United Nations Environment Programme

Evaluation of the EC-UNEP Strategic Cooperation Agreements under the EU Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP)

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Disclaimer

The views expressed in this report are purely those of the consultant and do not necessarily reflect the opinion of EC Directorates and Units, UNEP Divisions and Offices, and/or Secretariats of the UNEP-hosted MEAs who were involved in the conception and implementation of the Strategic Cooperation Agreements, subject to the present review.

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Table of contents

TABLE OF CONTENTS

List of tables, figures & diagrams

List of acronyms & abbreviations

Acronym/Abbreviation	Meaning
ACP	African, Caribbean and Pacific
BRS	Basel, Rotterdam and Stockholm Conventions
CA	Contribution Agreement
Cap4Dev	Capacity for Development
CBD	Convention on Biological Diversity
CC	Climate Change
CCAC/SLCP	Climate and Clean Air Coalition / Short-Lived Climate Pollutants
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CMS	Convention on Migratory Species
COP	Conference of Parties
CVP	Communication and Visibility Plan
DAC	Development Assistance Committee
DCI	Development Cooperation Instrument (of the EC)
DCPI	UNEP Division of Communication and Public Information
DELC	UNEP Division of Environmental Laws and Conventions
DEPI	UNEP Division of Environmental Policy Implementation
DEWA	UNEP Division of Early Warning and Assessments
DG CLIMA	Directorate-General for Climate Action
DG DEVCO	Directorate-General for International Cooperation and Development (of the EC)
DG ENV	Directorate-General for Environment (of the EC)
DRR	Disaster Risk Reduction
DTIE	UNEP Division of Technology, Industry and Economics
EA	Expected Accomplishment
EC	European Commission
ED	Executive Director
EDF	European Development Fund
EEA	European Environment Agency
EG	Environmental Governance
EM	Environmental Management
EMG	Environment Management Group
EMSPE	Environmental Management Sub-programme Evaluation
ENRTP	Thematic Programme for the Environment and Sustainable Management of Natural Resources including Energy
EO	Evaluation Office (UNEP)
ER	Expected Result
ERP	Enterprise Resource Planning
EU	European Union
EUD	Delegation of the European Union
EUR	Euro
FAFA	Financial and Administrative Framework Agreement
FAO	Food and Agriculture Organisation (UN)
FFP	Full-fledged Proposal

Acronym/Abbreviation	Meaning
FMO	Fund Management Officer
FP7	Seventh Framework Programme
GEF	Global Environment Facility
GPGC	Global Public Goods and Challenges
HLM	High Level Meeting (EC-UNEP)
HSHW	Harmful Substances and Hazardous Waste
ILO	International Labour Organisation (UN)
IPSAS	International Public Sector Accounting Standards
IRP	International Resource Panel
JS	Joint Statement
MAP	Mediterranean Action Plan
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreement
MFF	Multiannual Financial Framework
MIKE	Monitoring the Illegal Killing of Elephants
MIP	Multi-annual Indicative Programme
MoU	Memorandum of Understanding
MTS	Medium-Term Strategy
NBSAP	National Biodiversity Strategy and Action Plan
OfO	Office for Operations (UNEP)
OO	Overall Objective
OSC	Operational Services Center
PEI	Poverty and Environment Initiative
PIMS	Programme Information and Management System
PMU	Programme Management Unit
POP	Persistent Organic Pollutants
PoW	Programme of Work
PSC	Programme Steering Committee
QA	Quality Assurance
Q&A	Questions and Answers
QAS	UNEP Quality Assurance Section
QTLS	Quarterly Traffic Light System
RE	Resource Efficiency
REEDTE	Resource Efficiency and Eco-Innovation in Developing and Transition Economies
SAICM	Strategic Approach to International Chemicals Management
SCA	Strategic Cooperation Agreement
SO	Specific Objective
SPOR	Strategic Performance Overview Report
SWITCH Med	Switching towards more Sustainable Consumption and Production patterns in the Mediterranean
TEEB	The Economics of Ecosystems and Biodiversity
TF	Trust Fund
ToC	Theory of Change
TORs	Terms of Reference
UN	United Nations
UNDG	United Nations Development Group
UNDP	United Nations Development Programme

Acronym/Abbreviation	Meaning
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organisation
UNITAR	United Nations Institute for Training and Research
USD	United States Dollars
WHO	World Health Organisation (UN)
WMO	World Meteorological Organisation (UN)
WOA	World Oceans Assessment
10YFP	10 Year Framework Programme

Executive summary

In line with the contractual arrangements concerned, the Evaluation Office (EO) of the United Nations Environment Programme (UNEP) commissioned in 2015 an evaluation study of the Strategic Cooperation Agreements (SCAs) between the European Commission (EC) and UNEP. The SCAs fall under the Thematic Programme for Environment and Sustainable Management of Natural Resources, including Energy (ENRTP) of the European Union (EU) Development Cooperation Instrument (DCI). Terms of Reference (TORs) for this evaluation study were developed by the EO in coordination with the main parties involved at the EC and UNEP. One external consultant, Karla Van Eynde, has been recruited for the assignment. The evaluation, including report writing, took place between June 2015 and March 2016.

According to the TORs (par 28) (Annex I), the evaluation aims to answer the question whether the SCA approach developed under the ENRTP provides an effective way of conducting EC-UNEP programmatic cooperation.

A governance and management system common to the two Strategic Cooperation Agreements (SCAs) concluded between UNEP and the EC, respectively with DG ENV and DG DEVCO, has been set up. The system has been instrumental in developing a joint portfolio of 57 projects, and thereby in allocating the full budget foreseen for this component, and in monitoring the implementation of these projects. To date, the implementation of a good number of the portfolio projects has been completed.

The analysis has confirmed the existence of significant common grounds between UNEP, EC and MEA strategic frameworks and objectives, thus warranting an umbrella cooperation agreement, such as the SCAs.

The main deficiencies identified are linked to efficiency aspects of the set-up of the SCAs operational mechanism, the management of the project portfolio and the implementation of the individual projects. The recommendations provided therefore aim to suggest ways to improve transparency and efficiency within the framework of similar Strategic Cooperation Agreements, particularly through the development of clear and transparent criteria for the allocation of funds, specific and uniform guidance for the entire project portfolio and the establishment of better communication channels.

1. INTRODUCTION

In line with the contractual arrangements concerned, the Evaluation Office (EO) of the United Nations Environment Programme (UNEP) commissioned in 2015 an evaluation study of the Strategic Cooperation Agreements (SCAs) between the European Commission (EC) and UNEP. The SCAs fall under the Thematic Programme for Environment and Sustainable Management of Natural Resources, including Energy (ENRTP) of the European Union (EU) Development Cooperation Instrument (DCI). Terms of Reference (TORs) for this evaluation study were developed by the EO in coordination with the main parties involved at the EC and UNEP. One external consultant, Karla Van Eynde, has been recruited for the assignment. The evaluation, including report writing, took place between June 2015 and March 2016.

First and foremost, it is important to highlight that the entity under evaluation is not a project or programme per se. The evaluation covers two Contribution Agreements between the EC (DG ENV and DG DEVCO respectively) and UNEP whereby each Contribution Agreement provides an institutional and financial frame for strategic cooperation during a defined period of time. The overall strategic cooperation, covering the agreements with both DG ENV and DG DEVCO, is further in this document referred to as "the ENRTP SCAs" or "the programme", while the individual initiatives and interventions that were financially supported and implemented under the programme will be referred to as "the actions" or "the projects". Together, they form the "portfolio of projects/actions".

The evaluation report comprises two volumes. The first volume includes the overall report together with relevant annexes which provide further background information to summaries and statements in the report. The second volume contains the evaluation reports of the twelve projects that were selected as case studies.

The main report is structured in the following 7 chapters:

- Chapter 1: provides a general introduction;

- Chapter 2: describes the background and legal basis of the Strategic Cooperation Agreements under evaluation and gives an overview of the contractual arrangements for their governance and implementation;

- Chapter 3: explains the evaluation objectives, focus and methodology;

- Chapter 4: provides an analysis of the intervention logic and the re-constructed Theory of Change implied in the SCAs and addresses the issues of alignment of the SCAs with the objectives and priorities of the relevant strategic frameworks provided by the EC, UNEP and the involved MEAs;

- Chapter 5: analyses to what extent and how the SCAs have been managed and implemented in all its different aspects;

- Chapter 6: assesses the design, organisation and implementation of the SCAs according to the usual evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability;

- Chapter 7: presents the main conclusions of the evaluation and some recommendations for eventual similar cooperation agreements in the future.

2. THE STRATEGIC COOPERATION AGREEMENTS

2.1 Background

UNEP was established in 1972 as the principal UN body in the field of the environment. Its mandate, as was expanded and rearticulated by the Nairobi Declaration (1997), is "to be the leading global environmental authority that sets the global environmental agenda, that promotes the coherent implementation of the environmental dimensions of sustainable development within the UN system and that serves as an authoritative advocate for the global environment". In parallel, against a background of growing global awareness of the importance of the environment for sustainable development, the environmental dimension in EC development policies and strategies became increasingly prominent. Under these circumstances, UNEP and the EC started cooperating in a number of ways. After several years of predominantly ad hoc cooperation, the two institutions decided in 2004 to strengthen their institutional links by concluding a Memorandum of Understanding (MoU). This MoU, signed for an indeterminate duration, aimed at consolidating, developing and intensifying the cooperation and at increasing the effectiveness in achieving common goals and objectives in the field of environment. The MoU specifies a number of common objectives and areas of cooperation and lays down the intention of conducting bilateral High Level Meetings (HLM) on a yearly basis to discuss strategic policy matters of common interest and to define a joint work programme. Under this MoU, several activities, programmes and projects in areas of common concern have been implemented to date. Additionally, the EC intensified its operational cooperation with those MEAs[1] for which UNEP provides a Secretariat. Financial support was provided through several EU funding instruments, with the DCI and its thematic programme ENRTP being the main contributor. Under the ENRTP Multi-annual Indicative Programme (MIP) for 2007-2010, an amount of approximately 50.5 million EUR had been made available to UNEP for the implementation of 59 projects, mainly at global and regional levels.

During the EC-UNEP High Level Meeting (HLM) in June 2010, the cooperation over the past years was discussed and found to be generally positive. The following considerations supported the joint intention to continue and even to increase the cooperation: (1) similar prioritisation in the respective multi-annual strategies; (2) UNEP's unique mandate (and therefore comparative advantage) related to international environmental governance; and (3) UNEP hosting the Secretariats of a good number of EU-supported MEAs. On the other hand, both parties recognised that there was room for improvement. In particular, the following weaknesses were highlighted:
- Projects had been selected on a case by case basis, lacking an overall strategic approach;
- There was no predictability in the level of annual EU financial support;
- There was a lack of flexibility in adapting the programmatic/financial cooperation to respond to new challenges.

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[1] Vienna Convention for the Protection of the Ozone Layer and its Montreal Protocol; Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES); Convention on Biological Diversity (CBD); Convention on Conservation of Migratory Species of Wild Animals; Basel Convention on the Control of Transboundary Movements of Hazardous and their Disposal; Stockholm Convention on Persistent Organic Pollutants (POPs); Rotterdam Convention on the Prior Informed Consent, Procedure for Certain Hazardous Chemicals and Pesticides in International Trade; the Barcelona Convention for the Protection of the Mediterranean Sea Against Pollution; and the Regional Seas Programme (Administered by UNEP)

- The programming under the ENRTP had been done through Annual Action Programmes, resulting in support to small dispersed actions with a lack of strategic focus and a limited cost-effectiveness in the use of available resources.

The above assessment, largely coinciding with the programming process of the ENRTP MIP for 2011-2013, resulted in the signing of a political Joint Statement (JS, February 2011) under the MoU. This JS signalled the renewal of the EC's and UNEP's political will to consolidate, develop and increase their cooperation and effectiveness to achieve their common goals and objectives in the field of development cooperation and environment, while highlighting the required improvements: *"While joint projects in recent years have strengthened the cooperation between the two institutions, both sides have recognised the need for a more strategic approach with improved predictability in programming agreed initiatives and projects."* Besides, the ENRTP MIP for 2011-2013 stipulated that "*Partnership agreements may be established with UNEP and Secretariats of the two non-UNEP Rio Conventions in order to provide a framework for long-term flexible relationships*".

The development and implementation of two Strategic Cooperation Agreements (SCAs), both subject of the present evaluation study, was a first and essential step in putting this JS into practice.

2.2 Legal basis of the Strategic Cooperation Agreements

The legal basis of the two Strategic Cooperation Agreements (SCAs) is provided by two corresponding "European Union Contribution Agreements with an International Institution" (CAs), concluded between UNEP and the EC, one with DG ENV and another one with DG DEVCO. The CAs set out the terms and conditions for the awarding and use of the agreed financial contribution. These terms and conditions comply with the provisions of the "Financial and Administrative Agreement between the European Community and the United Nations" (FAFA), concluded in 2003. The CAs concern the implementation of EU funds sourced from the ENRTP (2011-2013) under the DCI.

2.2.1 Contribution Agreement with DG ENV (21.0401/2011/608174/SUB/E2)

The Contribution Agreement (CA) between UNEP and DG ENV was signed on 06/12/2011. The official title of the "Action" to be implemented under this CA is: "Strategic Cooperation Agreement between the European Commission and UNEP, covering ENRTP priority 3.1 – strengthening environment governance". In the report, we will further use "SCA with DG ENV" to refer to this "Action". The implementation of the Contribution Agreement started on 16/09/2011 (= retroactively before the signature, in agreement with EC Services and in line with EU financial rules) and will end on 31/12/2018. The total implementation period is 87.5 months.

The intervention logic is defined by the following elements[2]:

The <u>overall objective</u> (OO) of the SCA with DG ENV is to contribute to global environmental sustainability and in particular to achieve the Millennium Development Goals *and to be*

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[2] Phrases in italics were added through the amendments

instrumental to the implementation of the Rio 2012 outcomes including the Sustainable Development Goals by promoting:
- Global environmental sustainability knowledge, tools and capacity-building, including on halting the loss of biodiversity, fostering greener growth, protecting human health and the environment from hazardous substances as well as transparency and efficiency of natural resource management; and
- Strong international environmental governance, through a support to the work of UNEP and MEA Secretariats.

The specific objectives (SOs) are:
1. To develop methodological and governance tools appropriate to developing countries;

2. To support the preparation and the follow-up of major international environmental processes to which UNEP contributes; and

3. *To support coordination among MEAs and* to promote better implementation of and compliance with MEAs for which UNEP provides the Secretariat.

The expected results (ERs) are:
1. Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes.

2. Enhanced *coherent synergetic* implementation of and compliance with MEAs.

3. Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes.

4. Enhanced global and regional environmental monitoring and assessment for policymaking.

5. Enhanced visibility and coherence of the cooperation between the EC and UNEP and UNEP administered MEAs in the field of global environment protection.

The total cost of the original SCA with DG ENV was estimated at 17,260,485 EUR, of which 15,200,000 EUR would be contributed by the EU. The amount would be paid in two installments: an initial payment of 14,440,000 EUR (pre-financing of 95%) and a second payment of 760,000 EUR (5%) as forecast final payment. Bank interests are added to the total budget.

Two amendments to the original Contribution Agreement (21.0401/2011/608174/SUB/E2) were concluded.

Amendment N°1, signed on 20/12/2012:

The amendment mainly concerned an increase in the financial means. The total cost was increased to 29,847,752 EUR, with an EU contribution of 26,200,000 EUR. The EU contribution was payable in 3 instalments: 14,440,000 EUR of initial pre-financing; 8,607,000 EUR as forecast further instalment of pre-financing and 3,153,000 EUR as forecast final payment. The budget of the Action was revised accordingly. In addition, minor adjustments were made in the description of the Action.

Amendment N°2, signed on 29/11/2013:

Again, the amendment concerned an increase in the Action's budget. The total cost was increased to 38,735,632 EUR with an EU contribution of 33,700,000 EUR, and as a result of the amendments payable in 4 instalments: 14,440,000 EUR as initial pre-financing; 8,607,000 EUR and 6,000,000 EUR as forecast respectively second and third instalments of pre-financing; and 4,653,000 EUR as forecast final payment.

Hence, the subsequent commitments of DG ENV were: 15.2M EUR from its 2011 budget (tranche 1); 11M EUR from the 2012 budget (tranche 2) and 7.5M EUR from the 2013 budget (tranche 3), totalling to 33.7M EUR. The total UNEP contribution envisaged was 5,035,632 EUR.

Table 1: DG ENV SCA budget

Activity	Initial budget (Nov. 2011)	Addendum No. 1 (Dec. 2012)	Addendum No. 2 (Nov. 2013)
1. Programme activities (individual actions)	15,852,963	27,444,241	35,616,418
1.1. Individual actions (ENRTP priority 3.1)	*15,757,963*	*27,282,791*	*35,406,892*
1.2. Visibility and communication	*95,000*	*161,450*	*209,526*
2. Programme management	236,000	384,251	498,671
2.1.Programme Management Unit (4 years)	*196,000*	*317,999*	*412,691*
2.2. Programme Steering Committee (4 years)	*40,000*	*66,252*	*85,980*
3. Evaluation	61,815	98,164	127,395
Total direct eligible costs	**16,150,778**	**27,926,656**	**36,242,484**
Administrative support costs (7% of budget line 1. Programme activities)	1,109,707	1,921,097	2,493,149
Grand total	**17,260,485**	**29,847,752**	**38,735,632**

Sources: SCA with DG ENV and subsequent amendments

2.2.2. Contribution Agreement with DG DEVCO (DCI-ENV/2010/258-800)

The Contribution Agreement (CA) between UNEP and DG DEVCO was signed on 05/12/2011. The official title of the "Action" to be implemented under the CA is: "Strategic Cooperation Agreement between the European Commission and UNEP, covering ENRTP priorities 1, 2 and 3.3 – support for mainstreaming". In the report, we will further use "SCA with DG DEVCO" to refer to this "Action". The Contribution Agreement became effective on 5/12/2011 and the total implementation period was set at 108 months.

The intervention logic is defined by the following elements[3]:

The <u>overall objective</u> (OO) of the SCA with DG DEVCO is to integrate environmental protection requirements and climate change action into the Community's development and other external policies as well as to help promote the Community's environmental, climate and energy policies abroad in the common interest of the Community and partner countries and regions.

The <u>specific objective</u> (SO) is to support developing countries to better integrate environmental sustainability into their pursuit of development goals.

The <u>expected results</u> (ERs) are:

1. Strengthened abilities of countries – in particular developing countries – to integrate climate change responses into national and regional sustainable development processes. ER1 covers three components: (1) Climate Change science and awareness-raising, (2) Climate Change mitigation, including REDD, *and (3) Climate Change Adaptation*. (linked to ENRTP priority 1)

2. Improved capacities towards conservation as well as sustainable use and management of ecosystem services/biodiversity and natural resources. ER2 covers two components: (1) Capacity-building/support on ecosystem approach to the management of human activities, ecosystem management tools and address degradation of selected priority ecosystem services; and (2) Country implementation of specific conventions. (linked to ENRTP priority 2)

3. Improved capacities towards resource efficiency, green economy and sustainable consumption and production. ER3 covers two components: (1) Support to governments and public institutions on transformation to green economy and resource efficiency pathways; and (2) Increased investment in efficient, clean and safe industrial production methods. (linked to ENRTP priority 2)

4. Enhanced environmental mainstreaming into development policies, planning and decision making. ER4 covers two components: (1) Environmental mainstreaming in development (i.e. through the Poverty and Environment Initiative and the UN Development Assistance Frameworks mechanisms) and (2) Environmental mainstreaming in Disaster Risk Reduction. (linked to ENRTP priority 3.3)

The total cost of the SCA with DG DEVCO was estimated at 17,676,512 EUR of which 15,000,000 EUR would be contributed by the EU. The amount would be paid in two installments: an initial payment of 14,250,000 EUR (pre-financing of 95%) and a second payment of 750,000 EUR (5%) as forecast final payment. Bank interests are added to the total budget.

One amendment to the original agreement SCA (DCI-ENV/2010/258-800) was concluded.

<u>Amendment N°1</u>, signed on 20/12/2012.
The amendment mainly concerned an increase in the financial means. The total cost was increased to 38,888,317 EUR, with an EC contribution of 33,000,000 EUR and a UNEP contribution of 5,888,317 EUR. The EC contribution was payable in 3 instalments:

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[3] Phrases in italics were added through the amendment

26,400,000 EUR of initial pre-financing; 4,950,000 EUR as forecast further instalment of pre-financing and 1,650,000 EUR as forecast final payment. The budget of the Action was revised accordingly. In addition, minor adjustments were made in the description of the Action.

Table 2: DG DEVCO SCA budget

Activity	Initial budget (dec 2011)	Addendum nr 1 (dec 2012)
1. Programme activities (individual actions)	15,642,235	34,412,917
2. Programme management	940,500	2,069,100
2.1. Programme Management Unit (9 years)	*540,000*	*1,188,000*
2.2. Programme Steering Committee (9 years)	*115,500*	*254,100*
2.3. Visibility and communication	*285,000*	*627,000*
3. Evaluation	61,815	135,993
Total direct eligible costs	**16,644,550**	**36,618,010**
Administrative support costs (6,2% of direct eligible costs)	1,031,962	2,270,317
Grand total	**17,676,512**	**38,888,317**

Sources: SCA with DG DEVCO and subsequent amendment

2.3. Governance and management arrangements

The governance and management arrangements are largely common to both SCAs. The Special and General Conditions to the Contribution Agreements as well as the Description of the Actions (Annexes to the CAs) provided ample guidance on the way the SCAs should be managed and implemented.

In general terms, the SCAs fall under the joint management modality between UNEP and the EC and are to be implemented in line with the terms and conditions laid down in the FAFA, concluded in 2003. The SCAs are considered as multi-donor actions.

Under the joint management modality and as defined in the "Description of the Actions" annexed to the CAs, the implementation is to be performed in line with the UNEP Medium-Term Strategy (MTS) 2010-2013, the UNEP Programmes of Work (PoW) for 2010-2011 and 2012-2013, and the UNEP procedures and rules, and in accordance with the governance structure and procedures as defined under the SCA appendices. Programme management in terms of formulation, approval, monitoring and evaluation is as defined in the UNEP Project Manual[4] while the MEA Secretariats would follow their own respective rules and procedures for project cycle management and implementation. Further, the CAs highlight the importance of wide stakeholder involvement, gender mainstreaming and donor coordination.

[4] At the start of the SCAs implementation, the version of the project manual published in 2005 and developed by the UNEP Programme Coordination and Management Unit was applicable. An update of the project manual, developed by the UNEP Quality Assurance Section (QAS), was published in 2012.

2.3.1. Governance structures

The CAs stipulate that the SCAs would be managed by a joint Programme Steering Committee (PSC) and a joint Programme Management Unit (PMU). The roles, duties and operational rules for these two management structures are specified in Terms of Reference appended to the CAs. As suggested in the CAs, these roles, duties and operational rules were to be further elaborated by the PMU/PSC during the implementation inception period (first three months).

According to the TORs appended to the CAs:

The **Programme Steering Committee (PSC)** would be responsible for the overall guidance and the management of the SCAs, meeting at least once a year. The PSC would comprise of three members (one EC representative, the Director of UNEP's Office for Operations (OfO) and one MEA representative), accompanied by as many observers and/or resource persons as deemed necessary. The EC and UNEP would co-chair the PSC. Specific responsibilities of the PSC would include:

- Defining/refining the SCA governance mechanisms (during inception phase):
    - Completing the governance arrangements of the SCAs;
    - Refining the mandate of the PSC;
    - Nominating PSC chairs and members;
    - Agreeing on the rules for observers and decision making.
- Direction of SCAs:
    - Establishing priority areas for intervention;
    - Providing advice and guidance, and assisting in resolving operational issues;
    - Reviewing and recommending to the EC and UNEP management proposals for revision, renewal or extension of the SCAs, including the related budget.
- Project screening and selection:
    - Deciding by consensus on a list of projects, submitted through the PMU, for allocation of ENRTP funding;
    - Ensuring that the projects are aligned with the objectives and provisions of the SCAs.
- Reporting and follow-up:
    - Reviewing and approving the annual Strategic Performance and Overview Reports (SPORs), and any recommendations on SCAs implementation contained therein;
    - Reviewing and approving the annual aggregated progress report on individual projects;
    - Providing guidance to UNEP and MEA Secretariats on project implementation so as to achieve agreed outputs and outcomes in a timely and cost-effective manner within the provisions of the SCAs to ensure SCAs achievement;
    - Providing relevant information to the EC-UNEP High-Level Meeting to support discussions. Relevant information includes the annual SPORs and PSC's recommendations on decisions for reallocations of ENRTP funds and additional projects.

The **Programme Management Unit (PMU)** would operate under the responsibility of UNEP's Office for Operations (OfO) and act as an SCAs coordination unit and as the Secretariat for the PSC. As per Special Conditions of the CA, the PMU would start operating on the 1st of March 2012. The PMU would consist of a PMU coordinator (UNEP), a Resource

Mobilisation Programme Officer (UNEP), a Financial Officer (UNEP), Focal Points from resp. DG ENV, DG DEVCO and possibly DG CLIMA. In addition, each concerned MEA Secretariat would be invited to designate a focal point to participate in the work of the PMU. The PMU's overall role would be to facilitate the negotiations, coordination, administration, visibility, monitoring and evaluation of the SCAs. Specific responsibilities of the PMU would include:

- During the inception phase, making <u>proposals on the SCAs governance</u>, including a refined mandate of the PSC and rules of procedures.
- <u>Acting as a PSC Secretariat</u>, with the PMU Coordinator being the secretary to the PSC:

  ▪ Assisting in the organisation of the PSC meetings, including the establishment of the agendas, preparation of background documentation, drafting the PSC meeting minutes and ensuring follow-up of PSC recommendations.

- <u>Project screening and preparing shortlists of projects</u>:
  ▪ Facilitating technical meetings between the EC and UNEP/MEA Secretariats to ensure programmatic development in coherence with the SCAs;
  ▪ Screening projects on their strategic relevance vis-à-vis SCAs and MEA-related COPs;
  ▪ Preparing shortlists of projects (with concept notes) for submission to and decision by the PSC;
  ▪ Communicating PSC decisions on project selection and funding to UNEP/MEAs;
  ▪ Coordinating the development of full proposals for individual projects.

- <u>Monitoring and reporting</u>:
  ▪ Compilation of annual aggregated progress reports (narrative and financial) for approval by the PSC;
  ▪ Drafting the annual SPORs for approval by the PSC (format still to be defined);
  ▪ Developing and operating a project database for monitoring approved projects;
  ▪ Ensuring adequate follow-up on emerging issues/challenges impacting the implementation of the projects;
  ▪ Alerting the PSC and liaising accordingly within UNEP/EC regarding upcoming needs to extend, revise, renegotiate the SCAs;
  ▪ Supporting the process of SCAs revision and approval ensuring timely and smooth processing with minimum disruption to ongoing project operations funded under the SCAs;
  ▪ Providing information and guidance to UNEP & MEA Secretariats on FAFA and SCAs' provisions and supporting the OfO on FAFA follow-up (e.g. FAFA working group, annual FAFA review, etc.) in collaboration with the UNEP Brussels Office.

- <u>Visibility and communication</u>:
  ▪ Developing a joint Communication and Visibility Plan for the SCAs to be approved by the PSC;
  ▪ Supporting the implementation of the Plan through identification of relevant events/fora/meetings to ensure visibility of the SCAs and of the EU as donor;
  ▪ Supporting any other visibility action as needed.

The CAs further specify the internal, respectively within UNEP and within the MEA Secretariats, coordination modalities and responsibilities for implementation and quality assurance.

2.3.2. Performance monitoring and evaluation

On performance monitoring of the individual actions, the CAs stipulate that the UNEP-implemented actions would be monitored by UNEP's Quality Assurance Section/Office for Operations in close relation with UNEP Senior Management while the MEA Secretariats would follow their own respective rules and procedures for the follow-up of the projects that they would implement.

Overall performance results of both SCAs and of both UNEP and MEAs implemented actions are to be consolidated by the PMU in an Annual Strategic Performance and Overview Report, to be submitted to the ordinary PSC meetings for approval.

> Where appropriate, UNEP is called upon organise regional information / debriefing meetings with relevant EUDs in order to exchange information about the progress made in specific regional actions under the SCA.

A single evaluation was planned for both SCAs.

2.3.3. Financial management

The financial resources would be managed from a single Trust Fund to be set-up by UNEP. It was already envisaged at the time of concluding the SCAs that the initial budget would be increased over the following years.

Full financing of an individual action by the EU would be the exception. If occurring, it would require a solid justification as well as a formal approval by the EC. UNEP's contribution would include the costs of facilities and staff time for the operation of the SCAs, e.g. time of designated programmatic staff and experts. UNEP Regional Offices are to be involved in regional implementation of the SCAs.

Both SCAs would equally share common programme management costs as laid down in the budget.

All contracts implementing the action are to be awarded and implemented in accordance with the procedures and standard documents laid down and published by UNEP.

The implementation of the SCA with DG ENV is subject to an indicative division of the available resources between UNEP and the MEA Secretariats. Based on experience of the preceding 4 years of ENRTP financing in relation to international environment governance, the ratio of 60/40 would be applied. The share-out of administrative costs (max 7% for the SCA with DG ENV and 6.2% for the SCA with DG DEVCO) of the budget for each individual action between UNEP and the concerned MEAs will be an internal matter between them.

2.4. Communication and visibility

On communication and visibility, the CAs require that EC visibility is provided as per provisions of the FAFA and in line with the "Joint Visibility Guidelines for EU-UN Actions in the Field", endorsed by the institutions in 2008. A communication and visibility plan was to be developed by the PMU during the first three months of the implementation period and in accordance with the above-mentioned Joint Visibility Guidelines. The plan was required to have a regional approach and primarily reflect on the objectives and on the dissemination of results of the SCAs.

UNEP and MEAs Secretariats are to draw attention to relevant work funded under the SCAs during the meetings of their governing bodies as well as during major events / occasions highlighted as relevant to raise the visibility of the SCAs.

3. EVALUATION OBJECTIVES AND METHODOLOGY

3.1. Evaluation focus and scope

The evaluation will bear on the arrangements laid down in the two Strategic Cooperation Agreements between the EC (DG ENV and DG DEVCO respectively) and UNEP under the EU's ENRTP as well as on their implementation. The period covered by the evaluation runs from 2011 (signature of the SCAs) until the end of August 2015, when the inception report was submitted.

According to the TORs (par 28) (Annex I), the evaluation aims to answer the question whether the SCA approach developed under the ENRTP provides an effective way of conducting EC-UNEP programmatic cooperation. In answering this question, it will be important to take into account the rationale (and hence the initial expectations of the concerned parties) for concluding such multi-annual programmatic cooperation agreements. The main initial expectations include:
- A more strategic approach (avoiding project selection on a case-by-case basis and in function of the ENRTP Annual Action Programmes);
- Increased flexibility in programming (leaving possibilities for responding to emerging challenges and issues);
- Higher predictability in the level of annual EC financial support (allowing a more efficient planning and programming of actions at the implementing divisions of UNEP and the concerned MEA Secretariats);
- A more cost-effective use of resources (synergies, complementarity, efficient project management structure and mechanisms)

In addition, the evaluation aims to (TORs, par 28):
- Provide a basis for accountability of SCA management and steering bodies towards the EU, the UNEP and the MEAs COPS.
- Draw lessons from experience on ways to improve existing and future cooperation modalities between the EC, UNEP and the MEA Secretariats hosted by UNEP.

3.2. Evaluation approach and methodology

The evaluation exercise was carried out in three, partially overlapping, phases: the inception phase, the consultation phase and the analysis & writing phase.

3.2.1. Inception phase

The inception phase started at the end of June 2015 with the final TORs for the evaluation study being agreed. Activities that were carried out during the inception phase included:
- *Communications with the UNEP EO* (skype calls and e-mail exchanges) in view of organising the inception activities and of clarifying/discussing some elements of the TORs.

- *Collection and review of relevant documents.* An initial important batch of documents has been collected and made available through the UNEP EO. This initial batch was later complemented by the SCAs Project Management Unit (PMU). A few other documents were collected from the internet.
- *Inception meeting.* The meeting was conducted on the 7th of July at the UNEP Office in Brussels. Participants included: Michael Carbon (UNEP EO), Sandrine Marques (PMU Coordinator), Céline Fréchou (PMU Assistant), Fabien Sordet (PMU, SCA Focal Point for DG ENV), and Karla Van Eynde (external consultant). Due to an incompatibility in dates, a separate meeting was organised in September between the consultant and the SCA Focal Point for DG DEVCO, Jennifer Keegan-Buckley. Issues that were addressed during these meetings include: general overview of SCA development and management, introduction to PMU and PSC staff, possible future cooperation between the EC and UNEP, expectations of DGs ENV and DEVCO regarding the evaluation outcomes, practical arrangements for document exchange and further collaboration with and support to the evaluation exercise.
- *Laying the ground for further evaluation work,* including: the development of re-constructed Theories of Change for both SCAs; summarising and structuring the contractual stipulations for SCAs governance, management and implementation; and selection of the twelve case study projects according to criteria specified in the evaluation TORs. The outcomes of this work were presented in the evaluation inception report. The causal pathways, drivers and assumptions of the re-constructed Theories of Change implied in the SCAs with DG ENV and DG DEVCO are presented in Annexes IV and V.
- *Further development of the evaluation methodology.* Starting from the TORs and with the information gained from document review, communications with the UNEP EO and inception meetings, a concrete and practical approach for carrying out the evaluation study was developed and outlined in the inception report.
- *Inception report.* An inception report was developed in August 2015, discussed with the EO and following some adjustments, presented for review to the joint PMU. The main change suggested by the joint PMU related to the selection of the case studies and consisted in adding a project implemented by the Secretariat of the Convention for Biological Diversity. This was done and, in turn, a project managed by the Secretariat of the Basel, Rotterdam and Stockholm Conventions, represented in the sample with three projects, was removed from the list. The final list of selected case studies is presented in Annex VI.

3.2.2. Consultation phase

Further data collection (additional to that collected during the inception period) was mainly done through interviews with a range of stakeholder groups. Targeted stakeholder groups were: staff of UNEP's Office for Operations and Corporate Services (overseeing the SCAs implementation), including staff of the Quality Assurance Section (QAS); UNEP's Sub-programme Coordinators; SCA Focal Points in UNEP's Divisions; SCA Focal Points at the MEA Secretariats; Coordinators (UNEP/MEA) and task managers (DG ENV/DG DEVCO) of the twelve case studies; and a UNEP Financial Management Officer (FMO). The interviews were semi-structured and the topics addressed adapted to the different

stakeholder groups. In all cases, however, the focus was on the interviewee's experience with working under the SCA framework and in discussing the advantages and disadvantages inherent to the SCA arrangements as compared to other mechanisms of allocating funds, managing projects or implementing projects. Generally speaking, the feedback received consisted of perceptions and a recalling of events that occurred during the processes of project selection, approval, monitoring and implementation. Very little quantified information (in terms of e.g. time delays, precise costs, man-days spent, efficiency gains through synergetic collaboration, etc.) could be shared and comparisons with other types of funding mechanisms, if at all addressed, were only partial.

Most of the consultations were organised as face to face interviews. To this end, the consultant travelled to the UNEP Offices in Geneva (21-23 October), Paris (29-30 October) and Nairobi (2-5 November) and conducted some interviews at the EC Offices in DG DEVCO and DG ENV. Annex II provides the full list of people consulted.

In addition to interviews, additional documents were collected and consulted. While the consultant had familiarised herself with the basic documents on the SCAs and the broader EC and UNEP strategies and operational rules during the inception period, the emphasis during the consultation phase was more on documents and information directly related to the twelve case studies. All documents used as well as the websites consulted for the evaluation are listed in Annex III.

3.2.3. Analysis and writing phase

The evaluation comprises four major types of analysis, being:

  i.   An analysis of the strategic alignment of the SCAs with ENRTP priorities, UNEP MTS and concerned MEA objectives.
  ii. An analysis of the SCA governance arrangements and quality assurance (QA) processes.
  iii. An analysis of the effects of the SCA governance arrangements and QA processes on the quality of the projects implemented under the SCAs.
  iv. An assessment of the evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability) and drawing overall conclusions.

Verifying the strategic alignment of the SCAs with the relevant EC/UNEP/MEA policy objectives and priorities contributes to answer the question on whether the SCAs have promoted a more strategic approach to cooperation for each of the involved institutions. The analysis of the strategic alignment was mainly based on desk review of the relevant documents. The analysis is presented in chapter 4 of the report.

The TORs (par 28) requested an assessment of the efficiency of the SCA governance arrangements and quality assurance (QA) processes. In view of accommodating aspects additional to efficiency, the scope of the analysis was somehow widened to assess the "general adequacy", including "efficiency" of the SCA governance arrangements and QA processes.

A first necessary step in this assessment was to acquire a clear overview of how these governance arrangements (including management, coordination, reporting, M&E, communication & visibility…) and processes were envisaged at the SCA design stage. The contractual stipulations as laid down in the special conditions and the relevant annexes of

the CAs (Description of the Action, TORs for PMU and PSC) provided the main basis for this step. The results of this step are reflected in chapter 2 of the report.

Next, the actual implementation of these contractual stipulations was looked into, focusing on contract compliance and on eventual adjustments that were made during contract implementation. This was done through desk review of relevant documents (SPOR 1 and 2; minutes of PSC meetings; financial reports; monitoring products; etc.) complemented with interviews of PMU staff. Chapter 5 of the report covers the findings.

Then, based on a good understanding of what was envisaged and of what has been put in place in terms of governance arrangements and QA processes, the further assessment focused on their general adequacy. This assessment was informed by inputs and findings from the full range of document reviews, interviews, surveys and case studies carried out in the context of this evaluation. The results are reflected in chapters 6 and 7.

The next analysis aims to link the established governance arrangements and QA processes to the quality of the individual projects under the SCAs portfolio. This step is informed by the twelve "light case studies" whose reports are presented in volume II of the report. The twelve case studies represent just over 20% of the total portfolio in number of projects. The situation of the twelve selected projects was assessed according to: relevance; performance; (likelihood of) impact; (potential) sustainability; design, selection and approval; reporting, monitoring and evaluation practices; and communication and visibility. These elements are a combination of the usual DAC evaluation criteria and some important operational issues.

Finally, and informed by the outcomes of the combined set of analyses and assessments resulting from the above-mentioned components, findings were formulated and structured along the DAC evaluation criteria. The findings are presented in chapter 6. In chapter 7, some overall conclusions are drawn, addressing, to the extent possible, the different aspects of "adequacy", including an appreciation of the extent to which the initial expectations regarding the signing of the SCAs are met.

3.3. Limitations / Constraints

A number of limitations and/or constraints related to the performance of the evaluation study are to be highlighted.

- A first limitation consisted in the analysis of the portfolio of projects funded and implemented under the SCAs. In this regard, only selected case studies were subject to analysis and taken into consideration for the overall findings and conclusions. From a total portfolio of 57 projects, twelve case studies were included, meaning just over 20% of the portfolio in terms of number of projects.

- Further to the case studies, these were planned as "light case studies" without field visits and without extensive consultation, meaning that most of the work was based on document review, a single interview with the project manager (UNEP/MEA) and the task manager (DG ENV/DG DEVCO) for some of the cases, and feedback on the draft report provided by the respective project & task managers. The provision of feedback has been "variable" from case to case; and for two projects, no written feedback was received. Based on the above, it

is clear that there must be information gaps and that there has been very little opportunity for cross-checking data.

- Not all representatives of relevant stakeholder groups have been interviewed or consulted. Quite a few had left their previous (evaluation-relevant) position due to retirements, end of contract, change of jobs and location. Others were not available (travelling, absence, occupied) during the short visits to the offices in Geneva, Paris and Nairobi. Nonetheless, given the recurrent references to the same issues, advantages and disadvantages and given the detailed information in documents like the SPORs, the PSC minutes, the QTLS tables, it is reasonable to assume that the key issues have been captured.

- The availability of information is affected by the SCA reporting procedures and delays. For instance, the SPOR covering 2014 is still in draft form, no consolidated information is available for 2015. As for the actions, the reporting is annual, and the case study reports have been prepared on the basis of information from the progress reports until December 2014. Only in some cases, updates were provided by the project managers when submitting their feedback on the draft case study reports.

- Time has been a constraint in remediating some of the above mentioned limitations. The work on the case studies together with the inception period have consumed all the available consulting time that had been foreseen for the entire evaluation study. Therefore, no extra rounds of feedback have been organised and no additional skype calls have been undertaken.

Finally, it is due to add a note on the evaluation's timeframe and to explain why the tentative deadline of 28 February 2016 envisaged in the Terms of Reference was not met. A first reason for the delays is related to UNEP's transfer to Umoja and the associated delays in issuing the consulting contract for the external evaluator. While, as internally agreed, inception activities started in June 2015, the consultation phase could only commence after the contract had been signed in September 2015. Further, the consultant was committed to several other assignments between July and December 2015. A last important factor was the significant underestimation of the time needed for the case studies, including the initial assessment & report drafting and the feedback process with the project managers. The report was made available in draft form to the PMU on 5 April 2015, comments were received by 18 April, a response to comments and the current revised report was produced on 28 April 2016.

4. ASSESSMENT OF STRATEGIC ALIGNMENT AND COHERENCE

The intervention logic and re-constructed Theory of Change (ToC) implied in the Strategic Cooperation Agreements will provide the basis for assessing (1) the alignment of the SCAs with the policy objectives of the concerned strategic frameworks of resp. the EC, UNEP and the MEAs and (2) the relevance of the individual supported actions vis-à-vis the SCAs.

Both the intervention logic and the results of the re-contructed ToC[5] of the SCAs are presented in Annexes IV and V. Before assessing their strategic alignment and the relevance

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[5] An exercise which was carried out during the evaluation inception, with the results presented in the inception report.

of the project portfolio, a short analysis of the quality of the intervention logic is presented for each of the SCAs.

4.1. Intervention Logic and Theory of Change implied in the Strategic Cooperation Agreements

- **Strategic Cooperation Agreement with DG ENV**

Observations on the quality of the SCA's Intervention Logic and Theory of Change:

- The intervention logic has a strong inclination to institutional aspects and objectives, rather than physical ones.
- The ToC basically includes two causal pathways: one related to strengthened international environmental governance and the other one related to enhanced implementation of and compliance with MEAs for which UNEP provides the Secretariat. Rather than being parallel, these causal pathways are significantly overlapping. To a great extent, the MEA related pathway can be considered a specific case of the other pathway.
- The Expected Result 5 (ER5) "Enhanced visibility and coherence of EC and UNEP cooperation in the field of environmental protection" has no direct connection to higher level results in the logical framework. ER5 rather relates to an SCA management priority and does not provide a contribution to the overall objective of global environmental sustainability.
- The logical framework includes many repetitions across its different levels, resulting in several infringements to the hierarchy which is supposed to exist between the respective levels of the intervention logic. Some examples: ER1 repeats the second element of the overall objective; ER2 repeats SO3; ER3 is clearly linked to SO1 but touches a higher level in the intervention logic (developing methodological and governance tools for developing countries (=SO1) contributes to strengthening capacities (=ER3), not vice versa).
- The indicators of the logical framework are mostly inadequate (unspecific, irrelevant) and lack baselines and targets.
- There are no outputs (ToC) or activities (logframe) defined in the intervention logic.

Conclusion: While, given the very nature of the "Action", it is fully understood that no activities can be detailed in the logical framework and that it would be very difficult to formulate indicators with baselines and clear targets, the quality of the intervention logic is also affected by a significant lack of internal coherence and flaws against the technical rules of constructing a logframe.

- **Strategic Cooperation Agreement with DG DEVCO**

Observations on the quality of the SCA's Intervention Logic and Theory of Change:
- The logframe and ToC clearly show an emphasis on capacity building in/of developing countries.
- The Specific Objective (SO), specifically focusing on environmental mainstreaming, is not causally linked to all Expected Results. In fact, only ER1 potentially contributes to the

SO; ER2, ER3 and ER4 contribute to the Overall Objective (OO), but not to the SO. Moreover, the SO is formulated as an activity, not as an objective.
- Indicators to monitor progress towards the Specific Objectives and Overal Objective are lacking.
- The indicators associated with the ERs lack baselines and targets. Further, they lack relevance in the sense that they mostly refer to delivered outputs and they do not so much indicate progress to expected changes, like improved capacities and strengthened abilities. For instance, in stead of numbers of training activities provided, "improved capacities" (= ER) should be demonstrated by signs of proper use of newly gained skills and knowledge by the trainees.
- In the re-constructed ToC: the Expected Results from the logframe are pitched at the outcome level; to connect the first three Expected Results (outcomes) to the Overall Objective (impact), three intermediate states needed to be formulated.
- The ToC implies no less than 5 causal pathways, hence providing a very broad framework for action.

Based on the above observations, it can be <u>concluded</u> that also the logical framework of the SCA with DG DEVCO presents a number of internal disconnects and provides indicators of limited practical use. It should further be noted that it provides a very broad framework for action, actually too broad to generate substantial impact through all causal pathways with the resources available.

4.2. Alignment with the priorities of the EC ENRTP

- **Strategic Cooperation Agreement with DG ENV**

As mentioned in the concerned Contribution Agreement between UNEP and DG ENV, the funds are made available to support the implementation of subpriority 3.1. of the ENRTP Strategy. Subpriority 3.1. is about improving international environmental governance, enhancing EU leadership and effective implementation of the EU's external policy on environment. The ENRTP Strategy specifies the support that is eligible under this area. Details are presented in Annex VII.

A comparison of the SCA Intervention Logic with the eligible support, gives the following findings:
- The Specific Objectives (SOs) 1 to 3 as well as the Expected Results (ERs) 1 to 4 are fully coherent with the support considered as eligible by the ENRTP Strategy; almost copying the headings used in the ENRTP Strategy.
- In relation to Expected Result 5: As mentioned in the section 4.1.1, this ER concerns the visibility and coherence of EC-UNEP cooperation. EC visibility directly contributes to the aim of enhancing EU leadership (and effective implementation of the EU's external environment policy).
- The Overall Objective aligns with the higher goals of the ENRTP strategy and therefore transcends (but covers) the level of subpriority 3.1.

<u>Conclusion</u>: The SCA with DG ENV is fully coherent with the ENRTP subpriority to which it is supposed to contribute.

- **Strategic Cooperation Agreement with DG DEVCO**

As mentioned in the concerned Contribution Agreement between UNEP and DG DEVCO, the funds are made available to support the implementation of priorities 1 and 2 and subpriority 3.3. of the ENRTP Strategy. Priority 1 addresses the issue of climate change and sustainable energy; priority 2 covers three areas under the joint denominator of "Environment for Development"; and subpriority 3.3. aims at mainstreaming and promoting governance and transparency for natural resource management, including water.

Comparing the SCA Intervention Logic with the descriptions of the ENRTP priorities 1, 2 and 3.3 (see Annex VII), indicates that:

- ER1 is aligned with ENRTP priority 1 but more limited in scope (not covering the area of sustainable energy). The issue of (sustainable) energy policy is however included in the SCA's Overall Objective.
- ER2 is aligned with subpriority 2.1. which aims at "ensuring that developing countries are in a better position to assume their responsibilities as signatories of different Multilateral Environmental Agreements (MEAs), initiatives and strategic plans, especially their commitments under the post-2010 Global Biodiversity Strategy which will include targets relevant to drylands and forests as well as marine resources".
- ER3 is aligned with subpriority 2.3. which focuses on Green Economy, including the development of resource efficient policies, safe production and use of chemicals.
- ER4 is aligned with subpriority 3.3.

Conclusion: The SCA with DG DEVCO is well aligned with the ENRTP priorities it is supposed to contribute to, though a bit more limited in scope.

4.3. Alignment with the priorities of UNEP's Mid-Term Strategy (2010-2013)

The main elements and priorities of UNEP's Mid-Term Strategy (MTS) for 2010-2013 are summarised in Annex VIII.

Before looking into the coherence of the SCAs with UNEP's MTS, it should be highlighted that the mandates of UNEP, DG ENV and DG DEVCO, each at their own level and in their own context, are very similar. For UNEP and DG ENV[6], both institutions focus on environmental policy development and express an aspiration to assume leadership in this specific area. Partnership and cooperation between these two institutions is obvious. DG DEVCO's core business relates to capacity strengthening in developing countries in view of poverty reduction, with the environmental sector being an important area for promoting sustainable development. UNEP's focus being global, work with developing countries is also included in UNEP's mandate. For example, strengthening technology support and capacity in line with country needs and priorities (area 5) – when implemented in developing countries – perfectly matches DG DEVCO's mandate.

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[6] The situation, as far as it concerns Climate Change policy, also applies to DG CLIMA.

Strategic Cooperation Agreement with DG ENV
- ER1 and ER2 strongly align with areas 2 and 4 of UNEP's mandate as well as with the objective of the Subprogramme on Environmental Governance.
- ER3 strongly aligns with areas 4 and 5 of UNEP's mandate and is linked to a number of Subprogamme components (Expected Accomplishments - EA) that focus on capacity strengthening and improving access to information. For example, to EA5 of the Subprogramme on Climate Change and to EA4 of the Subprogramme on Environmental Governance.
- ER4 perfectly matches with areas 1 and 3 of UNEP's mandate.

Strategic Cooperation Agreement with DG DEVCO
- ER1 fully coincides with the objective of UNEP's Subprogramme on Climate Change.
- ER2 aligns with UNEP's Subprogramme on Ecosystem Management.
- ER3 aligns with UNEP's Subprogramme on Resource Efficiency and to a certain extent also with the Subprogramme on Harmful Substances and Hazardous Waste.
- ER4 focusing on environmental mainstreaming is fully coherent with EA3 of UNEP's Subprogramme on Environmental Governance and is also linked to the Subprogramme on Disasters and Conflicts.

Conclusion: All Expected Results (with the exception of ER5 of SCA DG ENV on visibility) of both SCAs can be linked to priorities described in UNEP's MTS for the period 2010-2013.

4.4. Alignment with the priorities of the concerned MEAs

In relation to the MEAs, the scope of the SCAs is limited to the MEAs whose Secretariat is hosted by UNEP. Further to that, the intervention logic of both SCAs refers to MEA support in very general terms, covering thereby the entire set of objectives and priorities as listed in the concerned MEAs' policies, strategic frameworks and Programmes of Work.

Explicit references to MEAs in the SCA with DG ENV include: the second element in the overall objective ("…promoting strong international environmental governance, through a support to the work of UNEP and *MEA Secretariats"*); the third specific objective ("*To support coordination among MEAs and to promote better implementation of and compliance with MEAs for which UNEP provides the Secretariat)*; and ER2 ("*Enhanced coherent synergetic implementation of and compliance with MEAs"*). For the SCA with DG DEVCO, there is only one such reference, notably in the second ER on conservation and sustainable use and management of ecosystem services, biodiversity and natural resources. It is the second component under this ER that refers to MEAs ("country implementation of specific *Conventions*").

Conclusion: Referring to the MEAs only in very general terms, the intervention logic of the SCAs covers the entire set of objectives and priorities of the UNEP-hosted MEAs and both SCAs are therefore coherent with the objectives and priorities of the concerned MEAs.

4.5. Coherence of individual actions with the relevant SCA, UNEP and MEA priorities

Coherence of the individual actions of the portfolio with the relevant SCA, UNEP and MEA priorities is discussed on the basis of the findings from the twelve case studies, presented in volume 2. Generally speaking the twelve projects are well aligned across the board. The only issue to be mentioned concerns the fact that some projects (six in the sample of 12 case studies) include components/activity lines specifically supporting developing countries projects, but part of their budget is spent at the overall process level and global activities that are not directly "supporting cooperation with developing countries, territories and regions included in the list of aid recipients of the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD/DAC)"[7]. This means that some of the work is not targeting the main overall purpose and scope of the Development Cooperation Instrument governing amongst others the ENRTP, but rather falls under the DCI Regulation, Article 2, paragraph 4 [8] which foresees a derogation and allow use of 10% of the budget for support programmes that are not directly targeting developing countries.[9]

There is one case (CCAC/SLCP) where the actual scope of the action is notably broader than the scope of its own outcome, which coincides with an outcome of the UNEP's MTS/PoW. This means that in that case, a certain budget has been allocated to activities which are situated outside the strict scope of the UNEP priorities. They do however fall under the SCA DG DEVCO intervention logic.

Referring to section 4.4 where it is explained that the intervention logic of the SCA with DG DEVCO only explicitly covers support to MEA implementation and compliance under the thematic area of "conservation and sustainable use and management of ecosystem services, biodiversity and natural resources", it is appropriate to have a closer look at the DG DEVCO portfolio. As a matter of fact, the portfolio only includes two MEA-related actions: one with CITES (MIKE Phase III) and one with the Barcelona Convention/Mediterranean Action Plan (SWITCH Med). The priorities of CITES are clearly in line with the SCAs ER on ecosystem services/biodiversity/natural resources. As for SWITCH Med, this project directly contributes to the SCAs ER on resource efficiency, green economy and sustainable consumption and production and is therefore also coherent with the objectives of the SCA.

Conclusion: Apart from the lack of a specific focus on developing countries in many of the portfolio projects, the main target group for the ENRTP/DCI, there is a good level of coherence of the individual actions with the priorities of the different strategic frameworks governing them.

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[7] DCI Regulation, Article 1 "Overall purpose and scope", paragraph 1: The Community shall finance measures aimed at supporting cooperation with developing countries, territories and regions included in the list of aid recipients of the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD/DAC), and set out in Annex I (hereinafter referred to as 'partner countries and regions'). The Commission shall amend Annex I in accordance with regular OECD/DAC reviews of its list of aid recipients and inform the European Parliament and the Council thereof.

[8] Measures referred to in Article 1(1) shall be designed so as to fulfil the criteria for Official Development Assistance (ODA) established by the OECD/DAC.

Programmes referred to in Article 1(2) shall be designed so as to fulfil the criteria for ODA established by the OECD/DAC, unless:

— the characteristics of the beneficiary require otherwise, or

— the programme implements a global initiative, a community policy priority or an international obligation or commitment of the Community, as referred to in Article 11(2), and the measure does not have the characteristics to fulfil such criteria.

At least 90 % of the expenditure foreseen under thematic programmes shall be designed so as to fulfil the criteria for ODA established by the OECD/DAC, without prejudice to Article 2(4), second subparagraph, first indent.

[9] It should be noted that the projects do not provide direct benefits to non-eligible countries, but rather include global components which benefit both developing and developed countries, who are invited to participate in the interest of cross border cooperation.

5. IMPLEMENTATION OF THE STRATEGIC COOPERATION AGREEMENTS

5.1. Governance structures, rules and procedures

5.1.1. Refining the governance structure, rules and procedures

As mentioned in section 2.3.1, the SCA Contribution Agreements include general indications on implementation modalities and basic Terms of Reference for the two governance structures, the PSC and the PMU. During the inception period, however, the PMU with guidance by the PSC, would further elaborate the SCA governance arrangements and refine the mandate of the PSC. The detailed arrangements would be laid down in a document "Governance Structure, Rules and Procedures".

During the first PSC meeting, held in December 2011, the task of refining the governance structure, rules and procedures was minimised. General satisfaction was expressed with the ToR as annexed to the SCAs and it was decided not to add new rules or procedures to the existing ones for the time being. SCA implementation was to be considered as a "learning-by-doing-process" and in this process the PMU was to propose new rules as appropriate, "solving problems when they arise".

Still, the UNEP Office in Brussels, from where the PMU would operate, anticipating the need for more detailed guidance on e.g. reporting and financial management, had prepared a draft document on "Governance Structure, Rules and Procedures" for submission to the second PSC meeting in March 2012. The draft document was not approved by the PSC, mainly based on concerns from the MEA Secretariats on the lack of details and clarity regarding the financial issues and the possible incompatibilities with their own financial rules, adopted by the respective COPs.

In November 2012, at the third PSC meeting the PMU presented a second version of the document on "Governance Structure, Rules and Procedures". The document was discussed and the PMU was formally invited to adjust the document according to the comments made by the PSC and to re-submit it for final approval through the written procedure. The document was approved in March 2013. The resulting document provides clear guidance on the project selection and approval procedure (though without providing clear selection criteria beyond strategic alignment) but failed to sufficiently detail issues concerning financial management, reporting and monitoring, as well as division of responsibilities between and within the PMU and PSC and related decision-making.

The minutes of the fifth PSC meeting, held in December 2014, indicate dissatisfaction with the content of the document and the PMU was again requested to revise it, in particular the section on the roles and mandates of PMU and PSC. At the time of the present evaluation, this revision was ongoing and the resulting new version would be presented at the sixth PSC meeting, planned for December 2015.

In absence of a manual with clear and adequate operational rules and procedures for the SCAs implementation, the PMU somehow filled the gap (1) by developing and disseminating a Q&A document on operational issues addressed to the UNEP and MEA project managers and (2) by solving emerging operational and administrative issues, after seeking advice and guidance from the joint PMU and the PSC members and then providing clarifications and guidance to project managers. This type of "case by case advice" and "solving of emerging issues" has taken up a lot of time for the PMU and considerably affected the efficiency of SCA implementation.

5.1.2. Programme Steering Committee

A Programme Steering Committee was established and convened for a first meeting already in the same month of signing the Contribution Agreements. In the period covered by the evaluation, one extraordinary and four regular meetings were conducted, the frequency being fully in accordance with the contractual stipulations. The meetings were co-chaired by UNEP (Head of OfO), DG ENV (Head of Global Sustainability, Trade and Multilateral Agreements Unit) and DG DEVCO (Deputy Head of Unit for Environment and Sustainable Development). Table 3 provides an overview of the meeting dates and the names of the subsequent Co-Chairs.

Table 3. Overview of PSC meetings held in the period covered by the evaluation

	Date	UNEP Co-Chair	DG ENV Co-Chair	DG DEVCO Co-Chair
PSC I	December 2011	C. Bouvier	H. Schally	L. Du Breil de Pontbriand
PSC II *	March 2012	C. Bouvier	H. Schally	P. Renier
PSC III	November 2012	C. Bouvier	H. Schally	P. Renier
PSC IV	November 2013	C. Bouvier	H. Schally	P. Renier
PSC V	December 2014	C. Bouvier	A. Schomaker	J. Soler Carbo

* = extraordinary meeting

PSC minutes are available for each of the five meetings, including action points. However, the SPOR highlighted the lack of a systematic approach to follow-up and reporting on these actions.

5.1.3.Programme Management Unit

In the period just before and after (inception period) the signing of the SCA Contribution Agreements, regular staff of the UNEP Liaison Office in Brussels assumed the tasks of the PMU. They prepared for instance the first draft of the document on "Governance Structure, Rules and Procedures", they initiated the development of a Communication and Visibility Plan and they provided secretariat services to the PSC at their first and second meetings.

The PMU Coordinator, recruited by UNEP, took office in March 2012. As foreseen in the CAs, DG ENV and DG DEVCO both appointed a representative for the joint PMU. Their specific tasks and responsibilities have never been described in detail but generally consisted of working alongside the PMU Coordinator on coordination tasks and in acting as CA manager and SCA Focal Point within their respective institutions. The Focal Point for DG ENV has been the same person since the establishment of the joint PMU and dedicates more than 50% of his working time to SCA-related matters. Representation of DG DEVCO in the joint PMU has been subsequently assumed by various persons, occasionally generating gaps and, as compared to DG ENV, dedicating a lower share of their working time to SCA coordination and implementation. DG CLIMA's overall participation and involvement can be characterised as "occasional".

Due to the incomplete formal operational guidance to project proponents and managers at UNEP and MEA Secretariats (see 5.1.1), the PMU Coordinator spent considerable time in solving emerging operational issues and in answering questions on a case by case basis. Apart from providing operational guidance, keeping overview of the entire project portfolio and assuming secretarial tasks to the PSC, she also endeavoured to promote networking and establishment of synergies among the individual projects.

In the course of SCA implementation, the PMU was gradually solicited to undertake additional tasks, beyond its ToR. Some of these include:

- Supporting UNEP and MEA Secretariats in the implementation of EC requirements (7 Pillar Assessment, verification of expenditure missions, guidance on the FAFA regulations, etc.) of relevance for smooth implementation of EC-funded activities (beyond the SCA).
- Supporting UNEP in the ongoing negotiations regarding the transition from direct/joint management modes through grant/contribution agreements under FAFA to PAGoDA (Pillar Assessed Grant or Delegation Agreement) regulations and in the application of the latter in the conclusion of new contracts with the EC as from 2014.
- Supporting the evaluation processes for UNEP ENRTP funded projects.
- Providing operational follow-up and guidance to EC-funded and UNEP/MEA-implemented projects that fall outside the SCAs.

In practice, the PMU coordination role turned very much into a helpdesk function for matters related to UNEP-EC procedures and cooperation, also providing assistance to parties that are not directly involved in SCA implementation though participating in the broader EC-UNEP programmatic cooperation. As a consequence, the PMU's coordination capacity became stretched. Responding to this problem, UNEP hired in 2014 a consultant (= the programme assistant) to assist the PMU Coordinator as well as a financial assistant, based in Geneva.

5.2. The project portfolio

5.2.1. Development of the project portfolio

The development of the SCAs project portfolio started with UNEP- and MEA-based internal prioritisation exercises with, for UNEP, the heads of divisions and sub-programme coordinators playing a prominent role. In parallel, and in relation to certain initiatives and projects they were keen to support, some EC task managers pro-actively contacted their UNEP/MEA counterparts informing them on the start of the SCAs implementation and on the associated opportunity to apply for funding, thereby requesting them to develop a project concept note and to participate in the selection process. Prioritisation at UNEP and MEA level was first and foremost based on alignment with their respective Programmes of Work, while the internal screening of the ideas and concepts allowed exclusion of duplications as part of the first selection round. From the donor side, the keen interest of the EC in financing certain projects was mostly based on ensuring continued support to successful and/or relevant ongoing initiatives[10] (e.g. TEEB, PEI) or on supporting issues that emerged from high-level events such as the Rio+20 Conference (e.g. CCAC/SLCP). Because of the high priority attached to them by the EC and the need to start as soon as possible to enable adequate integration in timelines of ongoing global processes, four projects were earmarked as "fast start actions"[11] (two UNEP and two MEA projects) and were allowed to start their

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[10] Mostly projects that were funded under the first ENRTP MIP running from 2007 to 2010. By the end of December 2013, when 56 projects had been selected, two thirds of the funded projects reflect continuity from the period 2007-2010.

[11] (1) Support to the International Panel for Sustainable Resource Management (DG ENV); (2) Support to the final meeting of UNEP consultative group on financing chemicals and waste (DG ENV); (3) Support to the Montreal Protocol Technology and Economic Assessment Panel (TEAP) and Methyl Bromide Technical Options Committee (MBTOC) Co-Chairs (DG CLIMA); (4) Support to the Nagoya Protocol on ABS for a pilot phase of the Clearing House Mechanism and the organisation of an expert meeting on a compliance regime (DG ENV).

activities as early as September 2011. It was in this regard that the starting date of the SCA with DG ENV was set on the date of submission of the application by UNEP, prior to the signature of the CA.

The proponents of the projects that made it to the first UNEP/MEA priority lists were then invited to develop a concept note, using the applicable UNEP template (specific SCA rules and procedures were still to be developed at that time). The priority lists, together with the concept notes were then shared and discussed with technical counterparts at respectively DG ENV and DG DEVCO. These discussions gave rise to two revised short lists submitted to the PSC (first and second meetings) for a final decision on funding. Most of the projects on these lists were approved (on the basis of the concept note) and received full or partial financial support.

Subsequent prioritisation and selection rounds were undertaken following a similar procedure but they were considerably less intense as the largest part of the total SCAs budget had already been committed[12] during the first two PSC meetings or tentatively earmarked for following-up on the outcome of forthcoming important processes (such as MEAs COPs).

Following approval by the PSC of concept notes whereby a budget allocation is agreed, the concerned project proponents are invited to develop in coordination with their respective EC task managers a project document, often referred to as "fully-fledged proposal" (FFP), using the corresponding UNEP template. Typically, the template covers general project information; a justification for the action including the rationale for the proposed geographical focus; a project statement (main goal, objectives); the project approach (methodologies, outputs, activities); a stakeholder analysis; a partnership analysis; a description of the project's socio-economic contribution (including contributions to gender equality and poverty alleviation); the definition of critical success factors; a logical framework; a risk analysis; an overview of specific project opportunities; reporting, monitoring and evaluation modalities; a delivery plan with budget and assignment of responsibilities; a description of project organisation and management; and the proposed use of legal instruments. The completed FFP must be formally approved by the concerned EC task manager through a written (usually an e-mail) procedure. This approval then automatically authorises the concerned Fund Management Officer (FMO) to separate the corresponding financial allotment for the project (in case of a UNEP project) or the transfer of the project budget from the UNEP-administered SCA Trust Funds to the corresponding MEA Trust Fund, allowing the projects to start implementation.

Characteristic for the SCAs portfolio development process was the approach of "phased allocation". As set out in section 2.2., the total SCAs budget consisted of subsequent EU contributions that were committed through amendments and disbursed to UNEP in three installments for the SCA with DG ENV and in two installments for the SCA with DG DEVCO. As a consequence, the budget available for the first year of operation was only part of the total envisaged EU contribution. The "phased allocation" approach was adopted as a mechanism that made it possible to initiate more projects in year 1 than the available/committed budget allowed, by only allocating a year 1 budget to the selected projects. Subsequent years would then be financed from the subsequent increases of the EU contribution expected to replenish the SCAs Trust Funds. Given the high probability that these replenishments would materialise, the risk of getting into problems with this approach was considered minimal.

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[12] Assuming that the many projects under the SCA with DG ENV, which were approved during PSC meetings 1 and 2 to receive a "year1" allocation to cover part of the envisaged activities, would receive continued funding in years 2 and 3.

Another feature of the SCAs selection and approval process was the explicit encouragement to submit projects of considerable size in view of (1) reducing transaction costs and (2) enhancing synergies. The sample of twelve case studies contains two projects (BRS Synergies and CBD Intercessional activities) whose proponents were requested to 'bundle' several concept notes into one larger project. Other examples mentioned in the SPORs include the project on eco-labelling and sustainable public procurements (SPPEL) and the project on strengthening BIO-MEA synergies and work on the National Biodiversity Strategies and Action Plans (PE Synergies & NBSAPs). In a similar vein the two REEDTE projects financed through the DG ENV and DG DEVCO SCAs are managed and reported as a single project.

While the selection procedure as described above appears to have been inclusive and based on meaningful criteria, the list of possible activities well aligned with the respective PoWs[13] and hence eligible for SCA funding must have by far exceeded the available budgets. At that level, the selection and approval process becomes rather opaque, in particular from the point of view of UNEP/MEAs project proponents. Apart from an indicative allocation of 60% of the DG ENV SCA budget for UNEP projects and 40% for MEA projects, no further guidance was provided, no clear selection criteria (beyond alignment) were made public and no detailed argumentation has been provided for the selections made. (see also section 7.2 on recommendations)

Finally, it is worthwhile to note that there has been no stated intention to balance the project portfolio in terms of its contributions to individual ENRTP Priority areas, SCAs expected results, and UNEP sub-programmes or implementing entity.

5.2.2. Overview of the resulting project portfolio

A total of 57 projects have been approved and funded under the SCAs. Figure 3 visualises the repartition of the 57 projects over the two SCAs and over the UNEP / MEA sub-portfolios.
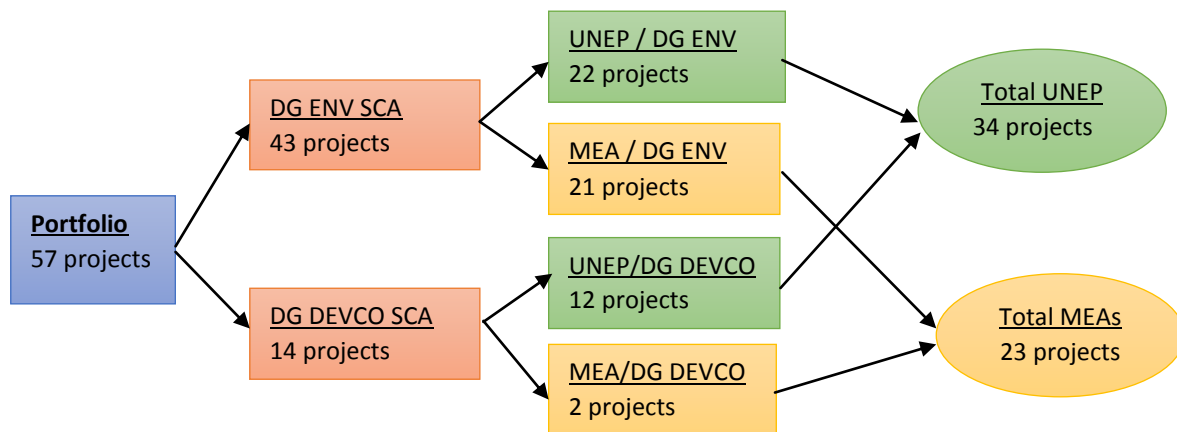
Figure 3: Distribution of the SCAs project portfolio.

The further division of the 34 UNEP managed projects by UNEP Division is:

[13] Alignment with UNEP/MEA PoWs and with ENRTP priorities was indicated as main criterion.

- A clear majority of 22 projects falls under the Division of Technology, Industry and Economics (DTIE), overseeing UNEP's sub-programmes on climate change, harmful substances & hazardous waste and resource efficiency.
- 6 projects are managed by the Division of Environmental Laws and Conventions (DELC).
- 5 projects fall under the Division of Environmental Policy Implementation (DEPI)
- 1 project is implemented by the Division of Communications and Public Information (DCPI)

The 23 MEA's managed projects are subdivided as follows:
- 8 projects by the Basel, Rotterdam and Stockholm Conventions (BRS) Secretariat
- 5 projects by the Convention on Biological Diversity (CBD) Secretariat
- 3 projects by both the Convention on Migratory Species (CMS) and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) Secretariats
- 2 projects by the Mediterranean Action Plan (MAP) Secretariat
- 1 project by the Secretariat of the Montreal Protocol and
- 1 project by the Minamata Convention

5.3. General performance of the individual projects

The findings under this section are based exclusively on the twelve case studies that were conducted in the context of the present evaluation.

Seven out of twelve projects had (almost) fully delivered the envisaged outputs or were on track towards full delivery. Two of these projects even reported to have exceeded the initially envisaged outputs. While one project is clearly not going to be able to deliver what had been expected, the assessment for the four remaining projects was hampered by the fact that expectations had not been clearly defined (very general expected outputs, no or inadequate output indicators, no targets and no detailed planning).

Assessing the achievement of the expected project outcome(s) proved to be even more difficult due to gaps/flaws in the logical framework similar to the ones described above in relation to the outputs, but in quite a few cases also due to incoherence between the project outcome and its outputs. Besides this concern, it is clear that the majority of the projects have produced substantial and relevant contributions towards the achievement of the expected outcome but no conclusions can be drawn regarding the extent to which the outcome was achieved (or is being achieved).

Nine of the twelve projects suffered delays in implementation; eight of these requested and were granted one or several (in six cases) no-cost extensions[14]. These extensions were easily granted by the EC task managers, upon request and justification from UNEP/MEAs project managers. In most cases, the

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[14] According to SPOR2, covering the entire project portfolio, twenty four ongoing projects have been granted no cost extensions of between three and 48 months, in most cases as a result of delays experienced due to operational, implementation or external challenges. Requested extensions for a number of MEA projects were granted to allow additional activities to take place as a result of cost savings and/or mobilisation of more co-finance for the original activities than was anticipated

progress reports explained the reasons for delay. Obviously, a variety of reasons were mentioned. The ones that are of interest for the evaluation are the ones related to certain SCA/UNEP/MEA procedures. For example, six projects reported a serious delay in starting date due to the late disbursement of SCA funds. This late disbursement, in turn, was caused (1) by extended discussions between the EC and UNEP regarding the exchange rates to be applied[15] and (2) for some of the MEA administered projects, by the difference in financial management practices and the length of subsequent discussions to solve the issue. Specifically related to UNEP procedures, the transition to the Umoja system for resource management were mentioned several times as a cause for delay.[16]

Based on the progress reports, all projects – without exception – seem to have paid due attention to building synergies and partnerships and for seeking complementarity.

In August 2015, marking the end of the period considered by the evaluation, 17 projects had been completed.

5.4. Management of the portfolio

- Project database

In compliance with its ToR, the PMU developed a comprehensive project database which is periodically updated. The database provides a useful source of codified information and is an important tool for monitoring implementation of the overall portfolio.

- **Annual reporting**

As confirmed by the project documents of the case studies that were developed in 2011 and 2012 (and even in 2013), the absence of specific SCA guidelines regarding reporting (and monitoring and evaluation) made the project proponents copy the corresponding standard text from the template, reflecting the requirements as prescribed in the UNEP project manual.

Specific SCA guidelines became available early 2013 (with the adoption of the SCA "Governance structures, procedures and rules"). Basically, a template – adapted from the UNEP template – was issued, the frequency was decided (annually) and the deadline was fixed (31st of March of the year following the reporting period covered). Hence, a first round of annual progress reporting took place in the beginning of 2013, covering implementation of 2011 and 2012. For the present evaluation, progress reports were available for implementation up to December 2014.

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[15] This was reported by several Project Managers during interviews, however the PMU reported that UNEP provides the exchange rate(s) once the EC funds are received and recorded against the right trust fund. According to the PM, there have not been discussions between UNEP and the EC on the exchange rates as they are fixed in line with the FAFA..

[16] Several MEA project managers raised concerns about the complexity and strictness of UNEP procurement rules, however, as UNEP-administered entities, MEAs are bound to follow UN rules as they apply to UNEP, including on procurement procedures. The introduction of Umoja caused delays in project management in 2015. These delays were incurred by all UN Secretariat bodies to which Umoja applies, including UNEP and its administered MEAs. It is important to distinguish between delays which are linked to UNEP practices which apply to any project and are mandated by UN rules and systems (e.g. procurement and Umoja) and delays which may arise as a direct result of the implementation of SCAs (e.g. agreements on exchange rates).

The vast majority of the SCA-supported projects (e.g. all twelve case studies were in that situation) are not stand-alone projects but are just a component within a larger programme and/or a phase in an ongoing process, with progress reporting already done by the same staff at the level of these larger programmes and processes. The SCA reporting covering only certain components of the overall programme/process and therefore means an additional administrative task for the programme coordinators, in particular when the reporting cycles and/or templates are different. As a consequence, time constraints and limited motivation affected reporting quality and significant efforts had to be deployed by the PMU Coordinator to raise the quality of the SCA reporting to an acceptable level. (see also section 7.2 on recommendations) One of the measures adopted was to actively involve subprogramme coordinators & divisional focal points in UNEP and the ENRTP SCA focal points in the MEA Secretariats in the annual reporting cycle by assigning them the tasks to following up with individual project managers and reviewing the report quality before submission to the joint PMU and before sharing with the EC task managers. This procedure, however, generates an efficiency issue: too many staff are involved in producing and reviewing these annual progress reports, thereby increasing transaction costs and delaying the availability of information to managers.

- **Monitoring**

Initially, there were no SCA specific rules for monitoring, either at portfolio level or at the level of the individual projects, beyond the annual reporting. Nonetheless, at the 4th PSC meeting in November 2013, it was decided to introduce a new and additional system for monitoring project progress and expenditure. The initiative was based on the PSC's desire to have timely[17] information on financial balances, on execution rates and delays as compared to forecasts from project proposals, in order to fully exploit the flexibility potential offered by the SCAs. This flexibility is reflected in, for example, no-cost extensions for running projects, transferring financial balances to other projects in need of an additional budget, major adjustments in planning, and early closure.

The system that was then introduced, called the "Quarterly Traffic Light System (QTLS)", is a self-assessment system whereby project managers rate their progress with regard to delivery and financial performance, with brief explanatory comments on highlights and challenges, including with reference to any planned remedial actions. The feedback is reviewed by the joint PMU and the project manager is provided with an opportunity to provide further feedback. The results of each QTLS exercise are shared with PSC co-chairs for information and with EC task managers for follow-up with UNEP/MEAs project managers (in case any action is deemed necessary). The QTLS started operating as from the first quarter of 2014, with four quarterly reporting exercises, covering all ongoing projects, undertaken for 2014[18].

Upon request of project coordinators, it was agreed at the 5th PSC meeting (December 2014) to reduce the frequency of the quarterly reporting cycle to a period of 4 months. The latest QTLS reports available are from April/May 2015. For the remaining part of 2015, due to a lack of access to UNEP's financial system related to the transition to the Umoja ERP, the relevant data were not available and no further QTLS reports were produced.

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[17] Hence, with a higher frequency than the annual reporting.
[18] The fourth exercise was completed in early 2015 and considered progress to the end of 2014

- **Evaluation**

Regarding (external) evaluation of the individual projects, there has been neither a harmonised specific SCA approach nor compliance of the UNEP-managed SCA projects with the general UNEP evaluation requirements and procedures. For instance, some projects include a budget for evaluation purposes, others do not. Moreover, if a budget is foreseen, the variation in budget sizes is considerable and not really in proportion to project size. Though a number of SCA projects have been evaluated by the UNEP EO, most often as component of a larger aggregated project or UNEP sub-programme, the EO reported irregularities in evaluation practices in the sense that projects were closed and evaluation budgets were redirected to the UNEP ECL/EUL trust fund without their knowledge/approval. This meant that several projects were closed without going through the required consultation procedure with the EO during which the need for evaluation/review is assessed with the project manager. As for the MEA-managed projects, the initiative to undertake an independent evaluation was left to the respective COPs/Secretariats.

An independent evaluation of the ENRTP SCAs was foreseen and is completed with the final version of the present report.

5.5. Strategic Performance Overview Report

As stipulated in the PMU/PSC ToRs appended to the CAs, annual Strategic Performance Overview Reports (SPORs) were to be developed by the PMU and reviewed and approved by the PSC. The SPORs were intended to provide PSC members with an assessment of the results of implementation of the agreements and to identify lessons learned as well as key challenges requiring further attention. Moreover, they would be the basis for providing the EC-UNEP High-Level Meetings with a succinct account of the programmatic cooperation under the ENRTP SCAs, thereby providing relevant information for further coordinated policy dialogue and collaboration. During implementation, it was agreed with the EC that the SPOR would serve as the annual narrative and financial report mentioned in the contractual requirements of the CAs and that the UNEP OfO would produce these reports and send them to the EC for approval, thereby triggering interim payments of the EU contributions. The SCA "Governance Structure, Rules and Procedures" document further specifies that the SPORs must be available by the 31st of May of the year following the year covered by the report.

So far, two SPORs have been produced. Based on the PMU's capacity already being stretched, the development of the SPORs was outsourced to an external consultant. A first SPOR (SPOR1) covers the period from 16 September 2011 (signing of the first SCA with DG ENV) to 31 December 2013, hence more than two years. SPOR1 was submitted to the PSC for consideration at its 5th meeting in December 2014.

A second SPOR (SPOR2), covering January – December 2014, has been produced and was submitted to the PSC at its sixth meeting in December 2015. As of March 2016, the report is still in draft form[19].

While the SPORs that have been produced are highly informative as well as analytical, their usefulness is strongly affected by the delays. First, there has been no reporting after the first full year of

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[19] DG ENV approved the report on 18 March 2016.

implementation (2012)[20] which, in a context of a "learning-by-doing" approach, should have been fundamental. The first SPOR was only submitted to the PSC after more than three years of implementation. The second SPOR, due in May 2015, is still in draft form. The main reasons for these delays appear to be (1) the late transfer of financial expenditure data from UNEP to the consultant and (2) the important workload given the fact that summaries on progress and performance are requested for each individual project of the portfolio. Another issue related to the SPORs is the weak follow-up on the recommendations contained in the reports. One could at least have expected a discussion at PSC/PMU level, reflected in PSC minutes together with an implementation plan of SPOR recommendations earmarked for adoption. (see also section 7.2 on recommendations)

5.6. Communication and visibility

Following its ToR, the PMU was to develop a Communication and Visibility Plan (CVP) during the inception period and to support the implementation of the Plan. Further contractual stipulations and guidelines regarding Communication and Visibility are summarised in section 2.4. In the first PSC meeting, EC representatives reiterated that EC-support had to be made visible as a routine matter and that the CVP needed to focus on the EC-UNEP partnership and to a lesser extent on projects.

Accordingly, the PMU, assisted by the Communication Assistant of the UNEP Office in Brussels, started drafting a CVP at the beginning of 2012. Due to a consultation process with UNEP and MEA stakeholders and an extensive back and forth exchange on the document within the joint PMU (hence with the EC Focal Points), a final draft was submitted to the PMU only in December 2012, too late for the PSC to consider it during their 3rd meeting. PSC members were to review the document in the weeks following the meeting and provide their comments to the PMU. A final CVP was then approved by written procedure (together with the document "Governance Structure, Rules and Procedures") in February 2013.

As part of the preparation process of a new umbrella agreement between UNEP and DG ENV (Programme Cooperation Agreement (PCA) for strengthening international environment governance under Global Public Goods and Challenges (GPGC) 2014-2017), the CVP was again revised in 2014 with a view of making it clearer and more practical. The revised CVP has met with approval by DG ENV; DG DEVCO's comments/approval are, to date, still pending.

Regarding CVP implementation, the SPORs report the following:
- The PMU coordinator and the Communications Officer of the UNEP Liaison Office in Brussels have supported several projects in developing their CVPs as well as in developing audiovisual and printed communication materials.
- The portfolio projects have undertaken a variety of communication and visibility activities, mainly in view of awareness raising and/or dissemination of thematic information (leaflets, briefs, articles) or toolkits to apply certain methodologies. They provided extensive feedback on these actions through a dedicated section in the annual progress report. The evaluation of the twelve case studies confirms the high delivery level of the projects in terms of communication and dissemination materials

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[20] During the review of the evaluation report, it was further explained that a draft SPOR 1 had been submitted by the UNEP OfO for the period Sept 2011 - Dec 2012 but that this draft SPOR 1 was never accepted by the EC. It was then jointly agreed that a revised SPOR 1 would be produced, also encompassing 2013.

related to the technical area they address. Further, the annual progress reports indicate a consistent acknowledgement of the EU contributions and support during major events and on published materials.

- Specific activities undertaken by the PMU to increase the visibility of the EC-UNEP partnership, and of the SCAs in particular include: a joint EC-UNEP press release to mark the signature of the SCAs; presentation on the partnership to UNEP and MEA staff at the Annual Administrative and Management meeting in Nairobi (UNEP HQ); information on the SCAs posted on the intranet of the OfO and the UNEP Brussels Liaison Office; SCA-funded project highlights in the UNEP Operational Services Center (OSC) newsletters; briefings to UNEP senior managers prior to events such as the EC-UNEP HLM meetings; and briefing by the PMU coordinator of visitors to the UN stand at Green Week on UNEP-EC cooperation.

Other initiatives were discussed and considered, but never materialised. For example, discussions were initiated on the potential development of a website or a restricted access internet (or intranet) platform to act as a repository and to facilitate exchange of information, reports and guidance documents amongst the various stakeholders. Although a website or internet-based platform could have been a highly facilitating and time-saving instrument, the idea was never put into practice. In addition, the proposal included in the CVP to link up with the EC's Capacity for Development (Cap4Dev) platform was never implemented. Nevertheless, the PMU worked extensively on the preparations for launching two ENRTP SCA Cap4Dev groups in 2013. In the end, the prepared groups "never went live" as the joint PMU was not really convinced about the added value of operating these groups and found that the distinction between the two 'groups' as outlined in the CVP was insufficiently clear. Since then, no further initiatives have been taken in that respect.

5.7. Financial management and performance

UNEP is committed to ensure financial management of the ENRTP funds provided through the two SCAs in full compliance with (1) the provisions of the CAs (specific and general conditions), (2) the general conditions of the FAFA and (3) section 3.9 of the Governance Structure, Rules and Procedures approved for the SCAs. To receive and manage these funds for the implementation of the SCAs, UNEP set up two Trust Funds: the ECL Trust Fund for the SCA with DG ENV and the EUL Trust Fund for the SCA with DG DEVCO. According to UN rules, both Trust Funds are maintained in USD.

Overall SCA financial management is the responsibility of the Geneva Operations Service Center (OSC), which forms part of the OfO in Nairobi. In 2014, the PMU was strengthened with a dedicated financial assistant based in OSC. At project level, financial management is the responsibility of the project managers liaising with their respective Fund Management Officers (FMOs).

As from January 2014, UNEP embarked on a process of adjusting its financial reporting system to be compliant with the International Public Sector Accounting Standards (IPSAS) as mandated by the UN General Assembly. As part of the process, a new Enterprise Resource Planning (ERP) system, called Umoja, was introduced in June 2015. Though it is expected that the new system will eventually improve the control over, and reliability of, financial data, the transition to Umoja, a lengthy process with the financial system being inaccessible for extended periods of time, has caused many additional difficulties and unexpected delays for the implementation of the SCAs. The transition to Umoja affected the overall

management of the SCAs as well as the performance of the individual projects as was indicated in previous sections and in the case study reports (e.g. delays in concluding contracts with implementing partners at project level; unavailability of financial data to operate the QTLS and to provide the required financial data for SPOR development).

Table 4 provides a summary of the disbursements made by the EC to the two Trust Funds. They have been timely and conform to the CAs. The first pre-financing payments for the two SCAs were transferred to and received by UNEP less than one month after the first PSC meeting on 14 December 2011. The table includes the exchange rates applied to the respective installments received, which are equal to the exchange rate applicable on the day UNEP records the Commission deposits in the Trust Fund accounts. The interest earned by the Trust Funds are to be allocated to actions under the SCA portfolio, the PSC having the mandate to decide on the precise allocations.

Table 4 EC disbursements to the SCA Trust Funds

Income	Amount (EUR)	Date Received	USD Exchange Rate
Initial Pre-financing DG DEVCO	14,250,000	21 December 2011	0.75
Initial Pre-financing DG ENV	14,440,000	28 December 2011	0.75
DG DEVCO Second Envelope I	1,819,978	4 January 2013	0.754
DG DEVCO Second Envelope II	10,330,022	18 February 2013	0.737
DG ENV Second Envelope	8,607,000	23 January 2013	0.754
DG ENV Third Envelope	6,000,000	16 December 2013	0.725
TOTAL	55,447,000		

Table 5 summarises the main elements of the overall financial implementation. The figures reflect the situation of March 2015.

Table 5. Overview of financial implementation of the SCAs.

ENRTP SCAs	Overall EC allocations to SCAs incl. PMU/PSC[21] €	Received EC pre-financings to SCAs incl. PMU/PSC €	Expenditures incurred €	Balance on EC pre-financings to SCAs due €	Cash balance available in UNEP trust funds €
DG ENV (ECL trust fund)	33,700,000	29,047,000	23,194,899	4,653,000	52,264
DG DEVCO (EUL trust fund)	33,000,000	26,400,000	15,655,232	6,600,000	491,128

Info as of March 2015

In the context of the present evaluation, the PMU has been requested to provide the most recent data available on financial expenditure for SCA management (PSC and PMU), communication and visibility, and evaluation. In short, for the share of the budget that was not foreseen for the implementation of the individual actions of the portfolio. The table that was provided is presented in Annex IX. The table shows that the most recent data that could be produced do not go beyond December 2014 (the table was provided in January 2016). Only data in USD are available.

Based on the financial data as provided by the PMU (and as presented in Annex IX), table 6 was developed to provide a better overview on the expenditures for governance and management (exclusive programme support costs) up to December 2014.

Table 6. Summary data on expenditures for SCA management & governance and communication & visibility.

	2012		2013		2014		Total
	USD *(0.75)*	EUR	USD *(0.754)*	EUR	USD (DG ENV: *0.725*) (DG DEVCO: *0.737*)	EUR	EUR
DG ENV	52,959	39,719	67,002	50,519	181,485	131,577	221,815
DG DEVCO	46,339	34,754	22,043	16,620	116,120	85,580	136,954
Total	99,298	74,473	89,045	67,139	297,605	217,157	358,769

The italics are the exchange rates as per table 4.

The data in table 6 are to be read in light of the foreseen total budgets for these components. For DG ENV, the total budget for programme management (PMU + PSC for 4 years) and visibility and communication amounts to 708,197 EUR; the SCA with DG DEVCO envisaged a total budget for programme management, including PMU + PSC operation during 9 years and visibility and communication, of 2,069,100 € (EC contribution + UNEP co-financing).

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[21] The DG DEVCO SCA budget included costs for 9 years of PMU/PSC operations, while the DG ENV SCA budget initially included these costs for 3 years, later amended to cover 4 years.

A comparison of the expenditures against the initial budget indicates a serious under-spending: for DG ENV 31% of the budget has been implemented at 75% of the time passed; for DG DEVCO just under 7% of the budget was implemented with 33% of the time passed.

Staff costs, including consultants, make up 88% of the total expenditure for the SCA components outside the portfolio. The detailed repartition of the joint expenditure (DG ENV + DG DEVCO) for these components and for the full reported period is as follows:

- PMU Coordinator: 172,581 USD[22]
- SPOR Consultant: 66,623 USD
- Programme Assistant: 51,841 USD
- Finance Assistant: 77,729 USD
- Temporary Assistant: 58,247 USD
- Travel – official business: 28,037 USD
- Travel – PSC activities: 22,094 USD
- Expendable equipment: 1,009 USD
- Camera and sound equipment: 3,543 USD
- Communication – Guidance on EC visibility requirements: 3,214 USD
- "Other": 1,031 USD

As for the project portfolio, with the approval of the 57 projects, the entire budget has been allocated. Financial implementation by the individual projects is generally on track. The need for eventual reallocations in view of timely implementation of the full budget is monitored through the QTLS.

6. ASSESSMENT OF EVALUATION CRITERIA

6.1 Relevance, including strategic alignment and design quality

As described in more detail in chapter 4, the SCAs of both DG ENV and DG DEVCO are well aligned with the EC ENRTP priorities and sub-priorities to which they are designed to contribute. In relation to UNEP's Medium-Term Strategy (2010-2013), all SCA Expected Results (with the exception of the ER on visibility, included in the SCA with DG ENV) are linked in a direct manner to one or more priorities of the Medium-Term Strategy and the corresponding Programmes of Work. Regarding alignment with the MEAs, the MEA-related elements of the intervention logic of both SCAs are kept so general that they cover the entire set of objectives and priorities of the UNEP-administered MEAs. Both SCAs are therefore coherent with the objectives and priorities of the concerned MEAs.

At the portfolio level and based on the findings of the twelve case studies, there is a good level of coherence of the individual projects with the priorities of the different strategic frameworks (SCA, EC ENRTP, UNEP, MEAs) governing them, only compromised by the missing focus on developing countries (see also next paragraph). Beneficiary and geographical targeting was relevant vis-à-vis the expected outcomes for practically all the case study projects. Only in the case of SWITCH Med, this beneficiary

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[22] No expenses for 2013 were recorded. The PMU Coordinator's salary was paid directly from UNEP's OfO budget in 2013 and 2015.

and geographical targeting was relevant in relation to just one of the two expected project outcomes. Further, most of the projects were relevant in the sense that they addressed (priority) needs of the targeted beneficiaries. The only exception in this respect is the EcAp Med project where a discrepancy was noted between the priorities as expressed during formulation and the interest and participation during implementation.

In spite of an overall adequate level of strategic alignment and coherence, it must be noted that the ENRTP, being one of the programmes under DG DEVCO's Development Cooperation Instrument, specifically targets developing countries and countries with economies in transition. This specific focus is not always the only priority of projects under the SCA implementation; with projects falling under the 10% derogation explained in paragraph 63 and others combining global level work with specific developing countries support. It should be noted that the DG ENV project portfolio has a predominant global focus, aiming at furthering global environmental policy processes. While such normative work, in the end, should also be to the benefit of developing countries, the support is rather indirect and therefore not strictly in line with the main ENRTP/DCI focus. It is however acceptable under the DCI regulation and its derogations. While there were no allocations made to non-eligible countries, some activities benefitted both eligible and non-eligible countries in the interest of promoting cooperation. Additionally, all global projects funded from the ENRTP priority 'external environment governance' are making sure that developing countries get specific attention by making sure the tools and guidelines take their specific needs into account While aligned with the ENRTP / UNEP / MEA strategic frameworks, the intervention logic of both of the SCAs was not well designed. The lack of internal coherence is particularly prominent. This lack of internal coherence together with the very broad scope of the frameworks, suggest the absence of a clear vision on what is to be achieved through the implementation of the SCAs. The logical frameworks are too broad and inconsistent to provide guidance for a genuine "strategic approach" in EC-UNEP cooperation as was originally envisaged. In addition, the size of the available budget, insufficient to support a 'critical mass' of effort to lead to substantive effects in <u>all</u> of the eligible intervention areas, is not in proportion to this broad intervention framework.

At portfolio level, only in 50% of the cases could the quality of the project's logical framework be considered as adequate and providing a useful tool for planning, monitoring and evaluation purposes. The deficiencies most commonly observed include the poor quality of the indicators (not measurable, not relevant, no baselines and no targets), lack of clarity in the formulation of the outputs, and lack of coherence between the project outputs and the higher level of project outcome(s). The latter is clearly linked with the UNEP requirement to select an Expected Accomplishment from UNEP's PoW as project outcome[23].

6.2 Efficiency

The SCA system has given rise to a number of significant efficiency gains in the task of implementing EC budgets through project development and management. First, thanks to the umbrella agreement, the otherwise lengthy procedure for each project of preparing and having signed contribution agreements (+ annexes) and eventual amendments to the contracts later in the process, is no longer necessary. Compared to bilateral contracting for each project, the workload to get a project up and running under the SCA system is reported to be significantly less. Moreover, the reduction in the length of the procedure is estimated at 3 to 4 months. Other efficiency gains under the SCAs were achieved by

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[23] http://www.unep.org/eou/Portals/52/Formative%20Evaluation%202014-2017.pdf

actively promoting (1) the submission of projects of a larger size, e.g. through bundling concept notes aiming to implement different elements of a same COP-related Programme of Work; and (2) enhanced networking amongst e.g. Bio-related MEAs or amongst projects that fall under the same UNEP sub-programme. This resulted in an increased number of synergies and hence better use of resources. Good examples of projects that developed closer cooperation and synergies are: the several initiatives under the Chemicals Conventions (Basel, Rotterdam, Stockholm), the projects under the Chemicals Conventions with the UNEP-managed SAICM programme, the interventions focusing on SCP (SWITCH Med, 10YFP/SCP) and the biodiversity-related programmes IPBES and TEEB. While increased networking and prioritising larger size projects can be continued outside the SCAs, maintained efficiency gains related to the contracting procedure require an umbrella agreement, such as the SCAs.

Other than the set-up of the SCAs mechanism, the management of the project portfolio and the implementation of the individual projects have been affected by a considerable set of efficiency-related issues. The main ones include:

- The "learning-by-doing" and "solving problems when they arise" approach adopted at the very early stages which resulted in a poor and late development of the SCAs operational manual, the "Governance Structure, Rules and Procedures".

- The lack of an adequate "Governance Structure, Rules and Procedures", in turn, has given rise to an inability of the PMU coordinator to provide complete, correct and timely guidance on operational matters to project proponents/implementers, resulting in time-consuming and inefficient reactive troubleshooting.

- The lack of an efficient channel to convey operational messages simultaneously to all project proponents/implementers, whereby all involved stakeholders receive the same message (e.g. regarding requirements for co-financing and for separating a budget for evaluation purposes, regarding concept note screening and prioritisation processes) at the same time.

- Gaps in the "Governance Structure, Rules and Procedures" document have given rise to widespread confusion and extensive negotiations regarding exchange rates and financial procedures compatible with MEA-based procedures. These discussions have delayed implementation of a significant number of projects, leading to other types of inefficiencies such as revision processes of already approved project documents, problems related to crucial timelines inherent to project processes, staff on hold, etc.

- The reported lack of a systematic approach to follow-up and report on action points originating during the PSC meetings as well as the weak response to recommendations listed in the SPORs.

- Late availability of information important for decision-making: the SPORs and the suspended QTLS operation linked to UNEP's transition to Umoja.

- The failure to make good use of existing quality assurance processes, both within MEAs and UNEP, and thus the creation of parallel project management systems and requirements.

6.3. Effectiveness

6.3.1. Effectiveness in fulfulling the initial expectations of enhanced strategic approach, flexibility and predictability

- **Strategic approach:**

As already highlighted under 6.1., the SCAs and their project portfolios are generally well-aligned with the concerned institutional frameworks of the EC, UNEP and MEAs, except for the issue regarding developing countries. In that sense, the SCAs mechanism has made EC-UNEP cooperation more strategic. Other positive aspects that point towards an enhanced strategic approach include (1) the reduction of multiple related and even competing applications that are received by the EC from the different sections of UNEP/MEAs as compared to the period 2007-2010; (2) the increased degree of complementarity and cases of effective synergies in the proposed projects; and (3) the availability of an updated project database as a decision-making tool, allowing to quickly identify gaps or duplications when allocating new funds.

However, the SCAs frameworks of objectives and expected results are still broad and rather vague in their expectations. It is actually hard to find an environmental project that is not strategically aligned with the SCAs intervention logic. Narrowing down the scope and focus and setting clear indicators and targets would be needed to further enhance strategic cooperation. Further, it has been reported that the ability of the PSC to take sufficiently informed strategic decisions related to project selection has been challenged by time constraints in the process.

- **Flexibility:**

It was expected that the SCA mechanism would offer more flexibility in managing the funds as well as the projects. Indeed, in case of emerging needs for certain adjustments to projects (e.g. at output/activity level, internal reallocations amongst budget lines, extension of implementation period, change of partner, etc.), the SCA system facilitated the conclusion of agreements between the project implementers and the EC task managers and the implementation of adjustments bypassing the long and time-consuming contract amendment procedures. Particularly, the need for no-cost extensions has been high. For example, eight projects out of the twelve case studies have requested one or more no-cost extensions.

The SCA mechanism also allows for "easy" reallocation of unspent funds from under-performing and/or closed projects and for allocation of interests earned on the Trust Fund deposits. While these funds now remain in the Trust Fund and do not need to be returned to the source (ENRTP/DCI) before the related CA implementation period ends, the reallocations can also be agreed upon between parties without having to go through heavy administrative processes. However, this type of flexibility is still rather theoretical; to date, there have been very few cases where this "quick" reallocation of funds could be applied. Further, the ability of the PSC to make decisions related to funding reallocation has been compromised by the limited availability of up to date financial information at its meetings, particularly related to the recent state of expenditure on ongoing projects. In addition, projects need to be considered on a case by case basis since low expenditure on projects can result from a wide range of factors and does not necessarily imply the project is at risk. This level of detailed discussion is beyond the scope of the PSC meetings.

- **Predictability:**

One of the expected advantages of the SCA set-up was the greater predictability in funding to UNEP and the MEA Secretariats. In this context, reports and interviewees consistently refer to the "phasing of project funding", an approach that was applied in the development and management of the SCAs project portfolio. This "phased allocation" approach has been explained in detail in section 5.2.1. The approach was applied to a significant number of projects, particularly under the DG ENV SCA, and has indeed been effective in allowing more projects to start in the first year with a high degree of assurance that they would continue in subsequent years subject to satisfactory performance. Concretely, seventeen projects under the DG ENV SCA were able to start with partial funding at the end of 2011 or in 2012. Of these, eight projects were phased over two envelopes and nine were phased over three envelopes. Similarly, three projects approved for funding from the second envelope were phased over two envelopes.

Nevertheless, the funding horizon does not extend beyond a period of three years, which is certainly no more than the average duration of most bilaterally concluded agreements for project funding. A funding horizon of three years is not long enough to claim enhanced funding predictability. The main advantage of the phased allocation approach has been the simultaneous and early start of a large number of projects, and not in predictability.

6.3.2. Effectiveness of the portfolio in achieving the Expected Results of the SCAs

SPOR2 made a tremendous effort to summarise the contributions of the entire project portfolio to the achievement of the SCAs expected results based on the logframe indicators. They are presented in the tables 7 and 8 below. It concerns contributions since the start of SCA implementation until December 2014.

Table 7. Contributions to the DG ENV SCA expected results and specific objectives, based on the logframe indicators

Indicators for Expected Results	
Number of knowledge products	86
Number of capacity building activities	83
Number of countries participating in international negotiations	171
Number of countries implementing MEAs	296
Indicators for Specific Objectives	
Number of countries participating in and implementing MEAs	603*
Outputs of international negotiations and processes	7**

* This corresponds to the sum of participating and implementing countries plus countries involved in IRP

** This figure is conservative since insufficiently specified references to COP Decisions have not been counted

Table 8. Contributions to DG DEVCO SCA expected results, based on the logframe indicators

Indicators for Expected Results	
Number of knowledge products	13
Number of capacity building activities	104
Number of training beneficiaries	1987
Number of pilot/ground projects	140
Number of countries / organizations mainstreaming environment	246

However, in light of the absence of targets, one cannot conclude whether these contributions are meeting the initial expectations, nor to what extent they are meeting these initial expectations. Further, there is no information whatsoever on the quality of these contributions and on how effective they are in generating the desired change. For instance, data are available on numbers of trained beneficiaries; but have their skills indeed increased? Are they able to effectively apply the newly acquired skills? Do they get relevant opportunities to use their new skills and competences? Without this kind of information, the level of effectiveness of projects cannot be correctly, not even approximately, assessed.

6.3.3. Effectiveness in promoting communication and visibility at project level

EC interventions in reports, minutes and interviews clearly show the importance that the EC attaches to the aspect of Communication and Visibility. More so, the issue of Communication and Visibility has been a reason for concern. While the development and implementation of the CVP at SCAs level was discussed in section 5.6., this paragraph briefly addresses the effectiveness of the PMU's initiatives to promote communication and visibility at project level.

From the case study reports, three types or levels of Communication and Visibility action can be clearly distinguished:

(1) Visibility of the projects, in particular through dissemination of their outputs such as reports and toolkits that need to be disseminated as a means for generating further impact change.

At this level, most projects have been very active, some of them even had a fully-fledged programme component for communication, outreach or dissemination.

(2) Visibility of the EC as donor.

Apart from the fact that this is a formal requirement for receiving EU funds, acknowledgement of donors and funding sources is a legitimate expectation and should be common practice. From the progress reports, it appears that project managers agree

with the above principle and consistently put logos on reports, equipment, banners, etc.; refer to donors during presentations at events; and have a dedicated donor page on their website. As this is the commonly found narrative in the progress reports, some level of awareness and consciousness must be present. Nevertheless, several EC task managers interviewed reported that this is not what is found "on the ground". Quite often they attend meetings, participate in events and receive published materials without noticing any sign or acknowledgement of EU support.

(3) Visibility of the EC-UNEP Partnership. This third aspect in particular has been the topic of many discussions at PMU/PSC level. Indeed, showcasing of the EC-UNEP Partnership was hardly mentioned in the progress reports. Still, the fact that almost no action has been undertaken at this level, seems rather understandable, in spite of the PMU promotion and insistence. After all, this partnership, crystallised in the SCAs is mainly an administrative-operational agreement. One really wonders what the message conveyed to the international community could be. While there is certainly genuine interest in information about responsible production and use of chemicals, about the costs of ecosystem degradation, about efforts to achieve sustainable fisheries, etc…the fact that these topics are addressed by projects operating in an institutional framework set up between UNEP/MEAs – EC must be of very little interest to the public. In light of this, the evaluation recommends that no further efforts be undertaken in promoting visibility of the SCAs.

6.4 Impact

A proper assessment of impact generated through the implementation of the SCAs is hampered by the lack of clear SCA objectives and indicators as well as by the absence of any efforts to measure or monitor impact. The same situation applies at the level of individual projects. Their logframes, based on the UNEP-template, do not even include specific or overall objectives, the level against which impact is to be assessed. Equally, there is no project reporting on progress towards impact or potential impact.

In this respect, it is proper to highlight and recognise that monitoring and assessing impact is costly and difficult as it concerns longer term changes. Nevertheless, how to deal with impact monitoring and assessment should be discussed during project/programme formulation and clearly reflected in the project/programme documents.

For the case studies, assessment of impact could not be taken beyond a vague description of potential impact on a self-derived general objective based on the respective delivered outputs and concrete achievements. As an overall conclusion for the twelve case studies, it can be stated that (1) all the projects were in a too early a stage to have generated real impact; (2) most of the projects had produced outputs that seem to be relevant to the intended outcomes; and (3) in many cases this potential impact must be qualified as indirect impact, in the sense that the projects strongly focus on the creation of enabling environments, which is only a pre-condition for improving environmental management. In other words, most SCA project outputs contribute to building an enabling political, institutional or technical framework but the path from an enhanced framework to effective implementation of "sustainable environmental management" is still very long and full of potential obstacles.

6.5 Sustainability

Given the very nature of the SCAs, which is mostly administrative and operational, discussing their sustainability is not meaningful.

As for the projects, and again based on the twelve case studies, they have the common feature of being embedded as a component of or as a phase in a larger programme or process. In most cases, the financial support concerns international programmes and processes set up with a long-term perspective and with well-established governance and operational structures. This common feature of being integrated in long term initiatives with established institutional settings and supported by the international community obviously supports their sustainability. The MEA Conventions and their Secretariats are typical examples, but also initiatives such as SAICM, IPBES, CCAC/SLCP amongst others offer a possibilities for good sustainability. Further, several projects, e.g. TEEB and PEI, benefit from substantial interest from and participation by the beneficiary countries. In these projects, with a good level of local ownership, the likelihood that project activities will be continued and/or outputs will be effectively used is significant.

On the other hand, all these international programmes and processes are dependent on external funding (membership fees, development banks, donor agencies) for their continuation. This dependency certainly challenges sustainability. Moreover, the demand for funding is huge and, given the joint potential for up-scaling and replication, as could be observed from the case studies, the needs are growing rapidly and competition between programmes and processes for limited SCA resources becomes tangible.

7. MAIN CONCLUSIONS AND RECOMMENDATIONS

7.1. Main conclusions

A governance and management system common to the two Strategic Cooperation Agreements (SCAs) concluded between UNEP and the EC, respectively with DG ENV and DG DEVCO, has been set up. The system has been instrumental in developing a joint portfolio of 57 projects, and thereby in allocating the full budget foreseen for this component, and in monitoring the implementation of these projects. To date, the implementation of a good number of the portfolio projects has been completed.

Analysis has confirmed the existence of significant common grounds between UNEP, EC and MEA strategic frameworks and objectives, thus warranting an umbrella cooperation agreement, such as the SCAs.

Through the signing of an umbrella agreement, as opposed to the project-by-project cooperation, both institutions expected to gain a more strategic approach to the ongoing cooperation, to enhance predictability of funding support for selected environmental processes and programmes implemented under UNEP/MEAs, and to create a more flexible system for managing the cooperation. As is explained in section 6.3.1, these expectations have been partially fulfilled under the SCAs. Compared to the previous project-by-project approach, improvements were made in the areas of flexible management of ENRTP funds and strategic alignment. Strategic programming could be further improved, for instance by a better definition of what is to be achieved. With a funding horizon of only 3 years, one can hardly talk

about "predictability of funding". Under the current financial and programming mechanisms of the EC, it is unlikely that significant predictability can be offered. For the time being, good performance in project implementation seems to be the best way of guaranteeing continued funding.

The most positive outcomes from the SCA set-up and management are (1) the considerable decrease in administrative workload for EC task managers and, related to that, the simplified procedures for getting projects up and running and (2) the enhanced networking amongst UNEP divisions / sub-programmes, amongst UNEP-administered MEA Secretariats, between UNEP divisions / sub-programmes and MEAs, and between UNEP/MEAs and the EC, also beyond the Units managing the ENRTP funds. In this respect, it must be highlighted that there is ample evidence that this enhanced networking has effectively resulted in a more coordinated approach in programming and in the creation of synergies and opportunities, hence increasing overall efficiency.

The main deficiencies identified are linked to efficiency aspects of the set-up of the SCAs operational mechanism, the management of the project portfolio and the implementation of the individual projects, as explained in detail in section 6.2.

The overall appreciation of the SCA concept and implementation somehow differs according to the respective stakeholder groups, but was mostly consistent within these groups. In summary:

- EC DG ENV generally perceives the SCA system as an important improvement as compared to the previous way of cooperation. They are facing staffing constraints and project management is not their core business. The SCA system has allowed them to manage a larger project portfolio and to maintain the same level of support to global environmental processes as compared to pre-2011[24]. In view of their institutional situation, the reduced administrative workload and simplified procedures under the SCAs are crucial for a continued high engagement in project management.

- EC DG DEVCO task managers equally underscore the efficiency gains in reduced administrative workload and simplified procedures and commend the enhanced networking. However, as DG DEVCO manages fewer but larger sized and longer term projects, the overall efficiency benefits generated through the SCA system are not as significant as for DG ENV. In addition, DG DEVCO has a long tradition in project management and is well-equipped in terms of procedures, mechanisms and staff for this task. In that sense, DG DEVCO has been more critical and the acknowledged advantages are weighed up against identified deficiencies, mainly related to the efficiency issues described in 6.2.

- MEA Focal points, project coordinators and administrators regret not having been involved in the development and signing of the SCAs and reported a number of operational incompatibilities in the system. Finding solutions for these issues has been a rather cumbersome process, causing delays in project development and implementation. While they admit that bilateral negotiation and development of individual projects requires a longer process and more staff time, they tend to prefer

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[24] Without the SCA approach, this level of support would have decreased.

the bilateral way based on the many confusions and inefficiencies that have occurred during project implementation under the SCA system. Lack of transparency in the project approval process was another issue which was repeatedly raised by interviewees.

- UNEP programme managers and sub-programme coordinators saw considerable benefit in the enhanced networking, in the faster and lighter procedures for project approval (though a lack of transparency was also mentioned in this respect), and in the flexibility and easiness to adjust projects if necessary. On the negative side, the internal system of quality control of progress reports is perceived as exaggerated and too heavy.

7.2. Recommendations

From the above, it is clear that the scope for improvement is significant. On the other hand, to date, all funds for the implementation of projects have been allocated and many projects have been already completed. What is left under the SCAs is about one additional year (2016) of project monitoring and closing. The SCAs as such cannot be extended as the ENRTP has ended. In that sense, it is not considered worthwhile to start a process of adjustments.

The Programme Cooperation Agreement (PCA) under the Global Public Goods and Challenges (GPGC) programme, concluded between UNEP and EC DG ENV and currently operating under the structures and mechanisms that have been established under the SCAs, might still benefit from some of the lessons learned from SCAs implementation and integrate a number of the following operational recommendations, mainly focusing on increasing efficiency:

- Rec 1: Recognise that the supported "projects" are mostly components of phases of larger programmes and processes that are steered and monitored in a professional manner by their own structures, notably UNEP QAS and MEA COPs and Secretariats. Placing the "projects" in their larger context and monitoring them as such is more meaningful and interesting thematically, also in view of long term cooperation and partnerships. Additionally, and importantly, such an approach would allow a reduction of the workload in drafting concept notes and project documents and progress reports, a good number of the required sections becoming redundant. For example, is it really necessary to embark on the full range of stakeholder analysis, risk analysis, partnership analysis, contribution to poverty alleviation, sustainability aspects, etc…just for a programme component or a bridging phase? Project documents and progress reports could be highly simplified by focusing on the essential elements, e.g. an indication on how they fit in the larger programme/context, on how they are managed, monitored and evaluated by their own structures, and on what exactly will be done with the funds allocated to the "project" and what is expected to be achieved. Further, considering this broader context would also provide more opportunities to undertake something related to impact measuring, an aspect that is presently completely absent from the SCA operations.

In the same vein, it would be meaningful to consider EC financial support for larger interventions, i.e. interventions at the scale of UNEP-entities, and not for components or smaller portions of UNEP / MEA programmes. This approach would yield the same efficiency benefits. In addition, EC visibility could be clearer for such larger programmes. Obviously, there will be a trade-off in number of different topics within the environmental sector that can be supported.

- Rec 2: Increase transparency in project prioritisation and allocation of funding through the formulation and communication of selection criteria additional to strategic alignment e.g. to foster synergies and a "critical mass" of effort among projects) and through proper feedback and argumentation following selection.

- Rec 3: Create more efficient and transparent channels for communication. A website or internet-based platform would be helpful in this respect.

- Rec 4: According to SPOR2, covering the entire project portfolio, twenty four ongoing projects have been granted no cost extensions of between three and 48 months, in most cases as a result of delays experienced due to operational, implementation or external challenges. The flexibility offered by the SCA enabled the extension to be easily granted so that projects could fully implement their work. In order to ensure that operational and implementation delays which are under UNEP's control are minimised, specific and uniform guidance for the entire project portfolio should be available; e.g. level and sources of co-financing, budget and procedures for external evaluation (including coordination with the UNEP EO), exchange rates, formats for financial reporting, etc. For MEA-projects, the guidance should take into account any differences in operational procedures in order to ensure efficient project management within the framework of such an agreement and taking into account their status as UNEP-administered entities. This would be expected to increase the efficiency of the PMU (and, in turn, or project implementation), which would move away from providing specific responses to queries to implementing a clear overall structure for implementation of project.

- Rec 5: Allow the MEA implemented projects to be as separate as possible from UNEP Programme of Work project cycle management. Coordination and exchange on thematic areas should continue.

- Rec 6: For communication and visibility: focus efforts on communication and outreach at technical level (preferably also in the broader context of programmes and processes, as explained above) and on visibility of EU-funding and discontinue efforts on promoting visibility of the SCAs/PCA.

- Rec 7 on monitoring and reporting: Change monitoring and reporting systems in view of the need for timeliness and of effective use by the management of information gathered through the systems. Follow-up on agreed action points, on data provided through reporting and on recommendations from SPORs should be strengthened.

- Rec 8 on design: Should the EC and UNEP agree to engage in further cooperation agreements to implement a strategy of cooperation, it is recommended that:
    o the formal objectives be clearly defined in a results framework
    o a coherent logframe with robust performance indicators be specified, and
    o budget allocations be made that are feasible in relation to the stated objectives.

- Rec 9 on relevance of strategic cooperation: While recognising that the determination of the broader strategic focus of the EC and UNEP cooperation were beyond the scope of this evaluation, in the implementation of any future agreements the EC and UNEP should reinforce the processes that aid the selection of initiatives that have strong alignment with mutually agreed strategic priorities. As a suggestion this may include:

    o conducting a broader consultation process to identify common strategic priorities including a broader set of stakeholders that would include the UNEP Sub-Programme Coordinators and representatives from MEA Secretariats,
    o Making full use of available strategic planning documents such as the UNEP Programme Frameworks, developed for each of its seven thematic Sub-Programmes and any relevant programming documents from MEA Secretariats, to increase the coherence and potential synergies among supported initiatives.

ANNEXES

ANNEX I.   TERMS OF REFERENCE

United Nations Environment Programme

Evaluation of the EC-UNEP Strategic Cooperation Agreements

under the EU Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP)

Terms of Reference

Evaluation Office of UNEP

22 June 2015

TABLE OF CONTENTS

ACRONYMS

ENRTP	Environment and Sustainable Management of Natural Resources including Energy Thematic Programme
DCI	Development Cooperation Instrument (of the EC)
DCPI	UNEP Division of Communication and Public Information
DELC	UNEP Division of Environmental Laws and Conventions
DEPI	UNEP Division of Environmental Policy Implementation
DEWA	UNEP Division of Early Warning and Assessments
DG DEVCO	Directorate-General for International Cooperation and Development (of the EC)
DG ENV	Directorate-General for Environment (of the EC)
DTIE	UNEP Division of Technology, Industry and Economics
EA	Expected Accomplishment
EC	European Commission
ER	Expected Results
EU	European Union
GPGC	Global Public Goods and Challenges Thematic Programme
MFF	Multiannual Financial Framework
MEA	Multilateral Environmental Agreement
PIMS	Programme Information and Management System
PMU	joint Programme Management Unit
PSC	Programme Steering Committee
SCA	Strategic Cooperation Agreement
SPOR	Strategic Performance Overview Report
QAS	UNEP Quality Assurance Section
ToC	Theory of Change
UNEP	United Nations Environment Programme

Evaluation of the EC-UNEP Strategic Cooperation Agreements under the EU's ENRTP

I. BACKGROUND

The ENRTP

The European Union (EU), represented by the European Commission (EC), follows a seven-year budget cycle called the Multiannual Financial Framework (MFF). The external dimension of the EU's policies, including its development cooperation policy, is implemented notably through a number of financial instruments operationalized through thematic and geographic programmes. The Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP) was one of these thematic programmes.

The fundamental legal basis for the ENRTP was the European Union's (EU) Development Cooperation Instrument (DCI)[25]. It set aside an amount of about €1.09 billion for the ENRTP for the period 2007-2013. The ENRTP sought to integrate environmental protection requirements and climate change actions into the EU's development and external policies and supported partner countries' efforts to strengthen environmental governance in the common interest of European and developing countries. It aimed to support developing countries in ensuring environmental sustainability and meeting their obligations under multilateral agreements. The programme covered all developing countries and emerging economies with the overarching objective to contribute towards poverty reduction and the achievement of the Millennium Development Goals. Activities under the ENRTP focussed on helping countries cope with climate change, supporting the sustainable management of natural resources and implementing the international environmental dimension of the Europe 2020 Strategy[26] and, following the adoption of a revised strategy for 2011-2013, were clustered under three priority areas:

- **Priority 1. Climate change and sustainable energy**: The programme assists developing countries in preparing for climate-resilient low emissions development by helping them: (i) Adapt to climate change, namely through work within the Global Climate Change Alliance; (ii) Mitigate climate change, namely through low-emission development, technology cooperation and reduction of emissions from deforestation and forest degradation; and (iii) Boost sustainable energy, namely through fostering investments in sustainable energy solutions and policy dialogue to improve cooperation with the EU.

- **Priority 2. Environment for development**: The overall objective in this field is to assist developing countries in preventing unsustainable use of natural resources by: (i) Preserving forests, protecting biodiversity and preventing desertification; (ii) Strengthening forest governance, namely through the implementation of the Forest Law Enforcement Governance and Trade (FLEGT) Action Plan; and (iii) Supporting a greener, resource-efficient economy including through the sound management of chemicals and wastes.

- **Priority 3. Strengthening environment and climate governance, including mainstreaming**: The ENRTP is also a tool to support multilateral environmental and climate processes, and to promote the EU's environment and climate change objectives at a global level, with a view to: (i) Achieving EU leadership and effective implementation of external environment and climate

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[25] The EU's Development Cooperation Instrument established in January 2007 replaced a wide range of geographic and thematic instruments which were created over time. See: https://ec.europa.eu/europeaid/node/7432

[26] http://ec.europa.eu/europe2020/europe-2020-in-a-nutshell/index_en.htm

policy; and (ii) Mainstreaming environmental issues and promoting better governance and more transparency in the use of natural resources.

For the 2011-13 period, the ENRTP had a budget of €517 million, distributed over Climate change and sustainable energy (46%), Environment for development (30%) and Strengthening environment and climate governance (24%). Funding was usually allocated through targeted actions with pre-identified partners as well as calls for proposals and tenders. The ENRTP was implemented through Annual Action Programmes based on the general indications provided by the Thematic Strategy Paper and Multi-Annual Indicative Programme MIP 2011-13[27]. Entities eligible for funding were: partner countries and regions, and their institutions; decentralised bodies in the partner countries (municipalities, provinces, departments and regions); joint bodies set up by the partner countries and regions with the Community; Non-State Actors including NGOs, international organisations and agencies from the EU and its Member States.

The UNEP-EC partnership

1.   Background

The European Commission and UNEP initiated a more structured cooperation in September 2004 with the signature of a Memorandum of Understanding (MoU) whereby both partners agreed to consolidate, develop and intensify cooperation and increase its effectiveness to achieve goals and objectives in the field of environmental policy. A revised MoU was signed in June 2014, and an Annex spelling out a range of specific areas for dialogue and cooperation was agreed upon by the EC-UNEP High Level Meeting of 27 April 2015.

In terms of financial cooperation, the EU is UNEP's main supporter for voluntary contributions to its work programme, mainly from the EU's research & innovation and from development cooperation programmes. This includes support for actions at global and regional level in areas of common interest such as: transforming environmental governance, resource efficiency and green economy, sound management of chemicals and wastes, ecosystems services and natural capital, as well as the science-policy interface.

Cooperation agreements were signed between UNEP and the Commission for over €75 million in 2011 under the ENRTP and in 2014 under the GPGC[28] to support the work of UNEP and UNEP-administered Multilateral Environmental Agreements (**MEAs**) where these reflect and align with EU priorities. .

2.   EC-UNEP cooperation under the ENRTP

During the period 2007-2010, the ENRTP provided approximately €50.4 million in co-funding for 59 projects implemented by UNEP and UNEP-administered MEAs mainly at the global and regional levels, based on UNEP/MEAs' comparative advantage. However, both the Commission and UNEP considered that the way their cooperation was operated under the 2007-2010 ENRTP could be optimised through a more strategic, effective and predictable

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[27] https://ec.europa.eu/europeaid/sites/devco/files/enrtp-strategy-paper-2011-2013_en.pdf
[28] The new EU Thematic Programme on Global Public Goods and Challenges (2014-2020) under the renewed EU 2014-2020 Development Cooperation Instrument. The GPGC thematic programme seeks to foster economically, socially and environmentally sustainable development in an integrated and holistic way aiming at promoting good governance, political stability and security and the requirement for policy coherence in external action.

approach to be tested during the last 3 years of implementation of the EU thematic programme.

The Sixth High-Level Meeting of the EC and UNEP held in June 2010 agreed to develop a multiannual joint programme of work under the ENRTP revised Strategy and Multiannual Indicative Programme (MIP) 2011-2013, which largely coincided with the UNEP Medium-Term Strategy (MTS) for 2010-2013. The ENRTP Strategy and MIP 2011-2013 anticipated piloting of a more strategic approach with UNEP in those areas where it has comparative advantage to implement the EU's priorities on development and environment, and envisaged possible signature of a partnership agreement in the context of Priority 3, addressing international environment and climate governance.

In February 2011 at UNEP Governing Council, the Commission and UNEP issued a Joint Statement reiterating and further detailing their intention to establish a more strategic approach for conducting their cooperation under the ENRTP. The statement identified potential areas for cooperation on the basis of institutional priorities namely, the EU's priorities spelled out in the ENRTP Strategy and MIP 2011-2013 ; UNEP's priorities of work under its Medium-Term Strategy 2010-2013; and, the priorities of the MEAs for which UNEP provides a Secretariat as adopted by their COPs. The Statement envisaged development and signature of two Strategic Cooperation Agreements (SCAs) that would fully respect the respective priorities and decision-making authority of UNEP, each MEA for which UNEP provides a Secretariat and the EC.

In December 2011, UNEP signed the two SCAs with the EC Directorate-General for Environment (DG ENV) and with the Directorate-General for Development and Cooperation (DG DEVCO). These were designed to rationalise, simplify and increase the policy coherence of the programmatic cooperation between the Commission, UNEP and MEAs under the ENRTP. The two SCAs both have the overarching objective of contributing to poverty alleviation and are intervening at different complementary levels:

- The UNEP-DG DEVCO SCA supports developing countries in improving environmental protection and combating climate change.
- The UNEP-DG ENV SCA supports international work (e.g. tools, guidelines, trainings, workshops) related to environmental governance within multilateral processes and agreements that benefit developing countries.

3.   ENRTP EC-UNEP SCA objectives and expected results

The general objective of the **UNEP-DG ENV SCA** is "To contribute to global environmental sustainability and in particular to achieve the Millennium Development Goals by promoting: (i) global environmental sustainability knowledge, tools and capacity building, including on halting the loss of biodiversity, fostering greener growth, protection of human health and the environment from hazardous substances as well as transparency and efficiency of natural resources management; and (ii) strong international environmental governance, through support to the work of UNEP and MEAs".

The UNEP-DG ENV SCA is structured around five Expected Results (ERs), all five of which contribute to ENRTP Priority 3 (see paragraph 2 above):

- ENV ER 1: Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes.

- ENV ER 2: Enhanced implementation of and compliance with MEAs.

- ENV ER 3: Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes.

- ENV ER 4: Enhanced global and regional environmental monitoring and assessment for policymaking.

- ENV ER 5: Enhanced visibility and coherence of European Commission and UNEP cooperation in the field of global environment protection.

The general objective of the **UNEP-DG DEVCO SCA** is "To integrate environmental protection requirements and climate change action into the Community's development and other external policies as well as to help promote the Community's environmental, climate and energy policies abroad in the common interest of the Community and partner countries and regions", as defined in the ENRTP regulation and reiterated in the 2010-2013 strategy.

The UNEP-DG DEVCO SCA is structured around four ERs which contribute to all three ENRTP priorities (see paragraph 2 above).

- DEVCO ER 1: Strengthened abilities of countries – in particular developing countries – to integrate climate change responses into national and regional sustainable development processes (related to ENRTP Priorities 1 and 3).

- DEVCO ER 2: Improved capacities towards conservation as well as sustainable use and management of ecosystem services/biodiversity and natural resources (related to ENRTP Priority 2).

- DEVCO ER 3: Improved capacities towards resource efficiency, green economy and sustainable consumption and production (related to ENRTP Priority 2).

- DEVCO ER 4: Enhanced environmental mainstreaming into development policies, planning and decision making (related to ENRTP Priority 3).

4.   Timing and finances

The implementation period for the **UNEP-DG ENV** SCA is from 16 September 2011 to 31 December 2018[29]. Originally, the envisaged total cost of the action in 2011 was EUR17.3M with an initial EU contribution of EUR15.2M. There have been two budget increases through riders (or addenda) to the SCA, the latest dated 29 November 2013, bringing the envisaged total cost of the action to EUR38.7M and the EU contribution to EUR33.7M. Those also included a slight revised description of the action, taking into account new policy developments.

The implementation period for the **UNEP-DG DEVCO** SCA is from 5 December 2011 to 4 December 2020[30]. The approximate, envisaged total cost of the action in 2011 was EUR17.7M with an EU contribution of EUR15M. An addendum to the SCA, dated 21 December

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[29] The Agreement has a maximum duration of 9 years to be operational as long as the longest lasting project and to include one year for final reporting.
[30] The Agreement has a maximum duration of 9 years, to be operational as long as the longest lasting project and to include one year for final reporting.

2012, brought the total estimated cost of the action to <u>EUR38.9M</u> with an EU contribution of <u>EUR33M</u>. The addendum also included a revised description of the action.

The EU contribution was committed and pre-financing was disbursed in various tranches/envelopes between 2011 and 2013. Under the SCA between DG ENV and UNEP EU funds were committed in three instalments/envelopes[31] in 2011, 2012 and 2013. Under the SCA between UNEP and DG DEVCO EU funds were committed so far in two instalments/envelopes in 2011 and 2012. Many projects received a total EU allocation scattered in different tranches across the consecutive envelopes.

A new Programme Cooperation Agreement (PCA) was signed between DG ENV and UNEP under the new DCI 2014-2020 thematic programme on Global Public Goods and Challenges (GPGC).

UNEP established two dedicated trust funds to host the EU funding in line with the UN financial rules and with the provisions of the SCAs.

5.   Governance arrangements

The main governance and coordination structures of the SCAs are the Programme Steering Committee (PSC) and the joint Programme Management Unit (PMU), respectively.

The PSC is responsible for overall guidance and the management of the SCAs. It is co-chaired by the EC (DEVCO and ENV) and UNEP and expected to meet at least once a year. It is composed of representatives of the EC (DEVCO and ENV), the Chief of the Office of Operations of UNEP and a representative of each of the MEAs for which UNEP provides the Secretariat. The PSC is responsible for directing the SCAs, project screening and selection (allocation of financial envelopes) and overseeing reporting and follow-up. During the 3-month inception phase of the SCAs it was also responsible for overseeing the refinement of, and approving the SCA governance mechanisms.

The joint PMU serves as the coordination unit for the SCAs and as Secretariat for the PSC. Its membership includes a UNEP PMU Coordinator, a UNEP Resource Mobilization programme officer and a UNEP financial officer as well as two EC Focal Points from DG DEVCO and DG ENV. The overall role of the PMU is to ensure the daily management of the SCAs/PCA. This includes, among others, establishing and submitting lists of projects based on priorities jointly identified by the EC, UNEP and the MEA Secretariats for selection by the PSC, and more generally facilitate the negotiations, coordination, administration, visibility, monitoring and evaluation of the SCAs.

The SCA Governance Structure including rules and procedures for project preparation, selection and implementation, was formally adopted in February 2013, but a draft Governance Structure was available from March 2012.

The projects approved under the ENRTP SCAs are implemented by UNEP Divisions and MEA Secretariats hosted by UNEP (see the following paragraphs).

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[31] Envelopes are annually approved amounts made available by the EC under the SCAs. The SCAs only indicated the first envelope i.e. the amount approved for the first year. Subsequent addenda to the SCAs indicated the envelopes approved for 2012 (both SCAs) and 2013 (DG ENV SCA only).

6.   Project portfolio

A total of 57[32] projects were approved by the EC between 16 September 2011 and 5 September 2014. The total approved financial allocation for the 57 projects is EUR 65,454,600 of which EUR 32,214,600 was funded under the agreement with DG ENV and EUR 33,240,000 under the agreement with DG DEVCO.

Forty three (43) projects have been approved for funding under the DG ENV SCA including 22 allocated to UNEP and 21 to MEA Secretariats. The approved project allocations correspond to 95.6 percent of the estimated EU contribution under the UNEP-DG ENV SCA and its addenda. The average cost of the projects under the UNEP-DG ENV SCA is EUR 0.75 million. UNEP projects under this SCA are implemented by DTIE, DEPI and DELC. Under the UNEP Programme of Work, the projects belong in decreasing order of funding volume, to the Resource Efficiency, Environmental Governance, Chemicals and Waste and Ecosystem Management Sub-programmes. MEA projects are implemented by the Secretariats of BRS, CBD and its protocols Nagoya and Cartagena, CITES, CMS, Minamata and Ozone conventions and the MAP. If the MEA projects were to be classified under UNEP sub-programmes, they would belong to Ecosystem Management, Chemicals and Waste and the Environmental Governance Sub-programmes in decreasing order of funding volume.

Fourteen (14) projects have been approved for funding under the DG DEVCO SCA including two (02) MEA projects. The approved allocations represent 100.7% of the estimated EU contribution under the UNEP-DG DEVCO SCA and it addendum. The average cost of the projects under the UNEP-DEVCO SCA is EUR2.37 million. UNEP projects under this SCA are implemented by DTIE, DEPI and DCPI in UNEP. Under the UNEP Programme of Work, the projects belong in decreasing order of funding volume, to the Climate Change, Resource efficiency & sustainable consumption and production, Ecosystem Management, Disasters and Conflicts and Environmental Governance Sub-programmes. MEA projects are implemented by the Secretariats of the MAP and CITES. If they were classified under UNEP sub-programmes, they would belong to the Resource Efficiency and Ecosystem Management, respectively[33].

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[32] Based on grouping CBD ABS activities approved through concept notes with the ABS Clearing house (Nagoya I) project.
[33] Hence, all UNEP and MEA Chemicals and Waste projects are under the ENV SCA; all Climate Change and Disasters and Conflicts projects are under the DEVCO SCA.

II.   THE EVALUATION

Objectives and scope of the Evaluation

The Evaluation of the EC-UNEP Strategic Cooperation Agreements funded from the EU's ENRTP aims to assess the efficiency of the governance arrangements and quality assurance (QA) processes specific to the EC-UNEP ENRTP SCAs, and how these affect the strategic relevance, effectiveness, efficiency and sustainability of results of the ENRTP-funded project portfolio implemented by UNEP and the MEAs for which UNEP hosts the Secretariats. The evaluation has a dual purpose: i) providing a basis for accountability of SCA management and steering bodies towards the EU, UNEP and the MEA COPs; and ii) drawing lessons from experience on ways to improve existing and future cooperation modalities between the EC, UNEP and the MEA Secretariats hosted by UNEP. In other words, the evaluation will also try to answer the question: is the SCA approach developed under the ENRTP an effective way of conducting EC-UNEP programmatic cooperation?

The Evaluation will attempt to answer the following key questions:

- Are the objectives and strategies of the projects under the ENRTP SCAs strategically aligned with the ENRTP priorities, the UNEP MTS 2010-2013 and corresponding Programmes of Work (PoW) and the objectives of the MEAs concerned? How do the specific ENRTP SCA governance arrangements and QA processes affect strategic relevance of interventions, i.e. their relevance to beneficiary needs and their strategic alignment to common priorities and interests of the EC, UNEP and concerned MEAs?

- How do the specific ENRTP SCA governance arrangements (PSC and PMU) and QA processes affect the likelihood that interventions achieve their expected outcomes and sustainable impact on poverty reduction, the environment and human living conditions? How visible are the EC, UNEP and the MEAs in the project portfolio and how well are project achievements communicated?

- What are the key factors affecting strategic relevance and performance of the project portfolio, that are modified by the specific ENRTP SCA governance arrangements and QA processes such as: strategic alignment of the portfolio, project design quality, reliability and availability of funds, reporting and monitoring arrangements, collaboration between projects etc.

- How efficient are the ENRTP SCA governance arrangements and QA processes? Are the SCA governance rules and procedures optimal? Have human and financial resources been optimally deployed to make SCA governance structures function effectively and efficiently?

The **scope of the Evaluation** is defined by the period 2011-2015. The evaluation will cover the governance arrangements and QA processes of the EC DG ENV and DG DEVCO ENRTP SCAs with UNEP and how these affect the portfolio of 57 projects that have been approved under the SCAs.

Evaluation audience

The Evaluation is expected to help the EC, UNEP and involved MEA Secretariats to identify key lessons that will provide a useful basis for improved EC, UNEP and MEA cooperation, coordination and delivery.

The main users of the Evaluation include: EC, UNEP and MEA Secretariat senior management, UNEP Sub-programme coordinators and all UNEP / MEA units and staff involved in ENRTP SCA projects.

Evaluation approach

The Evaluation will be conducted under the overall responsibility of the Evaluation Office of UNEP (EOU). It will be an in-depth study using a participatory approach whereby the joint PMU, the UNEP Office for Operations (OfO) and the concerned MEA Secretariats are kept informed and are consulted throughout the assessment.

The Evaluation will remain an independent exercise. The Evaluation Team will benefit from the leadership and contribution of an independent consultant, who will liaise with the EOU and joint PMU on any logistic and/or methodological issue to properly conduct the assessment in an as independent way as possible, given the circumstances and resources provided. Evaluation findings and judgments will be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible[34]. Analysis leading to evaluative judgments will be clearly spelled out.

The main approach to assess the governance arrangements and QA processes specific to the EC-UNEP ENRTP SCAs will be to compare them with the regular governance arrangements and QA processes for non-core-funded interventions in UNEP and the concerned MEA Secretariats. This comparison will be done at two levels: (1) the governance arrangements and processes themselves and (2) the project level. The latter will require light case studies of a sample of ENRTP funded interventions that will be compared to other UNEP and MEA Secretariat interventions. The evidence base on non ENRTP-funded interventions would be existing evaluations conducted by the UNEP Evaluation Office or others.

Evaluation areas of focus

1.   Strategic relevance

The Evaluation will assess whether the objectives and strategies of the projects under the ENRTP SCAs are relevant to beneficiary needs and strategically aligned with the ENRTP (and beyond that with EC external action) priorities, the UNEP MTS 2010-2013 and corresponding Programmes of Work (PoW) and the objectives of the MEAs concerned. It will assess whether the specific ENRTP SCA governance arrangements and QA processes have affected strategic relevance of interventions. The analysis will be centred around the following:

Strategic alignment of ENRTP priorities, SCAs, UNEP MTS and concerned MEA objectives
- Are the expected results of the SCAs aligned with: i) the ENRTP priorities and objectives as set out in the EC's ENRTP Thematic Strategy Paper and MIP 2011-13; ii) UNEP's mandate and MTS 2010-2013; and iii) the objectives of the MEAs concerned?

- What are the common priorities between the EC ENRTP and UNEP, and between the EC ENRTP and the concerned MEAs? Are these well described/defined, are these really common

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[34] Sources will not be mentioned by name.

and are these of sufficient scope to warrant the SCAs and their special governance arrangements?

- Are the expected results spelled out in the SCAs realistic considering the strengths and weaknesses of UNEP and the MEA Secretariats, the time and resources available and the institutional and political context in which they are operating?

<u>Coherence of the project portfolio and strategic alignment with the SCAs</u>
- To what extent are the objectives of the projects under the ENRTP SCAs coherent with the expected results of the SCAs and strategically aligned to the common priorities of the EC, UNEP and the concerned MEAs? Is their beneficiary and geographical targeting in line with common EC, UNEP and concerned MEA priorities?

- How and to what extent did the SCA governance arrangements and QA processes contribute to the strategic alignment of projects to the SCA expected results and common priorities of the EC, UNEP and concerned MEAs? Did they contribute in making projects more relevant to beneficiary needs and/or make beneficiary and geographical targeting of interventions more relevant to EC, UNEP and concerned MEA priorities? Did they keep project realism in check?

The basis for the assessment of strategic alignment of the project portfolio will be the **Theories of Change** (ToC) implicit in the EC-UNEP ENRTP SCAs, UNEP and MEA strategic documents and project design documents. A ToC depicts the logical sequence of desired changes (also called "causal pathways" or "results chains") to which an intervention, strategy, cooperation agreement etc. is expected to contribute. It shows the causal linkages between changes at different results levels (outputs, outcomes, intermediate states and impact), and the actors and factors influencing those changes. The reconstruction of the ToC will help to identify the immediate outcomes expected from the intervention, strategy or cooperation agreement, and the intermediary states between these outcomes and desired impact. It will also help determine the key external factors affecting the achievement of outcomes, intermediary states and impact and the expected role and contributions by the EC, UNEP, the concerned MEA Secretariats and other key actors.

The evaluation will verify the extent to which the overall ToC implicit in the EC-UNEP ENRTP SCAs is logical and sound, and whether it is well aligned with the ENRTP, UNEP MTS 2010-2013; and concerned MEA priorities. It will then, in turn, assess whether the individual ToCs of projects approved for ENRTP funding under the SCAs are aligned with the overall ToC implicit in the EC-UNEP ENRTP SCAs, and how specific EC-UNEP ENRTP SCA arrangements have affected this alignment.

2.   Performance of the EC-UNEP ENRTP SCAs

The Evaluation will assess whether the EC-UNEP ENRTP SCAs' governance arrangements and QA processes have affected the effectiveness, efficiency, likelihood of impact, sustainability of results and up-scaling/catalytic effects of the projects funded by the ENRTP under the SCAs..

In terms of **effectiveness**, the Evaluation will assess the extent to which SCA governance arrangements and QA processes have affected the contribution of the ENRTP SCA project portfolio implemented by UNEP and the MEA Secretariats to the achievement of direct outcomes identified in the reconstructed ToC of the ENRTP SCAs. The Evaluation will also assess any effects on project contributions to other EC, UNEP and concerned MEA priorities that are explicitly part of the project ToCs.

Since **impact** is a result of a long term change, and requires specialised methods and approaches to be measured, this evaluation will only assess how SCA governance arrangements and QA processes could affect the potential (likelihood) of impact, and the processes in place and progress made towards it. The evaluation will use a theoretical approach to assess effects on impact, which is warranted because there is likely to be little hard evidence of impact at this stage of project implementation. Also, the effects of specific governance and QA arrangements become much harder to attribute the 'further along' the causal pathways the assessment is conducted. It is, however, possible to enhance the reliability of the assessment of likelihood of impact through a rigorous review of progress along the causal pathways of the ToC from outputs to impact. An essential part of the theoretical approach to impact evaluation, is the assessment of the presence of the drivers and assumptions[35] that are deemed necessary for outputs to lead to outcomes, and those outcomes to yield impact. Thus, the evaluation will need to assess whether the specific ENRTP SCA governance arrangement and QA processes have contributed to the presence of drivers and assumptions, and affected risk management measures taken by the projects.

The Evaluation will also identify and assess key conditions and factors that have contributed to, or constrained, **sustainability** of results, i.e. the persistence of benefits resulting from the implementation of project activities, and, in particular, how these factors have been affected by the specific ENRTP SCA governance arrangements and QA processes. Some of these factors might have stemmed from project design or might have been direct outcomes of the projects (e.g. stronger institutional capacities or better informed decision-making). Other UNEP or MEA Secretariat initiatives or contextual circumstances or developments that may positively or negatively affect sustainability of outcomes will also be considered. Many sustainability factors will correspond to drivers and assumptions assessed under the impact evaluation.

The evaluation will also consider whether the specific governance arrangements and QA processes had any effect on **replication and up-scaling** potential of the projects funded under the EC-UNEP SCAs. It will assess whether these arrangements and processes have contributed to the creation of an enabling environment for replication and up-scaling, whether they have changed the way key stakeholders have been involved in project design and implementation, and whether they have promoted awareness raising and capacity building in the projects specifically to support the reproduction of pilot and innovative activities. The Evaluation will look at different factors which facilitate replicability, up-scaling and catalytic effects. These factors can be put in place by the projects themselves or by other initiatives developed by UNEP, MEA Secretariat or others. Similarly as for sustainability, many factors influencing replication or up-scaling can also be impact drivers or assumptions.

The Evaluation will consider if and how the specific ENRTP SCA governance arrangements and QA processes had any effect on **efficiency** of the project portfolio, from project concept to completion. It will assess whether these arrangements and processes had any influence on the costs or time to get projects up and running, in order to achieve their objectives within the programmed time and budget. The Evaluation will analyse how cost increases or delays,

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[35] Drivers and assumptions are external factors that are essential to promote the change processes along the causal pathways of a project or strategy. Drivers are external factors that can be influenced by the main actors of the intervention or strategy themselves. Assumptions cannot, but a solid project design or strategy will foresee adequate risk management measures for all its critical assumptions.

if any, have affected the execution and the costs of activities, and what the reason for such delays are and how these can be better avoided in future. The Evaluation will give special attention to efforts to avoid duplication (in particular with interventions funded by individual EU Member States) to make use of pre-existing methods and data sources, as well as to exploit complementarities and synergies between related internal and external initiatives.

3.   Factors affecting performance

a)   Project design

The Evaluation will assess how EC-UNEP ENRTP SCA quality assurance processes have affected project design quality and how this, in turn, might have altered the strategic relevance and overall performance of the ENRTP SCA project portfolio. It will look at whether the QA processes have helped to better define and coordinate UNEP and MEA Secretariat activities in addressing common EC-UNEP and EC-MEA priorities.

The Evaluation will seek to answer the following questions:

- Are the design processes of projects funded under the ENRTP SCAs appropriate including design quality assurance processes? What differences are there in the project design and design quality assurance processes compared to non-ENRT funded projects? Are financial and time resources set aside for design and quality assurance adequate?

- Did QA processes under the ENRTP SCAs contribute to making the design of projects more conducive to the achievement of ENRTP, UNEP and MEA priorities? In what respects has project design quality been affected positively or negatively due to specific SCA processes? For instance:
  o Has the causal logic linking project outputs and objectives, SCA expected results and ENRTP priorities been well pondered, and have intermediate states, drivers and assumptions towards impact been adequately considered?
  o Have sustainability factors been considered and has an exit strategy been built in the design of all the projects?
  o Have projects and activities related to communication and knowledge management thoroughly been planned and has adequate consideration been given to follow-up and dissemination of information, concepts, approaches and tools?
  o Have gender considerations and social and environmental safeguards been adequately considered in project design?
- To what extent did these changes in project design quality, if any, affect project performance?

b)   Governance and management

The Evaluation will look at governance, coordination and management arrangements of the EC-UNEP ENRTP SCAs. Have SCA governance structures, rules and procedures been clearly defined? How efficient (in terms of costs and time requirements) are these arrangements compared to regular UNEP and MEA Secretariat arrangements for projects that are not core-funded? How effective are these arrangements towards the achievement of common goals?

c)   Human and financial resources administration

The Evaluation will assess the transparency, effectiveness and efficiency of the systems and processes used for financial management of the SCAs overall. It will also consider the

adequacy of human and financial resources available for the administration and oversight of the EC-UNEP ENRTP SCAs.

The evaluation will determine whether the specific EC-UNEP ENRTP SCA governance arrangements and QA processes have influenced the strategic distribution of funding over the project portfolio and the adequacy and stability of the funding base for the achievement of SCA expected results and project objectives. It will assess whether these specific arrangements and processes have altered the success rate of UNEP and MEA Secretariats in securing **co-financing** for projects and in **leveraging funding**[36] towards common priorities.

It will also assess whether EC-UNEP ENRTP SCA governance arrangements and QA processes have affected the quality, transparency and effectiveness of the systems and processes used for financial management of the projects, or any other administrative processes facilitating or inhibiting fluid execution of the projects funded under the EC-UNEP ENRTP SCAs.

d)   Monitoring & Evaluation

The Evaluation will examine arrangements for reporting, monitoring and evaluating the ENRTP SCA governance structures and project portfolio and will assess:

- The quality, comprehensiveness and regularity of reporting on project outputs, outcomes and impact. What QA processes are in place to ensure the reliability and accuracy of reporting, and how do these differ from regular project reporting in UNEP and the concerned MEA Secretariats?

- The effectiveness and efficiency of monitoring and internal review systems, including clear definition of roles and responsibilities for data collection, analysis and sharing and adequate resources for monitoring. What QA processes are in place to ensure the reliability and usefulness of monitoring to guide management decisions, and how do these differ from regular project monitoring in UNEP and the concerned MEA Secretariats?

- How monitoring information is used for project and SCA-level steering and management. What mechanisms are in place to ensure that monitoring results are used to enhance SCA management and project performance, and how do these differ from regular feedback mechanisms in UNEP and the concerned MEA Secretariats?

- Whether adequate evaluation arrangements and resources have been foreseen for ENRTP SCA projects and the extent to which these projects have been/will be independently evaluated at mid-term and completion.

e)   Other factors affecting performance

The evaluation will identify any other internal factors affecting performance of the SCA governance structures and the project portfolio that have been modified by the specific SCA governance arrangements or QA processes, and assess the extent to which these factors have been modified and how this has affected project performance. Such factors could be, for instance:

- Management and supervision arrangements for the projects under the ENRTP SCAs in UNEP and the MEA Secretariats;

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[36] This is funding mobilized for other programmes and projects, outside the ENRTP SCAs, which would not have been mobilized without the support of ENRTP SCA projects.

- Appropriateness of mechanisms for information sharing and cooperation within the ENRTP SCA project portfolio, and with other programmes and projects, partners and other stakeholders;

- Degree of country or stakeholder participation and ownership;

- Extent of collaboration between different functional units of UNEP and the MEA Secretariats involved in ENRTP SCA projects; and

- Integration of ENRTP SCA projects in the UNEP or MEA Secretariat Programmes of Work.

Evaluation methods

The Evaluation will use different methods and tools to assess the EC-UNEP ENRTP SCA governance arrangements and quality assurance processes and the effects they have on strategic relevance and performance of the associated project portfolio, including a desk review, a meta-analysis of previously evaluated projects, interviews, surveys and field visits.

Considering the scope of the assessment and the resources available to conduct it, the Evaluation Team will not review all projects under the ENRTP SCAs but conduct light case studies of a meaningful sample of projects. The selection of projects will be based on the following criteria:

- Range of activities conducted, i.e. include projects delivering on all SCA expected results;

- Geographic scope of the project portfolio;

- Relative importance or scale of the projects implemented under the ENRTP SCAs, in terms of budget, duration, complexity and criticality for the delivery of the SCA expected results;

- The SCA under which the projects are funded, i.e. include an equal balance between the DG DEVCO and DG ENV portfolio; and

- UNEP Divisions and MEA Secretariats involved.

Findings of the Evaluation will be based on the following:

- Desk Review:
  - Relevant background documentation on the ENRTP, the EC-UNEP ENRTP SCAs, UNEP policies and strategies, the MEAs, the global environmental challenges addressed by the SCA expected results;
  - Project design documents; rejected project proposals
  - Project reports and monitoring data including: project progress and final reports, financial reports, entries into PIMS, evaluation reports etc.
  - The Strategic Performance Overview Reports

- Meta-analysis of existing evaluations and existing case studies of projects under the ENRTP SCAs (there are around 10 available). Evaluations and case studies by the EOU but also by the independent evaluation functions of UNEP partners (UN and non-UN) and donors will be considered;

- Interviews with the ENRTP SCA governance bodies (joint PMU members and PSC members), EC DG ENV and DG DEVCO management, UNEP management, MEA management and other staff involved in the planning and implementation of the ENRTP SCA projects;

- Additional desk -based case studies of a representative sample of ENRTP SCA projects, complementary to the set of projects that were already evaluated, in order to cover at least one third of the project portfolio. An estimated 9 case studies will be prepared. Project managers will be asked to provide feedback on the case study of their project. The case

studies are not meant to provide an in-depth evaluation of the projects, but to inform the evaluation of strategic relevance and the specific governance arrangements and quality assurance processes of the EC-UNEP ENRTP SCAs.

An **Inception Report** will be prepared by the Evaluation Team before it engages in external interviews, surveys and field visits. The Inception Report will include: (i) most of the background desk review; (ii) a draft Theory of Change of the ENRTP SCAs; (iii) the assessment of strategic alignment of ENRTP priorities, SCAs, UNEP MTS and concerned MEA objectives (see paragraph 36); (iv) a detailed description of the methodology and analytical tools that the Evaluation will use and their limitations, including the list of projects sampled for the light case studies; and (v) an annotated table of contents for the evaluation report. The Inception Report will be a working document that will be reviewed by the EOU and joint PMU, and cleared by the EOU.

Evaluation reporting format and follow-up to recommendations

The evaluation report shall be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. It must explain the purpose of the Evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings covering all the evaluation criteria, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to the evaluation findings will be appended in footnote or an annex as appropriate.

The draft report shall be submitted to the EOU and the EOU will review the report for clarity and comprehensiveness. When found acceptable, the EOU will share the report with the joint PMU, who will review the report and provide feedback on any factual errors. Once these have been addressed, the report will be circulated to PSC members, UNEP Division Directors, and MEA Executive Secretaries for review and consultation. They may provide feedback on any errors of fact and highlight the significance of such errors in any conclusions. The EOU will then collate all review comments and provide them to the evaluation consultant for consideration in preparing the final version of the report. The consultant will draft a response to any comments that contradict her/his own findings and could therefore not be accommodated in the final report. This response will be shared by the EOU with the interested stakeholders to ensure full transparency.

The final report shall be submitted by email to:

Michael Spilsbury, Director
Evaluation Office of UNEP
Email: michael.spilsbury@unep.org

The joint PMU, assisted by the EOU, will facilitate the preparation of a Recommendations Implementation Plan in consultation with the relevant offices and functional units in the EC, UNEP and MEA Secretariats. The plan will specify the level of priority of the recommendations and actions to be undertaken to implement them. It will indicate who will be responsible for implementing the recommendations and what the schedule for their implementation will be. The joint PMU will then be responsible for reporting to the PSC on the status of implementation of evaluation recommendations on a six-monthly basis, until the last deadline in the implementation schedule has been reached.

After the Recommendations Implementation Plan has been agreed upon, the final evaluation report will be widely shared with partners and stakeholders. Innovative ways of disseminating evaluation findings and recommendations (e.g. the organization of a workshop where the Team illustrates the content of its analysis to UNEP target audience) will be sought to reach as wide a range of stakeholders as possible. The final evaluation report will be published on the EOU web-site www.unep.org/eou and may be printed in hard copy.

Consistent with the Quality Assurance processes, the EOU will prepare a quality assessment of the draft and final reports, which is a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report will be assessed by the EOU and rated against UNEP criteria.

Management arrangements and schedule of the evaluation

The Evaluation will be managed by the Evaluation Office of UNEP. The EOU will provide backstopping support and ensure coordination and liaison with all concerned units and other key agencies and stakeholders. It will select and recruit the evaluation consultant, and provide overall guidance and supervision to the evaluation process.

The evaluation consultant will be responsible for the development, research, drafting and finalization of the Evaluation, in close consultation with the EOU. The EOU will be ultimately responsible for the final evaluation report.

The Evaluation will be conducted during the period July 2015 – February 2016. The EOU will share a first draft evaluation report tentatively by late October 2015 with the joint PMU. By late November 2015, the draft report would be shared with PSC members and EC, UNEP and MEA senior management. Publication of the final evaluation report is expected by the end of February 2015. The tentative schedule for the Evaluation is presented in Annex A of these TORs.

Evaluation Team

The core Evaluation Team will consist of one evaluation consultant supported by the UNEP Evaluation Officer in charge of the evaluation.

The evaluation consultant will have an in-depth understanding of, and familiarity with, evaluation methods and techniques including the use of Theory of Change, and documented experience in conducting high-level evaluations of large, environment-related multi-partner programmes, including EC-funded programmes. (S)He will possess excellent writing skills in English and have advanced knowledge and experience in the following fields:

- The UN system, preferably UNEP and the MEAs for which UNEP hosts the Secretariats;
- EC funding mechanisms and evaluation requirements;
- Programme and project design and management;
- Partnerships development and knowledge management;
- Global environmental issues and challenges.

The Lead Consultant will be responsible for drafting the inception report, the project case studies and the integrated final report and executive summary, in consultation with the Evaluation Officer in charge of the evaluation.

Conflict of interest clause: By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the EC-UNEP ENRTP SCAs and associated projects in any way which may jeopardize their independence and impartiality in judging their relevance and performance. In addition, they attest not to have any future interests (within six months after completion of their contract for this assignment) with any of the ENRTP SCA projects or their implementing units.

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- Annex A. Tentative Schedule of the Evaluation

Phase	Milestone/deliverable	Timeframe
Inception	TORs	By 26 June 2015
	Consultant contracts initiated	By 07 July
	Brussels visit	07 July
	Inception desk review and teleconferences	July
	Zero draft inception report	By 31 July
	Final inception report	By 15 August
Data collection & analysis	Further Desk Review	September- 15 October
	Telephone Interviews, Survey(s)	
	Evaluation missions (Nairobi, Geneva, selected project sites)	
	Draft project case studies	By end September
	Final project case studies	By 15 October
Reporting	Draft Report to EO	By 15 November
	Draft report shared with joined PMU	By 01 December
	Draft Report shared with EC, UNEP and MEA senior management	By 15 December
	Comments by partners	By 15 January 2016
	Final Report to EO	31 January 2016
	Final Report Published	28 February 2016

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ANNEX II. PERSONS CONSULTED

Includes face to face interviews and exchanges through skype, telephone and e-mail.

Sheila AGGARWAL-KHAN, UNEP – Head of Programme Strategy and Planning Team, , Office for Operations and Corporate Services. Nairobi. (sheila.aggarwal-khan@unep.org)

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ANNEX III. REFERENCES

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ANNEX IV. INTERVENTION LOGIC AND THEORY OF CHANGE IMPLIED IN THE STRATEGIC COOPERATION AGREEMENT (SCA) BETWEEN DG ENV AND UNEP

The **Intervention Logic** of the SCA between DG ENV and UNEP, as summarised below, is laid down in the Annex I "Description of the Action" to the concerned Contribution Agreement. The words that are presented in italics reflect the adjustments that were made and concluded through the second addendum to the Contribution Agreement.

Overall Objective:

To contribute to global environmental sustainability and in particular to achieving the MDGs *and to be instrumental to the implementation of the Rio 2012 outcomes including the Sustainable Development Goals* by promoting: (1) global environmental sustainability (including halting the loss of biodiversity, fostering greener growth, protecting human health and the environment from hazardous substances, and enhancing transparency and efficiency of natural resource management) knowledge, tools and capacity building; and (2) strong international environmental governance, through a support to the work of UNEP and MEA Secretariats.

Specific Objectives:

1. To develop methodological and governance tools appropriate to developing countries.
2. To support the preparation and the follow-up of major international environmental processes to which UNEP contributes.
3. To *support coordination among MEAs and to* promote better implementation of and compliance with MEAs for which UNEP provides the secretariat.

Expected Results:

1. Strengthened international environmental governance, including increased synergies and coherence in international decison-making processes related to global environment processes.
2. Enhanced *coherent synergetic* implementation of and compliance with MEAs.
3. Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes.
4. Enhanced global and regional environmental monitoring and assessment for policymaking.
5. Enhanced visibility and coherence of the cooperation between the EC and UNEP and UNEP administered MEAs in the field of global environment protection.

During the inception phase, the **Theory of Change** implied in the above intervention logic, was re-constructed. The resulting causal pathways, assumptions and drivers are shown below in figure 1.
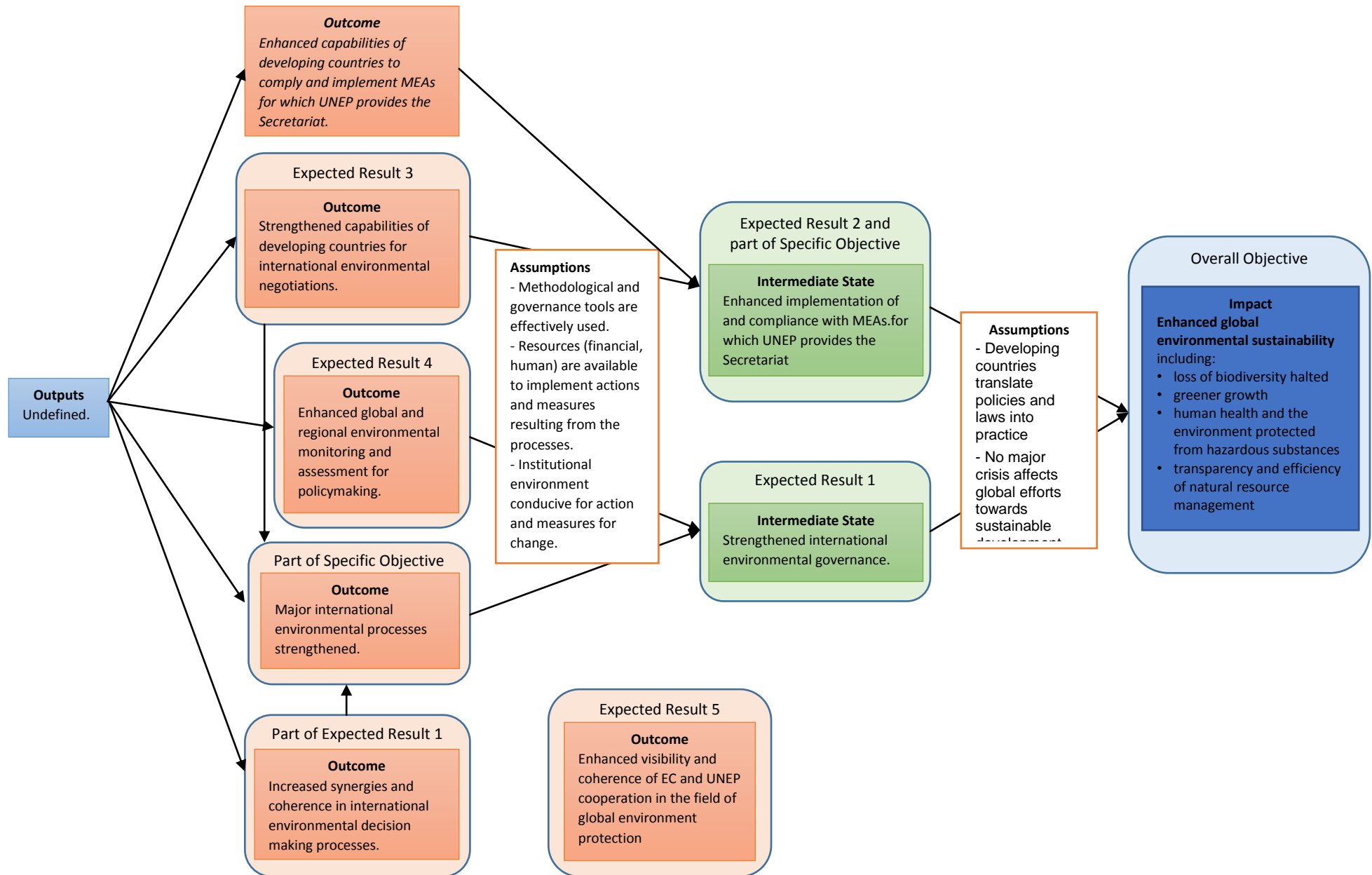
Figure 1. Causal pathways, drivers and assumptions of the re-constructed Theory of Change implied in the SCA with DG ENV

ANNEX V. INTERVENTION LOGIC AND THEORY OF CHANGE EMBEDDED IN THE STRATEGIC COOPERATION AGREEMENT (SCA) BETWEEN DG DEVCO AND UNEP

The **Intervention Logic** of the SCA between DG ENV and UNEP, as summarised below, is laid down in the Annex I "Description of the Action" to the concerned Contribution Agreement. The words that are presented in italics reflect the adjustments that were made and concluded through the addendum to the Contribution Agreement.

Overall Objective:

To integrate environmental protection requirements and climate change action into the community's development and other external policies as well as to help promote the Community's environmental, climate and energy policies abroad in the common interest of the Community and partner countries and regions. (as defined in the ENRTP regulation and reiterated in the 2010-2013 trategy.)

Specific Objective:

To support developing countries to better integrate environmental sustainability into their pursuit of development goals.

Expected Results:

1. Strengthened abilities of countries – in particular developing countries – to integrate climate change responses into national and regional sustainable development processes. ER1 covers two (*three*) components: (1) Climate Change science and awareness-raising, (2) Climate Change mitigation, including REDD, *and (3) Climate Change Adaptation*.

2. Improved capacities towards conservation as well as sustainable use and management of ecosystem services/biodiversity and natural resources. ER2 covers two components: (1) Capacity-building/support on ecosystem approach to the management of human activities, ecosystem management tools and address degradation of selected priority ecosystem services; and (2) Country implementation of specific conventions.

3. Improved capacities towards resource efficiency, green economy and sustainable consumption and production. ER3 covers two components: (1) Support to governments and public institutions on transformation to green economy and resource efficiency pathways; and (2) Increased investment in efficient, clean and safe industrial production methods.

4. Enhanced environmental mainstreaming into development policies, planning and decision making. ER4 covers two components: (1) Environmental mainstreaming in development (i.e. through the Poverty and Environment Initiative and the UN Development Assistance Frameworks mechanisms) and (2) Environmental mainstreaming in Disaster Risk Reduction.

During the inception phase, the **Theory of Change** implied in the above intervention logic, was re-constructed. The resulting causal pathways, assumptions and drivers are shown below in figure 2.
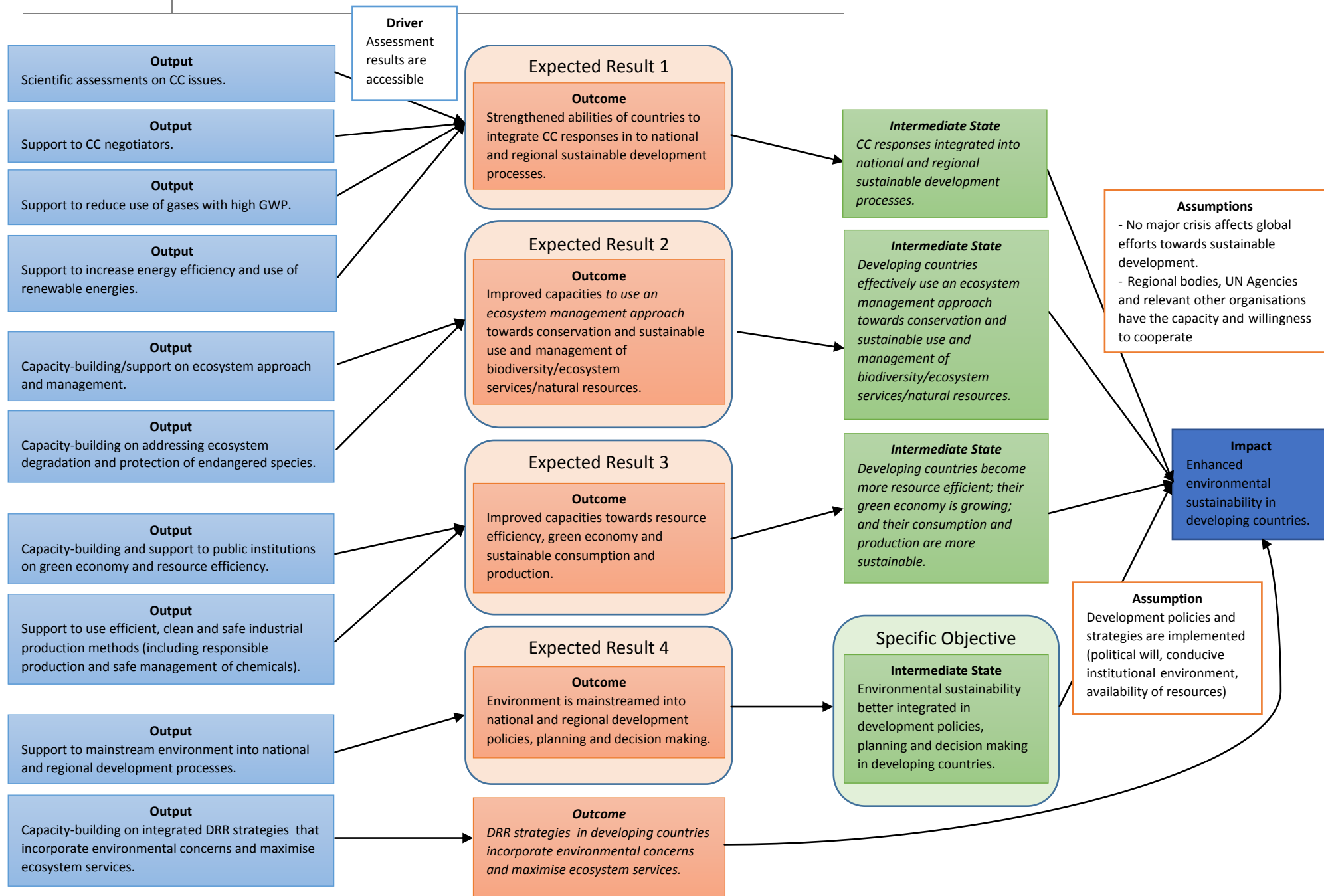
Figure 2. Causal pathways, drivers and assumptions of the re-contructed Theory of Change implied in the SCA with DG DEVCO

ANNEX VI. LIST OF SELECTED CASE STUDIES

Nr[37]	Title	UNEP/MEA Divisions	Link with SCA expected results (according to SPOR I)[38]	Geographic scope	Relative importance (budget, duration)
DG ENV Portfolio					
1	Intergovernmental Science-Policy Platform for Biodiversity and Ecosystem Services (IPBES)	UNEP/DEPI (EM)	• ENV ER 1: Strengthened International Environmental Governance	Africa, Asia, Pacific, Europe, Latin America, Caribbean, North America, West Asia	• Budget: 1,500,000 EUR EC funding as per FFP, but final contribution was reduced to 600 000 EUR; no info on co-financing • Duration: 9 months (finalised in 2012)
7	10 Year Framework Programme on Sustainable Consumption and Production (Phase II) (10YFP)	UNEP/DTIE (RE)	• ENV ER 1: Strengthened International Environmental Governance • ENV ER 3: Strengthened Capacities for International Environmental Negotiations including Information Access • DEVCO ER 3: Capacities for Resource Efficiency, Green Economy and Sustainable Consumption and Production	Africa Asia Pacific Europe Latin America Caribbean North America West Asia	• Budget: EC contribution is 1,300,000 EUR; part of umbrella project, co-financing available • Duration: 35 months (Phase I + II, finalised since 6/2015)
15	Supporting the strategic approach to international chemicals management	UNEP/DTIE (HSHW)	• ENV ER 2: Enhanced Implementation of and Compliance with MEAs	Global	• Budget: umbrella, multi-donor project. EC contribution is 500,000 EUR.

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[37] Numbering as per the project table provided by the Joint PMU

[38] We are not considering ENV ER 5 "Enhanced Visibility and Coherence of European Commission and UNEP Cooperation" for two reasons: (1) the ER falls outside the reconstructed Theory of Change pathways and (2) SPOR I suggests that essentially all projects contribute to this ER and summarises specific contributions of all projects under implementation or completed.

	(SAICM – ICCM3)				• Duration: 19 months (finalised in 2013)
26	Strengthening capacity in developing countries for sustainable wildlife management and enhanced implementation of CITES wildlife trade regulations, with particular focus on commercially-exploited aquatic species and production systems (Aquatic species)	MEA CITES (EM)	• ENV ER 2: Enhanced Implementation of and Compliance with MEAs • ENV ER 3: Strengthened Capacities for International Environmental Negotiations including Information Access	Not specified (Global?)	• Budget: EC contribution is 1,980,000,EUR; Co-financing is not mentioned • Duration: 36 months (ongoing until 08/2016)
28	Implementation of the Ecosystem Approach in the Mediterranean by the Contracting parties in the context of the Barcelona Convention for the Protection of the Marine Environment and the Coastal region of the Mediterranean and its Protocols + Marine litter (EcAp, Marine litter)	MEA MAP (EM)	• ENV ER 2: Enhanced Implementation of and Compliance with MEAs • ENV ER 4: Enhanced Environmental Monitoring and Assessment	Mediterranean	• Budget: EC contribution is 1,716,000 EUR; no co-financing • Duration: 40 months (ongoing, until 09/2015)
30	Support to the implementation and capacity building activities relating to COP 11 outcomes "Activities in support of Decisions of the 11th meeting of the Conference of Parties to the Convention on Biological Diversity and the Strategic Plan for Biodiversity"	CBD (EM)	• ENV ER 2: Enhanced Implementation of and Compliance with MEAs	Global: all regions	• Budget: EC contribution is 788,000 EUR; no co-financing information • Duration: 30 months (ongoing until 12/2015)
39	Implementation of activities approved by the fifth meeting of the Conference of the Parties to the Stockholm Convention	BRS (HSHW)	• ENV ER 2: Enhanced Implementation of and Compliance with MEAs	Not specified (Global?)	• Budget: EC contribution is 1,453,863 EUR; no co-financing information • Duration: 39 months (finalised since 05/2015)
41	Implementation of synergy activities approved by the Conferences of the	MEA	• ENV ER 1: Strengthened International Environmental	Not specified (Global?)	• Budget: EC contribution is 292,913 EUR; no co-financing

	Parties to the Basel, Rotterdam and Stockholm Conventions (BRS Synergies)	Chemicals Synergies Project (HSHW)	Governance		• Duration: 35 months (finalised since 05/2015)
DG DEVCO Portfolio					
1	The Economics of Ecosystems and Biodiversity National Implementation: Reflecting the Value of Ecosystems and Biodiversity in Policymaking (TEEB)	UNEP/DTIE (EM)	• DEVCO ER 2: Capacities for Conservation and Sustainable Use	Pilot countries for this project (Philippines, Bhutan, Liberia, Tanzania, and Ecuador)	• Budget: EC contribution is 3,000,000 EUR; part of umbrella project, considerable co-financing • Duration: 42 months (ongoing until 04/2016)
7	Climate Clean Air Coalition to Reduce Short Lived Climate Pollutants (SLCP/CCAC)	UNEP/DTIE (CC)	• DEVCO ER 1: Abilities to Integrate Climate Change into Sustainable Development Processes • DEVCO ER 4: Enhanced Environmental Mainstreaming into Development	Not specified (Global?)	• Budget: EC contribution is 1,000,000 EUR; part of umbrella project but no info on co-financing • Duration: 32 months (ongoing until 12/2015)
12	Poverty and Environment Initiative (PEI)	UNEP/DEPI / (EG – [EM for EC])	• DEVCO ER 4: Enhanced Environmental Mainstreaming into Development	Africa, Asia Pacific, Caribbean: Burkina Faso, Dominican Republic, Lao PDR, Malawi, Mali, Mauritania, Mozambique and Rwanda	• Budget: EC contribution is 1,942,500 EUR; part of umbrella project but no info on co-financing • Duration: 18 months (finalised since 12/2013)
14	SWITCH Med (SWITCH Med)	MEA MAP (RE)	• DEVCO ER 3: Capacities for Resource Efficiency, Green Economy and Sustainable Consumption and Production	Mediterranean Southern ENPI, including Jordan and Palestine	• Budget: EC contribution is 3,100,000 EUR; no co-financing • Duration: 36 months (ongoing until 12/2015)

ANNEX VII.   MAIN ELEMENTS OF THE ENRTP STRATEGY PAPER AND MULTIANNUAL INDICATIVE PROGRAMME (2011-2013)

The **overall objective** of the ENRTP as set out in Article 13 of the Development Cooperation Instrument (DCI) Regulation is "*to integrate environmental protection requirements and climate change action into the Community's development and other external policies as well as to help promote the Community's environmental, climate and energy policies abroad in the common interest of the Community and partner countries and regions*". The ENRTP thus aims at contributing to halting unsustainable use and degradation of the planet's key ecosystems (particularly affecting people living in developing countries and emerging economies), combating climate change, utilising the strengthened external role of the EU in reaching ambitious environmental and climate agreements, and helping to secure sustainable energy supplies in developing countries.

The ENRTP is intended **to complement the geographic cooperation programmes and to provide seed money** that will lead to better integration of environment in other EU-funded cooperation programmes. The ENRTP is thereby conceived as an important tool both for **testing approaches and for pilot actions that can be scaled up** under geographical programmes.

The Strategy further states that "Within the UN system, UNEP is the most important partner for a wide range of environmental issues that are less fully tackled elsewhere and here again more effort is needed on sharing information on EU-wide support to UNEP". … As a large number of separate targeted actions were implemented with UNEP between 2007 and 2010, **a more strategic approach will be piloted with UNEP** in those areas where it has a comparative advantage.

For the programming period from 2011 to 2013, the eligible activity areas (as per DCI Regulation) have been grouped into **3 priority categories**: Climate Change and Sustainable Energy; Environment for Development; and Strengthening Environment and Climate Governance.

1.   Climate Change and Sustainable Energy

Activities under this category are meant to assist developing countries in preparing for climate-resilient low-emissions development and to contribute to more fruitful policy dialogue and negotiations; as well as to promote increased access to sustainable and affordable energy services.

The area of Climate Change and Sustainable Energy is further divided into three subpriority areas:

1.1.   Climate Change Adaptation: Climate Change Adaptation activities are meant to support the climate dialogue and the definition and implementation of adaptation related activities at local, regional and national level, in particular ensuring the integration of climate change in development activities in beneficiary countries, with a specific focus on the most vulnerable ones, in particular LDCs, SIDSs and Africa as stated in the Copenhagen Accord.

1.2.   Climate Change Mitigation, with focus on REDD, Low Emission Development Strategies (LEDS) and technology transfer. This includes: (1) Support development of

mitigation actions and key implementing tools particularly relevant to developing countries, with the aim of globally reducing GHG emissions and limiting global warming to 2°C above pre-industrial levels. (2) Making progress in the development and implementation of a global and comprehensive post-2012 agreement. (3) Specific mitigation methodologies relevant to developing countries are further developed, tested and rolled out.

1.3. Sustainable Energy. This includes: (1) Boosting capacity and technology transfer in developing countries with a view to creating an enabling environment for investments in sustainable energy solutions, as well as a suitable policy dialogue improving cooperation with the EU. (2) Enhancement of capacity in developing countries for dealing with renewable energy policies.

2. Environment for Development

Interventions under this priority area are meant to assist developing countries in preventing environmental degradation, biodiversity loss and unsustainable use of natural resources while improving the resource efficiency of economic growth and reducing pollution.

Also the area of Environment for Development is further divided into three subpriority areas:

2.1. Biodiversity, forest conservation and desertification; aiming to: Ensure that developing countries are in a better position to assume their responsibilities as signatories of different Multilateral Environmental Agreements (MEAs), initiatives and strategic plans, especially their commitments under the post-2010 Global Biodiversity Strategy which will include targets relevant to drylands and forests as well as marine resources.

2.2. Forest governance and FLEGT; aiming at the FLEGT Action Plan being successfully implemented

2.3. Green Economy; aiming at: Developing countries and emerging economies assisted to formulate more resource efficient policies and see the EU as a useful source of effective standards and expertise including on the use of chemicals throughout their lifecycle. To this end, this subpriority will support green economy policy dissemination towards the target of ensuring that by 2020 chemicals are used throughout their lifecycle in ways that minimise significant adverse effects on human health and the environment.

3. Strengthening Environment and Climate Governance

Better international environment and climate governance shaped by the external dimensions of the EUs environment and climate change policies and the provision of methodological and governance tools appropriate to developing countries, and to improve mainstreaming of environment as well as promote governance and transparency of natural resources management.

The three 3 subpriority areas under Governance are:

3.1. External environment policy; aiming at enhancement of EU leadership and effective implementation of the EU's external environment policy. (managed by DG ENV)

As the ENRTP SCA between UNEP and DG ENV specifically targets this subpriority, we provide further details as to what kind of support is considered eligible by the ENRTP Strategy under this area.

Eligible support includes:
- Support to strengthen international environmental governance by:
  - Encouraging synergies both between UNEP and the MEA it hosts and between related MEAs with a special focus on the chemicals/waste and biodiversity cluster;
  - Promoting the preparation of the UN Rio + 20 Conference and its follow-up at the policy and institutional level;
  - Supporting where appropriate negotiating processes for new instruments.
- Support to encourage implementation of and compliance with MEAs by:
  - Funding developing country participation in meetings of MEAs;
  - Supporting their agreed work programmes that fall outside core operations and therefore rely on donor funding. In some cases it may be more appropriate to work through UNEP or development agencies to achieve goals agreed by Conferences of the Parties;
  - Strengthening capacity of developing countries for implementation of measures agreed within MEAs;
  - Supporting international debate on the linkage between MEA financial mechanisms and compliance regimes.
- Support to other international environmental organisations and processes as well as international and regional civil society advocacy groups and environmental think tanks who share the EU's desire to find multilateral solutions to environmental problems.
- Support to strengthen capacity of developing countries for international environmental negotiations and improve their access to information on progress in different processes.
- Support to enhance global and regional environmental monitoring and assessment and countries' capacity to participate in the work and to use the results in policymaking.

3.2. <u>External climate policy</u>; aiming at enhancement of EU leadership and effective implementation of the EU's external climate policy. (managed by DG CLIMA)

3.3. <u>Support for mainstreaming and promoting governance and transparency for natural resource management, including water</u>. Aiming at: Methodologies and actions to improve mainstreaming and to promote governance and transparency for natural resources relevant to developing countries are further developed, tested and rolled out.

ANNEX VIII. MAIN ELEMENTS AND PRIORITIES OF UNEP'S MEDIUM-TERM STRATEGY 2010-2013

UNEP Mandate (from MTS 2010-2013):

UNEP's mandate comprises five overall, interrelated areas:

1. Keeping the world environmental situation under review
2. Catalysing and promoting international cooperation and action
3. Providing policy advice and early warning information, based upon sound science and assessments
4. Facilitating the development, implementation and evolution of norms and standards and developing coherent interlinkages among international environmental conventions
5. Strengthening technology support and capacity in line with country needs and priorities.

UNEP Vision for the medium-term future (from MTS 2010-2013):

UNEP wishes to be the leading global environmental authority that sets the global environmental agenda, that promotes the coherent implementation of the environmental dimension of sustainable development within the United Nations System and that serves as an authoritative advocate for the global environment.

MTS 2010-2013 foresees in a focus of efforts on delivering on its mandate by exercising environmental leadership on six cross-cutting thematic priorities (or subprogrammes).

1. Subprogramme on Climate Change (CC):

Objective: To strengthen the ability of countries to integrate climate change responses into national development processes.

Expected Accomplishments (EAs):
1. Adaptation planning, financing and cost-effective preventative actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data.
2. Countries make sound policy, technology and investment choices that lead to a reduction in GHG emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation.
3. Improved technologies are deployed and obsolescent technologies phased out, financed through private and public sources including the Clean Development Mechanism.
4. Increased carbon sequestration occurs through improved land use, reduced deforestation and reduced land degradation.
5. Country policymakers and negotiators, civil society and the private sector have access to relevant climate change science and information for decision-making.

2. Subprogramme on Disasters and Conflicts (DC):

Objective: To minimize environmental threats to human well-being arising from the environmental causes and consequences of conflicts and disasters.

Expected Accomplishments (EAs):
1. States' environmental management contributes to disaster risk reduction and conflict prevention.
2. Acute environmental risks caused by conflicts and disasters are mitigated.

3. Post-crisis assessment and recovery process contributes to improved environmental management and the sustainable use of natural resources.

3. Subprogramme on Ecosystem Management (EM):

Objective: Countries utilize the ecosystem approach to enhance human well-being.

Expected Accomplishments (EAs):
1. Countries and regions increasingly integrate an ecosystem management approach into development and planning processes.
2. Countries and regions have capacity to utilize ecosystem management tools.
3. Countries and regions begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services.

4. Subprogramme on Environmental Governance (EG):

Objective: Environmental governance at country, regional and global levels is strengthened to address agreed environmental priorities.

Expected Accomplishments (EAs):
1. The United Nations system demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements.
2. States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions.
3. National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in their implementation.
4. National and international stakeholders have access to sound science and policy advice for decision-making.

5. Subprogramme on Harmful Substances and Hazardous Waste (HSHW):

Objective: To minimize the impact of harmful substances and hazardous waste on the environment and human beings.

Expected Accomplishments (EAs):
1. States and other stakeholders have increased capacities and financing to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste.
2. 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.
3. Appropriate policy and control systems for harmful substances of global concern are developed and in place in line with States' international obligations.

6. Subprogramme on Resource Efficiency (+ sustainable consumption and production) (RE):

Objective: Natural resources are produced, processed and consumed in a more environmentally sustainable way.

Expected Accomplishments (EAs):

1. Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains.
2. Investment in efficient, clean and safe industrial production methods is increased through public policies and private sector action.
3. Consumer choice favours more resource efficient and environmentally friendly products.

ANNEX I.	EXPENDITURES ON THE COMPONENTS SCA GOVERANCE & MANAGEMENT AND COMMUNICATION & VISIBILITY

Budget is presented in US dollars			2012		2013		2014		2015			Total	Total		
			DG Env.	DG DEVCO	DG Env.	DG DEVCO	DG Env.	DG DEVCO	DG Env.	DG DEVCO	GPGC		DG ENV.	DG DVCO-	GPGC
10	**PERSONNEL COMPONENT**		Expenditure		Expenditure		Expenditure		Planned Budget						
			(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)	(USD)
	Professional staff														
	1101	ENRTP Coordinator (P2/P3)	46 339	46 339	0	0	20 545	59 358	104 985	66 523	0	171 508	171 869	172 220	
	1199	**Total (AS1 Staff Personnel)**	**46 339**	**46 339**	**0**	**0**	**20 545**	**59 358**	**104 985**	**66 523**	**0**	**171 508**	**171 869**	**172 220**	**0**
	Consultants														
	1201	SPOR consultant	0	0	15 722	7 149	43 322	430	0	0	0	0	59 044	7 580	0
	1202	Consultant (AS1 Contract Service)	0	0	0	0	0	0	18 000	0	0	18 000	18 000	0	0
	1299	**Total**	**0**	**0**	**15 722**	**7 149**	**43 322**	**430**	**18 000**	**0**	**0**	**18 000**	**77 044**	**7 580**	**0**
	Support staff														
	1301	Programme Assistant (G5)	0	0	16 476	6 464		28 901	0	0	0	0	16 476	35 365	0
	1302	Finance Assistant (G-4)	0	0	0	0	59 941	17 788	59 000	0	59 000	118 000	118 941	17 788	59 000
	1310	Temporary assistance	0	0	16 703		41 544	0	17 000	0	17 000	34 000	75 247	0	17 000
	1399	**Total (AS1 Staff Personnel)**	**0**	**0**	**33 179**	**6 464**	**101 486**	**46 689**	**76 000**	**0**	**76 000**	**152 000**	**210 664**	**53 153**	**76 000**
	1601	Travel on official business	5 193	0	10 579	0	9 693	2 572	18 000	0	0	18 000	43 465	2 572	0
	1602	Travel related to PSC activities	1 428	0	6 247	7 976	5 167	1 276	18 000	0	0	18 000	30 842	9 252	0
	1699	**Total (AS1 Travel)**	**6 620**	**0**	**16 826**	**7 976**	**14 860**	**3 847**	**36 000**	**0**	**0**	**36 000**	**74 307**	**11 823**	**0**

	COMPONENT TOTAL		52 959	46 339	65 727	21 589	180 213	110 325	234 985	66 523	76 000	377 508	533 884
20	**SUB-CONTRACTS**												
	21xx Agreements with the UN Agencies												
2101	SSFA with UNOPS/GRID Arendal (AS1 IP-DIRECT)		0	0	0	0	0	0	15 700	0	18 000	33 700	15 700
2199	**Total**		**0**	**0**	**0**	**0**	**0**	**0**	**15 700**	**0**	**18 000**	**33 700**	**15 700**
	COMPONENT TOTAL		**0**	**0**	**0**	**0**	**0**	**0**	**15 700**	**0**	**18 000**	**33 700**	**15 700**
40	**EQUIPMENT**												
4101	Expendable equipment		0	0	244	454	311	0	1 000	0	1 000	2 000	1 555
4201	Non-expendable equipment (camera, sound equipment)		0	0	0	0	962	2 581	1 670	0	1 670	3 340	2 632
4202	Non-expendable equipment visibility		0	0	0	0	0	0	330	0	330	660	330
4301	Rent		0	0	0	0	0	0	8 500	0	8 500	17 000	8 500
4999	**Total (AS1 Equipment-Veh-Funr)**		**0**	**0**	**244**	**454**	**1 272**	**2 581**	**11 500**	**0**	**11 500**	**23 000**	**13 016**
	COMPONENT TOTAL		**0**	**0**	**244**	**454**	**1 272**	**2 581**	**11 500**	**0**	**11 500**	**23 000**	**13 016**
50	**MISCELLANEOUS**												
	5200												
5211	Maintenance of website		**0**	**0**	**0**	**0**	**0**	**0**	1500	1500	**0**	3 000	1 500
5299	**Total (AS1 Oper-Other-Costs)**		**0**	**0**	**0**	**0**	**0**	**0**	**1 500**	**1 500**	**0**	**3 000**	**1 500**
5301	Telecommunication		0	0	0	0	0	0	2 500	2 500	0	5 000	2 500
5302	Freight and port clearance charges		0	0	0	0	0	0	500	500	0	1 000	500
5303	Other		0	0	1 031	0	0	0	0	0	0	0	1 031
5305	Visibility material (banners, publications, etc)		0	0	0	0	0	0	0	0	0	0	0
5307	Guidance on EC visibility requirements for projects		0	0	0	0	0	3 214	0	0	0	0	0
5399	**Total (AS1 Oper-Other-Costs)**		**0**	**0**	**1 031**	**0**	**0**	**3 214**	**3 000**	**3 000**	**0**	**6 000**	**4 031**
5400	**Hospitality**												
5401	Hospitality (PMU)		0	0	0	0	0	0	1 000	1 000	0	2 000	1 000

Code	Description												
5402	Hospitality (PSC)	0	0	0	0	0	0	2 500	2 500	0	5 000	2 500
5499	**Total** (AS1 Oper-Other-Costs)	**0**	**0**	**0**	**0**	**0**	**0**	**3 500**	**3 500**	**0**	**7 000**	**3 500**
5500	**Evaluation**											
5501	Monitoring and reporting (SPOR) (AS-1 Contract Service)	0	0	0	0	0	0	40 500	0	0	40 500	40 500
5502	Evaluation (UNEP-SCAs) (AS1 Oper-Other-Costs)							0	0	58 824	58 824	0
5599	**Total**	**0**	**0**	**0**	**0**	**0**	**0**	**40 500**	**0**	**58 824**	**99 324**	**40 500**
	COMPONENT TOTAL	**0**	**0**	**1 031**	**0**	**0**	**3 214**	**48 500**	**8 000**	**58 824**	**115 324**	**49 531**
	TOTAL (USD)	**52 959**	**46 339**	**67 002**	**22 043**	**181 485**	**116 120**	**310 685**	**74 523**	**164 324**	**549 532**	**612 131**
		7%	6.2 %	7%	6.2 %	7%	6.2 %	7%	6.2 %	7%		7%
	Programme Support Cost	0	2 873	0	1 367	0	7 199	0	4 620	0	4 620	0
	GRAND TOTAL:	**52 959**	**49 212**	**67 002**	**23 410**	**181 485**	**123 319**	**310 685**	**79 143**	**164 324**	**554 152**	**612 131**