and effective? Does this communication contribute to sustainability? | Communications by project active and engaging | Communication material; Stakeholder reports | Document analysis; Stakeholder consultation |
| Are there ways to extend the communication aspects of the project? | Communication strategy in place | Project documents; Project Team | Document analysis; Stakeholder consultation |
| **Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?** | | | |
| What risks or opportunities are there for financial sustainability once GEF financing ends? Are there plans, or steps taken, for establishing mechanisms for financial sustainability? | Financial sustainability plans and actions | Project documents; Project Team | Document analysis; Stakeholder consultation |
| What are the social or political risks to stakeholder ownership allowing sustainability of project outcomes? Are the project's successful aspects being transferred to appropriate parties for replication or scaling up? | Social and political risk mitigation strategy, with actions taken | Project documents; Project Team | Document analysis; Stakeholder consultation |
| Are there institutional or governance structures or processes that pose risks to sustainability of project outcomes, or is the project putting such structures/ processes into place to encourage sustainability? | Institutional sustainability plans and actions | Project documents; Project Team | Document analysis; Stakeholder consultation |
| Has the project developed appropriate institutional capacity that will be self-sufficient after the End of Project date? Has the project identified "champions" in government or civil society who will promote sustainability of outcomes? | Institutional capacity built and/or identified and encouraged. | Project documents; Project Annual & Quarterly Reports; Project Team; Stakeholders in government and local areas | Document analysis; Stakeholder consultation; Site visits |
| Does the project have a sustainability strategy? | Sustainability strategy developed | Project documents; Project Team | Document analysis; Stakeholder consultation |

Annex 4. MTR mission itinerary

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Date and time** | **Organization** | **Stakeholder Relationship** | **Person to Meet** | **Email** | **Activity** | **Confirmation** |
| Monday 8 July  8:30 to 10:30 AM | UNDP | Funding Organization | * DRR * Kidanua Abera * Gizachew Sisay * Berhanu Alemu * Girma Workie * Getnet Demisse | girma.workie@undp .org | Project briefing and discussion on the way forward | Confirmed |
| Monday 8 July  11:00 to 12:00 AM | World Bank |  | * TBD | girma.workie@undp .org | Introducing MTR and its objective and assess their view | To be Confirmed |
| Monday 8 July  12:00 to 13:00 AM | GIZ |  | * TBD | girma.workie@undp .org | Introducing MTR and its objective and assess their view | To be confirmed |
| **12:30 to 2:00 Lunch Break** | | | | | | |
| Monday 8 July  2:00 to 4:00 AM | PMU | Coordination | * Girma Workie * Semere G/tsadik * Ketema Tesema * Addisbirhan | girma.workie@undp .org | Document sharing and detail briefing on project plan and performance | Confirmed |
| Monday 8 July  4:00 to 5:00 PM | MUDC | IP | * Tigist Alemu * HE Ato Mesfin * Azebe Belete * Melku | girma.workie@undp .org | Interview and group discussion with IP | Confirmed |
| Tuesday 9 July  9:00-10:00 AM | MOF | Member of as Steering committee  Government focal of UN | Mr. Habtamu | habtsh101@gmail.com | Discussion with partner organization | Confirmed |
| Tuesday 9 July  11:00 – 12:00 AM | EFCCC | Member of as steering committee  Focal of GEF funds | Mr. Wordi Hashim | worhash@yahoo.com | Discussion with partner organization | Confirmed |
| **12:30 -2:00 PM Travel to Bishoftu by car and Lunch Break** | | | | | | |
| Tuesday 9 July  2:00 – 5:00 PM | Bishoftu | Implementer | * Focal persons * City officials * Beneficiaries * Field Visit |  | Field level evaluation | Confirmed |
| Tuesday 9 July  5:00-6:00 | Drive to Addis and Spend the night in Addis Ababa | |
| Wend 10 July  8:30 – 12:00 PM | Bishoftu |  |
| 12:00 – 5:00 PM Travel to Hawassa by car and spend the night at Hawassa | | | | | | |
| Thursday 11 July  8:00 – 6:00 PM | Hawassa |  | the same as above |  | Interviews, field observation and discussion | Confirmed |
| Friday 12 July  8:00 – 12:00 PM | Hawassa |  |  | Interviews, field observation and discussion |
| Friday 12:00 – 5:00 PM Travel to Addis Ababa and spend the night in Addis | | | | | | |
| Saturday 13 July 7:00-8:00 travel to Mekelle | | | | | | |
| Saturday 13 July  8:00 – 12:00 | Mekelle |  | The same as above |  | Focus group discussion with 1) beneficiaries and 2) project implementers | Confirmed |
| Saturday 13 July  14:00-17:00 | Mekelle |  |  |  | Field observation |  |
| Saturday 13 July  17:00-19:00 | spend the night in Mekelle | | | | | |
| Sunday 14 July Back to Addis on mid-day flight spend the night in Addis | | | | | | |
| Monday 15 July 7:00-8:00 travel to Bahir Dar | | | | | | |
| Monday 15 July  8:00 – 5:00 PM | Bahir Dar |  | the same as above |  |  | Confirmed |
| Monday 15 July spend the night in Bahir Dar | | |  |  |
| Tuesday 16 July  8:00-5:00 PM | Bahir Dar |  |  |  |
| Tuesday 16 back to Addis Ababa late afternoon flight | | | | | | |
| Wednesday 17 work on filed report | | | | | | |
| Thursday 18 | UNDP | * Funding Organization | * DRR/RR * Kidanua Abera * Gizachew Sisay * Berhanu Alemu * Girma Workie * Getnet Demisse |  | Debriefing at UNDP | Confirmed |

Annex 5. List of persons interviewed

|  |  |  |  |
| --- | --- | --- | --- |
| **Place** | **Name** | **institution** | **responsibility** |
| **Addis Ababa** | Gizachew Sisay | UNDP | Coordinator, Inclusive Growth & Sustainable Development |
| Kidanua Abera | UNDP | CO Focal Point |
| Beza Seyoum | UNDP | Project assistant |
| Girma Workie | UNDP-GEF Compost | Project manager |
| Ketema Tessema | UNDP-GEF Compost | UGI Technical Officer |
| Semere Gebretsadik | UNDP-GEF Compost | ISWM Technical Officer |
| Wordy Hashim | EFCCC | GEF Operational Focal Point |
| Mengistu Besno | EFCCC | CC P&P preparation expert |
| Dinkneh Tefera | World Bank | Urban Development Specialist |
| **Bishoftu** | Kebede Gonfa | Bishoftu Municipality | Deputy manager |
| Adissu Melka | Bishoftu Municipality | NAMA-COMPOST Focal Person |
| Adisu Guta | Bishoftu Compost Shade | Engineer of compost shed |
| Guluma Feyessa | Bishoftu Compost Shade | Leader |
| Sisay Nigatu | Bishoftu Compost Shade | Leader |
| Workneh Yami | Bishoftu Compost Shade | Leader |
| **Hawassa** | Urge Alemu | Hawassa Municipality | NAMA-COMPOST Focal Person |
| Matheos Fikru | REE compost producers Association | Supervisor |
| Henok Dangacho | Hawassa Solid Waste Management and Recycling Association | General Manager |
| Marcos Merkene | Lembo Green Development Association | General Manager |
| Teshale Wonte Guja | Urban Development & Construction Bureau | Deputy Manager/Coordinator of UIID and NAMA |
| **Amhara** | Zelalem Getahun | Environmental protection, Sanitation & Beatification | Head |
|  | Tsehay Fentahun | Environmental protection, Sanitation & Beatification | Urban Greenery Expert; Focal person for NAMA-GEF |
|  | Yewbsira Yeshuas | Environmental protection, Sanitation & Beatification | Solid Waste Management team |
|  | Etehin Alemayehu | Yifetsemal Kalu Solid Waste Management Association | Member of the association and farmer |
|  | Emnat Challie | Emnat, Mekuanent and brothers Solid Waste management share company | manager |
|  | Abebe Zelalem | Dream Light Solid Waste Cleaning Recycling PLC | Deputy manager |
| **Mekele** | Berhe Geza | Sanitation and Beautification Department | Project Focal Officer |
| Efrem Elias | Green Plantation and Landscape Association | Manager |
|  |  |  |  |
| **Debriefing** | | | |
| **Addis Ababa** | Ambrose Mugisha | UNDP | Program coordinator |
| Nyasha Mkandu | UNDP | UNU communication |
| Girma Workie | UNDP/MUDC | Manager |
| Wubua Mekonnen | UNDP | Program Specialist for GEF |
| Semere Gebretsadik | UNDP/MUDC | ISWM Technical Expert |
| Ketema Tessema | UNDP/MUDP | UGI-technical expert |
| Nardos Mengesha | UNDP | Communication expert |
| Titus Kuuyuor | UNDP | Senior Resilience Advisor |
| Berhanu Alemu | UNDP | M&E specialist |
| Kidanua Abera | UNDP | Program Analyst |
| Gizachew Sisay | UNDP | Team Leader |

Annex 6. List of documents reviewed

1. PIMS-5541—CCM-Ethiopia COMPOST ProDoc final 13 July 2016
2. 2018-GEF-PIR-PMS5541-final
3. Year End Annual Report for 2018 final
4. Output verification report
5. PIF
6. GEF Management Effectiveness Tracking Tool Midterm
7. Financial report tracking (Excel spreadsheet)
8. PIR-2018; PIR-2019
9. UNDP Initiation Plan
10. UNDP Project Document
11. UNDP Environmental and Social Screening results
12. Project Inception Report
13. All Project Implementation Reports (PIR’s)
14. Quarterly progress reports and work plans of the various implementation task teams
15. Audit reports
16. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (Tracking Tool for Climate Change Mitigation Projects)
17. Oversight mission reports
18. All monitoring reports prepared by the project
19. Financial and Administration guidelines used by Project Team
20. Project operational guidelines, manuals and systems
21. UNDP country/countries programme document(s)
22. Minutes of the Creating Opportunities for Municipalities to Produce and Operationalize Solid Waste Transformation (NAMA: COMPOST) Project Steering Committee Meetings and other meetings (i.e. Project Appraisal Committee meetings)
23. UNDP Discussion Paper on Innovations in Monitoring & Evaluating Results, dated 05 Nov 2013
24. UNDP-GEF Midterm Review Terms of Reference
25. GEF/C24/Inf.5 2004. GEF Project Cycle Update: Clarification of Policies and Procedures for Project Amendments and Drop/Cancellations. Washington, D.C. October 2004.
26. GEF (2015) OPS3: Progressing toward Environmental Results. Third Overall Performance Study of the GEF. ICF Consulting & Office of Monitoring and Evaluation of the Global Environment Facility, Washington, D.C. June 2005.
27. GEF (2010) The GEF Monitoring and Evaluation Policy 2010. Global Environment Facility, Evaluation Office. Evaluation Document No.4, November 2010.
28. GEF (2017) Guidance for conducting Midterm Reviews of UNDP-supported, GEF-financed projects. UNDP-GEF Directorate
29. United Nations Common country programme document for Ethiopia

Annex 7. UNDP-GEF Mid-Term Review Audit Trail

To the comments received on XX July 2019 from the Midterm Review of NAMA COMPOST Project (UNDP Project ID-PIMS # 5541)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Author** | **No.** | **Para no./ comment location** | **Comment/Feedback on the draft MTR report** | **MTR team response and actions taken** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**To the comments received on 2019**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Author** | **No.** | **Para no./ comment location** | **Comment/Feedback on the draft MTR report** | **MTR team response and actions taken** |
| J |  |  |  |  |
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Annex 8: Signed UNEG Code of Conduct Forms

**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**MTR Consultant Agreement Form**

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

Name of Consultant: Muyambi Fortunate .

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

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

Signed at *(Place)* on *(Date)*

Signature:

**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**MTR Consultant Agreement Form**

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

Name of Consultant: Sisay Nune

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

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

Signed at *(Place)* on *(Date)*

Signature:

Annex 9. Signed MTR final report clearance form

**Midterm Review Report Reviewed and Cleared By:**

**Commissioning Unit**

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

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

**UNDP-GEF Regional Technical Advisor**

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

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

1. GEF (2010) *The GEF Monitoring and Evaluation Policy 2010*. Global Environment Facility, Evaluation Office. Evaluation Document No.4, November 2010. [↑](#footnote-ref-1)
2. GEF (2014) *Guidance for conducting Midterm Reviews of UNDP-supported, GEF-financed projects*. UNDP-GEF Directorate. [↑](#footnote-ref-2)
3. Provided by the Project Manager, July 2019. [↑](#footnote-ref-3)
4. For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](http://www.undp.org/content/undp/en/home/librarypage/capacity-building/discussion-paper--innovations-in-monitoring---evaluating-results/), 05 Nov 2013. [↑](#footnote-ref-4)
5. For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undg.org/docs/11653/UNDP-PME-Handbook-(2009).pdf), Chapter 3, pg. 93. [↑](#footnote-ref-5)
6. Populate with data from the Logframe and scorecards [↑](#footnote-ref-6)
7. Populate with data from the Project Document [↑](#footnote-ref-7)
8. If available [↑](#footnote-ref-8)
9. Color code this column only [↑](#footnote-ref-9)
10. Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU [↑](#footnote-ref-10)
11. Alternatively, MTR conclusions may be integrated into the body of the report. [↑](#footnote-ref-11)