

Copyright is owned by the Author of the thesis. Permission is given for a copy to be downloaded by an individual for the purpose of research and private study only. The thesis may not be reproduced elsewhere without the permission of the Author.

**A REFORMED UNITED NATIONS FOR ADDRESSING  
ENVIRONMENT-DEVELOPMENT PROBLEMS IN  
DEVELOPING COUNTRIES – A CASE STUDY APPROACH**

A Thesis Presented in Fulfilment of the Degree of  
Doctor of Philosophy  
in  
Economics  
at Massey University, Manawatu  
New Zealand



David Hardie Smith

2015



## **ABSTRACT**

The unsustainable use of natural resources is a serious and worsening problem world wide, affecting the life and health of many millions of people. It is seriously undermining wealth creation in many countries and contributing to violent conflicts and is also a human security problem. Such problems – where the environmentally unsustainable use of natural resources has a direct or indirect negative impact on the achievement of development objectives – are defined as Environment-Development Problems.

The UN plays a significant role in attempts to deal with environment-development problems (EDPs), leading international initiatives such as the Millennium Development Goals and leading or participating in many programmes to address them. It also has a very important role in catalysing other entities, including governments and donors, to address EDPs and other development problems. The fact that EDPs are worsening in many developing countries, particularly in Africa, raises questions about the effectiveness of the UN in addressing EDPs. The focus of this thesis is on assessing the effectiveness of the UN in dealing with EDPs and identifying ways to improve its effectiveness.

This research takes a mixed methods approach to assess the level of UN effectiveness in addressing EDPs and the reasons for UN effectiveness. The research found that, overall, the UN has been less than moderately effective in addressing EDPs but that it has achieved some successes. One success is that the UN had developed and applied an effective model for addressing EDPs that, if enhanced and applied broadly, would significantly improve UN effectiveness in addressing EDPs. The research also found that development aid design, organisational culture and complexity were significant explanatory variables for UN effectiveness. Further, it also identified programme and project implementation modalities, national capacity and donors as explanatory variables. It concluded that many of the factors inhibiting UN effectiveness in addressing EDPs are general UN factors. Therefore, significantly increasing UN effectiveness requires addressing both EDP specific and more general UN effectiveness factors.

A number of recommendations for improving UN effectiveness in addressing EDPs and more generally were made. It was concluded that if the reforms needed to significantly improve UN effectiveness are not implemented, then the UN should phase out its operational development activities, given the magnitude of the need for reform.



This research is dedicated to

Theodore 'Theo' Marama, Royal New Zealand Infantry Regiment

And to the memory of

Peter H Liotta, United States Air Force

Warriors, Teachers and Wise Men



## **ACKNOWLEDGEMENTS**

I am extremely grateful to my supervisors, Professor Anton Meister and Associate Professor John Holland for their great support, guidance and patience. Without this, the thesis would not have been completed. I owe Professor Anton Meister a special thank you for his support over the years, starting during my undergraduate days. I thank Sue Edwards for all her help with ensuring the thesis was put together in a readable, correct format. I thank also the Doctoral office for their support.

This thesis would not have been possible without the experiences and thoughts of many individuals in the United Nations, the broader development community and in a number of developing countries. I am most grateful for their insights. The late Professor Peter Liotta and the late Senator Claiborne Pell, were an inspiration, both of who strove for a more effective United Nations.

I would also like to make a general acknowledgement to Massey University, in particular to the former Department of Agricultural Economics, which provided me with the right balance of theoretical and practical education that led to my career and to this thesis, along a somewhat long, bumpy and winding road.



## ACRONYMS

|        |  |
|--------|--|
| AWP    | Annual Work-plan   |
| BDP    | Bureau of Development Policy                                   |
| BOD    | Biological Oxygen Demand                                       |
| CEB    | Chief Executive's Board  |
| CO     | Country Office   |
| CPD    | Country Programme Document                                     |
| DAC    | Development Assistance Committee                               |
| DALY   | Disability Adjusted Life Years                                 |
| DFID   | Department for International Development                       |
| DSG    | Donor Steering Group   |
| EC     | European Commission  |
| ECOSOC | Economic and Social Council                                    |
| EDP    | Environment-Development Problem                                |
| EDPRS  | Economic Development and Poverty Reduction Strategy            |
| EEG    | Environment and Energy Group                                   |
| ELMS   | Environment and Land Management Sector                         |
| EMINWA | Environmentally Sound Management of Inland Waters              |
| ENR    | Environment and natural resources                              |
| ESCAPE | Ecosystem-Capability Augmentation Poverty Eradication Approach |
| EU     | European Union   |
| FANR   | Food, Agriculture and Natural Resources                        |
| FAO    | Food and Agriculture Organisation                              |
| FMO    | Fund Management Officer  |
| GA     | General Assembly   |
| GC     | Governing Council  |
| GoR    | Government of Rwanda   |
| IEA    | Integrated Ecosystem Assessments                               |
| IGO    | Intergovernmental Organisation                                 |
| IIED   | International Institute for Environment and Development        |
| ITA    | International Technical Advisor                                |
| IWRM   | Integrated Water Resources Management                          |
| JIU    | Joint Inspection Unit  |
| KPI    | Key Performance Indicators                                     |
| M&E    | Monitoring and Evaluation                                      |
| MA     | Millennium Ecosystem Assessment                                |
| MART   | Multilateral Aid Review  |

|           |   |
|-----------|---|
| MDGs      | Millennium Development Goals  |
| MEAs      | Multilateral Environmental Agreements   |
| MI        | Micro-Indicators  |
| MINECOFIN | Ministry of Finance and Economic Planning   |
| MOPAN     | Multilateral Organisation Performance Assessment Network.                                 |
| MOU       | Memorandum of Understanding   |
| MTR       | Mid-term Review   |
| NDP       | National Development Plan   |
| NORAD     | Norwegian Agency for Development Co-operation   |
| NPM       | National Programme Manager  |
| NRA       | Non-Resident Agency   |
| NZDF      | New Zealand Defence Forces  |
| ODI       | Overseas Development Institute  |
| OECD-DAC  | Organisation for Economic Co-operation and Development – Development Assistance Committee |
| OIOS      | Office of Internal Oversight Services   |
| P-E       | Poverty-Environment   |
| PP        | Poverty Practice  |
| P&EP      | Poverty and Environment Project   |
| PCN       | Project Concept Notes   |
| PEER      | Public Environmental Expenditure Review   |
| PEI       | Poverty-Environment Initiative  |
| PEN       | Poverty-Environment Nexus   |
| PEP       | Poverty-Environment Partnership   |
| PMU       | Programme Management Unit   |
| POW       | Programme of Work   |
| ProDoc    | Project Document  |
| PRSP      | Poverty Reduction Strategy Paper  |
| PSC       | Project Steering Committee  |
| PTA       | Problem Tree Analysis   |
| RBM       | Results Based Management  |
| REMA      | Rwanda Environment Management Authority   |
| RRF       | Results and Resources Framework   |
| RSAP      | Regional Strategic Action Plan for Integrated Water Resources Management                  |
| SADC      | Southern Africa Development Community   |
| SWG       | Sector Working Group  |
| TAG       | Technical Advisory Group  |
| ToC       | Theory of Change  |

|         |  |
|---------|--|
| ToR     | Terms of Reference                                       |
| UCC     | UNEP Collaborating Centre on Water and Environment       |
| UN      | United Nations   |
| UNCT    | United Nations Country Team                              |
| UNDAF   | United Nations Development Assistance Framework          |
| UNDAF   | United Nations Development Assistance Plan               |
| UNDG    | United Nations Development Group                         |
| UNDP    | United Nations Development Programme                     |
| UNDP EO | United Nations Development Programme - Evaluation Office |
| UNEP    | United Nations Environment Programme                     |
| UNIDO   | United Nations Industrial Development Organization       |
| UNRC    | United Nations Resident Co-ordinator.                    |
| UNSC    | United Nations Security Council                          |
| UNSG    | United Nations Secretary-General                         |
| VPO     | Vice President's Office                                  |
| WA      | Wider Applicability                                      |
| WD      | Water Division   |
| WP&S    | Water Policy and Strategy                                |
| WRTC    | Water Resources Technical Committee                      |
| WSCU    | Water Sector Co-ordinating Unit                          |

## TABLE OF CONTENTS

|   |            |
|---|------------|
| <b>ABSTRACT .....</b>   | <b>i</b>   |
| <b>ACKNOWLEDGEMENTS.....</b>  | <b>v</b>   |
| <b>List of Tables .....</b>   | <b>xix</b> |
| <b>List of Figures .....</b>  | <b>xx</b>  |
| <b>1 INTRODUCTION.....</b>  | <b>1</b>   |
| <b>1.1 Introduction.....</b>  | <b>1</b>   |
| <b>1.2 Background to the Research: EDPs and the UN's Role .....</b>           | <b>1</b>   |
| <b>1.3 Problem Statement .....</b>  | <b>5</b>   |
| <b>1.4 Aim .....</b>  | <b>6</b>   |
| <b>1.5 Objectives .....</b>   | <b>6</b>   |
| <b>1.6 The Importance of the Research .....</b>                               | <b>6</b>   |
| <b>2. ENVIRONMENT-DEVELOPMENT PROBLEMS AND THE ROLE OF THE UN</b>             | <b>9</b>   |
| <b>2.1 Introduction.....</b>  | <b>9</b>   |
| <b>2.2 Environment-Development Problems .....</b>                             | <b>9</b>   |
| 2.2.1 Measurement of Environment-Development Problems .....                   | 12         |
| 2.2.2 The Scale of EDPs .....   | 13         |
| 2.2.3 EDPs and Poverty .....  | 15         |
| 2.2.4 EDPs and Human Security .....   | 15         |
| 2.2.5 Net Benefits in Addressing EDPs .....                                   | 16         |
| 2.2.6 Investment Levels Needed To Address EDPs .....                          | 17         |
| 2.2.7 Reasons Why EDPs Are Not Being Adequately Addressed .....               | 17         |
| 2.2.8 EDP Discussion Overview .....   | 18         |
| <b>2.3 The UN and Its Role in Addressing Environment-Development Problems</b> | <b>19</b>  |
| 2.3.1 Understanding of Role of the UN.....                                    | 19         |
| 2.3.2 The Origins of the UN.....  | 20         |
| 2.3.3 The Purposes of the UN .....  | 20         |
| 2.3.4 The Principal Bodies of the UN and Their Functions.....                 | 21         |
| <b>2.4 The Secretariat .....</b>  | <b>21</b>  |
| 2.4.1 The Chief Executives Board (CEB).....                                   | 22         |

|            |  |           |
|------------|--|-----------|
| 2.4.2      | The United Nations Development Group and UN Operations at the Country Level  | 22        |
| 2.4.3      | Results Based Management (RBM) in the UN.....  | 24        |
| <b>2.5</b> | <b>The UN’s Prime Environment and Development Agencies .....</b>   | <b>25</b> |
| 2.5.1      | United Nations Environment Programme .....   | 25        |
| 2.5.2      | United Nations Development Programme.....  | 27        |
| 2.5.3      | UNDP-UNEP: Comparative Notes .....   | 28        |
| <b>2.6</b> | <b>United Nations Reform—The Quest for Greater UN System-wide Effectiveness .....</b>                                      | <b>30</b> |
| <b>2.7</b> | <b>The Implications of UN Structures, Mandate and Operational Modalities for Addressing EDPs at the Country Level.....</b> | <b>33</b> |
| <b>2.8</b> | <b>What the UN Actually Does at the Country Level .....</b>  | <b>35</b> |
| <b>2.9</b> | <b>Summary .....</b>   | <b>35</b> |
| <b>3.</b>  | <b>LITERATURE REVIEW .....</b>   | <b>37</b> |
| <b>3.1</b> | <b>Introduction .....</b>  | <b>37</b> |
| <b>3.2</b> | <b>Characteristics of Effective Large Organisations .....</b>  | <b>37</b> |
| <b>3.3</b> | <b>Development Aid Design .....</b>  | <b>41</b> |
| 3.3.1      | Rationale for Focusing on Development Aid Design.....  | 41        |
| 3.3.2      | Development Aid Design Literature .....  | 41        |
| 3.3.3      | Summary of Development Aid Design Literature .....   | 51        |
| <b>3.4</b> | <b>Organisational Culture .....</b>  | <b>52</b> |
| 3.4.1      | Rationale for Focusing on Organisational Culture Literature.....   | 52        |
| 3.4.2      | Organisational Culture Literature .....  | 53        |
| 3.4.3      | Summary of Organisational Culture Literature .....   | 60        |
| <b>3.5</b> | <b>Complexity and Development Aid.....</b>   | <b>61</b> |
| 3.5.2      | Complexity and Development Aid Literature .....  | 61        |
| 3.5.3      | Summary of Complexity and Development Aid Literature .....   | 67        |
| <b>3.6</b> | <b>Conclusion.....</b>   | <b>67</b> |
| <b>4.</b>  | <b>METHODOLOGY .....</b>   | <b>69</b> |
| <b>4.1</b> | <b>Introduction .....</b>  | <b>69</b> |
| <b>4.3</b> | <b>Analysis of UN EDP Case Studies .....</b>   | <b>71</b> |
| 4.3.1      | Overview of Case Study Evaluation Framework.....   | 72        |
| 4.3.3      | Indicators of effectiveness .....  | 75        |
| 4.5.1      | Research Diary.....  | 77        |
| 4.5.2      | Interviews.....  | 78        |

|  |            |
|--|------------|
| <b>4.7 Summary of how the components of the methodology will work together.</b>  | <b>80</b>  |
| <b>4.8 Results, Conclusions and Recommendations.</b>   | <b>81</b>  |
| 4.8.2 Conclusions and Recommendations  | 81         |
| <b>4.9 Sources of Data and Analysis</b>  | <b>82</b>  |
| <b>4.10 Selection of Case Studies</b>  | <b>82</b>  |
| 4.10.1 Case Study Selection Criteria   | 82         |
| 4.10.2 Summary of the Case Studies   | 83         |
| <b>Case Study 1: The UNEP Poverty-Environment Project (UNEP P&amp;EP) Prior to Restructuring</b>   | <b>85</b>  |
| <b>5.0 Introduction to four cases studies based on the UNEP Poverty and Environment Project and the UNDP-UNEP Poverty-Environment Initiative</b> | <b>85</b>  |
| 5.0.1 The Four Cases Studies   | 85         |
| 5.0.2 Case Study 1: The UNEP Poverty and Environment Project Prior to Restructuring (UNEP P&EP)  | 86         |
| <b>5.1 Situational Analysis</b>  | <b>86</b>  |
| 5.1.1 Description  | 86         |
| 5.1.2 Comment and Assessment   | 87         |
| <b>5.2 Strategy</b>  | <b>89</b>  |
| 5.2.1 Description  | 89         |
| 5.2.2 Comment and Assessment   | 90         |
| <b>5.3 Outcome</b>   | <b>97</b>  |
| 5.3.1 Description  | 97         |
| 5.3.2 Comment and Assessment   | 98         |
| <b>5.4 Outputs and Activities</b>  | <b>98</b>  |
| 5.4.1 Description  | 98         |
| 5.4.2 Comment and Assessment   | 98         |
| <b>5.5 Work Plan</b>   | <b>100</b> |
| 5.5.1 Description  | 100        |
| 5.5.2 Comment and Assessment   | 100        |
| <b>5.6 Budget</b>  | <b>102</b> |
| 5.6.1 Description  | 102        |
| 5.6.2 Comment and Assessment   | 102        |
| <b>5.7 Management and Co-ordination</b>  | <b>104</b> |
| 5.7.1 Description  | 104        |

|             |   |            |
|-------------|---|------------|
| 5.7.2       | Comment and Assessment.....                                       | 105        |
| <b>5.8</b>  | <b>Risk Assessment .....</b>                                      | <b>107</b> |
| 5.8.1       | Description.....  | 107        |
| 5.8.2       | Comment and Assessment.....                                       | 107        |
| <b>5.9</b>  | <b>Monitoring and Evaluation .....</b>                            | <b>107</b> |
| 5.9.1       | Description.....  | 107        |
| 5.9.2       | Comment and Assessment.....                                       | 108        |
| <b>5.10</b> | <b>Overall Effectiveness .....</b>                                | <b>108</b> |
| <b>6</b>    | <b>CASE STUDY 2: THE UNDP-UNEP POVERTY-ENVIRONMENT INITIATIVE</b> |            |
|             | <b>AFRICA (PEI AFRICA) .....</b>                                  | <b>113</b> |
| <b>6.0</b>  | <b>Introduction .....</b>   | <b>113</b> |
| <b>6.1</b>  | <b>Situational Analysis.....</b>                                  | <b>114</b> |
| 6.1.1       | Description.....  | 114        |
| 6.1.2       | Comment and Assessment.....                                       | 114        |
| <b>6.2</b>  | <b>Strategy .....</b>   | <b>115</b> |
| 6.2.1       | Description.....  | 115        |
| 6.2.2       | Comment and Assessment.....                                       | 116        |
| <b>6.3</b>  | <b>Outcome.....</b>   | <b>121</b> |
| 6.3.1       | Description.....  | 121        |
| 6.3.2       | Comment and Assessment.....                                       | 122        |
| <b>6.4</b>  | <b>Outputs and Activities .....</b>                               | <b>122</b> |
| 6.4.1       | Description.....  | 122        |
| 6.4.2       | Comment and Assessment.....                                       | 122        |
| <b>6.5</b>  | <b>Work plan .....</b>  | <b>123</b> |
| 6.5.1       | Description.....  | 123        |
| 6.5.2       | Comment and Assessment.....                                       | 123        |
| <b>6.6</b>  | <b>Budget .....</b>   | <b>123</b> |
| 6.6.1       | Description.....  | 123        |
| 6.6.2       | Comment and Assessment.....                                       | 124        |
| <b>6.7</b>  | <b>Management and Co-ordination Arrangements .....</b>            | <b>125</b> |
| 6.7.1       | Description.....  | 125        |
| 6.7.2       | Comment and Assessment.....                                       | 127        |
| <b>6.8</b>  | <b>Risk Assessment .....</b>                                      | <b>128</b> |
| 6.8.1       | Description.....  | 128        |
| 6.8.2       | Comment and Assessment.....                                       | 128        |

|   |            |
|---|------------|
| <b>6.9 Monitoring and Evaluation.....</b>   | <b>128</b> |
| 6.9.1 Description.....  | 128        |
| 6.9.2 Comment and Assessment.....   | 129        |
| <b>6.10 Summary of Case Study Effectiveness.....</b>  | <b>130</b> |
| <b>7. CASE STUDY 3: UNDP-UNEP PEI RWANDA PHASE I COUNTRY PROJECT<br/>(PEI RWANDA) .....</b> | <b>135</b> |
| <b>7.0 Introduction.....</b>  | <b>135</b> |
| <b>7.1 Situational Analysis .....</b>   | <b>135</b> |
| 7.1.1 Description.....  | 135        |
| 7.1.2 Comment and Assessment.....   | 135        |
| <b>7.2 Strategy.....</b>  | <b>136</b> |
| 7.2.1 Description.....  | 136        |
| 7.2.2 Comment and Assessment.....   | 137        |
| <b>7.3 Outcomes .....</b>   | <b>140</b> |
| 7.3.1 Description.....  | 140        |
| 7.3.2 Comment and Assessment.....   | 140        |
| <b>7.4 Outputs .....</b>  | <b>143</b> |
| 7.4.1 Description.....  | 143        |
| 7.4.2 Comment and Assessment.....   | 144        |
| <b>7.5 Work Plan.....</b>   | <b>145</b> |
| 7.5.1 Description.....  | 145        |
| 7.5.2 Comment and Assessment.....   | 145        |
| <b>7.6 Budget.....</b>  | <b>145</b> |
| 7.6.1 Description.....  | 145        |
| 7.6.2 Comment and Assessment.....   | 145        |
| <b>7.7 Management and Co-ordination Arrangements.....</b>                                   | <b>146</b> |
| 7.7.1 Description.....  | 146        |
| 7.7.2 Comment and Assessment.....   | 146        |
| <b>7.8 Risks Assessment.....</b>  | <b>147</b> |
| 7.8.1 Description.....  | 147        |
| 7.8.2 Comment and Assessment.....   | 147        |
| <b>7.9 Monitoring and Evaluation.....</b>   | <b>147</b> |
| 7.9.1 Description.....  | 147        |
| 7.9.2 Comment and Assessment.....   | 147        |
| <b>7.10 Summary of Case Study Effectiveness.....</b>  | <b>148</b> |



|   |            |
|---|------------|
| <b>8. CASE STUDY 4: UNDP-UNEP PEI SCALE-UP.....</b>               | <b>151</b> |
| <b>8.0 Introduction.....</b>                                      | <b>151</b> |
| <b>8.1 Situational Analysis.....</b>                              | <b>152</b> |
| 8.1.1 Description.....  | 152        |
| 8.1.2 Comment and Assessment.....                                 | 153        |
| <b>8.2 Strategy.....</b>  | <b>153</b> |
| 8.2.1 Description.....  | 153        |
| 8.2.2 Comment and Assessment.....                                 | 156        |
| <b>8.3 Outcome.....</b>   | <b>158</b> |
| 8.3.1 Description.....  | 158        |
| 8.3.2 Comment and Assessment.....                                 | 158        |
| <b>8.4 Outputs and Activities.....</b>                            | <b>158</b> |
| 8.4.1 Description.....  | 158        |
| 8.4.2 Comment and Assessment.....                                 | 159        |
| <b>8.5 Work plan.....</b>   | <b>159</b> |
| 8.5.1 Description.....  | 159        |
| 8.5.2 Comment and Assessment.....                                 | 159        |
| <b>8.6 Budget.....</b>  | <b>159</b> |
| 8.6.1 Description.....  | 159        |
| 8.6.2 Comment and Assessment.....                                 | 162        |
| <b>8.7 Management and Co-ordination.....</b>                      | <b>162</b> |
| 8.7.1 Description.....  | 162        |
| 8.7.2 Comment and Assessment.....                                 | 164        |
| <b>8.8 Risk Assessment.....</b>                                   | <b>165</b> |
| 8.8.1 Description.....  | 165        |
| 8.8.2 Comment and Assessment.....                                 | 165        |
| <b>8.9 Monitoring and Evaluation.....</b>                         | <b>165</b> |
| 8.9.1 Description.....  | 165        |
| 8.9.2 Comment and Assessment.....                                 | 166        |
| <b>8.10 Summary of Case Study Effectiveness.....</b>              | <b>166</b> |
| <b>9. CASE STUDY 5: THE UNEP WATER POLICY STRATEGY— 2001–2006</b> | <b>170</b> |
| <b>9.0 Introduction.....</b>                                      | <b>170</b> |
| <b>9.1 Situational Analysis.....</b>                              | <b>172</b> |
| 9.1.1 Description.....  | 172        |

|             |  |            |
|-------------|--|------------|
| 9.1.2       | Comment and Assessment.....  | 172        |
| <b>9.2</b>  | <b>Strategy.....</b>   | <b>173</b> |
| 9.2.1       | Description.....   | 173        |
| 9.2.2       | Comment and Assessment.....  | 173        |
| <b>9.3</b>  | <b>Outcome .....</b>   | <b>174</b> |
| 9.3.1       | Description.....   | 174        |
| 9.3.2       | Comment and Assessment.....  | 175        |
| <b>9.4</b>  | <b>Outputs and Activities.....</b>   | <b>175</b> |
| 9.4.1       | Description.....   | 175        |
| 9.4.2       | Comment and Assessment.....  | 175        |
| <b>9.5</b>  | <b>Work plan .....</b>   | <b>177</b> |
| 9.5.1       | Description.....   | 177        |
| 9.5.2       | Comment and Assessment.....  | 178        |
| <b>9.6</b>  | <b>Budget.....</b>   | <b>178</b> |
| 9.6.1       | Description.....   | 178        |
| 9.6.2       | Comment and Assessment.....  | 178        |
| <b>9.7</b>  | <b>Management and Co-ordination.....</b>   | <b>179</b> |
| 9.7.1       | Description.....   | 179        |
| 9.7.2       | Comment and Assessment.....  | 179        |
| <b>9.8</b>  | <b>Risk Assessment.....</b>  | <b>180</b> |
| 9.8.1       | Description.....   | 180        |
| 9.8.2       | Comment and Assessment.....  | 180        |
| <b>9.9</b>  | <b>Monitoring and Evaluation.....</b>  | <b>180</b> |
| 9.9.1       | Description.....   | 180        |
| 9.9.2       | Comment and Assessment.....  | 180        |
| <b>9.10</b> | <b>Summary of Case Study Effectiveness.....</b>  | <b>181</b> |
| <b>10</b>   | <b>CASE STUDY 6: THE SOUTHERN AFRICAN DEVELOPMENT<br/>COMMUNITY REGIONAL STRATEGIC ACTION PLAN FOR INTEGRATED<br/>WATER RESOURCES DEVELOPMENT AND MANAGEMENT 1998-2004<br/>(RSAP).....</b> | <b>185</b> |
| <b>10.0</b> | <b>Introduction and Background.....</b>  | <b>185</b> |
| <b>10.1</b> | <b>Situational Analysis.....</b>   | <b>187</b> |
| 10.1.1      | Description.....   | 187        |
| 10.1.2      | Comment and Assessment.....  | 188        |
| <b>10.2</b> | <b>Strategy.....</b>   | <b>189</b> |

|              |   |            |
|--------------|---|------------|
| 10.2.1       | Description .....   | 189        |
| 10.2.2       | Comment and Assessment .....  | 192        |
| <b>10.3</b>  | <b>Outcome .....</b>  | <b>195</b> |
| 10.3.1       | Description .....   | 195        |
| 10.3.2       | Comment and Assessment .....  | 195        |
| <b>10.4</b>  | <b>Outputs and Activities.....</b>  | <b>195</b> |
| 10.4.1       | Description .....   | 195        |
| 10.4.2       | Comment and Assessment .....  | 197        |
| <b>10.5</b>  | <b>Work Plan.....</b>   | <b>198</b> |
| 10.5.1       | Description .....   | 198        |
| 10.5.2       | Comment and Assessment .....  | 199        |
| <b>10.6</b>  | <b>Budget.....</b>  | <b>199</b> |
| 10.6.1       | Description .....   | 199        |
| 10.6.2       | Comment and Assessment .....  | 199        |
| <b>10.7</b>  | <b>Management and Co-ordination.....</b>  | <b>200</b> |
| 10.7.1       | Description .....   | 200        |
| 10.7.2       | Comment and Assessment .....  | 202        |
| <b>10.8</b>  | <b>Risk Assessment.....</b>   | <b>204</b> |
| 10.8.1       | Description .....   | 204        |
| 10.8.2       | Comment and Assessment .....  | 204        |
| <b>10.9</b>  | <b>Monitoring and Evaluation .....</b>  | <b>204</b> |
| 10.9.1       | Description .....   | 204        |
| 10.9.2       | Comment and Assessment .....  | 205        |
| <b>10.10</b> | <b>Summary of Case Study Effectiveness.....</b>   | <b>205</b> |
| <b>11.</b>   | <b>ENVIRONMENT-DEVELOPMENT PROBLEM EXAMPLES RELEVANT TO<br/>UN EFFECTIVENESS IN ADDRESSING EDPs .....</b>                                   | <b>209</b> |
| <b>11.0</b>  | <b>Introduction .....</b>   | <b>209</b> |
| <b>11.1</b>  | <b>The “UNDP Contribution to Environmental Management for Poverty<br/>Reduction: The Poverty-Environment Nexus” Evaluation Report .....</b> | <b>209</b> |
| <b>11.2</b>  | <b>UN-Government-Donor Issues that Reduce EDP Project Effectiveness</b>   | <b>211</b> |
| <b>11.3</b>  | <b>The Norwegian Evaluation of the PEI Africa Pilot Phase and PEI Africa<br/>214</b>  |            |
| <b>11.4</b>  | <b>The UNDP-UNEP Memorandum of Understanding (UNDP-UNEP MOU)<br/>217</b>  |            |
| <b>11.5</b>  | <b>Summary.....</b>   | <b>220</b> |

|           |   |            |
|-----------|---|------------|
| <b>12</b> | <b>PROBLEM TREE ANALYSIS</b> .....  | <b>221</b> |
| 12.0      | Introduction .....  | 221        |
| 12.1      | Category 1: Design and Implementation of UN and UN-Supported EDP Programmes and Projects Inadequate. .... | 222        |
| 12.2      | Category 2: Inadequate National – Particularly Government - Capacity for Addressing EDPs .....            | 222        |
| 12.3      | Category 3: Addressing EDPs Low Priority for UNDP, UNEP and UN System; Weak RBM Systems/Culture .....     | 234        |
| 12.4      | Category 4: Inadequate Donor Support .....  | 238        |
| 12.5      | Category 5: High Complexity of EDP Causes and Solutions .....   | 239        |
| 12.6      | PTA Summary .....   | 240        |
| <b>13</b> | <b>DISCUSSION OF RESULTS</b> .....  | <b>241</b> |
| 13.1      | Introduction .....  | 241        |
| 13.2      | Case Study Results Summary .....  | 241        |
| 13.3      | Results of the Analysis of the EDP Examples.....  | 243        |
| 13.4      | Results of the Problem Tree Analysis (PTA) .....  | 244        |
| 13.5      | Discussion of Results .....   | 244        |
| 13.5.1    | Effectiveness of the UN in Addressing EDPs.....   | 244        |
| 13.5.2    | Reasons for the Assessed Level of UN Effectiveness in Addressing EDPs<br>244                              |            |
| 13.6      | Applicability of Findings to Other Development Problems .....   | 248        |
| 13.7      | Summary .....   | 249        |
| <b>14</b> | <b>CONCLUSIONS AND RECOMMENDATIONS</b> .....  | <b>250</b> |
| 14.1      | Introduction .....  | 250        |
| 14.2      | Effectiveness of the UN .....   | 250        |
| 14.2      | Reasons for Assessed Level of UN Effectiveness .....  | 251        |
| 14.3      | Leadership: The Key Factor In Determining UN Effectiveness .....  | 255        |
| 14.4      | Key Elements of a Model to Address EDPs .....   | 259        |
| 14.5      | Recommendations .....   | 262        |
| 14.6      | Contribution to Knowledge .....   | 274        |
| 14.7      | Further Research.....   | 277        |
| 14.8      | Final Comment .....   | 277        |
|           | <b>REFERENCES</b> .....   | <b>278</b> |

## APPENDICES

|   |   |     |
|---|---|-----|
| 1 | THE MILLENNIUM DEVELOPMENT GOALS.....   | 298 |
| 2 | CHART OF THE UN SYSTEM.....   | 300 |
| 3 | REPORTS TO ILLUSTRATE WHAT THE UN ACTUALLY DOES AT THE COUNTRY LEVEL.....   | 301 |
| 4 | EXPLANATION FOR THE CHOICE OF INDICATORS FOR ASSESSING THE EFFECTIVENESS OF CASE STUDY DESIGN AND IMPLEMENTATION....  | 313 |
| 5 | THE UNEP WATER POLICY & STRATEGY.....   | 319 |
| 6 | THE CONCLUSIONS AND SUMMARY OF THE UNDP EVALUATION OFFICE REPORT: EVALUATION OF UNDP CONTRIBUTION TO ENVIRONMENTAL MANAGEMENT FOR POVERTY REDUCTION: THE POVERTY-ENVIRONMENT NEXUS..... | 341 |
| 7 | THE UNDP-UNEP MEMORANDUM OF UNDERSTANDING.....  | 345 |
| 8 | SPEECH BY THE UNITED NATIONS SECRETARY GENERAL TO UN SENIOR MANAGERS, TURIN, 2008.....  | 354 |

## List of Tables

|             |   |     |
|-------------|---|-----|
| Table 2.1   | WHO Estimates of Water and Sanitation Investment Costs and Benefits.....                  | 16  |
| Table 4.1   | Case Study Evaluation Criteria .....  | 74  |
| Table 4.2:  | Case Study Criteria Indicators of Consistency with Programme & Project Effectiveness..... | 75  |
| Table 4.3   | Structure of how the research recommendations will be presented .....                     | 81  |
| Table 5.1   | Project Delivery of Outputs.....  | 100 |
| Table 5.2   | Project Effectiveness Criteria Indicator Scores.....                                      | 108 |
| Table 5.3   | Evaluation Criteria Summary Scores .....  | 110 |
| Table 6.1:  | Project Delivery of Outputs and Results .....   | 123 |
| Table 6.2   | Project Effectiveness Criteria Indicator Scores.....                                      | 130 |
| Table 6.3   | Evaluation Criteria Summary Scores .....  | 132 |
| Table 7.1:  | Project Effectiveness Criteria Indicator Scores .....                                     | 148 |
| Table 7.2   | Evaluation Criteria Summary Scores .....  | 150 |
| Table 8.1:  | Project Effectiveness Criteria Indicator Scores .....                                     | 166 |
| Table 8.2   | Evaluation Criteria Summary Scores.....   | 168 |
| Table 9.1:  | Project Effectiveness Criteria Indicator Scores .....                                     | 181 |
| Table 9.2   | Evaluation Criteria Summary Scores.....   | 183 |
| Table 10.1  | RSAP Projects .....   | 196 |
| Table 10.2  | Project Effectiveness Criteria Indicator Scores .....                                     | 205 |
| Table 10.3: | Evaluation Criteria Summary Scores.....   | 207 |
| Table 13.1  | Summary of the Evaluation of Case Study Effectiveness .....                               | 242 |
| Table 14.1  | Research Findings: Conclusions and Reasons for UN effectiveness.....                      | 250 |
| Table 14.2  | Programmatic Elements of a Model EDPs Programme .....                                     | 259 |
| Table 14.3  | Implementation Modality Elements of a Model to Address EDPs .....                         | 260 |
| Table 14.4  | Expected Results from an Effective EDP Programme or Project .....                         | 262 |
| Table 14.5  | Recommendations .....   | 265 |

## List of Figures

|  |            |
|--|------------|
| <b>Figure 1.1: Polluted Water in Mali</b>  | <b>2</b>   |
| <b>Figure 1.2: People Using the Same Polluted Water</b>                              | <b>3</b>   |
| <b>Figure 1.3: A Steep Hillside in Rwanda</b>  | <b>4</b>   |
| <b>Figure 2.1 Environment-Development Goal Linkages</b>                              | <b>11</b>  |
| <b>Figure 4.1: Research Methodology Overview</b>                                     | <b>70</b>  |
| <b>Figure 4.2: Problem Tree Analysis</b>   | <b>80</b>  |
| <b>Figure 8.1. Programmatic Approach to Poverty-Environment Mainstreaming</b>        | <b>155</b> |
| <b>Figure 8.2. Progress Checklist for Poverty-Environment Mainstreaming</b>          | <b>157</b> |
| <b>Figure 10.1 SADC Water Sector and RSAP Governance and Management Arrangements</b> | <b>201</b> |