

**UNEP MTS Mid-Term Evaluation (MTE)
Effectiveness and Impact**

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Abbreviations

| | |
|---------|--|
| ACAD | Africa Carbon Asset Development |
| APAN | Asia Pacific Adaptation Network |
| APELL | Awareness and Preparedness for Emergencies on a Local Level Programme |
| CAP | Consolidated Appeal Process |
| CBFP | Congo Basin Forest Partnership |
| CC | Climate change |
| CCA | Common Country Assessment |
| CCAC | Climate and Clean Air Coalition to Reduce Short-Lived Climate Pollutants |
| CC DARE | Climate Change Adaptation and Development Initiative in Sub-Saharan Africa |
| CCM | Common Carbon Metric |
| CEB | UN Chief Executives Board for Coordination |
| CIEN | Chemical Information and Exchange Network |
| COP | Conference of Parties |
| CSD | Commission for Sustainable Development |
| CTCN | UNFCCC Climate Technology Centre and Network |
| DCPI | UNEP Division of Communications and Public Information |
| FAO | Food and Agriculture Organization of the United Nations |
| FI | Finance Initiative |
| DaO | UN Delivering as One |
| D&C | Disasters & Conflicts |
| DEL | UNEP Division of Environmental Law and Conventions |
| DEPI | UNEP Division of Environmental Policy Implementation |
| DEWA | UNEP Division of Early Warning and Assessment |
| DRC | UNEP Division of Regional Coordination |
| DRR | Disaster Risk Reduction |
| DTIE | Division of Technology, Industry and Economics |
| EA | Expected Accomplishment |
| EBA | Ecosystem-based adaptation |
| EC | European Commission |
| EG | Environmental Governance |
| EM | Ecosystem Management |
| EMG | Environment Management Group |
| EU | European Union |
| EO | UNEP Evaluation Office |
| FAO | UN Food and Agriculture Organization |
| GAELP | Global Alliance to Eliminate Lead Paints |
| GEF | Global Environment Facility |
| GEO | Global Environmental Outlook |
| GFEI | Global Fuel Economy Initiative |
| GPA | Global Programme of Action for the Protection of the Marine Environment from Land based Activities |
| GPWM | Global Partnership on Waste Management |
| GSWH | Global Solar Water Heating Market Transformation and Strengthening Initiative |
| HSHW | Harmful substances and hazardous waste |
| IEG | International Environmental Governance |

| | |
|-----------|--|
| IFSD | International Framework for Sustainable Development |
| IOMC | Inter-Organization Programme for the Sound Management of Chemicals |
| IPBES | Intergovernmental Platform on Biodiversity and Ecosystem Services |
| IRP | International Resource Panel |
| IUCN | World Conservation Union |
| KNOSSOS | Knowledge from Science to Societies |
| MEA | Multilateral environment agreement |
| MIF | Mediterranean Investment Facility |
| MTE | Mid-term Evaluation |
| MTS | UNEP Medium-Term Strategy |
| NCPC | National Cleaner Production Centre |
| OARE | Online Access to Research on the Environment system |
| PCDMB | UNEP Post-Conflict and Disaster Management Branch |
| PCFV | Partnership for Clean Fuels Vehicles |
| PEDRR | Partnership on Environment and Disaster Risk Reduction |
| PEI | Poverty Environment Initiative |
| POPs | Persistent organic pollutants |
| PoW | UNEP Programme of Work |
| PPR | Programme Performance Report |
| PSI | Principles for Sustainable Insurance |
| REGATTA | Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean |
| RE-SCP | Resource efficiency – sustainable consumption and production |
| SAICM | Strategic Approach to International Chemicals Management |
| SAICM QSP | SAICM Quick Start Programme |
| SANA | Situation Analysis and Needs Assessment |
| SBCI | Sustainable Building and Climate Initiative |
| SCAF | Seed Capital Assistance Facility |
| SG | Secretary-General |
| SME | Small and medium-sized enterprise |
| SP | Sub-programme |
| TEEB | Economics of Ecosystems and Biodiversity |
| TOC | Theory of Change |
| UNCT | UN country teams |
| UNDAF | UN Development Assistance Frameworks |
| UNDESA | United Nations Department of Economic and Social Affairs |
| UNDG | UN Development Group |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNFCCC | United Nations Framework Convention on Climate Change |
| UNIDO | United Nations Industrial Development Organization |
| UNODC | United Nations Office on Drugs and Crimes |
| UN-REDD | United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries |
| WCMC | World Conservation Monitoring Centre |
| WHO | World Health Organization |
| 10YFP | 10-Year Framework of Programmes on Sustainable Consumption and Production |

1. Introduction

1. This chapter examines UNEP's effectiveness and impact across all six Medium-Term Strategy (MTS) sub-programmes. The assessment of effectiveness discusses the achievement of immediate outcomes, the level of results that can be realistically expected after an implementation period of two years, and progress towards intermediate states.¹ The impact assessment discusses the likelihood of UNEP interventions bringing about a fundamental and durable change in the condition of people and their environment. To this intent, the evaluation has identified assumptions and impact drivers required for converting immediate outcomes into eventual impact - via intermediate states.²
2. The assessment builds on the drafts of two in-depth evaluations of the UNEP Environmental Management and Disasters & Conflict sub-programmes³ as well as an independent review of the remaining four UNEP sub-programmes on Climate Change, Harmful Substances and Hazardous Waste, Resource Efficiency - Sustainable Consumption and Production, and Ecosystem Management⁴.
3. The review of the four sub-programmes reflects the status at the end of the 2010/2011 biennium. It takes into consideration results achieved thanks to projects approved under the Programme of Work (PoW) 2010/2011, including those building on activities initiated during earlier planning cycles. The evaluation does not look at the contribution of UNEP's Global Environment Facility (GEF) portfolio to MTS objectives.
4. In conducting the review, the evaluation team drew on data from the following sources:
 - ▶ data provided in UNEP Programme Performance Reports (PPRs) 1-4;
 - ▶ interviews with UNEP staff responsible for and involved in delivering PoW Outputs (Annex I); and
 - ▶ reports, publications and websites, albeit recognizing that the purpose of the latter usually is to promote a certain approach, concept or tool and not to critically review the effectiveness of the project under which the approach, concept or tool was being developed or adapted (Annex II)

Surveys were considered, but not conducted in order not to overburden stakeholders, given the parallel OIOS evaluation of UNEP making extensive use of this data collection method.

5. The review of the four sub-programmes has three major limitations. Findings are therefore preliminary pending further verification and investigation by forthcoming in-depth sub-programme evaluations. First, across all sub-programmes, evaluative evidence on outcomes under the MTS is very weak: While few projects concluded during the 2010/2011 biennium have been subject to independent project evaluations, projects approved during the 2010/2011 biennium have not yet been evaluated.⁵ Second, it not being the intention to take an evaluative approach that comprehensively researches different sources of information and influences, including external stakeholders and beneficiaries, it was not realistic for the review to systematically address all expected results, provide evidence for the complex issue of causal attribution or sufficiently provide reasons for accomplishments or difficulties. Third, data has in its entirety been collected from UNEP-internal sources. This cautions against a certain positive bias.

¹ Immediate outcomes are defined as short to medium-term behavioural or systemic effects that projects contribute towards, and that are designed to help achieve the project's impacts. Intermediate states are defined as the transitional conditions between the project's outcomes and impacts that must be achieved in order to deliver the intended impacts (The ROTI Handbook, pii).

² Drivers and assumptions are those external factors or conditions that need to be present for change to happen along the causal pathways of the Theory of Change from outputs over outcomes to impacts. Drivers are factors over which UNEP can exercise a certain level of control and which can therefore be influenced. Assumptions are factors which the Organization cannot influence.

³ See respective evaluation reports for more information about the methodologies applied.

⁴ The evaluation team leader, Rob Malpas, contributed the section on ecosystem management.

⁵ The UNEP Evaluation Office (EO) rated the performance of 37 projects based on project evaluations. However, projects included in the review were either GEF-funded (23) and/or no longer active in the 2010/2011 biennium, and are therefore outside the scope of the present evaluation (Evaluation Synthesis Report 2010/2011, p34). For the list of 37 project evaluation reports, see Evaluation Synthesis Report, p67-70.

6. In summary, the following analysis methodology was applied to assess the effectiveness and impact of the four sub-programmes climate change, resource efficiency - sustainable consumption and production, harmful substances and hazardous waste, and ecosystem management:
- ▶ Development of simple Theories of Change (TOC) at sub-programme level, primarily based on original logic and wording provided by the inter-governmentally-agreed results framework set out in the MTS and PoW 2010/2011, with necessary adjustments to improve coherence⁶
 - ▶ Synthesis of outputs delivery and progress towards achieving higher-level results reported in PPRs 1-4
 - ▶ Classification of reported results achieved that - based on available information - can be credibly linked to UNEP
 - ▶ Beginning with UNEP Sub-Programme Coordinators, interviews with UNEP staff
 - ▶ Amalgamation of data by sub-programme around immediate outcome areas
 - ▶ Identification of preliminary findings for further investigation and verification by forthcoming in-depth sub-programme evaluations

2. Looking Back: Assessment of Effectiveness

7. The following sections assess the achievement of immediate outcomes and to what extent progress has already been made towards intermediate states as identified in sub-programme TOCs, used as the basis for assessment.
8. The evaluation was requested to include a review of UNEP contributions to gender equality and women's empowerment. However, the team is required to point out the overall finding on effectiveness of the 2012 Review of Gender Mainstreaming in UNEP: "UNEP is having difficulty in successfully demonstrating its contribution to this endeavour. UNEP projects are unable to demonstrate their contribution to promoting gender equality mainly due to lack of substantive gender considerations in project design and implementation, lack of sex-disaggregated and gender-specific information in monitoring and reporting, and lack of attention to gender dimensions in UNEP evaluations." PPR4 features gender in a specific section entitled "Integrating Gender Perspective into Programme Implementation", but only to highlight the number of projects that have integrated gender actions into their project activities (72) or incorporated gender-specific activities (2), without indicating their affiliation to a particular sub-programme or discussing concrete outcomes. It is therefore not possible to pronounce any views on UNEP's effectiveness in terms of gender equality and women's empowerment.

2.1 Climate Change

9. As set out in the MTS and the PoW 2010/2011, the Climate Change (CC) Sub-programme is structured around four themes: i) adaptation, ii) mitigation, iii) reducing emissions from deforestation and degradation, and iv) science and outreach. Its results framework builds on five Expected Accomplishments (EAs), four of which are situated at the intermediate state level, with EA(e) pitched at the immediate outcome level. Based on the results statements and intervention strategy, the evaluation has constructed a simple TOC against which to assess progress.⁷ Annex III visualizes the TOC for the CC Sub-programme while - for ease of reference - highlighting the EAs from the original results framework.
10. This section assesses the extent to which UNEP interventions are making a difference according to three interconnected immediate outcome areas:

⁶ UNEP has been constrained to work with a less-than-ideal results framework. In 2011, the EO conducted a Formative Evaluation of the MTS. An important finding is that EAs were pitched at different results levels. In addition, the Formative Evaluation called into question the validity and usefulness of EA-level indicators. It also observed that a high proportion of PoW 2010-2011 Outputs were inappropriately framed, i.e. formulated as outcomes rather than outputs, presenting significant challenges for monitoring and reporting on progress. As a result, the Evaluation concluded that, like the EA-level indicators, PoW Output indicators presently do not provide a credible means of capturing the aggregate performance of all projects contributing to a PoW Output.

⁷ The ToC forms the basis for the performance assessment. It was constructed on the basis of a review of strategic documents. The TOC shows the causal linkages between changes at different results levels. It identifies the expected immediate outcomes of UNEP's work and the intermediate states between these outcomes and desired environmental impact.

- ▶ National capacities to conduct adaptation planning and measures are built and strengthened;
- ▶ Capacities to take sound decisions regarding low carbon and clean energy sources and technology alternatives are strengthened and access to finance for renewable technologies is facilitated; and
- ▶ Countries' information and knowledge-base for reducing emissions from deforestation, while ensuring that forests provide multiple benefits for livelihoods and biodiversity, is enhanced.

National capacities to conduct adaptation planning and measures are built and strengthened

11. Climate change adaptation, with a specific focus on ecosystem-based adaptation (EBA), is a relatively new idea and area of work for UNEP. Under the PoW 2010/2011, UNEP has built and strengthened capacities to conduct adaptation planning and measures. It has done so in numerous countries, through regional interventions and in collaboration with partners, including from the UN development system. Capacity-building activities targeted a range of stakeholders, from public officials, private sector representatives participating in regional climate change networks in Africa and Asia⁸, to indigenous communities in the Nicaragua Bosawa Biosphere Reserve⁹. A particular focus, although still in its start-up phase, has been on mountain ecosystems.¹⁰
12. *Going beyond immediate outcomes*, there are some examples where increased capacities have contributed to adaptation planning and preventive actions being incorporated into national development planning and policy processes (intermediate state & EA(a)). CC DARE¹¹, in collaboration with the UN Development Programme (UNDP), seems to have been particularly effective in this regard. For instance, a CC DARE project in the Seychelles has reportedly resulted in the Ministry of Education adopting legislation on the integration of rainwater harvesting into building codes as well as on rainwater harvesting in schools. CC DARE also inspired the establishment of the Climate Change Adaptation Unit within the Environmental Protection Agency in Ghana and contributed to the finalization of a Climate Change Adaptation Strategy. Furthermore, in Senegal, the Ministry of Finance is integrating climate change adaptation into national planning and budgeting using tools developed under CC DARE activities.

Capacities to take sound decisions regarding low carbon and clean energy sources and technology alternatives are strengthened and access to finance for renewable technologies is facilitated

13. UNEP has considerable experience in the area of climate change mitigation, and in particular in the field of clean technology. Most recent highlights at the beginning of 2012 are the launch of the UN Secretary-General's (SG) global initiative Sustainable Energy for All¹², which UNEP helped to shape, and the decision for UNEP to host the UNFCCC Climate Technology Centre and Network (CTCN), an indication of confidence in the Organization's capabilities.
14. Evidence suggests that UNEP-supported global initiatives, partnerships and networks have played an important role in enhancing decision-making capacities. Throughout the 2010/2011 biennium, UNEP provided governments and other stakeholders with evidence and advice on mainstreaming and advancing renewable energy. Highlighted examples are the en.lighten initiative¹³, the Partnership for Clean Fuels Vehicles (PCFV)¹⁴ and

⁸ At the regional level, UNEP supported the establishment and work of climate change networks to help understand vulnerability patterns, exchange adaptation knowledge and good practices and provide capacity building in view of influencing national development planning and policy processes. UNEP supported the Asia Pacific Adaptation Network (APAN) (www.apan-gan.net) and the Adaptation Knowledge Platform for Asia (www.climateadapt.asia). This support resulted in, among other things, training needs assessments and training modules for the agriculture sectors in Bangladesh, Cambodia, Lao PDR, Mongolia and Nepal. REGATTA, the Regional Gateway for Technology Transfer and Climate Change Action in Latin America and the Caribbean, launched in October 2010, held a first regional roundtable in April 2011 followed by a number of other events to exchange knowledge.

⁹ Activities with indigenous communities in the Nicaragua Bosawa Biosphere Reserve have raised awareness of climate change and facilitated the sharing of traditional knowledge in order to strengthen their understanding of the possible impacts of climate change on livelihoods and wellbeing and enhance local actions to adapt to climate change impacts.

¹⁰ In December 2010, UNEP, UNDP and the World Conservation Union (IUCN) launched the four-year Joint Ecosystem-Based Adaptation in Mountain Ecosystems Programme (www.ebaflagship.org), focusing services on Nepal, Peru and Uganda to help countries build resilience through ecosystems-based adaptation measures.

¹¹ www.ccdare.org.

¹² The initiative brings key actors to the table to make sustainable energy for all a reality by 2030. It was launched globally in January 2012; www.sustainableenergyforall.org.

¹³ GEF-funded and therefore not further elaborated.

the Global Fuel Economy Initiative (GFEI)¹⁵. A MTE¹⁶ of the UNEP-facilitated South-East Asian Climate Change Focal Point Network concludes that the project has been somewhat effective in that - after two years of implementation - a network has been built, although confined to a relatively small circle of participants, and responsible government officials and other stakeholders have attended meetings and capacity-building activities on especially energy-related mitigation tools.

15. As concerns access to finance for renewable technologies, the second element of this immediate outcome area, current estimates indicate that UNEP helped to mobilize over USD200 million during the 2010/2011 biennium for clean energy projects: The Organization's involvement in the Seed Capital Assistance Facility (SCAF), established towards the end of 2010, is estimated to have stimulated over USD150 million in investments. In addition, USD63 million is the total leveraged from the public and private sectors under the Global Solar Water Heating Market Transformation and Strengthening Initiative (GSWH¹⁷) and the Mediterranean Investment Facility (MIF).¹⁸ Moreover, the public-private partnership Africa Carbon Asset Development (ACAD) Facility¹⁹, spearheaded by UNEP, was scaled up in late 2010 to include provision of grant funding for five additional projects. Out of some 74 project applications received from 20 countries, 15 projects in nine countries²⁰ were selected to receive targeted ACAD grant support covering a wide range of technologies and sectors.
16. *Going beyond immediate outcomes*, the evaluation finds that increased capacities and funding have contributed to countries making sound policy, technology and investment choices and deploying improved/phasing out inefficient technologies (intermediate state & EA(b) and EA(c)). At the policy level, the UNEP/UNDP Poverty-Environment Initiative (PEI)²¹ has contributed, amongst other things²², to the inclusion of climate issues in Bangladesh's Sixth Five-Year Plan 2011-15; to the establishment of the Rwanda National Climate and Environment Fund and the integration of climate change in Rwanda's 2nd Economic Development and Poverty Reduction Strategy; as well as to the institutionalization of the Environment-Climate-Poverty Mainstreaming Reference Group and the integration of environment-climate-poverty concerns into national and sectoral key results areas of the 11th Plan in Bhutan. Particular achievements in terms of improved technologies are the deployment of solar water heating in Tunisia²³, the effective phasing out of lead in gasoline as a result of PCFV²⁴, and the adoption of vehicle efficiency standards in Vietnam and the Philippines as part of GFEI.

Countries' information and knowledge-base for reducing emissions from deforestation, while ensuring that forests provide multiple benefits for livelihoods and biodiversity, is enhanced

17. UN-REDD, the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries²⁵, is the vehicle for achieving this particular outcome. UN-REDD builds on the convening role and technical expertise of UNEP, UNDP and the UN Food and Agriculture Organization (FAO). It convenes stakeholders at the global level and supports nationally-led, participatory country programmes to catalyse the transformation of forest systems.
18. By the end of 2011, UN-REDD had attracted the interest of additional 21 countries, thus augmenting the number of partner countries from across Africa, Asia-Pacific and Latin American and the Caribbean, benefiting from global-level work, to 42. In addition, UN-REDD expanded beyond the initial nine pilot countries to provide support for 14 countries, of which 13 had presented and had funding allocations approved for their national

¹⁴ Elaborated under the HSHW Sub-programme assessment below.

¹⁵ UNEP involvement since 2009. www.globalfueleconomy.org.

¹⁶ Mid-term Evaluation of the Southeast Asian Climate Change Focal Point Network Project, June 2011.

¹⁷ GEF-funded.

¹⁸ Financial data source: PPR4.

¹⁹ Established late 2009. www.acadfacility.org.

²⁰ Burkina Faso, Kenya, Mali, Mauritius, Mozambique, Nigeria, Rwanda, South Africa and Uganda.

²¹ www.unpei.org.

²² See UNEP Environmental Governance Sub-programme Evaluation Report.

²³ 133,340 households have reportedly installed solar water heaters as a result of the PROSOL project funded through MIF.

²⁴ See findings for the HSHW Sub-programme.

²⁵ Launched in 2008. www.un-redd.org; also see UN-REDD Programme 2011 Year in Review.

programmes by the UN-REDD Policy Board. Together, they are reportedly home to 12 per cent of the world's tropical forests.

19. *Going beyond these immediate outcomes*, funds are being used to implement national programmes, i.e. to develop and implement national REDD+ strategies to transform countries' forest systems (intermediate state & EA(d)). Partner countries are reportedly in various stages of implementation. Indonesia, Vietnam and the DRC are amongst those considered most advanced. Only one country programme has been subject to evaluation so far. A MTE of the Tanzania UN-REDD programme²⁶ found that while the objectives of the programme remain highly relevant, it was hampered by limited national ownership, weak national leadership and limited national capacity on technical aspects. Furthermore, numerous management issues had caused delays in programme implementation and the number of multilateral and bilateral engagements had created coordination challenges. Overall, the evaluation assessed the programme as "unsatisfactory, with positive elements".

2.2 Disasters and Conflicts

20. To ultimately have an impact on the sustainability of environmental benefits and livelihoods, the Disasters & Conflicts (D&C) Sub-programme, in the medium term, is expected to contribute to improved and equitable environmental management and governance for disaster risk reduction, improved environmental emergency response, conflict prevention and peace building, and environmental recovery in supported countries. UNEP's efforts focus on building different dimensions of capacity in countries vulnerable to disasters and conflicts, as the immediate outcomes, so that environmental management and governance can be improved. On the basis of a reconstructed TOC²⁷, the evaluation identified six immediate outcomes corresponding to different dimensions of country capacity for environmental management and emergency preparedness.
21. This section assesses the extent to which UNEP interventions are making a difference according to six inter-connected immediate outcome areas:
 - ▶ Raised awareness and better information on environment-disaster and environment-conflict linkages;
 - ▶ Improved environmental and emergency preparedness strategies and planning;
 - ▶ Improved policies for environmental management;
 - ▶ More adequate environmental regulatory framework;
 - ▶ Enhanced environmental management skills; and
 - ▶ Stronger environmental institutions.

Raised awareness and better information on environment-disaster and environment-conflict linkages

22. The D&C Sub-programme has been very successful in enhancing availability and access to environmental information in the aftermath of disasters and conflicts by delivering quality post-crisis environmental impact assessments in numerous crisis-affected countries. Increasingly, professional communication strategies and plans have helped ensure that newly generated information was accessed and internalized by the right target audiences. Assessment results were usually well accepted, sometimes even by opposing parties, because UNEP was widely believed to provide neutral and independent, science-based information.
23. Within the period covered by the evaluation, most in-depth assessments by the UNEP Post-Conflict and Disaster Management Branch (PCDMB) were conducted in post-conflict countries and their reliability and usefulness was overall considered very high. Assessments have also laid the foundation for UNEP's continued post-conflict recovery support to some countries such as Sudan, Afghanistan and Sierra Leone. In-depth post-crisis assessment reports are usually well written and illustrated. Some country-level stakeholders were directly involved in assessments and field research and should have acquired new skills through that involvement. The sub-programme has missed opportunities to capitalize on more than twelve years of post-crisis assessment experience. An exception to this has been in the "preventive" Programme Framework 1 where significant

²⁶ Mid-term evaluation of the UN-REDD Programme – Tanzania Quick Start Initiative, adopted by the Programme Coordination and Management Group (PCMG) of the UN-REDD Tanzania Country Programme on 23 May 2012.

²⁷ See evaluation report.

attention was given to the development of assessment tools, their demonstration in a limited number of pilot countries and their dissemination through publications and training.

Improved environmental and emergency preparedness strategies and planning

24. UNEP has provided technical assistance and training to several governments of natural disaster and conflict-affected countries for improving environmental and emergency preparedness strategies and planning. The evaluation is quite confident that UNEP post-crisis assessments, sometimes followed by more specific field research on environment-conflict or -disaster linkages, have also influenced strategies and planning by raising awareness and understanding among decision makers. During the period under review, UNEP supported several disaster-affected countries in integrating environmental needs and priorities into recovery plans and, in a few cases, UNEP's support went further and led to the preparation of stand-alone environmental recovery strategies. Also in post-conflict programme countries, UNEP has in some instances supported government agencies directly with the development or up-dating of general and sector-specific environmental strategies and plans. The D&C Sub-programme has also directly promoted the use of assessment information for disaster risk reduction (DRR) planning in a limited number of countries, supported emergency preparedness planning as part of local Awareness and Preparedness for Emergencies on a Local Level Programme (APELL) demonstrations, both in industrial parks and coastal tourism sites, and advised on the design of local, coastal protection projects. Planning for DRR has been indirectly supported as well, through a training initiative on Eco-DRR in partnership with the Partnership on Environment and Disaster Risk Reduction (PEDRR).

Improved policies for environmental management

25. UNEP post-crisis assessments and occasional field research on more specific themes are likely to have influenced policy making towards more sustainable environmental management. In a few post-conflict countries, UNEP has also provided direct policy advice, in particular on how to integrate assessment and field research recommendations in environmental policy. Understandably, direct policy support was concentrated in those countries where UNEP has a longer-term country presence because policy work usually requires long-term engagement and close collaboration and trust relationships with the relevant decision makers.

More adequate environmental regulatory framework

26. The D&C Sub-programme has contributed to enhancing environmental regulatory frameworks in a handful of post-crisis countries aiming at reducing the environmental impact of disasters, conflicts and reconstruction efforts, as well as promoting more sustainable post-crisis reconstruction. UNEP assisted governments with improving a quite varied and dispersed set of laws, regulations, technical standards and guidelines. In post-conflict country programmes, UNEP also managed to influence regulatory frameworks through its assessments, research, advocacy and, sometimes, direct technical assistance. In some cases, UNEP played an advisory role in key regulatory processes led by other development partners.

Enhanced environmental management skills

27. Better awareness and understanding through assessments, field-research and training courses have contributed to enhanced technical and managerial skills in supported countries. This immediate outcome was achieved to a certain extent where UNEP provided technical advice to efforts led by national and local stakeholders, such as in demonstration sites, where pilot project stakeholders received technical coaching during the practical implementation of UNEP-promoted environmental management and industrial emergency preparedness approaches. Generally speaking, skills development has usually not been comprehensive in terms of whose skills were built or of what kind of skills were built. Most attention was given to policy and planning skills, while assessment, management, monitoring and enforcement skills have received less attention. Across the post-conflict country programmes, skills were built for staff of a rather limited number of government agencies and other national partners in varied fields such as field research, community-based environmental planning, conduct of awareness campaigns, development of laws and regulations, and verification of compulsory environmental impact assessments by extractive industries. UNEP's direct engagement in environmental restoration and management projects in post-disaster situations has been rather limited and mainly focussed on the same countries where assessments and policy/planning support has been provided. In those quite dispersed cases, UNEP provided very specific technical advice to government and communities engaged in restoration and

reconstruction efforts, contributing to their implementation skills. In the area of DRR and environmental emergency preparedness, implementation skills were built in many demonstration sites.

Stronger environmental institutions

28. UNEP has contributed to strengthening of environmental institutions in those crisis-affected countries where UNEP has a longer-term country presence. Understandably, no institutional support was provided in the area of DRR because of the typically shorter, more localized and less intensive country engagement strategy in the countries supported by the DRR teams.

2.3 Ecosystem Management

29. The Ecosystem Management (EM) Sub-programme differs from most other MTS sub-programmes in that it is built around a set of approaches - grouped together under the broad concept of ecosystem management - rather than addressing a specific set of environmental challenges, such as climate change, harmful substances, disasters and conflicts, etc. This has two important implications: firstly, ecosystem management approaches are also important to several other sub-programmes, with the result that there is a significant amount of overlap and complementarity between the EM Sub-programme and other sub-programmes such as Climate Change or Disasters & Conflicts, and secondly, the EM Sub-programme inevitably aggregates a wide range of different thematic areas or issues to which ecosystem management principles can be applied - such as biodiversity, marine and coastal areas, freshwater areas, etc.
30. In this regard, the EM Sub-programme can best be regarded as a matrix, with different components of the ecosystem management approach on one axis, and different thematic areas to which the approach can potentially be applied on the other. This matrix is illustrated in Figure 1 below. In practice during the current MTS cycle, the MTS results framework for the EM Sub-programme has been aligned with the vertical "approach" axis, with three EAs relating to different dimensions of the EM approach, namely: a) building awareness and capacity of countries and regions to adopt the ecosystem approach - referred to by the EM Sub-programme as "Making the Case"; b) Developing and applying ecosystem management tools for assessing, restoring and managing ecosystems; and c) mainstreaming ecosystem management approaches into development and economic planning and investment decisions.

Figure 1. The matrix underlying the Ecosystem Management Sub-programme, comprising of major ecosystem management approaches and key EM Sub-programme thematic areas

| | | Major EM Sub-programme Thematic Areas | | | |
|---------------------------|--|---------------------------------------|------------------------|-----------------------|--------------|
| Major EM Approaches (EAs) | | Marine & Coastal Ecosystems | Terrestrial Ecosystems | Freshwater Ecosystems | Biodiversity |
| a) | Making the Case | [Shaded] | [Shaded] | [Shaded] | [Shaded] |
| b) | Developing and applying ecosystem management tools and methodologies | [Shaded] | [Shaded] | [Shaded] | [Shaded] |
| c) | Mainstreaming in national economic and development processes | [Shaded] | [Shaded] | [Shaded] | [Shaded] |

31. Cutting across these three approach-oriented EAs, UNEP has in practice been implementing a wide range of broad thematic initiatives that inevitably contribute to multiple PoW Outputs and multiple EAs. For example, UNEP has a comprehensive, well-established and highly regarded programme of activities on marine and coastal ecosystems led by DEPI's Freshwater and Marine Ecosystems Branch, covering a variety of initiatives such as the Marine Ecosystems Unit, the Global Programme of Action for the Protection of the Marine Environment from Land based Activities (GPA), and the Regional Seas Programme. These initiatives align with the thematic

(horizontal) dimension of the matrix in Figure 1, but the activities and outputs that they deliver inevitably cut across all three of the EM approaches (or MTS EAs) in the vertical arm of the matrix. However, because of the way in which UNEP's results framework and resource allocation mechanisms are currently structured, in practice the projects implemented under each thematic area must for administrative, financial and reporting purposes be attributed to a single EA or even a single PoW Output. For example, in the case of the marine and coastal thematic area, the majority of the projects implemented under this theme are attributed to PoW Output #323: "Integrated marine management mechanisms are developed and networks of Marine Protected Areas are promoted", because that is the only EM Sub-programme PoW Output that explicitly addresses marine issues.

32. In hindsight, the alignment of the EM Sub-programme results framework with the EM approaches dimension of the matrix has in practice undermined UNEP's ability to deliver effectively and efficiently on the sub-programme. Rather, it would have been more appropriate for the sub-programme results framework to have been aligned with the major thematic areas as illustrated in Figure 1 above, and to have adopted the ecosystem management approaches as major cross-cutting principles underpinning programme delivery, to be reflected in the causal logic and design of all projects delivered through the sub-programme. This lesson learnt has already been taken on board in the design of the new MTS 2014-17 and the PoW 2014-2015, in which the EM Sub-programme results framework is now primarily aligned with priority thematic areas, as opposed to ecosystem management approaches. This evaluation fully supports the planned realignment of the EM Sub-programme results framework.
33. The EM Sub-programme TOC developed as part of this evaluation established three immediate outcomes for the EM Sub-programme during the current period, each of which is aligned with the three EM Sub-programme EAs. The achievements against each of the identified immediate outcomes are discussed below.

Building awareness and capacity

34. This immediate outcome focusses on making the case for incorporating an ecosystem approach into national planning processes to enhance human wellbeing. UNEP's work in this regard has chiefly revolved around the development and testing of specific ecosystem management and assessment tools and methodologies for freshwater, terrestrial and marine ecosystems. This has included support for the development of integrated water resource management plans for seven African countries, and the development of pilot terrestrial ecosystem management projects in both Kenya and Haiti. In Kenya, UNEP has supported the implementation of practical ecosystem management and community-based forest management approaches spearheaded through the development and implementation of the Mau Forest management plan and related follow-on initiatives. In Haiti, UNEP is working to support the recovery and development of rural Haiti through two pilot initiatives: the Haiti Regeneration Development and Support Programme and the Haiti Southwest Sustainable Development Project. At the regional level, UNEP has provided support for the development of regional cooperation to manage trans-boundary ecosystems. In the Himalayas, UNEP is supporting the development of a transboundary framework for conservation and sustainable development of the Mount Kailash Sacred Landscape region of Nepal, India and China. In the Congo River Basin, UNEP is working with Congo Basin Forest Partnership (CBFP) to conserve 29 protected areas, and promote sustainable forestry and community-based conservation in 11 priority landscapes. In the Zambezi River Basin, UNEP has worked with the Southern Africa Development Community and the Zambezi Basin Commission to develop a decision support system aimed at attenuating floods and droughts on the Zambezi River for the benefit of the ten countries sharing the river basin. At the international level, UNEP has developed a global outreach strategy designed to raise awareness and understanding of decision-makers and the public of the concepts of ecosystem management.

Developing and applying ecosystem management tools

35. This immediate outcome has focused on assisting governments to implement a range of ecosystem assessment and management tools, including Integrated Ecosystem Assessments and Sub-Global Ecosystem Assessments. UNEP has assisted numerous countries in developing biodiversity assessment indicators within the framework CBD global biodiversity indicators, and has developed and tested tools and methodologies for integrated marine and coastal management in several pilot areas. This outcome also incorporates UNEP's work to support the establishment of marine protected areas and a wide range of marine and coastal initiatives that are being implemented under the auspices of the Marine Ecosystems Unit, the Regional Seas Programme and the GPA. Work towards achieving this outcome also includes transboundary collaboration initiatives reported under the

previous outcome, such the Mount Kailash transboundary initiative, as well as support for Côte d'Ivoire and Liberia in establishing transboundary corridors between the Tai and Sapu National Parks.

Mainstreaming ecosystem management approaches

36. This immediate outcome is being addressed through several important projects, including the Economics of Ecosystems and Biodiversity (TEEB) project, which is designed to promote the conservation of biodiversity, ecosystems and ecosystem services by demonstrating their real economic values, and which has now been implemented at the national level in a number of countries. Other important initiatives include: UNEP's support for the establishment and operation of the Intergovernmental Platform on Biodiversity and Ecosystem Services (IPBES) which aims to provide policymakers with credible and independent scientific information concerning the status and valuation of biodiversity and ecosystem services; UNEP's work stream on Biodiversity and Ecosystem Services under the UNEP Finance Initiative, which is working with 23 leading global financial institutions to address the challenges arising from the loss of biodiversity and the degradation of ecosystem services; and the development of the Millennium Ecosystem Assessment Manual, which aims to make the MA assessment tools and methodologies widely accessible to policymakers. The MA Manual is currently being rolled out in 6 countries.
37. Despite the strong progress that the EM Sub-programme has been making at the output and immediate outcome level, the programme has faced challenges in achieving the EAs defined in the MTS, in particular in gaining buy-in, adoption and mainstreaming of ecosystem management approaches at the national level. One factor is that tools and methodologies that UNEP has developed at the ecosystem level may not be easily mainstreamed at the national level. Another is that the mainstreaming of ecosystem management approaches at the national level is largely beyond UNEP's mandate and resources. In addition, the integration of ecosystem management approaches at the national level is necessarily a long-term process that cannot easily be achieved in the two years of the current MTS under review. To overcome these obstacles, UNEP needs to put stronger emphasis in future EM Sub-programme project design on building partnerships with national governments as well as with other development agencies such as UNDP, in mainstreaming ecosystem valuation into national development and economic planning and in rolling out the tools and methodologies that the EM Sub-programme has already developed.

2.4 Environmental Governance

38. The Environmental Governance (EG) Sub-programme is articulated around four pillars and associated four EAs, i.e.: i) international cooperation; ii) strengthened national laws and institutions; iii) international policy setting and technical assistance; and iv) access to sound science for decision-making. This section assesses the extent to which UNEP interventions are making a difference according to the four EAs.

The UN system progressively achieves synergies and demonstrates increasing coherence in international decision-making related to the environment, including those under multilateral environmental agreements

39. Advances on the International Environmental Governance (IEG) and International Framework for Sustainable Development (IFSD) agendas are a good example of UNEP contribution towards improving UN system coherence. In particular, UNEP has played a crucial role in advancing options within the Nairobi-Helsinki process, subsequently transmitted to UNEP GC and UN General Assembly. UNEP has been able to mature different options for global EG and succeeded in putting IEG at the centre of the IFSD debate. Regional fora facilitated dialogue among countries, which had the chance to express their opinions on IEG and the future of UNEP.
40. As for engagement in UN inter-agency coordination mechanisms, while there is effort, UNEP is considered to have insufficiently linked up to development issues and to have worked alone too much. In terms of concrete outputs, UNEP, as co-chair of the Environment Management Group (EMG), contributed to a stocktaking of collaborative initiatives and actions within the UN system in the field of environment²⁸, which subsequently fed into the Nairobi-Helsinki process mentioned above. It facilitated the inventory of emissions for 49 UN entities in

²⁸ UNEP 2011 Environment in the UN Report GC26/INF/23.

view of the move towards a climate-neutral UN. UNEP's participation in the EMG also led to the development of joint initiatives for assisting country transitions towards green economies as well as to the design of a post-2010 biodiversity agenda.

41. In addition, UNEP has been instrumental in the design and set-up of Multilateral Environment Agreements (MEAs). Yet, there is little evidence of progress towards synergies in MEA policy and practice and facilitation of MEAs implementation. Promoting synergies among MEAs is a complex process influenced by factors outside UNEP's control. Moreover, funds appear to have been mainly used to service meetings and to support MEA focal points. Substantive support includes updating assessments and indicators, providing technical advice and capacity building for MEA implementation, and assisting secretariats to prepare meeting agendas. This has helped to ensure that key issues identified by UNEP are reflected in MEA work programmes and to raise UNEP's profile at COP meetings. A significant UNEP-led success was the consolidation of MEAs on chemicals and hazardous waste under one Executive Secretary. Another step towards greater synergies was the simultaneous extraordinary Conference of the Parties to the Stockholm, Rotterdam and Basel Conventions in February 2010 that adopted a decision on joint services, joint activities, synchronisation of budget cycles, joint managerial functions and review arrangements. Another important development was the launch of InfoMEA, an information portal on treaty decisions created to facilitate collaboration within MEAs, namely the biodiversity, chemicals and waste and climate change clusters. MEA secretariat representatives and NGOs consider InfoMEA a good step forward with better chance of success than previous information consolidation and sharing efforts.

The capacity of states to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions is enhanced

42. Funding constraints and institutional reforms have affected performance and achievement levels under this EA. UNEP's most important contribution to environmental governance has been its early warning support in bringing emergent legal and policy issues to the attention of states and inter-governmental organizations, leading to initiatives addressing human rights and the environment, country negotiation capacities for MEAs, training of the judicial sector, and national compliance/enforcement of environmental legislation and international environmental agreements.
43. Furthermore, evidence suggests that 22 governments have drafted policy and legislative proposals with UNEP support, and that ten countries have taken measures to develop new legislation, strengthen existing laws or incorporate environmental aspects to sector laws. Another important contribution is the integration of environmental legislation to facilitate MEA implementation at country level. With the World Conservation Monitoring Centre (WCMC), UNEP has promoted integrated MEA reporting by countries to rationalize institutional efforts, encourage better communication and improve knowledge management.
44. The Montevideo Programme for the Development and Periodic Review of Environmental Law (Montevideo IV) has led to a new international treaty on mercury, legal work on freshwater resources that has guided regional inter-governmental organizations in managing trans-boundary water basins, and improved negotiation capacities for parties to the United Nations Framework Convention on Climate Change (UNFCCC). Moreover Montevideo IV played an important role in the UNEP GC's recent adoption of Guidelines for Compensation Liability and Public Participation and Access to Justice. Studies²⁹ conducted through Montevideo IV also led to the adoption of UNEP guidelines for drafting national environmental legislation. The programme has recommended a number of actions to governments and MEA Secretariats. The extent to which they have been implemented or have had an impact is not documented.
45. A mid-term review of the ACP/MEA project found that UNEP has contributed to increased ratifications of MEAs and related regional agreements such as the Maputo Convention, and built momentum towards convening the first COP to the Bamako Convention, adopting a Protocol on Land-based Sources of Pollution to the Abidjan Convention, and developing enabling legislation and regulatory frameworks for POPs.

²⁹ The documents are Guidelines for the Development of National Legislation on Access to Information, Public Participation and Access to Justice in Environmental Matters (2009); and Guidelines for the Development of Domestic Legislation on Liability, Response Action and Compensation for Damage caused by Activities Dangerous to the Environment (2009). Both were adopted by UNEP's Governing Council at its 11th Special Session and distributed to member States.

National development processes and UN common country programming processes increasingly mainstream environmental sustainability in the implementation of their programmes of work

46. UNEP has contributed to the work of UN country teams (UNCTs) and has bolstered the environmental components of Delivering as One (DaO) programmes and UN Development Assistance Frameworks (UNDAFs). UNEP has distributed environmental data and information to inform Common Country Assessments (CCAs), supported the formulation of planning documents (and related matrices of results), coordinated Working Group meetings, and provided training to UNCTs. UNEP's performance has improved in terms of scope of its activities and effectiveness. The number of countries supported in each biennium has moved from 19 in 2006/07 to 30 in 2008/09 and 2010/11. The increased participation in country-level programming processes has allowed UNEP to advocate for ES and CC adaptation and to offer its expertise to staff in the UN system and others at local level. UNEP presence at country level has made a big difference. It allowed participation in all key meetings and to co-chair the ETGs whenever formed. It influenced the articulation of objectives and generated valuable impact.
47. The evaluation analysed the content of 94 UNDAFs. Almost all UNDAFs aim to mainstream environmental considerations into national development policies. The number of UNDAFs incorporating environment increased from 36 in 2009 to 59 in 2010. On average, 80% of UNDAFs include an environment-related Country Programme Outcome. UNEP involvement clearly helped significantly in this respect, but it has not been the only – and in some cases not the most active – promoter of mainstreaming environmental concerns. UNEP is on average mentioned in 65% of the cases, with a steady increase from 53% in the biennium 2007/08 to 75% in 2011/12. UNEP signed the UNDAFs in one fifth of the cases, with a steady increase from four in 2007 to 19 in 2011. UNEP environmental assessments are increasingly referred to. This represents a significant improvement compared to the situation in the past biennia. UNEP's support to UNDAF implementation varied across the regions. UNEP's contribution to UNDAFs appears to have been most prominent in Africa, East Asia, Eastern Europe and Central Asia and spans across ES, CC and DRR. Water and energy figure as the most prominent technical areas. Links with food security, green economic development and ecosystem management are acknowledged.

Access by national and international stakeholders to sound science and policy advice for decision-making is improved

48. UNEP finalized a number of important publications³⁰ and supported the preparation of state of the environment reports and atlases. The Organization also provided access to more than 3,400 scientific peer-reviewed journals through the Online Access to Research on the Environment (OARE) system, for which over 2,000 institutions from 109 countries registered. Moreover, the Knowledge from Science to Societies (KNOSSOS) initiative was launched in November 2011 to make scientific research more actionable for policy-makers and civil society. UNEP-live was created as a repository of reports, data and indicators on the state of the environment.
49. The Global Environmental Outlook (GEO) is the main output for this EA.³¹ The 2009 review of the impact of the GEO4³² concluded that GEO needed to reposition itself to ensure appropriate and timely consideration by governments and other stakeholders. The in-depth sub-programme evaluation noted a significant improvement in the process for GEO5 by engaging experts and governments, thus increasing the likelihood that policy recommendations are taken on board and of higher policy impact. A draft of the Summary for Policymakers was adopted by the UNEP GC27, following negotiation and endorsement at an intergovernmental meeting held in January 2012. The report was published on-line in mid-May 2012, and then officially presented in June in Brazil for the World Environment Day, two weeks before the CSD Rio+20. The high number of monthly downloads recorded is considered indicative of the GEO's value to the environmental community.

³⁰ The Africa Water Atlas, GEOLAC 3, a Report on Green Growth, Resources and Resilience in Asia and the Pacific, the Haiti Environment Outlook and a Vulnerability Assessment of Freshwater in West Asia, Keeping Track of Our Changing Environment, GEO Outlook on Latin America and the Caribbean (GEOLAC 3), UNEP Science Strategy.

³¹ Four reports have been published to date: GEO-1 in 1997; GEO-2, in 1999; GEO-3 in 2002; and GEO-4 in 2007.

³² Review of the initial impact of the GEO4 report 2009.

2.5 Harmful Substances and Hazardous Waste

50. As set out in the MTS and the PoW 2010/2011, the Harmful Substances and Hazardous Waste (HSHW) Sub-programme rests on three pillars: i) sound chemicals management at national level; ii) scientific assessments to inform the debate on issues of international concern; and iii) developing and implementing internationally agreed chemical management regimes. Its results framework builds on three EAs, formulated at different levels: EA(a) at the immediate outcome level, EA(b) at the activity level; and EA(c) at the intermediate state level. Based on the results statements and intervention strategy, the evaluation has constructed a simple TOC against which to assess progress. Annex IV visualizes the TOC for the HSHW Sub-programme while - for ease of reference - highlighting the EAs from the original results framework.³³
51. This section assesses the extent to which UNEP interventions are making a difference according to two interconnected immediate outcome areas:
- ▶ Capacities and financing of states and other stakeholders to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste are increased; and
 - ▶ Stakeholders are better informed about issues of international concern regarding harmful substances and hazardous waste and better connected.

Capacities and financing of states and other stakeholders to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste are increased

52. To this intent, UNEP produced and updated numerous studies, training materials, tools and methodologies, guidance documents, reports and resource kits.³⁴ To disseminate intelligence and promote the use of these products, the Organization provided country-level training and gave presentations to national officials, private sector representatives and other technical experts. For example, UNEP trained UNEP/United Nations Industrial Development Organization (UNIDO) National Cleaner Production Centres (NCPCs) and other local institutions/experts to use its resource kit for promoting responsible production in SMEs. Further research is required to objectively establish whether NCPCs are now reaching out to SMEs and the extent to which SMEs are improving the management of harmful substances and hazardous waste across the value chain.
53. During the biennium, UNEP also established seven Chemical Information and Exchange Networks (CIENs). It entered into partnerships with key industry associations in Brazil, China, Egypt and Vietnam³⁵ to support chemical-related priorities. The effectiveness of these networks and partnerships remains to be seen.
54. Besides developing capacities, evidence suggests that UNEP has helped facilitate access to funding for country-level chemicals management through the voluntary Strategic Approach to International Chemicals Management (SAICM)³⁶, for which UNEP provides secretariat services, and its Quick Start Programme (QSP). Documentation indicates that funding approved so far totals USD30.18 million for governmental and non-governmental projects in 103 countries. Projects totalling a value of USD12.9 million were approved during the 2010/2011 biennium.³⁷

³³ Apart from EA(b) at activity level, which is not included in the figure ("coherent international policy and technical advice is provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices").

³⁴ For instance, a study on the impact of chemicals on children's health, training materials on sound management of pesticides, tools and methodologies for undertaking health and environment-related Situation Analysis and Needs Assessments (SANAs), guidance documents on the development of legal and institutional infrastructures for sound chemicals management and on chemical accident prevention and preparedness, a report on the Costs of Inaction, and resource kits such as for promoting responsible production in small and medium-sized enterprises.

³⁵ Brazil (involving the Brazilian Chemical Industry Association and the Federation of Industries of the State of Sao Paulo); China (involving the China National Cleaner Production Centre and Tsinghua University of Beijing); Egypt (involving the Egypt Cleaner Production Centre and the German Technical Cooperation-GTZ (now GIZ)); and Vietnam (involving the Vietnam Cleaner Production Centre, the German Technical Cooperation-GTZ and the PREMANet network).

³⁶ Adopted by the International Conference on Chemicals Management (ICCM) in 2006; www.saicm.org.

³⁷ Source of financial information: PPR4.

55. *Going beyond immediate outcomes*, the present review has revealed instances where UNEP interventions and products have contributed to the introduction and strengthening of country-level policies, strategies and infrastructure for managing harmful chemicals and hazardous waste in an environmentally-sound manner (intermediate state). Documentation and interviews portray Mainstreaming Sound Chemicals Management³⁸, in partnership with UNDP, as particularly promising. Inter alia based on new guidance on how to work together on chemicals legislation and the Costs of Inaction report, UNEP is collaborating with governments and the private sector to promote better and more predictable chemicals legislation and mainstreaming of sound chemicals management. Benefiting from these efforts, the Cambodian Ministry of Environment has drafted framework legislation on sound chemicals management. Other countries, including Belize, Uganda, Zambia and Macedonia, have mainstreamed sound chemicals management into their national development policies/strategies.
56. Moreover, the “Guidance Document for Governments: A Flexible Framework for Chemical Accident Prevention and Preparedness”³⁹ is reportedly being applied in six countries⁴⁰ to prepare, revise or improve chemical accident prevention and preparedness programmes. To implement their respective programmes, Cambodia and the Philippines have developed “road maps” and established autonomous Task Forces.
57. A further indication of effective use of capacities acquired thanks to UNEP is the completion of Situation Analysis and Needs Assessments (SANAs) by 14 African countries under the Health and Environment Linkages Initiative⁴¹, a global effort by UNEP and the World Health Organization (WHO). SANAs link health and environment considerations and help define evidence-based and technically-sound interventions. A further 51 countries have committed to doing so.
58. As far as relevant infrastructure is concerned, the number of SAICM National Focal Points for sound chemicals management - who also play an important role in taking forward and sustaining the aforementioned Mainstreaming Initiative - increased to 172 by the end of 2011, an additional 74 since the 2nd ICCM in mid-2009.

Stakeholders are better informed about issues of international concern regarding harmful substances and hazardous waste and better connected

59. To improve stakeholders’ knowledge and inter-connectedness as regards harmful substances and hazardous waste of international concern, UNEP produced and disseminated case studies, scientific reviews, assessment and reports⁴². It also convened regional and international meetings/conferences and facilitated/supported the creation and work of voluntary multi-stakeholder partnerships and legally-binding regimes.
60. In May 2010, UNEP and WHO organized an inaugural meeting of the Global Alliance to Eliminate Lead Paints (GAELP)⁴³, the objective of which is to address the emerging policy issue of lead compounds from paints that give rise to highest exposure risks in developing countries. The meeting was attended by 23 participants. UNEP also supported the creation of the Global Partnership on Waste Management (GPWM) and its launch in November 2010. UNEP provides substantive and administrative secretariat services to both partnerships. It is too early to conclude how effective these networks are in terms of knowledge-sharing and relationship-building.
61. In parallel, UNEP continued to work as the secretariat of the Global Mercury Partnership, established in 2007, the membership of which trebled throughout the biennium, with currently 97 members. Specifically, recent UNEP assessments and technical work facilitated the addition of cement as a new partnership area and helped raise awareness of the specific issue of mercury use in artisanal and small-scale gold mining.

³⁸ In operation since 2006.

³⁹ Published under the auspices of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC).

⁴⁰ Cambodia, the Philippines, Mali, Senegal, Sri Lanka and Tanzania.

⁴¹ Initiated prior to the 2010/2011 biennium.

⁴² E.g. case study on Information Systems on Chemicals in Products, reviews of scientific information on lead and cadmium, an assessment of health implications of DDT in mothers’ milk and reports such as with WHO on restorative materials for dental caries. The evaluation was unable to determine the concrete consequences of the production of these and other papers.

⁴³ In 2009, the International Conference on Chemicals Management established GAELP to promote the phase-out of the use of lead in paint. A 2nd meeting was held in July 2012.

62. Moreover, as part of its support for Regional Seas Agreements, UNEP, in collaboration with UNDP and the National Oceanic and Atmospheric Administration, convened the 5th International Marine Debris Conference with 440 participants representing some 38 countries. The resulting Honolulu Commitment marks the first step in the development of a comprehensive global framework for the prevention, reduction and management of marine debris, to be known as the Honolulu Strategy.
63. *Going beyond the level of immediate outcomes*, evidence suggests that UNEP has made an important contribution to the evolution and implementation of policy and control systems for harmful substances of global concern (intermediate outcome & EA(c)). Although started with some delay at the beginning of 2011 due to lack of funds, the PATROL project with the United Nations Office on Drugs and Crimes (UNODC) has contributed to Cambodia, Vietnam and Thailand mainstreaming environmental crime into the work of their respective border liaison offices in order to better enforce laws and reduce illegal tracking of harmful substances and hazardous waste in fulfilment of international commitments. A national sub-decree combating transnational crime is being drafted in Cambodia.
64. Moreover, services delivered by UNEP for numerous years in connection with three inter-governmental and multi-stakeholder processes have had or are about to have an important influence: UNEP's technical, networking and financial support for improved capacity and technology to eliminate leaded vehicle fuels nears completion, with more countries having ceased to use them. An evaluation⁴⁴ of the UNEP-supported PCFV activities in Sub-Saharan Africa showed that PCFV has contributed to substantial health benefits, which in turn have promoted social and economic gains through reduced sickness and improved physical and mental development, particularly of children in urban areas. The evaluation also found that UNEP had made a substantial contribution to this process, operating at three levels: as a high level advocate to governments; as a channel to resources within the partnership; and as a facilitator and supporter of activities at the country level. Meanwhile, during the 2010/2011 biennium, thanks to PCFV, half of the twelve countries still using leaded gasoline phased it out.⁴⁵
65. UNEP's efforts have also provided an important contribution to strengthening the chemicals and waste MEAs. Under its Strengthening the Chemicals and Waste MEAs project, UNEP has been instrumental in improving monitoring of the Stockholm Convention on Persistent Organic Pollutants (POPs). Specifically, POPs results from 32 countries in three regions participating in the GEF-supported Global Monitoring Plan of the Stockholm Convention are expected to be of considerable help in assessing and focusing the implementation needs of the Convention and its parties.⁴⁶ In addition, control measures for nine new POPs targeted for action in the Stockholm Convention entered into force, and a tenth chemical was added, bringing the number of POPs controlled under the Convention to 22. Overall, a growing engagement of countries is reported: The conventions now have more than 140 parties each.
66. Equally, UNEP has played a key role in facilitating an inter-governmental agreement on a legally binding instrument on mercury. In 2013, the international community is expected to adopt a legally-binding treaty on mercury. Under its Global Mercury Programme, UNEP has played an important role since 2003 by way of improving access to and knowledge of relevant scientific and other information for decision-making and leveraging interest and commitment to join hands to control and phase out mercury releases, and facilitating the inter-governmental negotiation process.

2.6 Resource Efficiency & Sustainable Consumption and Production

67. As set out in the MTS and the PoW 2010/2011, the Resource Efficiency & Sustainable Consumption and Production (RE-SCP) Sub-programme is structured around four themes: i) assessments to strengthen the scientific knowledge base; ii) building capacity for policy actions; iii) seizing investment opportunities for new markets and technologies; and iv) stimulating demand for resource-efficient goods and services. Its results

⁴⁴ "Outcome and Influence Evaluation of the UNEP Partnership for Clean Fuels and Vehicles (PCFV)", October 2010.

⁴⁵ Tajikistan, Uzbekistan, Bosnia-Herzegovina, Montenegro, Serbia and Egypt.

⁴⁶ As part of this process, UNEP established/strengthened the scientific capacities of developing country laboratories to reliably analyse and report on POPs.

framework builds on three EAs, two of which are formulated at the intermediate state level, and EA(a) at the impact level. Based on the results statements and intervention strategy, the evaluation has constructed a simple TOC against which to assess progress. Annex V visualizes the TOC for the RE-SCP Sub-programme while - for ease of reference - highlighting the EAs from the original results framework.⁴⁷

68. This section assesses the extent to which UNEP interventions are making a difference according to three interconnected immediate outcome areas:
- ▶ Knowledge and capacities to design policies, economic instruments and management practices that promote resource-efficient and sustainable goods and services are strengthened;
 - ▶ Government and business awareness of the catalytic effect of resource-efficient investments is increased; and
 - ▶ Consumer attitudes to sustainable lifestyles are changed favourably.

Knowledge and capacities of states and businesses to design policies, economic instruments and actions that promote resource-efficient and sustainable are enhanced

69. UNEP has strengthened the international community's scientific knowledge base in the area of RE-SCP. UNEP's International Resource Panel (IRP) - set up in 2007 - has started to fill an important gap in terms of providing decision makers and other interested parties with scientific assessments on the sustainable use of resources and their environmental impacts over their full life cycles. During the 2010/2011 biennium, the IRP produced four assessments, i.e. on metal stocks, recycling rates of metals, priority products and materials, and decoupling. Assessment findings⁴⁸ were used by the media and as inputs during important events.⁴⁹ They have reportedly helped shape the EC's roadmap for a resource-efficient Europe and national policies on resource efficiency in China, South Africa, Germany, Switzerland and Japan.
70. UNEP's Green Economy Report, released in November 2011 to provide research findings and advice on greening national economies, was widely disseminated on-line and used in important global and regional multi-stakeholder forums.⁵⁰ Most recently, its analysis provided inputs into the Rio+20 conference where green economy was selected as one of two focus themes.
71. *Going beyond the immediate outcome level*, the evaluation infers from decisions taken by governments at the global, regional and country levels to adopt policies and economic instruments for resource-efficient and sustainable products (immediate state) that UNEP has influenced policy formulation and decision-taking. For instance, technical assistance and advice provided to stakeholders in the context of the year-long Marrakech Process have facilitated the adoption of regional SCP strategies, the development of national SCP Action Plans and the mainstreaming of RE-SCP in national development plans in eight countries⁵¹. Moreover, as a result of the, governments finally adopted the 10-Year Framework of Programmes on Sustainable Consumption and Production (10YFP) at Rio+20 in 2012.⁵²

⁴⁷ Except EA(a) at the impact level, which is not included in the figure ("resource efficiency is increased and pollution is reduced over product life cycles and along supply chains"). In its place, indicator of achievement (a) was selected to represent the expected intermediate state.

⁴⁸ See Responsible Resource Management for a Sustainable World: Findings from the International Resource Panel.

⁴⁹ The report on decoupling was launched at CSD 19; it also featured strongly in key note speeches and sessions as the global reference on resources during the EC's Green Week. The two most recent reports, decoupling and recycling rates of metals, made significant media impact, with over 320 articles in over 30 countries published. Furthermore, findings of the assessments were discussed at the World Resources Forum in September 2011, during which a special session was dedicated to the IRP and its key findings.

⁵⁰ Including the G-20 Meeting (November 2010), World Economic Forum (January 2011), UNEP GC (February 2011), UNEP/ICC Business and Industry Global Dialogue (April 2011), OECD Ministerial Council Meeting (May 2011), the EC's Green Week (May 2011), 4th Conference for LDCs (June 2011) and 7th Ministerial Conference on Environment for Europe (September 2011).

⁵¹ Brazil, Burkina Faso, Mali, Saint Lucia, Ivory Coast, Azerbaijan, Croatia and Kazakhstan.

⁵² For more details, see „Paving the way for sustainable consumption and production: The Marrakech Process progress report“ (full report and Executive Summary). UNEP has been requested to serve as secretariat for the 10YFP and to establish a trust fund.

72. Furthermore, UNEP's work stream on the Green Economy, initiated during the 2008/2009 biennium, has played an important role in advancing the international - and European Union (EU)⁵³ - as well as national political agendas on resource efficiency. Most recently, inter alia building on UNEP inputs such as the Green Economy Report, the Rio+20 conference outcome document exemplified benefits and encouraged countries to consider implementing green economy policies.⁵⁴ At the country level, already benefiting from UNEP green economy advisory services, China, Senegal and South Africa included green economy in their respective development plans and initiated regulations, market-based instruments and incentives. Moreover, South Korea produced a National Green Growth Strategy and, in March 2012, work in Barbados culminated in the launch of a Green Economy Scoping Study as road map for developing a National Green Economy Strategy.
73. Evidence regarding industries is limited to UNEP's work with NCPCs, and further research is required to assess its effectiveness: During the 2010/2011 biennium, two new NCPCs were set up in Albania and Rwanda. In addition, by pooling resources with UNIDO, capacity-building activities reportedly resulted in twelve NCPCs⁵⁵ incorporating resource efficiency and cleaner production in their portfolios, consequently benefiting forty SMEs.

Government and business awareness of the catalytic effect of resource-efficient investments is increased

74. In practice, business seems to have been the main target group of UNEP's efforts to increase awareness of the catalytic effect of resource-efficient investments. UNEP assistance to business is normally channelled through global, regional and national networks, centres and institutions, whose capacity it is building. During the 2010/2011 biennium, besides involving private sector representatives in RE-SCP-related global events and initiatives, UNEP co-initiated and/or supported the work of a number of sectoral multi-stakeholder partnerships. They include the UNEP Sustainable Building and Climate Initiative (SBCI), the UNEP Finance Initiative (FI)⁵⁶ and the Global Partnership for Sustainable Tourism⁵⁷. Agri-food is a relatively new area of work for UNEP. Here, the UNEP/FAO Agri-food Task Force on SCP⁵⁸ and the UNEP-led Sustainable Rice Platform⁵⁹ are worth mentioning.
75. It was not possible for the evaluation to investigate the extent to which all partnerships and initiatives have effectively built stakeholder awareness. It did, however, note that both the older SBCI and the FI continue to attract increased interest and willingness to engage.⁶⁰ The fact that 27 leading insurance companies representing over ten per cent of world premium volume committed themselves at the Rio+20 conference to promoting the new UNEP FI-Principles for Sustainable Insurance (PSI) indicates increased awareness and commitment. The same goes for the SBCI-developed Common Carbon Metric (CCM), which was subsequently adopted by the International Standards Organization as a basis for developing an international standard for measuring the environmental performance of existing buildings.
76. *Going beyond immediate outcomes*, evidence is insufficient to ascertain the extent to which business, thanks to UNEP, has invested in efficient, clean and safe industrial production methods (intermediate state & EA(b)), and has thus improved its environmental performance. The evaluation is not in a position to pronounce a finding in this regard.

⁵³ Green Economy Strategy.

⁵⁴ Work in 2011 to secure further sharing of knowledge and forward-looking research on green economy-related policy tools, also led to the launch of the Green Growth Knowledge Platform (GGKP), in January 2012, jointly with OECD, World Bank and the Global Green Growth Institute. GGKP was referenced at Rio+20, by the SG's Implementation Matrix of Rio+20 Outcomes and by the Mexican G-20 Declaration.

⁵⁵ Ethiopia, Vietnam, Kenya, Tanzania, Lebanon, Uganda, Sri Lanka, El Salvador, Costa Rica, Cuba, Ghana and Rwanda.

⁵⁶ Inception in 1992 on the side lines of the 1992 Rio Earth Summit; also see UNEP FI 2010 Overview.

⁵⁷ Launched in January 2011.

⁵⁸ Formed in November 2010 and, in February 2012, converted into the formal Sustainable Food Systems Programme for inclusion in the 10YFP.

⁵⁹ Launched in December 2011.

⁶⁰ The SBCI expanded its geographical and sectoral reach by adding twenty new partners in 2010/2011 and eleven in 2011/2012. The FI attracted 25 new member institutions and now engages with over 200 members from over 40 countries from the banking, insurance and investment sectors.

Consumer attitudes to sustainable lifestyles are changed favourably

77. Intending to change attitudes and stimulate more demand for sustainable lifestyles, UNEP presented public awards and implemented/supported numerous campaigns during the 2010/2011 biennium.⁶¹ However, interview partners and documentation recognize that changing consumption patterns is difficult to tackle because of perceptions that consumer choice and lifestyles are developed world issues that UNEP should not prioritise, because partners at policy and product levels are not obvious and because of growing target audiences. There are apparently very few examples to inspire change at scale. Thus, achieving more sustainable consumption patterns remains work in progress.
78. Eco-labelling has been part of UNEP's efforts to advance information tools and certifications schemes. A 62-month project in emerging economies⁶² progressed towards a successful end in March 2012 in terms of increasing the environmental efficiency of key export products and related industrial processes. A terminal evaluation⁶³ found a high level and quality of outputs for progressing towards project outcomes and longer-term impact. In particular, the specific objective to increase the number of eco-labelled products in the EU as well as in national and global markets was met with at least one product from each target country eco-labelled or in process. Furthermore, the project was considered to have had great success in positioning eco-labelling as a market opportunity that can also bring resource efficiency and reduced environmental impact benefits, rather than a green barrier to emerging economies.
79. Moreover, UNEP has supported sustainable public procurement. During the 2010/2011 biennium, building on a global consensus and after having fostered information exchange and provided practical tools for capacity building, UNEP provided advisory services to seven pilot countries.⁶⁴ While all countries have completed first steps for introducing sustainable public procurement, including legal reviews and market readiness analyses, five have also started to pilot the insertion of sustainability criteria into procurement processes.
80. *Going beyond the level of immediate outcomes*, no evidence is available of consumer choice favouring more resource-efficient and environmentally-friendly products as a result of UNEP interventions (intermediate state & EA(c)). The evaluation is not in a position to pronounce a finding in this regard.

3. Looking Ahead: Assessment of Impact Prospects

81. Looking ahead, the following sections examine external conditions and factors that have the potential to influence the transformation of immediate outcomes to intermediate states, and consequently also long-term environmental impact prospects. They differentiate between external conditions and factors that UNEP can attempt to influence (impact drivers) and those out of reach of the Organization (assumptions). The evaluation identified two assumptions and seven drivers that are required for enhanced country capacity to lead to change. To a great extent, they are relevant to all MTS sub-programmes; others are more specific.

⁶¹ For example, the Green Passport campaign to raise awareness among tourists, which was adapted by six countries, including South Africa on the occasion of the 2010 FIFA World Cup; and the Scaling up, UNEP-UNESCO YouthXchange Programme intended to engage young people on sustainable lifestyles and empower them to take action on the issues important to them. The UNEP-led Global Survey on Sustainable Lifestyles in over 20 countries in all regions was the first research project on sustainable lifestyles to be conducted on a large scale. It gathered insights from young adults in urban areas on their current lifestyles, aspirations for the future and reactions to visions of sustainable lifestyles. The results are included in the report entitled "Visions for Change: Recommendations for Effective Policies on Sustainable Lifestyles".

⁶² India, South Africa, Mexico, Kenya/Ethiopia, Brazil and China.

⁶³ Terminal Evaluation of UNEP Project: Enabling developing countries to seize eco-label opportunities - Capacity building and technical assistance for industries and governments in developing economies - April 2012.

⁶⁴ Chile, Colombia, Uruguay, Costa Rica, Mauritius, Lebanon and Tunisia.

3.1 Assumptions

The political and security situation remains relatively stable

82. There is a basic assumption, particularly in those countries where the D&C Sub-programme operates, that the political and security situation will not deteriorate to a level that makes UNEP's work too difficult or dangerous, hampers the uptake of UNEP's products and services by stakeholders, or adds serious non-environmental threats to the environment or livelihoods that overshadow any positive impacts that could have been achieved through UNEP's work. However, the risk that the security situation deteriorates where D&C staff members are working is real in many post-crisis countries. Even though D&C teams have learned, to a certain extent, to cope with insecurity, there is a limit to where UNEP teams and their local partners can continue to operate without putting persons in danger. Security risks often seriously hamper the movement, and therefore the effectiveness, of field staff and their local partners. Political instability, another real risk in many D&C countries, can result in the removal of people with whom UNEP has developed a trust relationship from key decision-making positions, temporary closure of key national partner institutions, interruptions in counterpart funding flows, and restrictions of access to information and project sites.

Government agencies and international organizations have adequate human resources

83. The UNEP D&C Sub-programme evaluation identified human resources as a key assumption. The same can be assumed for UNEP's other sub-programmes. As stated in the D&C evaluation, there are two aspects: numbers and stability. "Staff numbers in supported countries are usually insufficient at all levels and this often seriously constrains the capacity of national partners to absorb all the technical support that UNEP can offer. Turn-over of senior staff in government agencies has remained relatively low so far, even though UNEP's focus on a limited number of people within a very limited number of institutions does constitute a risk for continuity. More junior, well trained technical staff tend to be more volatile in that they are often attracted by better paid positions with international organisations operating in the country. Turn-over of staff in international organisations is also a serious problem, because induction of new staff in complex post-crisis country situations requires much time and effort, and cooperation with key international partners at the country level can really be affected by personal interests and relationship issues. The success of UNEP's D&C country programmes is based in part on the good personal relationships and very good understanding of the country context acquired with time by a relatively small number of UNEP staff. If these staff were to leave the country team, there could be serious consequences for the continuity of the country programme."

Renewable energy is economically competitive

84. This assumption is particularly important for UNEP's CC and RE-SCP sub-programmes. External factors related to the global economic situation, and which UNEP cannot influence, such as a decline in price of fossil fuels, alters the economic case for investments in cleaner energy goods and services to reduce pollution and mitigate climate change. Currently, oil prices are considered high enough for competition to exist.

3.2 Impact Drivers

Countries dispose of sustainable financing to translate enhanced capacities into effective change

85. Countries require long-term funding to address environmental issues. However, mobilization of domestic financial resources is often weak, particularly in countries affected by disasters or conflict, due to the environment not being a priority concern and/or due to missing domestic income sources. In addition, accessing funds for the environment from donors may pose an increasing challenge to national partners because of an evolution in many donors' development funding strategies and poor national capacities to develop programmes and projects to international standards. The latter weakness is particularly disadvantageous in view of new important financial mechanisms, such as for climate change programmes, e.g. GEF, the Adaptation Fund and the newly established Green Climate Fund under the UNFCCC, which, as described by one interviewee, is an "unprecedented opportunity" to trigger transformation. Private sector funding will probably become

increasingly important, such as in the areas of clean technologies, sound chemicals management and for environmental clean-up and rehabilitation of contaminated sites.

86. UNEP is aware of this challenge and is working to leverage country funding. As shown in the effectiveness chapter, the Organization has been able to show some good results by influencing countries' priority-setting and policy making, by engaging the private sector to achieve additional investments and financial flows, by facilitating the introduction of new funding mechanisms and by building countries' capacities to successfully identify and access these sources.

Partnerships and networks leverage UNEP's work

87. Partnerships and multi-stakeholder networks can be an effective way to leverage UNEP's work by driving institutional and behavioural change and impact. Partnerships and networks facilitate a common understanding of environmental issues and bridge science and policy formulation. They help to integrate and mainstream environmental issues beyond the environment sector. They serve to scale up and replicate UNEP's capacity-building efforts. They bring stakeholders together to strengthen participatory and informed policy making and implementation. Last, but not least, they motivate actors to improve their own environmental performance.
88. UNEP has recognized the importance of convening and engaging with other UN entities, international institutions, government ministries beyond the environmental sector, academia, civil society and the private sector. During the 2010/2011 biennium, the Organization initiated/facilitated the establishment of at least five global multi-stakeholder networks. It provides secretariat services for numerous multi-stakeholder networks, key MEAs and inter-governmental processes. Moreover, UNEP is the focal point for environment within the UN Development Group (UNDG) and UNCTs. It is also the focal point for environment in the humanitarian coordination system, and as such, through the Environment Network, has raised awareness, developed assessment tools, trained responders, provided technical assistance on environmental considerations and advocated for the inclusion of environmental components in Flash Appeals and Consolidated Appeal Process (CAP). Joint programmes with other UN entities, including UNDP, FAO, UNIDO, WHO, the UN Educational, Scientific and Cultural Organization (UNESCO), the UN Department of Economic and Social Affairs (UNDESA) and UNODC, are further examples of efforts to leverage UNEP's work.
89. The level to which partnerships and networks are successful in driving impact varies. The UNEP D&C Sub-programme evaluation notes, for example, that success in terms of integrating environment in UN recovery operations has been highly dependent on the supportiveness of the leading agencies in the UNCT and sometimes seriously hampered by a lack of funding and staff resources, and also limited interest and support from humanitarian agencies' headquarters. Interviewees confirmed that establishing and nurturing global partnerships requires sufficient UNEP staff and funding to engage and advise on basis of consensus in industry and governments, in order to go beyond a mere administrative role.

The broader public is aware of environmental issues

90. An inclusive approach that engages all stakeholders and identifies/creates a critical mass of champions drives change and impact. Successful outreach to the public, besides increasing confidence in UNEP and changing individual attitudes and behaviour, will help to maintain a minimum level of pressure on government agendas and the private sector. Communication and popular outreach is part and parcel of UNEP's sub-programmes, in the CC and RC-SCP sub-programmes more explicitly than in others. UNEP's outreach has not been subject to an evaluation, and as such it is not possible to conclude how effective UNEP has been.

Governments agree on a legally binding response to climate change

91. The outcome of the UNFCCC climate change negotiations will have key implications on the national uptake of UNEP's current and future achievements in climate change mitigation. The momentum towards Copenhagen, both in industrial and developing countries, is cyclical, and thus the outcome is difficult to predict. Whether the climate negotiation process will deliver what is needed to meet the two degree target, is therefore uncertain.

92. Thanks to its convening role and through its science and outreach programme, UNEP can influence the process, although, as remarked by one interviewee at times “a hard sell”. During the 2010/2011 biennium UNEP enhanced access to climate change science, policy analysis, tools and methodologies by way of the new UNEP-hosted scientific platform called PROVIA65, scientific assessments and publications, (revamped) dedicated websites and virtual networks, science policy dialogues, exhibitions, technical advice and targeted trainings/workshops.⁶⁶ Specifically, UNEP’s Tropospheric, Ozone and Black Carbon Assessment and its Emissions Gap Report were cited in various inter-governmental and governmental documents and are considered to have been instrumental in launching the Climate and Clean Air Coalition to Reduce Short-Lived Climate Pollutants (CCAC)⁶⁷. The twin annual reports REN21 Renewables Global Status Report and Global Trends in Renewable Energy Investment are also considered cutting edge and authoritative sources of information. Furthermore, approximately 600 climate change negotiators from 140 countries in Africa, Asia, Latin America, Least Developed Countries and the Alliance of Small Developing States participated in six regional preparatory workshops organized by the UNEP Climate Negotiators Support Project, leading to the groups’ adoption of common policy positions, increased visibility and, reportedly⁶⁸, also influence with respect to issues central to the climate change negotiations, e.g. REDD and technology transfer.

Governments adopt the 10YFP on SCP

93. An important condition for medium-term effectiveness and long-term impact in the area of RE-SCP is in place, i.e. the 10YFP on SCP. UNEP can take credit in this having being accomplished. Through its support for the Marrakech Process on SCP, together with UNDESA, UNEP enhanced regional and country-level capacities and helped bring negotiations to a successful conclusion. In June 2012, at the Rio+20 conference, governments finally adopted the 10YFP, after a lack of consensus on political issues unrelated to SCP prevented them from doing so during the Commission on Sustainable Development 19. Although voluntary in nature, the 10YFP is the only inter-governmental framework for RE. It provides - as one interviewee mentioned - a “political anchor” for scaling up RE-SCP work and - as future secretariat - strengthens UNEP’s convening role.

Governments embrace the Green Economy concept

94. UNEP’s RE-SCP Sub-programme was also instrumental in evolving and mainstreaming the Green Economy concept in international and national policy making. While important concerns remain in parts, an increasing number of governments and stakeholders at highest levels are demonstrating interest in the Green Economy concept and how to put it into practice. Most importantly, the Rio+20 conference outcome document acknowledges that Green Economy can enhance countries’ abilities to manage natural resources sustainably with lower negative environmental impacts, increase resource efficiency and reduce waste. It also encourages countries to consider the implementation of green economy policies, thus providing UNEP and other actors with a licence to operate and a basis to expand advisory services where invited to do so.

4. Conclusions and Recommendations

95. Drawing firm conclusions about UNEP’s effectiveness during the 2010/2011 biennium is difficult given a weak results framework against which to assess performance, patchy evidence on outcome achievement due to missing evaluative data, and the inability of the evaluation team to gather sufficient information on the quality and use of outputs leading to outcomes. Drawing conclusions on how UNEP’s efforts have influenced or have the potential to influence policies and practices, which is one step beyond immediate capacity enhancement outcomes, is even more difficult. Nevertheless, the evaluation would like to offer some cautious views on effectiveness and impact of UNEP’s work.

⁶⁵ Programme of Research on Climate Change Vulnerability, Impacts and Adaptation.

⁶⁶ It was not possible for the evaluation to assess the use of all products mentioned.

⁶⁷ Launched in February 2012. 18 state and nine non-state actors have since joined.

⁶⁸ The evaluation was not able to investigate any further.

96. Despite challenges related to funding and institutional reforms, UNEP achieved positive results during the 2010/2011 biennium in all six sub-programme areas. There are positive indications that interventions have already contributed to the development/adoption of improved policies and practices. UNEP's efforts to generate scientific knowledge, provide policy advice and convene stakeholders to catalyse international action seem to have been particularly effective. Not surprisingly, work started prior to the 2010/2011 biennium is generally more advanced.
97. The fact that UNEP has neither included gender equality and women's empowerment in its strategic planning nor in its corporate monitoring and reporting, thus making it quasi impossible to assess the extent to which UNEP has effectively mainstreamed gender, is very unfortunate. In advance of the MTS 2014-2017 and the PoW 2014/2015, the present evaluation therefore recommends that UNEP management takes all necessary measures to enhance results-based management for gender equality and women's empowerment in line with the System-wide Action Plan for Implementation of the UN Chief Executives Board for Coordination (CEB) Policy on Gender Equality and the Empowerment of Women.
98. The review has identified assumptions, outside UNEP's control, that affect the achievement of institutional and behavioural change. While the price of renewable energy will remain volatile, there is a certain risk of political instability occurring in countries where UNEP operates, especially its D&C Sub-programme, thus reducing the likelihood of achievement in the medium term. Furthermore, the assumption that adequate human resources are available for countries to translate enhanced capacities into significant effective change quite often does not hold true.
99. UNEP has contributed to a number of key impact drivers required for immediate outcomes to lead to higher-level results. For instance, in the area of RE-SCP, it played an important role in ensuring the adoption by governments of the 10YFP on SCP, which provides a political anchor for scaling up work. UNEP has also been instrumental in evolving and mainstreaming the Green Economy concept. Furthermore, through the CC and HSHW sub-programmes, UNEP has successfully facilitated access to sustainable financing for the environment and sustainable development.
100. UNEP should continue to influence impact drivers and needs to allocate necessary resources for doing so. The outcome of the UNFCCC climate change negotiations will have key implications on the national uptake of UNEP's current and future achievements in climate change mitigation. Thus, as a matter of priority, UNEP, within the areas of its mandate and competence, needs to conduct scientific assessments, provide policy and legislative advice that help ensure a successful outcome of the UNFCCC climate change negotiations.
101. Partnerships and networks have played a critical role in taking UNEP's work forward. As part of its in-house programme planning processes, the Organization should therefore continue to systematically consider the added value of working through collaborative arrangements with sister UN agencies and other international organizations. To extend its reach, it should continue to promote and facilitate multi-stakeholder and multilateral networks and processes subject to their continued relevance and effectiveness. While ensuring that all appropriate due diligence requirements are in place, engaging dynamic and resourceful private sector partners and holding them to their commitments seems all the more important given the oftentimes sluggishness of inter-governmental consensus-building processes, the risk of political upheavals, and limited public funding at a time of global recession.
102. The role of the general public in responding to environmental challenges is also important in terms of mobilizing awareness and political action as well as influencing consumer choices. In this field, UNEP is only one amongst many organizations and interest groups, both globally and in its programme countries. To avoid diluting its impact by spreading itself too thin, UNEP needs to focus on and ensure full use of its comparative advantage as member of the UN family to be visible and trustworthy in its messages and actions.

Annex I: List of Persons Interviewed

Climate Change Sub-programme

- Kaveh Zahedi, Deputy Director and former Climate Change SP Coordinator, DTIE
- Seraphine Haeussling, Climate Change Programme Officer & OIC Climate Change Coordinator, DTIE
- Keith Alverson, Head, Adaptation Unit, Climate Change Adaptation & Terrestrial Ecosystems Branch, DEPI
- Mark Radka, Chief, Energy Branch, DTIE
- Mario Boccucci, Chief, Terrestrial Ecosystems Unit Division of Environmental Policy Implementation, DEPI
- Arkadiy Levintanus, Chief, MEAs Implementation Branch, DELC

HSHW Sub-programme

- David Piper, Deputy Director, Chemicals Branch, DTIE & HSHW Sub-Programme Coordinator
- Kakuko Nagatani-Yoshida, Policy & Enforcement Officer (Ozone), UNEP Regional Office for Asia and the Pacific
- Sheila Logan, Programme Officer, Mercury and other Metals Team, Chemicals Branch, DTIE
- Kaj Madsen, Senior Programme Officer, Chemicals Branch, DTIE

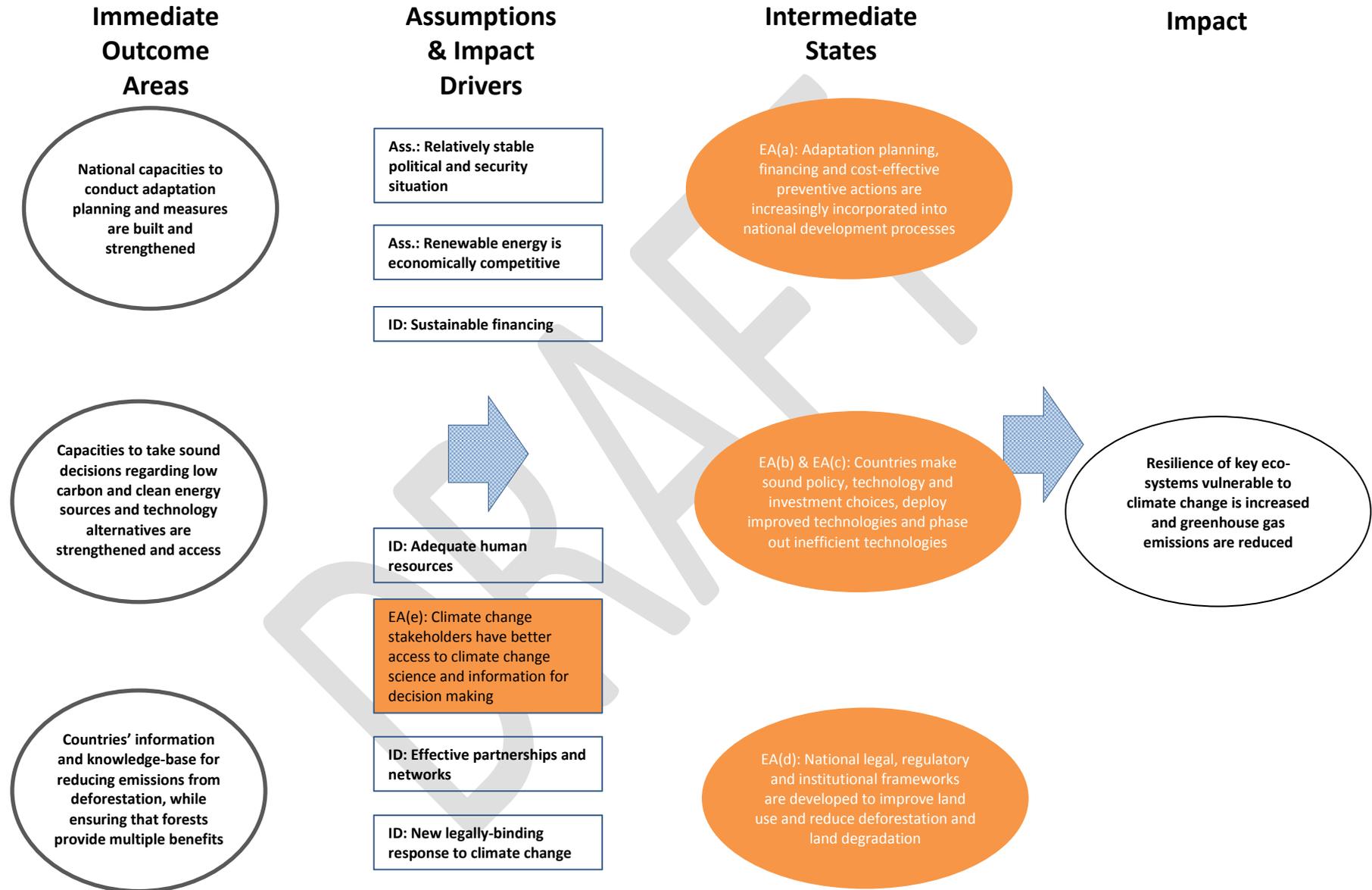
RE-SCP Sub-programme

- Sylvie Lemmet, Director, DTIE
- Fanny Demassieux, Head, Responsible Consumption Unit, Sustainable Consumption and Production Branch, DTIE & Resource Efficiency Sub-Programme Coordinator,
- Ruth Zugman Do Coutto, Former SP Programme Coordinator, Sustainable Consumption and Production Branch, DTIE
- Steven Stone, Head, Economics and Trade Branch, DTIE
- Adriana Zacarias, Programme Officer, Marrakech Process, Sustainable Consumption and Production Branch, DTIE
- Tomas Marques, Programme Officer, Cleaner and Safer Production, Business and Industry Unit, Sustainable Consumption and Production Branch, DTIE
- James Lomax, Agri-food Programme Officer, Sustainable Consumption and Production Branch, DTIE

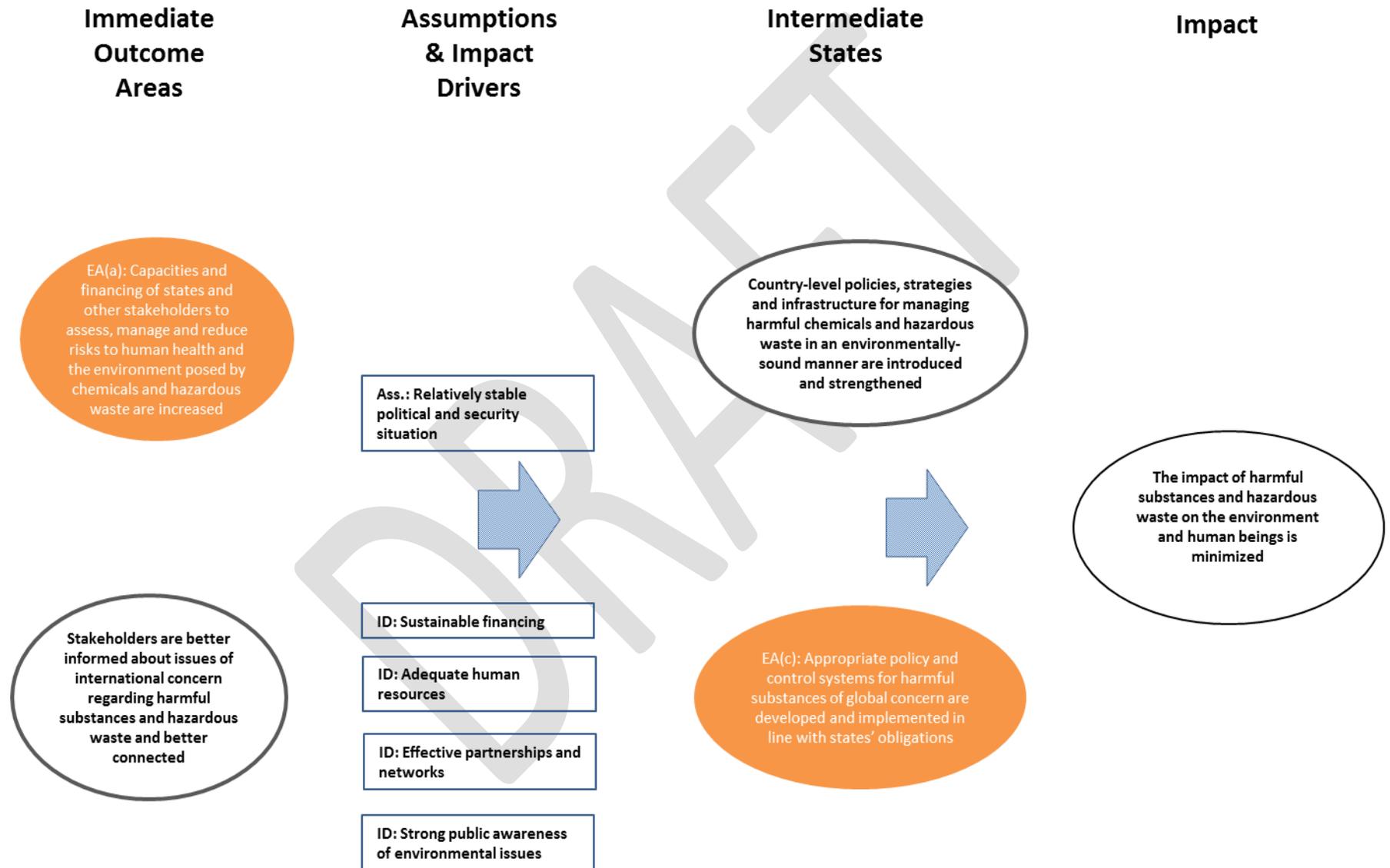
Annex II: Reference Documents

- UNEP Medium-Term Strategy 2010-2013: Environment for Development
- UNEP/GC.25/12: Proposed biennial programme and support budgets for 2010-2011, Report by the Executive Director, 7 October 2008
- A/64/6 (Sect. 14): Proposed programme budget for the biennium 2010-2011, Part IV, International cooperation for development, Section 14, Environment, 20 April 2009
- Sub-Programme Strategies
- Sub-Programme Programme Framework Documents 2010-2013
- Sub-Programme Factsheets
- UNEP Programme Performance Reports No. 1-4
- Formative Evaluation of UNEP's Programme of Work 2010-2011
- Outcome and Influence Evaluation of the UNEP Partnership for Clean Fuels and Vehicles (PCFV), UNEP Evaluation Office, October 2010
- Management Note Response to UNEP Task Team Reports, Internal and External Evaluations, January 2012
- 2010-2011 Evaluation Synthesis Report, December 2011
- DFID Multilateral Aid Review: Assessment for United Nations Environment Programme (UNEP), February 2011
- Mid-term Evaluation of the Southeast Asian Climate Change Focal Point Network Project, June 2011
- UNEP Management Response to DFID Multilateral Aid Review
- MOPAN Organisational Effectiveness Assessment, December 2011
- Australian Multilateral Assessment March 2012
- Terminal Evaluation of UNEP Project: Enabling developing countries to seize eco-label opportunities - Capacity building and technical assistance for industries and governments in developing economies - April 2012
- Mid-term evaluation of the UN-REDD Programme – Tanzania Quick Start Initiative, adopted by the Programme Coordination and Management Group (PCMG) of the UN-REDD Tanzania Country Programme on 23 May 2012
- Draft Evaluation of the UNEP Sub-Programme on Disasters and Conflicts, 2012
- Draft Evaluation of the UNEP Sub-Programme on Environmental Governance, 2012
- Desk Review Gender Mainstreaming in UNEP, 2012
- Reports, publications and websites as listed in footnotes

Annex III: Climate Change Sub-Programme Theory of Change



Annex IV: Harmful Substances & Hazardous Waste Sub-Programme Theory of Change



Annex V: Resource Efficiency - Sustainable Consumption and Production Sub-Programme Theory of Change

