

United Nations Environment Programme

Division of Technology, Industry and Economics

Evaluation report

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Evaluation and Oversight Unit

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ACRONYMS AND ABBREVIATIONS

ASEAN	Association of South East Asian Nations
AWGESC	Working Group on Environmentally Sustainable Cities
BASE	Basel Agency for Sustainable Energy
BFMS	Budget and Fund Management Services
BRP	Bus Regulation and Planning
BRT	Bus Rapid Transit
CBD	Convention on Biological Diversity
CBTF	Capacity Building Task Force
CIEN	Chemical Information Exchange Network
CITES	Convention on International Trade in Endangered Species
COP	Conference of Parties
CSS	Corporate Services Section
DCPI	Division of Communication and Public Information
DELCC	Division of Environmental Law and Conventions
DEPI	Division of Environmental Policy Implementation
DEWA	Division of Early Warning and Assessment
DGEF	Division of Global Environment Fund
DLR	German Aerospace Centre
DRC	Division of Regional Cooperation
DTIE	Division of Technology, Industry and Economics
EAOPS	East African Organic Products Standard
EMG	Environmental Management Group
EST	Environmentally sound technologies
ESTIS	Environmentally Sound Technologies Information System
ETB	Economics and Trade Branch
FAO	Food and Agriculture Organization
FMO	Fund Management Officer
GRI	Global Reporting Initiative
GSPN	Global Sustainable Products Networks
HLCM	High-Level Committee on Management
ICCM	International Conference on Chemicals Management
IETC	International Environmental Technology Centre
IFOAM	International Federation of Organic Agricultural Movements
IMDIS	Integrated Monitoring and Documentation Information System
IMIS	Integrated Monitoring Information System

IMOS	Iraqi Marshlands Observation System
INPE	Brazil's National Institute for Space Research
IOMC	Inter-Organization Programme for the Sound Management of Chemicals
ITDP	Institute for Transportation and Development Policy
IUCN	World Conservation Union
IWRM	Integrated Water Resource Management
MEAs	Multilateral environmental agreements
MIN	Marshland Information Network
NASA	National Aeronautics and Space Administration
NCPC	National Cleaner Production Centres
NCPP	National Cleaner Production Programmes
NISD	Network of Institutions for Sustainable Development
NMT	Non-Motorized Transport
NREL	US National Renewable Energy Laboratory
PCBs	Polychlorinated Biphenyls
PMAU	Programme Management and Administration Unit
POW	Programme of Work
QSP	Quick Start Programme
Risø-DTU	Technical University of Denmark
ROAP	Regional Office of Asia and the Pacific
SAICM	Strategic Approach to International Chemical Management
SBCI	Sustainable Buildings and Construction Initiative
SCP	Sustainable Consumption and Production Branch
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
SMT	Senior Management Team
SUN	Sustainable United Nations
SUNY	State University of New York
SWERA	Solar and Wind Energy Resource Assessment
TERI	The Energy and Resources Institute in India
TFIC	Trust Fund Implementation Committee
UAE	United Arab Emirates
UNCTAD	United Nations Conference on Trade and Development
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organisation
URC	UNEP Risoe Centre on Energy, Climate and Sustainable Development
WCO	World Customs Organization
WTO	World Trade Organization

SUMMARY OF FINDINGS AND RECOMMENDATIONS

1. This evaluation has found that, in general, the activities implemented by DTIE have been consistent with the approved programme of work of the Division and have been aimed at achieving the expected accomplishments for which it has responsibility. The activities implemented by the Division are clearly relevant to global environmental priorities and associated multilateral agreements, and more so given their cross-sectoral nature and combined use of assessments, technical advice, advocacy, capacity development, and other support modalities at different scales of intervention (global, regional, national).
2. Given the resources available to the Division, a tremendous amount of work seems to have been accomplished, complemented by effective resource mobilization and judicious use of resources. The evaluation team has reviewed a sample of the outputs including guidelines, toolkits, publications and reports prepared by the Division over the past three biennia and found them to be carefully prepared and disseminated to relevant audiences. The products are all easily accessible and downloadable from the web page of the Division. While this evaluation has not interviewed all stakeholders to gain comprehensive insights in to the perceptions of effectiveness, the continuing demands of governments, especially in the area of support to the implementation of MEAs, Marrakech process and National Cleaner Production Centres, and requests for support by developing countries to prepare common negotiating positions on specific issues at the World Trade talks, is an indication, not only of continuing demand for such services, but also of the effectiveness of previous efforts.
3. A review of the links to, and partnerships created by, the Division in implementing its activities shows that the nature and types of partnerships created have not changed substantially, however, the extent of the activities and breadth of these partnerships have increased. The Division has generally continued to work with governments, industries, financial institutions, bodies of the United Nations system and non-governmental organizations.
4. As a general point, the level of understanding of staff of various programmes, outside their immediate spheres of responsibility but within the Division needs to be strengthened and expanded.
5. There is a need for capacity building / awareness-raising at Divisional level to enable staff in all branches to have a better understanding of the full scope of the DTIE work programmes. This will help staff identify opportunities to foster increased collaboration and synergy, essential for effective implementation of the 2010-2011 PoW. It is to be hoped that the preparation of the workplans for this PoW will introduce an increased focus on joint programming approaches, not only between UNEP Divisions but also between branches within the Division.

RECOMMENDATIONS

6. The evaluation makes a number of recommendations. These are presented in clusters according to who would be responsible for addressing each recommendation. The recommendations are not presented in any particular order of priority.

DIVISION DIRECTOR

Finding 1

7. The Chemicals Branch has played a significant role in the development of SAICM. However, the various roles performed by the UNEP in general, and DTIE in particular in SAICM have, in the opinion of the evaluation team, created a potential conflict of interest situation where UNEP is trustee of the fund and the Chemicals Branch performs the Secretariat role. The Quick Start Programme Trust Fund Implementation Committee (QSP TFIC) is made up of all seven IOMC agencies which also receive SAICM funding; this presents a potential source of conflict of interest for **all** of the members, a risk that has been recognized and addressed in the Committee's rules of procedure which provide that "in cases where an organization that is represented in the Committee is involved in a project submitted to the Committee for its consideration, the representative of that organization shall declare his/her interest in the project before it is discussed by the Committee and recuse himself/herself from decision-making by the Committee in relation to the project in question." However, this evaluation believes that UNEP's role as Trustee and Secretariat is blurred and needs to be better clarified. For example, while most of the Secretariat roles are, indeed 'neutral service provision', the project screening role of the Secretariat of UNEP projects, it would seem, is a potential conflict of interest situation. This issue needs to be resolved expeditiously to ensure that the partnerships created by the programme are not undermined as a result of suspicion and distrust.

Recommendation 1

8. **The evaluation has been informed that a review process has already been initiated by the competent authority, i.e. the Conference. In its resolution II/3 adopted at its recent second session, the Conference requested the QSP Executive Board to evaluate the Quick Start Programme and make recommendations for the consideration of the Conference at its third session. The terms of reference for the evaluation will be drafted by the Secretariat for consideration by the Executive Board at its next annual meeting in April 2010. The evaluation supports the view that UNEP, as a member of the Board should advocate for a review of the arrangements for the approval of Trust Fund projects. The review might consider, as part of the Trust Fund implementation structure, the inclusion of an independent expert panel to review, assess and publicly disclose the relative merits of SAICM Trust Fund (Quickstart) project proposals. The QSP TFIC would then approve the projects of highest quality.**

Finding 2

9. Beside the fact that the Financial Initiative (FI) is located within the Economics and Trade Branch, this evaluation did not find any evidence that there is synergy between the FI and the rest of the Branch. Indeed, there seems to be more work ongoing between the FI and the Energy Branch and perhaps to a more limited extent, the Sustainable Consumption and Production Branch. The decision on the location of the FI, therefore, seems to have been made on the basis of convenience rather than any institutional logic that promotes synergy and effective collaboration for the delivery of the Branch's programme of work.

Recommendation 2

10. **The Division Director should review the location of the FI and determine its optimal location to enable the initiative to benefit from the associated synergies and collaborations.**

Finding 3

11. This evaluation has concluded that the structure of the SCP Branch did not readily facilitate the interactions needed to implement the POW. While the interactions required/necessary for effective collaborations were established despite the Branch structure, there is a need to review this and ensure that ‘form follows function’ with the structure helping to promote the synergies and coordination needed for efficient implementation of Marrakech-related activities. Given the level of effort invested by the Branch in facilitating and backstopping the Marrakech process, it would seem that the Marrakech process needs to be viewed as the guiding framework within which the SCP Branch activities operate.

Recommendation 3

12. **The evaluation team is of the view that in order to give effect to sustainable “production” and “consumption.” the Division Director should revise the structure for the SCP Branch. The new structure could include a Policy unit which will deal with the normative activities of the Branch (the Marrakech process, MEAs and MDGs-Poverty; Sustainable Consumption and Production, green economy), and three other units dealing with Sustainable Resource Management (agriculture, water, international panel on sustainable resource management, international life cycle panel etc.), Sustainable Business and Industry (GRI, NCPC, tourism, oil and gas, metals and mining , waste, building construction, etc.), and Sustainable Consumption and Behavior (sustainable procurement, education, ecolabing, green passport and other similar campaigns). The unit dealing with policy and normative activities will coordinate its work across other units to fully integrate the Marrakech process activities into the work of all units.**

Finding 4

13. As UNEP moves towards the implementation of the 2010-11 POW under the new UNEP Medium Term Strategy, the Division is set to lead three of the six thematic Subprogrammes; Climate Change, Harmful Substances and Hazardous Waste, and the Resource Efficiency – Sustainable Consumption and Production. This will pose significant challenges as it will be the responsibility of the lead Division to coordinate the work done by the other Divisions that contribute to each subprogramme. DTIE Staff in the Paris and Geneva Offices will face the challenge of coordinating this work remotely, without the greater administrative convenience and ease of communication of being co-located at headquarters with the other collaborating Divisions. Currently, the burden of the liaison work between DTIE and HQ falls on the Transport Unit, based in Nairobi. This role imposes a heavy additional work burden and detracts from the core work of the unit.

Recommendation 4

14. **Given the extensive engagement required to coordinate three (3) of UNEP’s Six (6) thematic priorities requiring constant communication and interaction with headquarters, what is required is for the Director of DTIE to post a DTIE liaison officer to HQ to play not only an administrative but also a strong representational role for the Division.**

Finding 5

15. The unique role that can be played by IETC in promoting risk reduction mechanisms for prevention and preparedness of disasters and conflicts needs to be clarified within UNEP. Disasters and conflict work undertaken within UNEP by IETC, the Post Conflict and Disaster Management Branch in DEPI and DEWA Early Warning and Assessment Branch need to be rationalized.

Recommendation 5

16. **The Division Directors on DTIE, DEWA and DEPI should work together to prepare a clear articulation of UNEP's role and mandate to tackle the environmental dimensions of disasters and conflicts. A clearly stated role and mandate would aid effective coordination and cooperation with other agencies such as OCHA, UNHCR and UNDAC.**

Finding 6

17. This evaluation team found the organizational nomenclature with regard to the titles of the most senior branch staff to be lacking consistency throughout the Division. DTIE Branches are variously led by Chiefs (SCP, ETB), Heads (Ozonaction, Energy) and Directors with Deputy Directors (Chemicals, IETC). The latter two titles possibly causing confusion with those used at the Divisional level.

Recommendation 6

18. **The Division Director should consider harmonizing the titles of Senior DTIE Staff to make them consistent with the titles normally used in other divisions of the organization.**

Finding 7

19. In common with other Divisions, recruitment processes are regarded as cumbersome, and the long timeframes associated with staff recruitment often result in UNEP missing out on hiring the best qualified candidates. With a total staff complement ranging between 150 and 200 staff, recruitment processes are always ongoing, yet currently DTIE has only one GS staff dedicated to recruitment issues. Assuming staff turnover rates are approximately 10% of total staff per annum; then between 15 and 20 staff are recruited each year.

Recommendation 7

20. **This level of recruitment activity would justify the addition of a dedicated HR professional at the DTIE Office, and such may help to minimise the additional recruitment and classification delays that are anticipated when the new UN contract and recruitment rules are introduced in July 2009. The Division Director should consider making a request to the Executive Director to allocate an additional staff position for this purpose.**

Finding 8

21. The complexity of how various administrative processes operate within the division, and between the division and headquarters can create considerable delays and inefficiencies. The vast majority of staff interviewed by the evaluation team had experienced considerable difficulties and frustrations in dealing with routine administrative processes. It is clear that the location of DTIE away from headquarters can create additional constraints to the efficiency and timeliness of administrative processes. The most commonly raised administrative issues that prove problematic were travel approvals and, most crucially, the availability of accurate financial information.

Recommendation 8a

22. **The evaluators noted the recent changes to the travel approvals process utilising quarterly Branch travel plans. Nevertheless further improvements may be possible and the addition of an administrative staff member would help to improve travel / finance procedures. The Division Director and Branch Heads**

should periodically review the efficiency of the Division's travel approvals system.

Recommendation 8b

23. **The roles of different staff in administrative procedures with regard to who approves what between Geneva, Paris and Nairobi are sometimes unclear. It is therefore recommended that an administrative procedures manual that summarises administrative processes as experienced in DTIE be developed / updated, and published electronically on the DTIE intranet.**

Finding 9

24. The evaluators found that effective communication within the Division is perceived as problematic and, beyond their work with immediate colleagues, the sense of a team approach or a team identity seems to be limited to the level of units, and does not extend to branch or divisional levels. Staff at lower professional and GS levels were unsure as to the amount of collaboration and the sense of teamwork that prevails within DTIE among senior managers and Branch Heads. Weekly management meetings of senior DTIE Staff are reportedly held, but the agenda to be discussed is not routinely communicated to the rest of the Division, and therefore professional staff cannot provide any relevant input through their Branch heads. Minutes of branch heads meetings and of Senior Management Team meetings are, however, circulated to all staff. In addition a bi-monthly staff meeting is held with Director and all DTIE staff which provides briefing on DTIE and UNEP issues.

Recommendation 9a

25. **Whilst the evaluation is aware of the organisation's intent to regularly canvass staff opinion through Staff Opinion Surveys, the Director of DTIE should ensure that staff feedback is obtained on an annual basis. The evaluation has highlighted a number of problems and issues (e.g. team work, communication, efficiency of admin processes etc.), and staff opinion on these should be regularly sought. The DTIE survey should use the larger UNEP Staff Survey approach as a model and a benchmark. The Divisional survey would not be necessary in years where a UNEP staff survey is conducted.**

Recommendation 9b

26. **Brief Summary minutes of Senior Management meetings should be routinely circulated to all DTIE staff in the different branches and offices to promote a greater understanding of the work programme and management issues facing the Division as a whole. Staff would gain a broader understanding of the division through regular exposure to information on management and programme-related issues that are outside of their immediate areas of professional responsibility.**

Finding 10

27. Outside the half yearly IMDIS reporting, progress reports are prepared as required in project documents. They are often descriptions of project activities and outputs that do not convey a sense of the progress achieved. These reports often form the basis for disbursement of project funds at different stages of the project. Review of samples of these reports and findings from evaluations show that the quality of these reports varies considerably. The depth of information and analysis found in these reports also vary considerably from very good to poor. What is clear is that besides GEF and some larger DTIE projects, adequate provision has not been made for including monitoring and evaluation plans at the project level. This particular finding is not limited to DTIE. It is a common finding in many UNEP evaluations because there had,

until recently, been no specific requirement for a costed monitoring and evaluation plan to be included in project design.

Recommendation 10

28. **To increase the attention paid to effective monitoring and supervision, the Division Director should ensure that; project documents have costed M&E plans, and staff workplans and PAS assessments include performance criteria for project supervision.**

Finding 11

29. The security services for the Paris office are provided by a subcontractor and the evaluation noted a number of weaknesses / shortcomings with the current arrangements (para. 119)

Recommendation 11

30. **Since the security arrangements for the Paris Office are unique to the Division, the evaluation recommends that regular security reviews are undertaken by UN Security personnel (from UNESCO), these reviews should, as a minimum, be conducted on an annual basis.**

Finding 12

31. Some administrative policies are unique to parts of the Division. For example the 'flexi-time initiative' which is linked to an attendance tracking system in the Paris office^a monitors time spent by staff in the office. The flexi time policy has been developed within the framework of the Secretary General's Bulletin ST/SGB/2003/4 on flexible working arrangements, and allows staff to arrive at work between 8:00 and 10:00, and depart between 17:00 and 19:30. The SG's bulletin notes that such arrangements are voluntary, yet most staff perceive this to be a requirement. The evaluators also noted that staff often perceived the system as reinforcing an office culture of expecting staff to work very long hours. GS staff voiced the complaint that the policy effectively removes the option of being paid for overtime worked; an additional day of leave was not always the preferred staff compensation option.

Recommendation 12

32. **The SG's bulletin states that the flexi-policy is voluntary for all staff members, and therefore staff not wishing to participate in the flexi-time scheme in the Paris office could revert to the standard working hours of 9:00-18:00 with an hour off for lunch. The evaluators recommend that management remind all staff of the voluntary nature of the flexi-time policy**

Findings 13

33. Many staff noted that there were few or no opportunities for all DTIE staff to meet one another. Some outposted staff with several years of service within the Division have never had the opportunity to visit the divisional office to meet with other DTIE staff. GS staff have often not had training or opportunities to receive mentoring from counterpart staff in Paris or Nairobi. Similarly, the training available to P/L staff has been limited. Indeed the training opportunities developed in the organization are often headquarters based and, whilst open to outposted staff, do not cover the costs associated with their attendance. Some training at headquarters is offered on a half-day basis over several days to allow Nairobi staff to balance training activities with

^a The flexi-time system is not applied outside of the DTIE Paris Office.

their daily duties; this further reduces the feasibility of attendance by outposted staff due to the increased travel and subsistence costs that would be incurred.

Suggestions^b

34. **The evaluators suggest a number of practical actions that could be taken by the Division to improve the opportunities for face-to-face interactions among DTIE staff:**
- **As far as possible missions between DTIE offices should be diversified among a broader range of staff. Currently, repeated visits are made to the DTIE Office in Paris made by the same few outposted staff (e.g. from Geneva or Japan);**
 - **Existing initiatives such as the ‘Infoshare sessions’, established in the summer of 2008, and technical seminars should be fostered and staff attendance encouraged with low cost incentives.**
35. **Other suggestions to foster improved working relationships but that would require additional financial resources include:**
- **A one-off staff retreat for DTIE, which could be combined with inter-branch programming meetings engaging a larger number of staff in the prepare of synergistic workplans for implementation of the 2010-2011 PoW**
 - **Opportunities for GS staff to visit Paris / Nairobi to meet with the colleagues they regularly work with on order to gain a better understanding of the administrative procedures and processes that form the mainstay of their individual responsibilities**
 - **Training on administrative procedures should be provided to all GS staff. This would improve the working efficiency in general, and facilitate the work of the admin office in particular.**

BRANCH HEADS

Finding 14

36. Some issues that have been addressed by ETB relating to agricultural trade policy seem to have considerable overlap with work undertaken by CGIAR centres such as WorldFish for fisheries subsidies and IFPRI more generally in relation to agriculture policy and trade issues.

Recommendation 14

37. **The evaluation recommends that the ETB review its activities and ensure that the focus of its efforts builds on the larger UNEP comparative advantage associated with its ‘convening power’ for, and access to, intergovernmental processes. As a part of this review the possibilities for an enhanced strategic collaboration between UNEP and the CGIAR system should be formally assessed by the ETB. The CGIAR has a comparative advantage to undertake policy-oriented research.**

Finding 15

38. As a result of the limited resources allocated to it, the Youth Exchange Programme within the SCP Branch has virtually become an orphan and seems to be struggling.

^b EOU will not track DTIE’s compliance with these suggestions

Recommendation 15

39. **The SCP Branch should review its work on the Youth Exchange Programme and determine whether it should be dropped or significantly strengthened. If retained, the Youth Exchange Programme will require an increased allocation of resources and enhanced inter-branch collaborations (e.g. with OzonAction’s awareness-raising and education activities) would need to be fostered. There are also synergies with the DCPI Tunza programme and these should be explored.**

Finding 16

40. While there is considerable clarity in the strategy and approach to its energy work with substantial gains being accomplished through the Sustainable Energy Finance Initiative, the normative parts of UNEP DTIE’s work in the area of policy frameworks and support to governments in policy development in the energy sector is not sufficiently developed. According to staff, there seems to be a “mismatch between UNEP Management expectations for countries and the resources to provide the required support to governments”. Whilst there has been renewed interest from management on energy policy issues since late 2008, and there is now an ‘energy facility’ with two staff allocated to work in the Energy Branch, this does not provide the critical mass of effort required to undertake this normative work in a comprehensive manner. There is a clear niche for UNEP to provide policy advice to countries to assist them in preparing for a wide variety of new energy initiatives.

Recommendation 16

41. **This evaluation recommends that the Energy Branch increase the effort and resources allocated to support governments in policy development in the energy sector.**

Finding 17

42. According to staff there is an increasing disconnect of IETC work programme with the original IETC mandate for work at Shiga, and the priorities of the Shiga office’s host organization, the International Lakes Environment Committee, on integrated lake and water management. While it is true that UNEP’s priorities cannot be dictated by the needs of a local authority irrespective of whether it is a hosting institution or not, there is a need to regularly communicate changes in UNEP priorities clearly to the government of the prefecture and synergies between UNEP’s work and local priorities need to be identified. It is, indeed, important that the continuing relevance of the Shiga Office’s mandate to work on “integrated lake and water management” is reviewed to determine how best to reconcile that mandate with UNEP’s current focus on sanitation / water quality improvement.

Finding 17a

43. This evaluation has found that there is a clear lack of critical mass of staff in all three pillars (solid waste and disaster preparedness and water and sanitation) of IETC’s work. There is one staff member in the solid waste programme at the P-3 level, one in the disaster preparedness programme and three in the water and sanitation programme. The evaluation has further found that the separation of the Centre into two offices, one in Osaka and the other in Shiga, inhibits a unified sense of belonging to IETC. This is further compounded by the reality that most professional staff are working on issues by themselves, the exception being the Iraqi Marshlands project.

Recommendation 17

44. **To address the above issues, a strategy for the Centre is needed. This strategy should be prepared using a participatory process, led by the new IETC Director,**

that includes all staff of IETC in Osaka and Shiga offices, host organizations and GOJ representatives.

Finding 18

45. Under current arrangements the reporting relationships to and the programmatic responsibilities of, the Deputy Director are unclear; under the Job Description of Deputy Director there is no assigned programmatic/thematic responsibility although the Deputy Director has undertaken the responsibility of supervising and guiding the thematic area of waste management, the reporting of the concerned staff continues to be with the Director. Some other reporting relationships within IETC seem sub-optimal.

Recommendation 18

46. **The new IETC Director will review and accordingly amend reporting arrangements within the centre.**

Finding 19

47. Staff of IETC noted that, whilst the ED has a regular column in a major national Japanese newspaper, public awareness of the work of UNEP within Japan remains at a low level. There is a need for exhibition material, targeted public awareness literature and resources to support formal public meetings in selected Japanese prefectures.

Recommendation 19

48. **In order to increase the potential for resource mobilization through the Government of Japan (GOJ), and gain more popular public support in Japan, there is a need to increase the efforts and resources allocated to UNEP's public awareness activities there. The Director of IETC should mobilize resources to support these activities (e.g. include a public awareness budget line in IETC project proposals) and actively pursue collaboration and synergies with DCPI to assist awareness-raising activities.**

HEADQUARTERS

Finding 20

49. The evaluation found that there was a high level of concern and uncertainty about UNEP's current approach to resource mobilization in terms of who is allowed to do what and the extent to which funding opportunities have to be pursued centrally through the resource mobilization function in Nairobi. In contrast to the centralized approach that staff thought was the current UNEP requirement, the key message proposed in the current draft of UNEP policy^a is that of a "Federated Resource Mobilization approach" where it is envisaged that Divisions will be engaged and enabled to benefit from opportunities available for resource mobilization. This will be supported by UNEP-wide coordination through the Resource Mobilization Section. A virtual 'Resource Mobilization Network' within UNEP is planned and the 'Federated Resource Mobilization' will be coordinated via focal points in all Divisions and Regional Offices. This approach had in early 2009, not been effectively communicated to the staff of DTIE.

Recommendation 20

^a Working Draft UNEP Policy Guidelines on Resource Mobilization, Resource Mobilization Section, 2008.

50. The evaluation recommends that efforts to communicate UNEPs resource mobilization approach be renewed both between Headquarters and outposted Offices and within DTIE. The policy should be supported by information, provided by the RMS, explaining what ‘federated’ resource mobilization efforts mean in practice for the programmatic professional staff. The RMS should conduct interactive briefing sessions with DTIE staff (and staff of other divisions).

Finding 21

51. The declining trend in GEF funding for projects within DTIE is of concern, given that the work and staff supported by GEF resources is often of strategic importance to UNEP and DTIE’s programme of work. The longer term strategy of DTIE with regard to the GEF fee for oversight and supervision of GEF projects needs to be carefully considered. In the past DGEF staff have been hosted within DTIE and the separation between the execution of GEF projects and the supervision and oversight roles, demanded by best practice, was somewhat blurred. There has been disagreement between DGEF and DTIE over the GEF fee (10% of a project’s approved budget) with DTIE arguing that project preparation costs should be met from the GEF fee. . The evaluation notes that if such fee-sharing is agreed, this would have to be applied for all internally executed GEF projects in other UNEP Divisions thereby providing, indirectly, a financial incentive for DGEF to prefer external project execution partners.

Recommendation 21

52. **If fee-sharing undermines the financial viability of DGEF, this may in turn undermine the ‘UNEP strategy in the GEF’. Whilst this is not the immediate concern of DTIE it is potentially of great strategic significance to UNEP and should be discussed exhaustively within the Senior Management Team and resolved. Perhaps the fee sharing system would become a viable proposition if DGEF activities were to be fully integrated into the rest of UNEP coordinated by a small Secretariat.**

Finding 22

53. In general, the link between financial management and programme / activity management in DTIE could be substantially enhanced. Many professional staff noted that real-time financial data relevant to their programmatic responsibilities were unavailable and that wider access to IMIS and Crystal Reports is needed. Monthly financial data, whilst useful were, according to professional staff, not consistently available. The general lack of provision of up-to-date financial information either centrally from UNEP or from within the Division, prompts many staff with financial / budgetary responsibilities to develop their own parallel record-keeping systems. Effective and efficient management of the activities that constitute the PoW requires a detailed understanding of the technical progress made in relation to the financial resources expended. Whilst this is a serious problem, it is not one that is restricted to DTIE, and is an issue that needs to be tackled across the entire organization

Recommendation 22

54. **The evaluators note the urgent need for a project database system that provides a link to the associated financial, budget and expenditure information not just in DTIE but for UNEP as a whole. Indeed such a system would seem to be a pre-requisite for effective results-based management and should be developed by QAS and CSS as a matter of high priority.**

Finding 23

55. In relation to administrative processes that operate outside of the Division, UNEP’s publications policy is perceived by some to be unwieldy and staff have experienced

difficulties in dealing with the long lead times associated with the publications approval process that is required prior to publication. Submission to DCPI six months prior to publication can be problematic when stakeholder opinions on draft documents need to be considered and the deadlines for publication are driven by international processes and events. Timelines associated with the delivery of such publications are not always compatible with the time needed for the publication approvals process. In some cases DTIE have pursued publication through other organisations where publication can be arranged more rapidly.

Recommendation 23

56. **UNEP should review its publications policy with the view of ensuring that the processes associated with approval of documents indeed encourage and promote publication activity in UNEP. Where the review finds current policy inhibits timely publication, solutions should be found and reflected in a revised policy.**

Finding 24

57. The skills of staff in other divisions assigned to work on thematic subprogrammes led by DTIE may not be the right match to deliver the work programme in the most effective manner. UNEP faces the challenge of making the best use of its installed capacity i.e. matching the capacities of existing staff to the skills and locations required to deliver the PoW. Failure to achieve a good match increases the risks associated with effective delivery.

Recommendation 24

58. **UNEP's Executive Office should undertake an inventory of the technical capacities of staff in the organization in relation to the capacity requirements needed for implementation of the 2010-2013 MTS. The rotation policy must be utilized to help the organization make the most effective use of its current installed capacity.**

Finding 25

59. The Division Office in Paris does not have a host country agreement with France. Whilst the Division currently enjoys many of the privileges afforded to UN Agencies Headquartered in France, these are provided to DTIE on an *ad hoc* basis. In this regard the Division Office remains vulnerable to changes in government policy / attitude. UNEP has made high-level efforts to address this through UNESCO's host country agreement, but so far without success.

Recommendation 25

60. **Further attempts to secure a UNEP Host Country Agreement are needed and should be pursued using the UNESCO agreement as a basis.**

I. OBJECTIVES, SCOPE AND APPROACH TO THE EVALUATION

A. Evaluation Objectives

61. The primary objective of this evaluation is to examine the implementation of the work programme of the Division of Technology, Industry and Economics and to determine the extent to which it has accomplished its goals. The evaluation has examined mechanisms for collaboration in implementing the Division's work programme, both within UNEP and with external bodies, and identified strengths and weaknesses in subprogramme implementation.
62. In order to determine the relevance, efficiency, effectiveness and impact of the Division, the evaluation sought answers to the following key questions:
 - a) How have the information and analyses produced by the Division affected the policy development process in governments, local authorities and industries?
 - b) How effectively has the Division performed its role of promoting strategies, practices and technologies that promote sustainable patterns of consumption and production, make efficient use of natural resources, ensure safe management of chemicals and contribute to making trade and environment policies mutually supportive?
 - c) To what extent has the Division collaborated with other UNEP subprogrammes to ensure that the information it produces feed into policy-making and catalyse action?
 - d) In accordance with the UNEP mandate to facilitate effective cooperation among Governments and other stakeholders and promote exchange of environmental knowledge and information, how has the Division collaborated and coordinated with partners outside the organization?

B. Scope of the evaluation

63. This evaluation presents an assessment of the overall performance of the Division during the biennia 2002-2003, 2004–2005 2006–2007, i.e. the three completed biennia since the last evaluation of the subprogramme.
64. The performance of the following subprogramme elements will be examined in greater depth as separate studies that focus on the 'results' level:
 - Sustainable tourism
 - Lead phase-out in gasoline
65. It is anticipated that these detailed studies will be completed late in 2009.

C. Methods and approach

66. The evaluation was conducted over the period between October 2008 and April 2009 using two main approaches: analysis of documentation and interviews of key individuals. The different approaches enabled the evaluators to access and reach different types of information and groups and to verify and reconcile information obtained from the different sources.

- i) **Analysis of documentation**
67. Analysis of documentation involved desk reviews of United Nations and Governing Council mandates, strategies and other work plans, programme outputs, reports, including previous evaluations of programme outputs and processes, monitoring reports, self-evaluation reports, financial reports, policy papers, manuals and guidelines. It also involved reviews of products including web pages, publications and databases. A list of the DTIE publications examined is included in Annex A.
- ii) **Interviews**
68. Structured and semi-structured interviews on the role and performance of the subprogramme were conducted with key individuals throughout the period of the evaluation. They included the head of the Division, key staff in charge of substantive programmes, staff in the regional offices, collaborating centres, stakeholders and other division heads in UNEP. In all, the evaluation team spoke with more than forty five individuals. A list of the staff interviewed is included in Annex B.
- iii) **Limitations of the evaluation**
69. The approach to conducting this evaluation has several limitations. Among the most important are the following:
- (a) In an attempt to cover the operations of the Division since the last in-depth evaluation of the subprogramme in 2000, the evaluators took a generic approach to the review of programme accomplishments over several biennia. We therefore do not present the accomplishments biennially. This was considered the most prudent approach, since a litany of pages describing outputs and accomplishments would compromise both the readability and utility of the document;
 - (b) The range of activities covered by the Division is so broad that the evaluation team was compelled to focus on key activities, processes and outcomes;
 - (c) This evaluation relies heavily on published and unpublished documents, some of which are in draft form only. In order to avoid duplication of effort, recent evaluations of key activities and processes, where relevant, were also used;
 - (d) The effort to assess the performance of the subprogramme has, of necessity, focused substantially at the output and activity levels because most of the reporting has been done at those levels. The availability of credible baselines, and monitoring information for the indicators of subprogramme performance at the results level was limited. Monitoring plans for the period 2002-2007 were never systematically implemented and the data collection methods were, in many cases, not adequate to measure the indicators of performance.
- iv) **Presentation of findings, evaluation report review and finalisation**
70. The draft summary of findings and recommendations were presented to DTIE senior management in Paris on the 20th April 2009. The full draft report was submitted to DTIE by the evaluators on 27th May and review comments were received from the Division on 19th August 2009. This evaluation report was finalized on September 16th 2009.

II. MANDATES, ROLE AND ADMINISTRATION OF THE DIVISION OF TECHNOLOGY INDUSTRY AND ECONOMICS

A. *Mandate*

71. The subprogramme is based on General Assembly resolutions 47/190, 53/242, 55/2, 55/199, 55/200, 56/95, 56/193, 56/200 and S-19/2, and Governing Council decisions 20/17, 20/19, 21/3 to 21/7, 21/14, 21/15, 21/18, SS.VII/2 and SS.VII/3. It also responds to paragraphs 8, 9, 10, 14 to 21, 23, 28, 47, 49, 54(l), 56(b) and (c) and 97(c) and (d) of the Plan of Implementation of the World Summit on Sustainable Development.

B. *DTIE's role, scope of activities and responsibilities*

72. The overall objective of the subprogramme is to enable decision-makers in Government, local authorities and industry to develop and adopt policies, strategies, practices and technologies that promote sustainable patterns of consumption and production, make efficient use of natural resources, ensure safe management of chemicals and contribute to making trade and environment policies mutually supportive.
73. The Division of Technology, Industry and Economics is responsible for delivering the subprogramme. The programme strategy of the Division has been implemented during the evaluation period (2002-2007) in seven broad areas:
- environmental technologies and technology cooperation;
 - sustainable consumption and production;
 - chemicals; energy;
 - economics and trade;
 - private sector outreach and partnership development and implementation;
 - urban environment; and
 - OzonAction.
74. The greater part of the activities in respect of environmental technologies and technology cooperation is financed by contributions from the Government of Japan to the Technical Cooperation Trust Fund for the Establishment of the International Environmental Technology Centre in Japan.
75. The OzonAction programme is funded through the Multilateral Fund for the Implementation of the Montreal Protocol and GEF. The Secretariat of the Montreal Protocol was set up with its own Monitoring and Evaluation functions and there has been comprehensive evaluation of both the OzonAction programme and of projects within it. There are strong perceptions that the OzonAction programme is already 'over-evaluated' and it was therefore decided not to include it under this subprogramme evaluation. In its capacity as an implementing agency of both the Multilateral Fund and GEF, UNEP creates enabling conditions in developing countries and countries with economies in transition to advance the protection of the ozone layer through the implementation of the Montreal Protocol. This involves providing assistance to countries in the form of information exchange, training, networking, institutional strengthening, country programmes and refrigerant management plans with the aim of strengthening the capacity of Governments and industry in particular to make informed decisions and comply with the Montreal Protocol. The corresponding work programme for each biennium is approved by the Executive Committee of the Multilateral Fund and the GEF Council.
76. The Division contributes to the effective implementation of multilateral environmental agreements, in particular the Convention on Climate Change and the Convention on

Biological Diversity. To ensure efficient regional delivery of the subprogramme, the Division has Regional officers as well as OzonAction Officers located in UNEP's regional offices in Africa, Asia and the Pacific, North America, Europe, Latin America, and the Caribbean and West Asia.

77. As stated, the Division's strategy is designed *'to influence informed decision making through partnerships with other international organizations, governmental authorities, business and industry, and nongovernmental organizations; support implementation of conventions; and build capacity in developing countries.'*

C. Subprogramme objectives

78. The expected accomplishments as specified in the Programme of Work for 2006 – 2007 were:
- (a) Enhanced ability of public and private sector decision-makers and organizations to access, adopt and use environmentally sound technologies and to make informed choices about water resources management and energy production and use;
 - (b) Increased understanding and implementation by public and private sector decision-makers and organizations of environmentally sound management practices and tools, including cleaner production, sustainable consumption and prevention of and responses to environmental threats and emergencies;
 - (c) Progress made by countries and the international community towards ensuring that chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment;
 - (d) Enhanced capacity of public and private sector decision-makers and organizations to integrate the environmental dimension of sustainable development into their economic, trade and finance policies and practices including corporate environmental and social management.

D. Recent Evolution of DTIE

79. This section documents the important changes that have taken place in DTIE since the last sub-programme evaluation in 2000.
80. DTIE has developed and maintained a track record and considerable expertise in working with the private sector and domestic and international markets through the work of the Energy Branch, the Consumption and Production Branch, the Economics and Trade Branch, the OzonAction Branch, the Chemicals Branch, and the International Environmental Technology Centre. DTIE's role in UNEP has been, and continues to be, a prominent one. In terms of Staff numbers it is the largest Division in UNEP with a total staff complement of 179^b.

i) Leadership

81. There have been three changes in the leadership of DTIE since the last subprogramme evaluation in 2000 and the focus of DTIE's efforts has been influenced by each Director. However, in general, the expected accomplishments articulated in the biennial programmes of work from 2000 through to the 2007-2008 POW have remained fairly consistent. Staff that had served under all three Division Directors identified a shift in the work done by the division from a predominant focus on

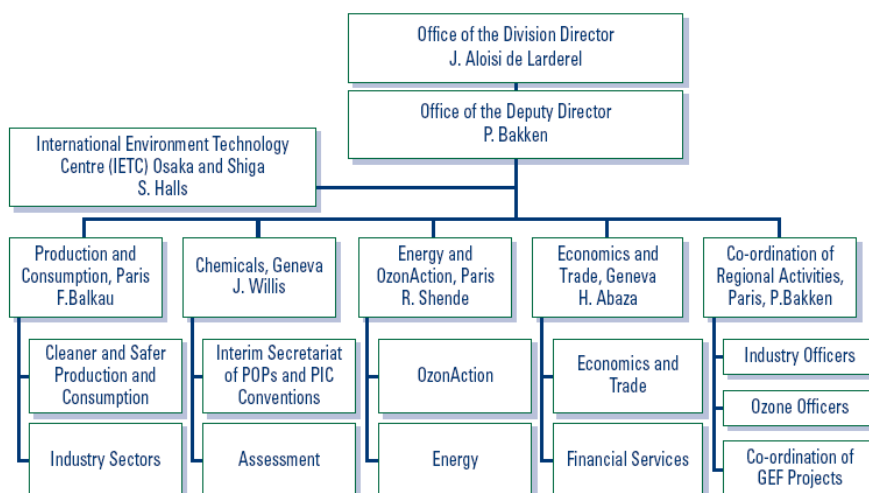
^b According to the figures supplied to the evaluation in late 2008.

advocacy / normative work prior to 2003, towards activities and initiatives that focused on 'implementation on the ground' through a project modality. The increased emphasis on 'project implementation' took place during the tenure of the 2nd DTIE Director within the evaluation period (2003-2006), and the dual focus on 'implementation' and normative work that was established during that time has largely been maintained to date. The current Division Director is attempting to focus the efforts of DTIE to reflect the shift in UNEP priorities that has emerged from the recent and ongoing MTS and POW 2010-2011 preparation processes.

ii) **Divisional Structures and offices**

82. The Divisional Office for DTIE is located in Paris, and the division currently consists of one centre, five branches; The Sustainable Consumption and Production, Energy and Ozonaction Branches are located in Paris. The Chemicals and Economics and Trade Branches are located in Geneva, whilst the International Energy Technology Centre is located in Osaka and Shiga. In addition to the central Paris office and five branches, there are Industry and Ozone officers in four of the six UNEP Regional Offices (Africa, Latin America and the Caribbean, Asia and the Pacific, and West Asia) to assist the delivery of DTIE's activities in the regions.

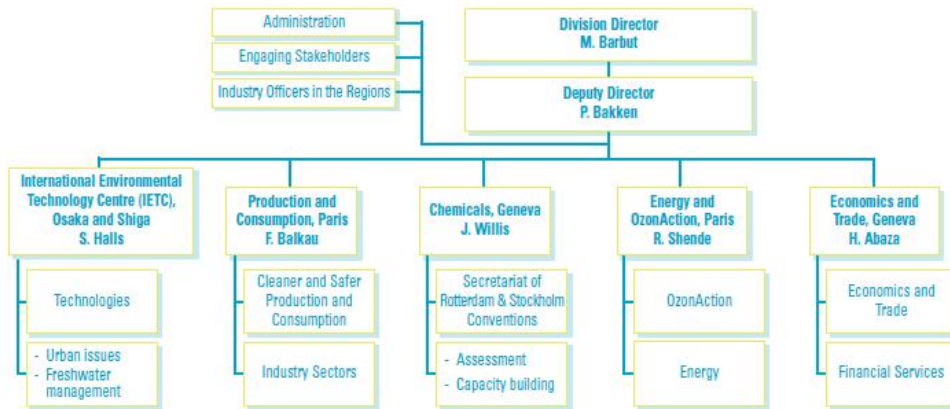
Figure 1. UNEP DTIE Structure in 2001



83. At the beginning of the evaluation period, the interim secretariat of the POPs and Prior Informed Consent Conventions (the Stockholm and Rotterdam conventions respectively) were initially hosted by DTIE. During this time the acting "Executive Secretary" of the interim conventions Secretariat reported directly to the Director of DTIE rather than the parties / signatories (Figure 2). This arrangement created a potential conflict of interest situation; the interim Secretariat's responses to COP decisions required approval by the DTIE Director rather than the parties / signatories themselves. The DTIE responsibilities with respect to conventions changed in 2005, with the two convention Secretariats becoming independent of DTIE. The Convention Secretariats were not co-located with the UNEP Chemicals Branch as some parties reportedly desired. The Secretariat of the Rotterdam Convention is co hosted by UNEP and FAO in Geneva and Rome. The Secretariat of the Stockholm Convention is based in Geneva.

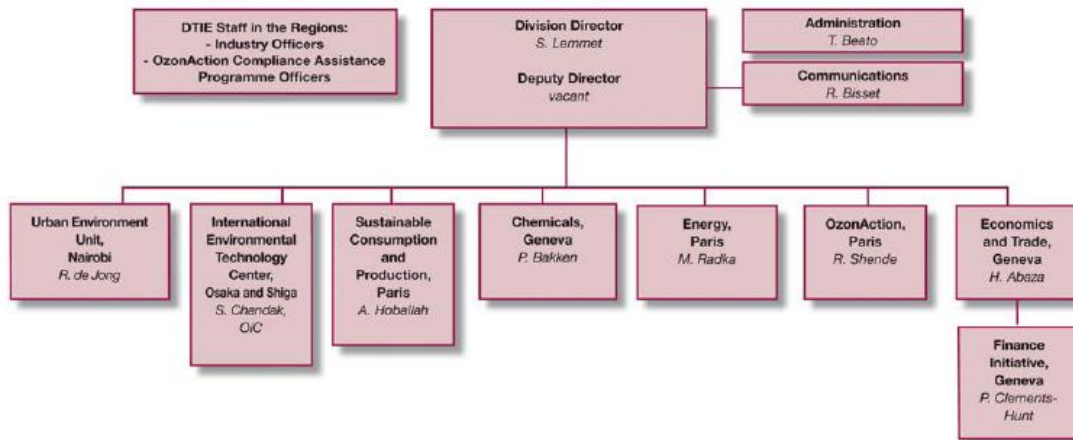
84. In 2006, following decisions by the International Conference on Chemicals Management (ICCM) and the UNEP Governing Council, the Chemicals Branch of DTIE became hosts to the SAICM Secretariat with overall administrative responsibility. UNEP and the World Health Organization (WHO) have lead roles in the secretariat in their respective areas of expertise and the secretariat works in coordination with the participating organization of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) and UNDP as well as other intergovernmental organizations. Currently UNEP is trustee for the Quickstart funds, SAICM Secretariat Staff, sit on the committee that makes decisions regarding the allocation of Quick Start funds, whilst the Chemicals Branch, simultaneously, is a potential recipient of such funds for the implementation of QuickStart Projects.

Figure 2. UNEP DTIE Structure in 2004



85. OzonAction and Energy used to form a single Divisional Branch but now constitute separate branches in the current organigramme (Figure 3). Before 2004, Ozone Officers used to be administered by the Chemicals Branch but now fall under the management of the Head of OzonAction. The Urban Environment Unit, which was formerly a part of the Division of Policy Development and Law, then administered under the Division of Environmental Policy Implementation, finally became a part of DTIE in 2007, is located in Nairobi and, until recently, its head reported directly to the Director of DTIE. On 1st April 2009 it was renamed the Transport Unit and was subsumed under the Energy Branch which was also re-structured at that time to include Technology Transfer and Policy Units.

Figure 3. UNEP DTIE Structure in 2007



86. During the evaluation period there was a change of office location for the main DTIE Paris office. The Divisional Office was formerly located at Tour Mirabeau, 39–43, quai André Citroën, Paris and left this address in March 2007 for its current address; 15, Rue de Milan 75009, Paris. The reason cited for this change of office location was that the costs associated with the rental of the new office represented a saving with respect to a renewal of the lease at the former location. However, the evaluators did not examine any documentary evidence to confirm this. The offices in Geneva and Japan have remained in the same locations during the evaluation period.

E. Administration of the Division

87. The Branches of DTIE located in Geneva are covered under the UNOG host country agreement with the Government of Switzerland. IETC has host agreements with the Government of Japan and the Prefecture of Shiga. However, the Division Office in Paris does not have a host country agreement with France. Whilst the Division currently enjoys many of the privileges afforded to UN Agencies Headquartered in France, these are provided to DTIE on an *ad hoc* basis. In this regard the Division Office remains vulnerable to changes in government policy / attitude. UNEP has made high-level efforts to address this through UNESCO's host country agreement, but so far without success. **Further attempts to secure a UNEP Host Country Agreement are needed and should be developed using the UNESCO agreement as a basis.**

i) Financial resources

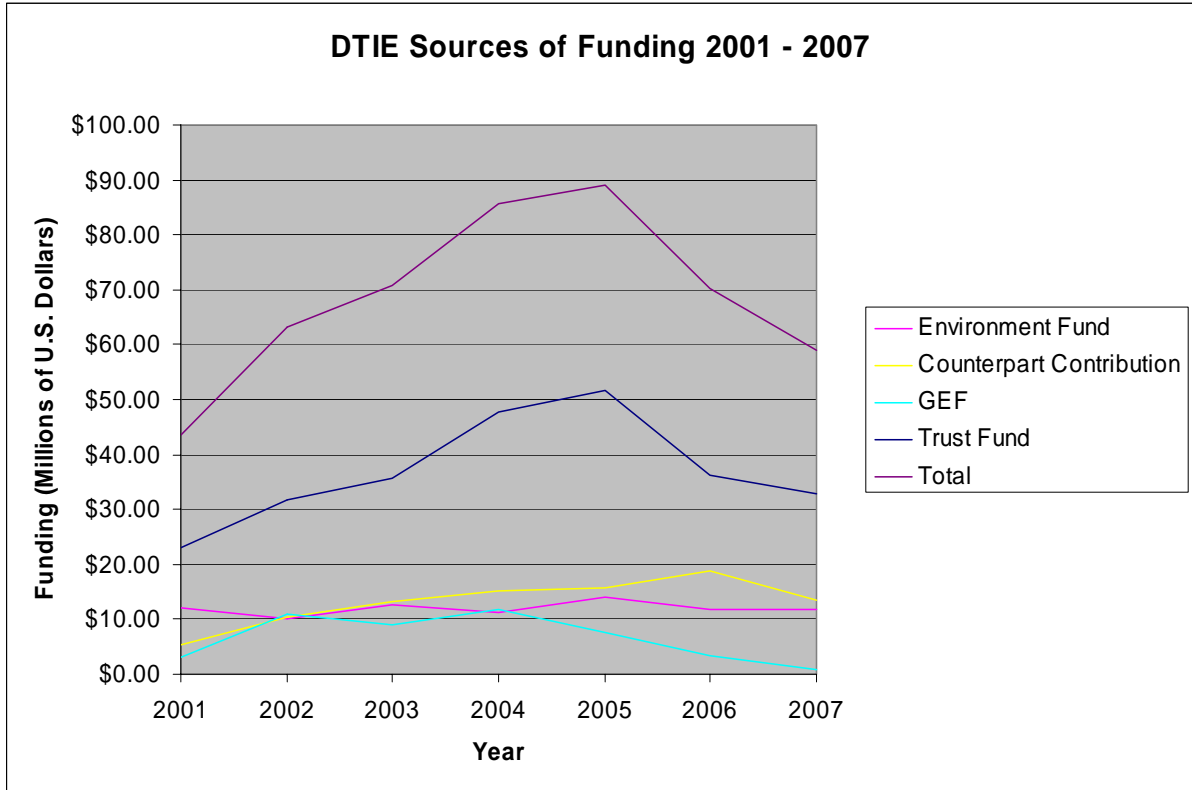
88. The overall budget for DTIE totaled approximately \$44 million in 2001, rising to an annual total of \$89 million in 2005 and declining to \$59 million in 2007 (Figure 4 p16). The Division has been successful in attracting a large share of extra-budgetary funding. Clear trends are that the DTIE budget is dominated by resources from trust funds which represent the largest proportion of the budget (on average 53% between 2001 and 2007), the contribution to the budget from environment fund sources has remained stable averaging 18%, the contribution from counterpart contributions has, in general, increased whilst GEF funds rose until 2004 and then sharply declined.
89. The evaluation finds that extra-budgetary funding is largely in-line with the priorities specified in the programme of work for DTIE. This is to be commended, since in the context of DTIE, where many staff positions are funded from such sources, there can be additional pressure to accept project funding for work in areas or topics that may be of marginal relevance to the subprogramme in order to maintain the financial support necessary to retain existing staff. This places considerable responsibility on

the Division Director and Branch Heads to only accept funding if the match between UNEP priorities and the donor interests is sufficiently strong. It seems that the Division has been successful in managing this aspect of resource mobilization, although these challenges persist as the Division has a large number of 'L' staff positions which comprise approximately 40% of the current staff complement.

90. Figure 4a provides a summary of the funding trends for DTIE between 2001 and 2007, and shows that the Trust Fund component of the budget formed the largest proportion of available funding and its pattern dominates the trend in the total budget. Counterpart contributions steadily increased from 2001-2006 and dropped in 2007, funding derived from the Environment Fund has remained relatively constant in absolute terms. Funds from the Global Environment Facility peaked in 2004 and have shown a marked decline since. This is, perhaps, due to the changes taking place in the GEF itself with the introduction of the Resource Allocation Framework in the focal areas of Biodiversity and Climate Change^c and the various delays and reforms in the GEF's project approvals process.
91. Nevertheless, the declining trend in GEF funding for projects within DTIE is of concern, given that the work and staff supported by GEF resources is often of strategic importance to UNEP and DTIE's programme of work. Whilst not reflected in this financial data, updates from DGEF suggest that GEF funding levels for the division have improved somewhat since the beginning of 2008 with the approval of five new GEF projects worth \$3.35 million in GEF Grants to be executed by DTIE.
92. The longer term strategy of DTIE with regard to the GEF fee for oversight and supervision of GEF projects needs to be carefully considered. In the past DGEF staff have been hosted within DTIE and the separation between the execution of GEF projects and the supervision and oversight roles, demanded by best practice, was somewhat blurred. More recently, the separation of the different roles in terms of project execution by DTIE and the oversight and supervision role performed by DGEF, as a GEF IA has, according to the latter Division, been clarified, and a 'firewall' approach to separate the IA and EA roles has been adopted for GEF projects that are also executed by UNEP. However, there has been disagreement between DGEF and DTIE over the GEF fee (10% of a project's approved budget) with DTIE arguing that project preparation costs should be met from the GEF fee. The CEO of the GEF has, according to sources within DGEF, questioned the rationale for project management costs (maximum 10%) and supervision costs both accruing to the same IA, arguing that cost savings must exist, (but perhaps not recognizing that supervision and execution roles are deliberately compartmentalised and are undertaken by entirely separate parts of the organization). The evaluation notes that if such fee-sharing is agreed, this would have to be applied for all internally executed GEF projects in other UNEP Divisions thereby providing, indirectly, a financial incentive for DGEF to prefer external project execution partners. If fee-sharing undermines the financial viability of DGEF, this may in turn undermine the 'UNEP strategy in the GEF'. Whilst this is not the immediate concern of DTIE it is potentially of great strategic significance to UNEP.

^c A large proportion of DTIE's GEF projects fall under the GEF Climate Change focal area.

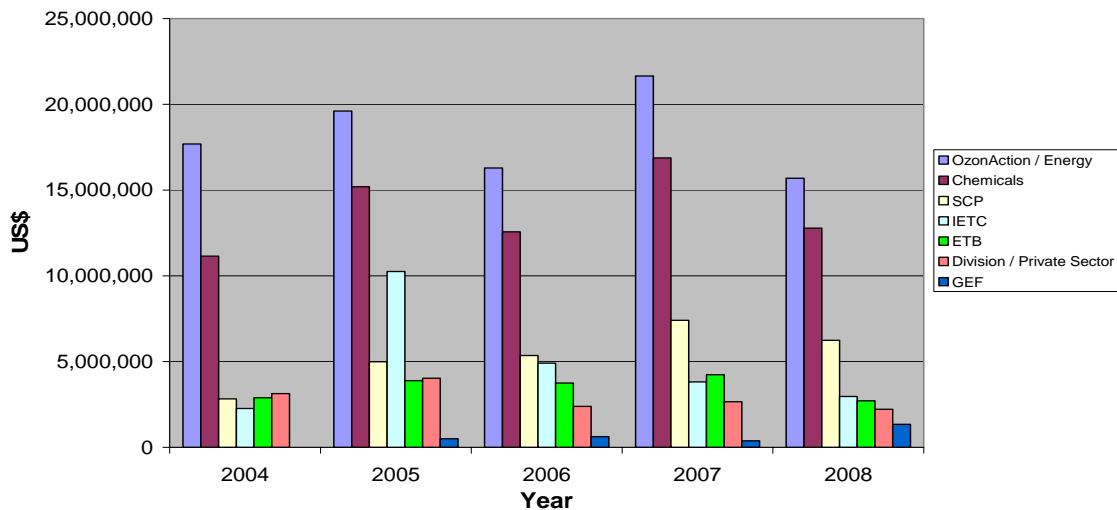
Figure 4a. Funding trends in DIE 2001-2007



The **Environment Fund** is the principal source of financing for UNEP programme implementation. Established by the UN General Assembly in the pledges and number of donor countries making payments vary from year to year. The Global Environment Facility (**GEF**), is an independent financial organization that helps developing countries protect the global environment. GEF grants support projects related to biodiversity, climate change, international waters, land degradation, the ozone layer, and persistent organic pollutants. **Trust funds** are earmarked by donors for specific purposes. The general-purpose trust funds provide financial resources for activities supporting DTIE programme of work. **Counterpart contributions** are made by Governments, United Nations agencies, other organizations, non-state actors and individuals, for specific activities, services and facilities for individual projects.

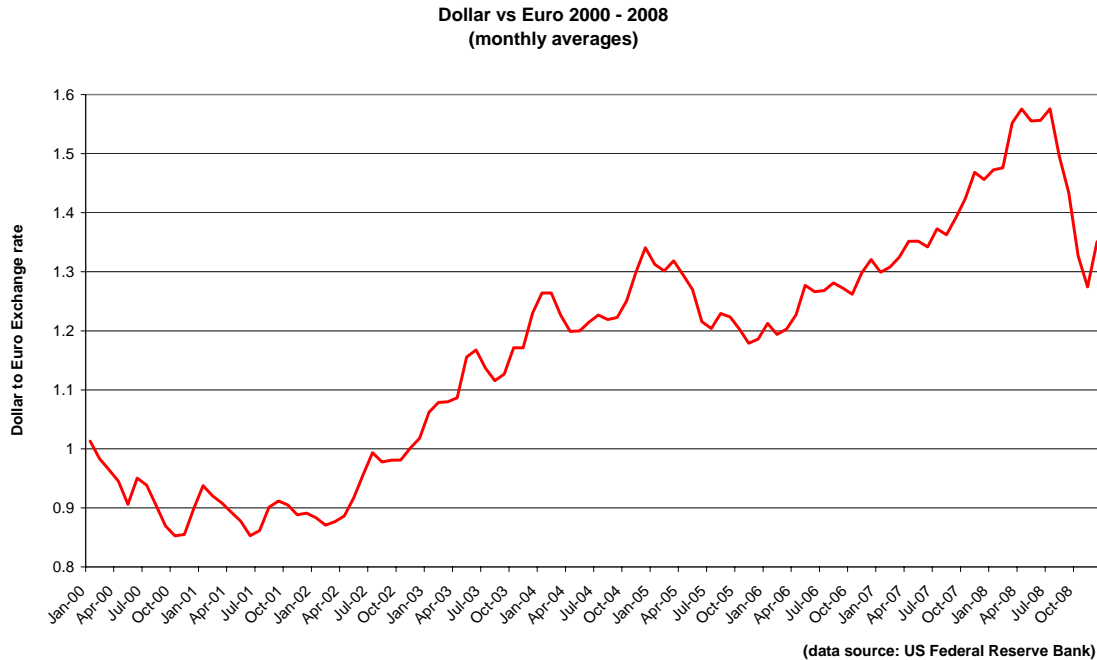
Figure 4b (data source: DTIE finance records - see Annex D)

Breakdown of DTIE Total Expenditure 2004-2008



93. Figure 4b shows that a high percentage of the total annual expenditure for the Division is made by OzonAction / Energy and the Chemicals branches. Within the period 2004-2008 these accounted for 37% (\$91million) and 28% (\$65.5 million) of the total DTIE expenditure (\$246 million). A large proportion of these expenditures are derived from MLF and SAICM sources.
94. During the evaluation period 2000-2008 there was a general trend of the dollar weakening against the Euro. This caused difficulties for the Division in terms of the additional dollar costs of GS staff paid in Euro and the additional cost of living adjustments for professional staff paid in US\$. Similarly, project budgets, originally costed in dollars, were put under strain where a large proportion of the execution costs were incurred in Euros or other currencies that strengthened against the dollar. This strain on DTIE resources from exchange rate variations was reported in a memo^d to the ED early in 2009. The same memo also highlighted other sources of financial strain on DTIE including transfer of resources to support the Transport Unit that were, apparently, not part expected expenditures for the Division when the resource allocation decisions were originally made.

Figure 5 Dollar Euro Exchange Rates 2000-2008



95. Annex D shows the budgets and expenditures for the division by branch for the years 2004-2008. The table shows that total 'Allocations' always exceed total expenditures sometimes by a factor of 50%. Staff of PMAU clarified that the figures included in the 'Allocations' column include; the forecasted programmatic expenditures, re-phased allocations from the previous year and the commitments paid by funding agencies. Since these elements are aggregated the figures are not easy to interpret. The evaluators suggest that, in future, summary financial information be broken down into these categories so that it is possible to examine the match between expenditure forecasts and actual expenditures across the branches and for the division as a whole. This would allow for a more meaningful analysis of financial expenditures in relation to technical implementation on the PoW.

^d DTIE Memo from the DTIE Director to the UNEP Executive Director dated March 11th 2009.

96. In general, the link between financial management and programme / activity management in DTIE could be substantially enhanced. Many professional staff noted that real-time financial data relevant to their programmatic responsibilities were unavailable and that wider access to IMIS and Crystal Reports is needed. Monthly financial data, whilst useful were, according to professional staff, not consistently available. The general lack of provision of up-to-date financial information either centrally from UNEP or from within the Division, prompts many staff with financial / budgetary responsibilities to develop their own parallel record-keeping systems. Effective and efficient management of the activities that constitute the PoW requires a detailed understanding of the technical progress made in relation to the financial resources expended. Whilst the lack of 'real-time' financial information is a serious problem, it is not one that is restricted to DTIE. It is an issue that needs to be urgently addressed across the entire organisation.
97. The evaluation found that there was a very high level of concern and uncertainty among DTIE staff about UNEP's current approach to resource mobilization in terms of who is allowed to do what, and the extent to which funding opportunities have to be pursued centrally through the Resource Mobilization Section (RMS) in Nairobi.
98. In contrast to the centralized approach that staff believed was the current UNEP requirement, the key message proposed in the current draft of UNEP's resource mobilization policy^e is that of a "Federated Resource Mobilization approach" where it is envisaged that Divisions will be engaged and enabled to benefit from opportunities available for resource mobilization. This will be supported by UNEP-wide coordination through the RMS. A virtual 'Resource Mobilization Network' within UNEP is planned and the 'Federated Resource Mobilization' will be coordinated via focal points in all Divisions and Regional Offices. This approach, had in early 2009, not been effectively communicated to the staff of DTIE.
99. Staff of DTIE also noted that successful initiatives that were supported by extra-budgetary funds sometimes led to increased donor contributions to the Environment Fund. However, where this was the case, the original initiative did not receive a reciprocal benefit in terms of resources allocated to it from the environment fund. Thus whilst UNEP as whole benefits from the increased central funding, the successful initiatives themselves are, effectively, penalized.
100. The evaluation recommends that efforts to communicate UNEPs resource mobilization approach be renewed both between Headquarters and outposted Offices and within DTIE. The policy should be supported by information explaining what 'federated' resource mobilization efforts mean in practice for the programmatic professional staff.

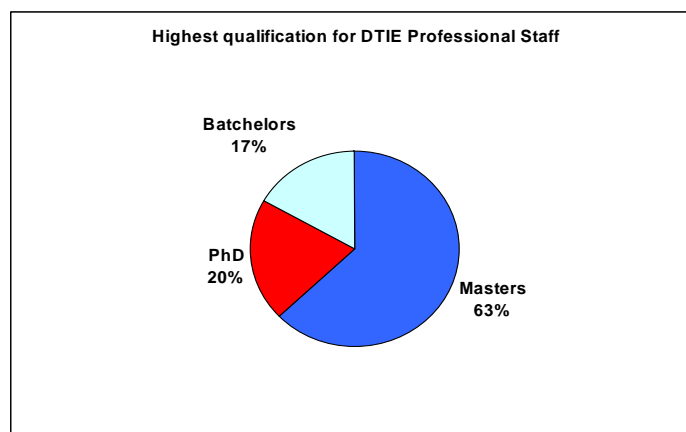
ii) **Human resources**

101. DTIE has been able to attract and retain Professional and General Service staff of a high calibre. The vast majority (83%) of professional staff in D, P and L Grades hold higher degrees, (Masters or above). Fully one fifth of DTIE's professional staff hold a PhD. The average number of years experience within DTIE is quite high across D level posts (9 years, see Table 1). This reflects a low turnover rate at this level and suggests that branch heads are very experienced with the work of DTIE. The average number of years experience within DTIE is much lower across the P and L positions which suggest that turnover is higher in these positions. Such turnover can also be

^e Working Draft UNEP Policy Guidelines on Resource Mobilization, Resource Mobilization Section, 2008.

viewed positively as indicative of an infusion of new staff bringing new ideas and experiences into the Division. Alternatively, if viewed in the context of the lower number and slow turnover of senior positions, this could also be indicative of limited opportunities for career progression within the Division. GS level staff have the highest average number of years experience (10 years) again suggesting that staff turnover is quite low.

Figure 6. DTIE Professional Staff distribution by highest qualification



102. Approximately 42% of professional staff in D, P and L posts are female. Whilst this is not far from parity, the gender balance shows greater variation across grade levels. Three quarters of DTIE's D-level posts have male incumbents whereas 85% of GS positions are held by females. The full distribution of DTIE professional staff by grade level and gender is shown in Table 1.

Table 1. Distribution of DTIE staff by gender

Posts	Male	%	Female	%	Total	Average DTIE experience (years)
D-Positions	6	75.0%	2	25.0%	8	9
P-Positions	43	64.2%	24	35.8%	67	5
L-Positions	20	46.5%	23	53.5%	43	3
GS-Positions	9	14.8%	52	85.2%	61	10
Total	78		101		179	

103. At the Divisional level, the total distribution of staff by nationality in terms of 'developing' and 'developed' country origin appears to be well balanced (Table 2). L positions currently show the greatest divergence from parity, and currently a higher proportion of developed country nationals occupy these positions.

Table 2: The distribution of DTIE professional staff by grade level and developed / developing country

Posts	Developed Country	%	Developing Country	%	Total
D-Positions	4	50.0%	4	50.0%	8
P-Positions	34	50.7%	33	49.3%	67
L-Positions	27	62.8%	16	37.2%	43
GS-Positions	36	59.0%	25	41.0%	61
Total	101	56.4%	78	43.6%	179

104. To assist in identifying where attention needs to be paid to gender and developing country representation in recruitment processes, the data, provided from Division

records in September/October 2008, were examined by branch (Tables 3a and 3b). Table 3a shows that staff originating from developing countries are under-represented in the SCP and ETB branches, whilst gender balance needs to be considered by OzonAction and IETC. The Chemicals Branch needs to pay attention to both gender and developing country representation in future recruitment decisions.

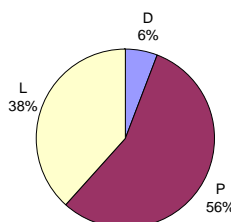
Table 3a. Percentages of female and developing country staff in D, P and L grades by Branch

	Percent of D,P&L staff from developing country	Percent of D,P&L staff female
Divisional Office	50	63
PMAU	33	33
SCP	36	52
Energy	43	43
Ozonaction	68	27
Urban*	50	83
Chemicals	28	28
ETB	33	50
IETC	60	20

*The Urban unit now renamed and subsumed under Energy

105. At the end of 2008 there were approximately 39 L posts in DTIE which constituted 38% of the professional staff cadre (Figure 5). This is a relatively large number of staff. To maintain this level of staffing in L positions means that a considerable amount of time has to be allocated to resource mobilization efforts, which, in turn, can negatively impact upon the efficiency of delivery of the PoW. Many activities that are core strategic components of DTIE's PoW are undertaken by staff supported from extra-budgetary resources. It appears that the PoW is formulated with a tacit assumption that the resources to maintain L staff will be found, and the risk that sufficient resources will not be secured is often underestimated.

Figure 7. Percentage of DTIE Professional staff by Grade Category



106. In common with other Divisions, recruitment processes are regarded as cumbersome, and the long timeframes associated with staff recruitment often result in UNEP missing out on hiring the best qualified candidates as a result. Lengthy recruitment processes can delay implementation of new initiatives and further compound the difficulties of working with partners.

107. The UN rules regarding professional staff contracts are set to change, removing many of the distinctions between 'L' and 'P' staff. These changes will mean that 'L' post recruitments, currently regarded as a faster recruitment process, will be subject to the same procedures that currently operate for 'P' posts. It is estimated that the minimum feasible recruitment time for all professional posts will be approximately nine months.

108. With a total staff complement ranging between 150 and 200 staff, recruitment processes are always ongoing, yet currently DTIE has only one GS staff dedicated to

recruitment issues. Assuming staff turnover rates are approximately 10% of total staff per annum; then between 15 and 20 staff are recruited each year. **This level of recruitment activity would justify the addition of a dedicated HR professional at the DTIE Office, and such may help to minimise the additional recruitment and classification delays that are anticipated when the new UN contract and recruitment rules are introduced in July 2009.**

Table 3b: Distribution of staff positions by, grade level, gender years of DTIE experience for each Branch

Branch	Grade	Male	%	Female	%	Total	DTIE experience (avg. years)
Divisional Office	D	0	0	2	100	2	1
	P	2	40	3	60	5	3
	L	0	0	0	0	0	0
	GS	0	0	3	100	3	9
PMAU	D	0	0	0	0	0	0
	P	2	67	1	33	3	5
	L	0	0	0	0	0	0
	GS	4	44	5	56	9	14
SCP	D	1	100	0	0	1	3
	P	8	57	6	43	14	8
	L	3	30	7	70	10	4
	GS	0	0	5	100	5	12
Energy	D	1	100	0	0	1	15
	P	2	50	2	50	4	6
	L	6	60	4	40	10	3
	GS	0	0	4	100	4	18
Ozonaction	D	1	100	0	0	1	16
	P	14	74	5	26	19	8
	L	1	50	1	50	2	2
	GS	1	6	16	94	17	8
Urban*	D	0	0	0	0	0	0
	P	1	50	1	50	2	1
	L	0	0	4	100	4	1
	GS	0	0	3	100	3	1
Chemicals	D	2	100	0	0	2	9
	P	6	75	2	25	8	5
	L	5	63	3	38	8	5
	GS	2	25	6	75	8	9
ETB	D	1	100	0	0	1	11
	P	4	67	2	33	6	5
	L	1	20	4	80	5	6
	GS	1	33	2	67	3	11
IETC	D	0	0	0	0	0	0
	P	4	67	2	33	6	6
	L	4	100	0	0	4	2
	GS	1	11	8	89	9	5

*The Urban unit now renamed and subsumed under Energy

iii) Administration

109. The Division has a small administrative unit, the Programme Management and Administration Unit (PMAU), located in Paris, which is charged with many administrative duties and responsibilities. The Chief of the PMAU reports to DTIE's Deputy Director and in late 2008 the unit had three P-level and nine GS level staff. All PMAU staff report to the Chief.

110. The PMAU, in consultation with the Division's senior management, is responsible for the preparation of the DTIE's costed workplans, annual budgets and for the preparation of Divisional, programme and project budget reports. It is responsible for

day-to-day management of administrative, budget and personnel issues in DTIE including maintaining an overview of overall expenditures of DTIE against budgetary allocations and liaison with chiefs of branches in Paris, Geneva and Osaka, as well as with UNEP Headquarters. The PMAU prepares consolidated periodic reports on the status of the Division's budgets and sources of funding and monitors commitments and expenditures against approved budgets. Project accounts for counterpart contributions, trust funds as well as the environment fund are also maintained. The PMAU; holds a database of new and additional trust fund and counterpart contributions, provides Headquarters with all the necessary documents/agreements, for counterpart contributions and prepares drafts of finance-related correspondence to donors, with any accompanying invoices, in compliance with UN Financial Rules and Regulations. PMAU staff assist in the preparation of financial statements to donors in accordance with UNON financial reports and are required to respond to enquiries and provide assistance to Programme Officers requesting financial data regarding their projects. The Chief of PMAU is responsible for the preparation of project revisions, reflecting project expenditures from the project account system as well as from status reports from the Budget and Fund Management Services (BFMS) now Corporate Services Section (CSS) in UNEP, and for making follow-ups on any variances and inaccuracies. The PMAU monitors the accuracy of data from the Integrated Monitoring Information System (IMIS) reports in UNON, while ensuring consistency of DTIE's financial and budgetary data. DTIE's PMAU provides logistical and administrative support during meetings or project-related workshops and also deals with review of proposals from chiefs of units for the human resources requirements related to programme implementation. In co-operation with the DTIE Deputy Director and the Human Resource Management Service (HRMS), professional and general service staff posts are classified, the establishment of Special Service Agreements and Corporate Contracts are supervised and travel requests are reviewed prior to approval by the Division Director.

111. The staff of the PMAU have considerable experience of working within DTIE, Table 3b above shows that the average experience with DTIE for GS administrative staff is 14 years. The operational context in relation to administrative processes is quite complex. DTIE staff have to deal with administrative processes within the Division - where staff are based in a number of geographic locations, between the Division and UNEP's Nairobi headquarters and, on occasion, between the Division and the UN Secretariat in New York. The complexity of how various administrative processes operate within the division, including its various decentralised locations, and between the division and headquarters can create considerable uncertainties and delays. Some PMAU staff acknowledged that a lack of clarity in their understanding of administrative procedures sometimes occurs. Where this was the case it was often attributed to the introduction of changes in procedures in Nairobi that were not always effectively communicated to DTIE staff and supported by the required training and guidance. For example, changes to UNEP's IMIS system were not promptly supported by notification, guidance and training to the administrative staff of DTIE.
112. The vast majority of programmatic staff interviewed in all DTIE offices by the evaluators had experienced considerable difficulties and frustrations in dealing with routine administrative processes, and it is clear that the location of DTIE away from headquarters can sometimes add additional constraints to the efficiency and timeliness of such processes. This has caused tensions between administration and other branches of the Division. The most commonly raised administrative issues that prove problematic for staff are travel approvals, staff recruitment and classification and, perhaps most crucially, the availability of accurate and up-to-date financial information.

113. In the last six months a quarterly travel approvals system has been introduced. Branches prepare consolidated travel plans via an intranet portal for approval by the Director. Any modifications to the plan are then made by the branches. The system allows travel reports to be automatically generated for submission to the Office of the Executive Director. We believe that this new approach has helped to reduce some of the delays; however, there is a natural tendency for ad hoc travel requests to occur with increasing frequency as each quarter progresses. **The evaluators noted the recent changes to the travel approvals process utilising quarterly Branch travel plans. Nevertheless further improvements may be possible and the addition of an administrative staff member would help to improve travel / finance procedures. The Division Director and Branch Heads should periodically review the efficiency of the Division's travel approvals system.**
114. In relation to administrative processes that operate outside of the Division, UNEP's publications policy is perceived by some to be unwieldy and staff have experienced difficulties in dealing with the long lead times associated with the Nairobi-based publications approval process that is required prior to publication. Submission to DCPI up to six months prior to publication can be problematic when stakeholder opinions on draft documents need to be considered and the deadlines for publication are driven by international processes and events outside of UNEP. Timelines associated with the delivery of such publications are not always compatible with the time needed for the publication approvals process. In some cases DTIE has pursued publication through other organisations where this can be arranged more rapidly.
115. Sustainable procurement is a programmatic issue that has led to benefits in DTIE's management and administration as it attempts to "walk the talk" in terms of its own procurement processes. DTIE is playing a leading role in the Sustainable United Nations (SUN) initiative, and the programmatic work on sustainable procurement, mandated by the EMG has helped DTIE to forge links with the HLCM procurement network. Practical sustainable procurement measures are reported as having been adopted into the administrative approaches of the Division, and DTIE appears to be setting a good example for the rest of UNEP in this regard. However, some administrative staff noted that, on occasion, practical difficulties have sometimes been encountered in attempts to follow the high standards for sustainable procurement that the division has set for itself.
116. Some administrative policies are unique to parts of the Division. For example, the 'flexi-time initiative' which is linked to an attendance tracking system in the Paris office monitors time spent by staff in the office. The flexi time policy has been developed within the framework of the Secretary General's Bulletin ST/SGB/2003/4 on flexible working arrangements, and allows staff to arrive at work between 8:00 and 10:00, and depart between 17:00 and 19:30. The hours of work attendance for each staff member are monitored per month and the number of hours above or below the standard 184 hours per month recorded. Flexi Leave (FL) can be accrued with 1 Flexi Leave day equaling 8 hours of additional work over the 184 hour minimum requirement. One flexi leave day per month can be taken up to a maximum of 11 days per year. Time spent in the office before 08:00 and after 19:30 is not formally recorded for flexi-leave purposes. The Paris Office is open for staff from 08:00 until 21:00. The attendance tracking system that helps to administer the flexi time policy serves as an electronic 'punch clock'. The policy requires that staff electronically 'sign in' on arrival, sign out for lunch, sign back in after lunch and sign out at the end of the day.

^f The flexi-time system is not applied outside of the DTIE Paris Office.

117. The advantages of the system are that staff can choose their arrival time at the office and can thereby avoid the worst of the delays caused by the Paris rush hour in their journeys to and from work. The choice of office working hours and the possibility of taking Flexi-leave days is appreciated by many staff especially those in P and L grades. However, quite a number of the Paris-based staff interviewed did not like having to 'clock in' and 'clock out' and, whilst the SG's bulletin notes that such arrangements are voluntary, most staff perceive this to be a requirement. The evaluators also noted that staff often perceived the system as reinforcing an office culture of expecting staff to work very long hours.
118. The evaluators were also informed that General Service staff in the Paris office tended to dislike the system as they felt that it created an expectation that they should routinely work beyond normal office hours. They voiced the complaint that the policy effectively removes the option of being paid for overtime worked, and an additional day of leave was not always the preferred staff compensation option. Because of this, some GS staff felt that the flexi-time policy favoured P/L staff. It should, however, be noted that according to the SG's bulletin, the flexi-policy is voluntary for all staff members, and therefore staff not wishing to participate in the flexi-time scheme in the Paris office could revert to the standard working hours of 9:00-18:00 with an hour off for lunch. The evaluators recommend that management remind all staff of the voluntary nature of the flexi-time policy.
119. **The roles of different staff in administrative procedures with regard to who approves what between Geneva, Paris Osaka/ Shiga and Nairobi are sometimes unclear. It is therefore recommended that an administrative procedures manual that summarises administrative processes, roles and responsibilities, as experienced in DTIE, be developed / updated, and published electronically on the DTIE intranet.**

iv) Resources and Facilities

120. The DTIE Offices in Paris, Geneva and Japan all have excellent internet connectivity and telecommunications facilities. The provision of computing facilities is good, including an efficient hardwired and wireless LAN facility in Paris. These facilities are commensurate with the locations of DTIE offices in developed countries and in this regard are superior to the facilities available to UNEP at headquarters.
121. A brief inspection of the information technology resources and the DTIE intranet indicate that a useful information resource is hosted in Paris and made available at other DTIE offices. The resources include a DTIE project database, and calendar of staff movements. The project database is used actively by some branches but has become more of an archive for others. Staff agree that the project database has potential, but for this to be realized it would need to be linked to the associated financial budget and expenditure information. **The evaluators note the urgent need for such a system not just in DTIE but for UNEP as a whole. Indeed such a system would seem to be a pre-requisite for effective results-based management.**
122. The calendar of staff travel and leave is available to the entire division and this helps enormously with coordination and day-to-day work planning. This type of system should be adopted as a model of good practice and should be considered as an application for implementation in UNEP HQ. The electronic systems at HQ that record official duty travel and record personal leave could be utilized to supply the information needed for such an information resource.

123. The evaluators noted that data backup procedures are in place throughout the division and are handled by specialized staff in the Paris and Osaka Offices⁹. UNOG is responsible for these services in Geneva. Email addresses are being harmonized with the rest of UNEP with Paris staff recently acquiring the unep.org suffix. Staff in Osaka and Shiga will receive the standardized UNEP email address later this year. High quality video-conferencing facilities exist in Paris allowing good connections to Geneva and Nairobi. The video linkage to IETC is internet based and of lower quality. Nevertheless, this provides an effective and cost-efficient means of holding intra-divisional meetings.
124. For security issues, the Division falls under the responsibility of UNESCO as the main UN Agency in France. Before moving in the new premises in April 2007, the UNESCO Head of Security visited the building to provide advice and guidance for both security and fire evacuation matters. The security services for the Paris office are provided by a subcontractor (Securitas) and security staff are on duty from 8 a.m. to 9 p.m. Staff members in the Paris office had noted some shortcomings with the security arrangements which have recently been addressed. The current 'touchcard' entry system is now linked to two cameras to identify staff, visitors, Fedex/DHL couriers etc. One camera is outside near the main entry door to identify anyone at the main door the other camera is located near the entry door of Building B to supervise staff/visitors/delivery men etc in the courtyard. Both cameras are linked to a control screen at the reception desk. An example of a security breach was given prior to the installation of cameras when 'buzzing' the door was sufficient to gain entry and the 'touchcard' system made the premises vulnerable to persons 'tailgating' authorized staff. Staff needing to participate in teleconferences with other time zones outside of the open office hours have also experienced inconveniences, as outside of the normal office hours of 8a.m. to 9p.m. special arrangements with the Security firm have to be made. Staff are required to inform the Chief of Administration and the building manager if they intend to hold Tele/Video conferences before or beyond the normal opening hours. Ordinarily, outside office hours an electronic alarm system that is monitored remotely is activated. **Since the security arrangements for the Paris Office are unique to the Division, the evaluation recommends that regular security reviews are undertaken by UN Security personnel, these reviews should, as a minimum, be conducted on an annual basis.**

F. DTIE Guidance, Values and Culture

125. DTIE is being effectively led by the Director and the management team. The staff of DTIE generally hold positive perceptions in relation to the present Director, and there is recognition that the job of the Director is extremely challenging due to the number and scope of the DTIE's activities, and the challenges posed in the management of an outpost Division with offices in multiple locations.
126. The delivery of strategic results that effectively contribute to UNEP's mandate appears to be the principal guiding philosophy that shapes the actions of DTIE's management and staff. Attitudes to performance are good and, in general, staff strive to achieve their performance targets, however, many regard administrative and other decision-making processes as a significant barrier to efficient programme delivery. One cross-cutting 'value' appears to be a strong sense of innovation in developing new

⁹ In Japan, data for IETC is backed up in both Osaka and Shiga giving 'double' protection

programmatic activities, coupled with a pragmatic acceptance that new initiatives may lead to longer term programmatic work or may be of a more ephemeral nature.

127. Despite this, there is no single unified 'DTIE 'culture' or sense of identity. Given the size, scope and varied locations of the Division this is unsurprising. However, it appears that good working relationships, respect and trust among peers are the norm within small units and teams. The evaluators found a team-oriented culture often evident among co-located programmatic staff working within a branch on related issues. However, organizational structures, UN rules, management processes and procedures do not readily facilitate such team work or act to promote the interactions needed to implement the POW in the most efficient manner. For example, the Marrakech process requires coordination of work across SCP, however the structure of SCP branch itself does not help promote the synergies and coordination needed for efficient implementation of Marrakech-related activities. Despite these difficulties, staff have been able to develop the interactions necessary and effective collaboration within the branch has been established.
128. The evaluators found that effective communication within the Division is perceived as problematic and, beyond their work with immediate colleagues, the sense of a team approach or a team identity seems to be limited to the level of units, and does not extend to branch or divisional levels. The management style that has prevailed within DTIE over the evaluation period was characterized by both current and former staff as 'top down', and communication channels flowing from the 'bottom' upwards were regarded as being very limited. Staff at lower professional and GS levels were unsure as to the amount of collaboration and the sense of teamwork that prevails within DTIE among senior managers and Branch Heads. Weekly management meetings of senior DTIE Staff are held, but the agenda to be discussed is not routinely communicated to the rest of the Division, and therefore professional staff cannot provide any relevant input through their Branch heads. Minutes of branch heads meetings and of Senior Management Team meetings are circulated to all staff. In addition a bi-monthly staff meeting is held with Director and all DTIE staff which provides briefing on DTIE and UNEP issues. These are routinely circulated to all DTIE staff in the different branches and offices. It is important that the Division continues to actively promote a greater understanding of the work programme and management issues facing the Division as a whole to help staff gain a broader understanding on management and programme-related issues that are outside of their immediate areas of professional responsibility.
129. In some cases teams are largely 'disconnected' from the work of their host branch, for example the Finance Initiative works largely independently from the rest of the activities undertaken by the ETB. In general, at the larger scale of branches, and entire offices (e.g. Paris, Geneva) there is a much lower shared sense of 'DTIE identity' among staff. This perception is borne out by the findings that emerged from the UNEP staff survey conducted in mid 2008. Whilst this is a general trend identified for 'all of UNEP' – the challenge of creating a shared sense of identity and a DTIE 'culture' across such a diverse set of activities and different geographic locations is considerable. Nevertheless, the benefits that can stem from a greater awareness among staff of the work of the whole Division could lead to the development of productive synergies within the DTIE work programme. For example, this could be fostered through a greater focus on joint programming and ensuring that project proposals are always shared among relevant branches. In this regard, some staff of DTIE were adamant that project proposals were always shared with other relevant branches within the division for comments before submission to the PAG in Nairobi, whilst others stated that they did not think any intra-divisional review of proposals took place except at the level of the Branch Heads and DTIE Director. This, at a minimum,

suggests that the project review procedures within the Division need to be clarified and communicated to staff.

130. Many staff observed that there were few or no opportunities for all DTIE staff to meet one another. This can be true even within the current Paris office where staff noted that, unlike the previous office building, the current office layout does not readily foster informal interactions among staff in the workplace. Informal interactions help to build trust and morale among staff, however, the areas currently available for that purpose in Paris are quite limited and regarded by staff as inadequate. On the other hand DTIE staff in the Osaka and Shiga offices have office facilities that are conducive to informal interactions, but staff numbers are low and teams lack a 'critical mass'.
131. Some outposted DTIE staff with several years of service within the Division have never had the opportunity to visit the divisional office to meet with their DTIE colleagues. GS staff often have not had training or opportunities to receive mentoring from counterpart staff in Paris or Nairobi. Similarly, the training available to P/L staff has been limited. Indeed the training opportunities developed in the organization are often headquarters based and whilst they are, in theory, open to outposted staff, the costs associated with the attendance of DTIE staff are not covered. This represents a significant barrier to their participation. Some training at headquarters is offered on a half-day basis over several days to allow Nairobi staff to balance training activities with their daily duties; this further reduces the feasibility of attendance by outposted staff due to the increased travel and subsistence costs that would be incurred.
132. The 2008 UNEP Staff opinion survey also highlighted many of the above issues. The survey showed that the opinions of DTIE staff were, on average, more negative than the mean for the whole of UNEP. The most negative perceptions were in response to questions at the level of the whole division, rather than at the level of 'team' or individual, again a trend common to the whole of UNEP and, perhaps, organisations in general. Of the 119 questions posed, 98 (approximately 78%) received an average score from within the division that was lower (more negative) than for the organisation as a whole.
133. Annex C shows the questions from the DTIE Staff survey for which more than one third of responses were negative. The questions for which the percentage of negative staff perceptions exceeded the positive perceptions are highlighted in this table and suggest the division needs to pay significant attention to improvement in these areas:
 - The level of engagement and consultation with staff to inform decision-making processes
 - The clarity, timeliness and transparency of decision making processes
 - The efficiency of processes that support the division's work (and more frequent reflections/reviews of work processes for this purpose)
 - The coordination of work and planning to avoid duplications of effort
 - The spirit of collaboration and teamwork, especially at branch and divisional levels
 - Monitoring and evaluation of the division's performance against agreed benchmarks and standards
 - The relevance and clarity of purpose of internal meetings within the division
134. It is also clear that at the organizational level UNEP needs to improve:
 - The effectiveness of communication of information disseminated to outposted divisions and offices on 'what is going on' in the organisation as a whole

- Opportunities for DTIE staff to benefit from professional development and training opportunities
 - Opportunities for career advancement of staff
135. Many of these issues can only be effectively addressed through participatory / consultative processes initiated by the division. The evaluation noted that a 'task team' initiative had been launched within DTIE to work on some of the problematic issues identified in the 2008 UNEP staff opinion survey. DTIE is preparing an action plan addressing key issues that can be dealt with at the division level. Three DTIE key areas were selected among branch heads: teamwork and collaboration; Information and knowledge sharing; and decision making. This is proactive response is commended by the evaluators.
136. The evaluators suggest a number of practical actions that could be taken to improve the opportunities for face-to-face interactions among DTIE staff:
- As far as possible missions between DTIE offices should be diversified among a broader range of staff. Currently, repeated visits are made to the DTIE Office in Paris made by the same few outposted staff (e.g. from Geneva or Japan);
 - Existing initiatives such as 'brown bag' lunches and technical seminars should be fostered and staff attendance encouraged with low cost incentives (e.g. coffee / cakes).
137. Other suggestions to foster improved working relationships but that would require additional financial resources include:
- A one-off staff retreat for DTIE, which could be combined with inter-branch programming meetings engaging a larger number of staff in the prepare of synergistic workplans for implementation of the 2010-2011 PoW
 - Opportunities for GS staff to visit Paris / Nairobi to meet with the colleagues they regularly work with in order to gain a better understanding of the administrative procedures and processes that form the mainstay of their individual responsibilities.

i) **Findings from, and responses to, the previous DTIE Evaluation**

138. This section provides summary of the responses of DTIE in relation to recommendations made the 2000 DTIE subprogramme evaluation.
139. The DTIE evaluation in 2000 noted that the linkages between DTIE and Governments, non-governmental organizations, the private sector other, United Nations organizations and the United Nations system as a whole, were excellent but internal linkages with other UNEP divisions and entities were weak.
140. This evaluation again finds that external linkages and collaboration are strong in the work of DTIE. The levels of interaction and coordination between DTIE branches and other UNEP Divisions, have, in general, not changed significantly over this time and still remain relatively weak. Exceptions include: (i) a far greater interaction between DTIE and DCPI as more attention has been placed on effective dissemination and outreach of important DTIE outputs; (ii) the close interaction and cooperation with the Division of Regional Cooperation which has continued with DTIE having industry officers and ozone officers in the regional offices; and (iii) DTIE and DGEF have continued to have fairly strong linkages with several DGEF Staff hosted in DTIE

Offices in Paris and Geneva during the evaluation period. In recent months the number of DGEF staff hosted by DTIE has declined largely due to staff turnover.

141. The evaluation of DTIE in 2000 made a number of very general recommendations for the Division to:
- continue working on **voluntary initiatives**,
 - continue to maintain **external linkages** and add new links as needs arise,
 - continue using **internet-based information dissemination**
 - continue its **fund-raising** efforts
 - continue to seek opportunities to have a **catalytic** effect
 - make greater use of the “train-the-trainers” in its **capacity-building and training** work
 - make “every effort to expand **regional representation** among its professional staff
 - continue work on the **chemicals conventions**
142. The general nature of these recommendations^h, and the fact that they focus on issues that were in-line with the Division’s existing intentions at that time, make it difficult to gauge the responsiveness of DTIE with respect to them.
143. However other recommendations from the 2000 evaluation were a little more specific. They are shown below with notes regarding the Division’s compliance with them and their relevance to the current situation.

2000 Recommendation: DTIE to formalize, and make a preferred mode of DTIE operation, the modalities by which **host country participation** in (i) problem identification, (ii) discussions in formulating techniques and the related tools, and, (iii) on site-implementation of specially developed solutions

2009 Evaluation Comment: No evidence of ‘formalized’ DTIE modalities was found. However the current evaluators are unconvinced that such a recommendation would be useful given the diverse array of contexts in which ‘host country participation’ takes place.

2000 Recommendation: The Division should develop a **comprehensive M&E** system for the Division and the preparation of a database specifically to capture **query response** data.

2009 Evaluation Comment: The Division has a useful intranet facility that provides access to administrative and programmatic information. The evaluators are not aware of the existence of a comprehensive M&E system for the Division. Whilst this remains a relevant recommendation, it should be pursued at the corporate level in the context of a project management database, rather than promoting the creation of multiple parallel M&E systems at divisional level. The ‘query response’ database seems not to have been created but this evaluation is not convinced that this remains a priority for DTIE.

^h Current best evaluation practice suggest that recommendations should be formulated in a results-oriented manner and should specify ‘who’ should do ‘what’ with a time-bound and verifiable/monitorable performance target.

2000 Recommendation: The Division should better define and improve operation of **internal linkages within DTIE** involving a formalized of joint planning process that should take the form of a two or three-day planning workshop, in which the Division agrees on priorities and, most important, who should do what.

2009 Evaluation Comment: Branch Heads meet regularly but a formalized joint planning process does not appear to have been implemented. **This evaluation supports this recommendation.**

2000 Recommendation: staff shortages to be addressed by freeing up existing staff time through a reduction in the number of training seminars and workshops held for end-users and a concentrate of effort on the 'training of trainers'

2009 Evaluation Comment: Staff shortages do not seem to be a major issue for the division and the possibilities to free up staff time in the manner described seem to be limited.

144. Other recommendations from the 2000 evaluation were not directed specifically at DTIE but required:
- that the work of the **United Nations Office at Nairobi** be re-examined with a view to making it much more supportive of the needs of the Division
 - **joint planning exercises** similar to that suggested for within DTIE should be instituted at the inter-division level as well. The outcome of such planning meetings could then serve as inputs to the various joint planning exercises within the different divisions.
145. The efficiency of administrative interactions between DTIE and UNON / UNEP Nairobi continues to be an important and commonly cited constraint to the efficient implementation of DTIE's programme of work, although the role of UNON has now changed with respect to the management of financial information with FMOs now being administered by UNEP. The need for joint planning and programming in UNEP to improve efficiency and effectiveness is a cornerstone of the MTS / POW 2010-11 processes. Thematic subprogrammes will require that joint planning of work across divisions becomes a standard procedure. The evaluators note that there will be additional costs associated with joint (i.e. inter divisional) planning processes if outposted staff from DTIE are to be fully included. Senior management should consider allocating resources for this purpose.

ii) **Anticipated role 2010 and beyond**

146. As UNEP moves towards the implementation of the 2010-11 POW under the new UNEP Medium Term Strategy, the Division is set to lead three of the six thematic Subprogrammes; Climate Change, Harmful Substances and Hazardous Waste, and the Resource Efficiency – Sustainable Consumption and Production. This will pose significant challenges as it will be the responsibility of the lead Division to coordinate the work done by the other Divisions that contribute to each subprogramme.
147. DTIE Staff in the Paris and Geneva Offices will face the challenge of coordinating this work remotely, without the greater administrative convenience and ease of communication of being co-located at headquarters with the other collaborating Divisions. It is clear that the liaison work to help coordination between UNEP HQ and

DTIE Offices has increased substantially as a result of the 2010-2011 POW preparation process. Effective delivery of the 2010-2011 PoW will require coordinated action across the current Divisions and it is very likely that the workload for such coordination activities will continue to be substantial. In the opinion of the evaluators, the increase in coordination activities and liaison work that will be required for DTIE to engage effectively with implementation processes that will operate through Nairobi suggests that DTIE should appoint a Liaison Officer, to lessen the burden that currently falls on existing DTIE staff based at headquarters.

148. Currently, there are large uncertainties, not only regarding the details of the work to be undertaken within the thematic subprogrammes through other divisions, but also whether the skill sets of staff available within these divisions are a good match to the requirements of such work. UNEP faces the challenge of making the best use of its installed capacity i.e. matching the capacities of existing staff to the skills and locations required to deliver the PoW. Failure to achieve a good match increases the risks associated with effective delivery.

iii) **Experiences and lessons from the 2010-2011 PoW preparation process**

149. The many consultations with DTIE staff in all offices and branches of the Division highlighted a common set of experiences with the 2010-11 PoW preparation process.

- The overall PoW preparation process was not communicated in sufficient clarity to all UNEP staff from the outset
- Staff had the perception that the process was 'made up' as it went along – there was no overarching 'roadmap' for the process
- The PoW preparation process was inefficient and time-intensive; implementation of the PoW for the current biennium suffered as a result
- The cross-divisional discussion and debate necessary for effective joint programming was rarely possible
- There were sequencing problems with the PoW development and numerous 'dead ends' where alternative versions of documents were requested but then never used
- Many MTS and PoW tasks that were assigned to programmatic staff had to be completed within very short time-scales, limiting the possibilities for consultation and 'buy-in' from staff
- Even though the PoW has been completed, staff remain unclear of the roles and responsibilities in relation to implementation of the 2010-2011 POW; especially with regard to the working relationships between divisions.
- The roles and responsibilities of Thematic Coordinators and Division Directors are unclear to staff. There is an urgent need to improve understanding among staff as to how the new 'matrix' system is intended to operate

150. It is acknowledged that the MTS and POW preparation processes adopted by UNEP were launched rapidly to ensure that the 'window of opportunity' to move UNEP to a new way of working was not missed for another biennium. As a result, the efficiency of the process suffered, the following lessons can be drawn to improve the process for 2012-13:

- The PoW preparation process will again need strong endorsement and commitment from UNEP's ED and management

- Planning and preparation processes for the next PoW need to be; clearly articulated, effectively communicated and prepared well in advance of the commencement of the process
- Adequate time provisions to allow for joint approaches to inter divisional work programming are needed

III. SUBPROGRAMME PERFORMANCE AND IMPACT

A. General Findings

151. This section of the report assesses sub-programme results. It reviews key activities of the five subprogramme elements according to the expected accomplishments outlined in the PoW of the Division. As noted earlier and for practical reasons, the evaluation does not seek to describe all the activities that have been undertaken or outputs produced by the Branches for the past two and half biennia. The focus has been the key activities which are linked to the achievement of results or other impacts.
152. Much of the data came from; interviews with Division programme managers, desk reviews of sub-programme monitoring reports derived from IMDIS, hard copy and on-line publications of the Division, and interviews of Division Directors and other programme managers outside the Division. The bulk of the activities of the Division have been ongoing for many years and while results can be shown, new activities have been developed to take advantage of the results that may have accrued from the implementation of earlier activities. Results were often achieved in collaboration with institutional partners and other donors. For the most part, the Division's activities have been intended to have catalytic effects.
153. A key issue in this evaluation is the impact and sustainability of the initiatives undertaken by the division. A reliable assessment of impact and sustainability is undermined by the general lack of impact evaluations as well as the active status of several initiatives. As a result, the sustainability of most the Division's initiatives (excluding the activities leading to the establishment of the MEAs and, perhaps, the Marrakech process and the establishment of cleaner production centres) can only be inferred. Activities and processes related to global legal regimes and institutional frameworks that deal with specific policy imperatives and priorities (such as MEAs and the Marrakech process) are more likely to continue beyond the initial UNEP intervention even though UNEP support might be required in many cases for this to happen.
154. The evaluation notes that whilst the expected accomplishments and deliverables for the 2008-09 biennium remained unchanged, staff were expected to allocate a significant proportion of their time to the preparation of the PoW. It remains to be seen whether this will have a discernable effect on the performance of UNEP in delivering against the 2008-09 work programme.
155. The half yearly subprogramme IMDIS monitoring of performance and achievement of results shows that, in general, the subprogramme has delivered on its approved work programme for the biennia under reference. It is not possible to present a more disaggregated analysis by Branch because reporting was done at the subprogramme level. Table 4 presents data on the level of implementation of the Divisions activities.

Table 4 : DTIE Programme Performance (2004 – 2007)

Subprogramme	Type of Output		
	Technical Cooperation	Total Mandated Outputs	Rate of Implementation (%)
DTIE 2004-2005	105	148	93
DTIE 2006-2007	196	348	94

156. As shown in the table above the organization's Programme Performance Report shows that the implementation rate of the programme of work for the DTIE has been consistently high from 93% in 2004-2005 to 95% in 2006-2007. These implementation rates closely mirror the rates of implementation for UNEP in 2004-5 (92%) and 2006-7 (94%). A very large proportion of targets set have been achieved or exceeded. The table also shows that a substantial portion of the Division's work has been in the area of technical cooperation which involves advisory services to governments, training courses, seminars & workshops, and field projects. Besides technical cooperation activities, many other activities were implemented and outputs produced by the division. These included publications and policy papers, tools, guidelines, and networks.
157. Evaluation of outcomes or results poses its particular challenges. Measuring outcomes requires the determination of causal linkages between the activities implemented by the subprogramme and the outcomes achieved. The expected accomplishments of the Division are constructed at such high levels that their achievement is beyond the exclusive control of UNEP. This raises issues of attribution, especially when examining the suitability of the indicators to measure the Expected Accomplishments. The tradeoff between the use of the division's resources for delivering activities and use for measurement and data collection (i.e. monitoring at outcome level) has favoured the former, resulting in a lack of comprehensive monitoring information. Such information is a prerequisite if an outcome-based evaluation is to be conducted for a subprogramme of this size. Within the resources available for the current evaluation it is not feasible to establish cause and effect relationships, quantify effects across all divisional activities and then attempt to aggregate them to judge Division performance. What this evaluation has rather attempted to do is use outcome measures to help ask good questions. While this is the case, this evaluation, and its follow-up studies on two subprogramme elements, will, where possible, attempt to demonstrate the causal linkages between activities and expected accomplishments to determine the extent of UNEP's contribution.

B. Findings by Subprogramme Element

i) Economics and Trade Branch

158. The work of the Economics and Trade Branch of DTIE over the two biennia (2004-2007) preceding the current biennium was aimed at enhancing the capacity of public and private sector institutions and decision makers to integrate environmental dimensions of development into economics, trade, and fiscal policies and practices. In order to achieve these aims the Branch has implemented activities in the following areas:
- Economic instruments
 - Subsidies
 - Sustainable trade and environment
 - Capacity building
 - UNEP-UNCTAD Capacity Building Task Force on Trade, Environment and Development
 - UNEP Finance Initiative
 - Working Groups
 - UNEP FI Global Roundtable

- Economics and Trade
 - Network of Institutions for Sustainable Development (NISD)
 - Trade-related policies and biological diversity
 - Enhancing Capacities to Review National Wildlife Trade Policies
 - Trade-related policies and biological diversity

- Environmental and Integrated Assessment
 - Integrated assessment of trade liberalization in the rice sector
 - Integrated assessment and planning for sustainable development
 - Integrated assessment of trade-related policies and biological diversity in the agricultural sector

159. Below is a summary table of the Expected Accomplishments of the subprogramme element, indicators of performance and reported accomplishments.

Table 5. Summary of Expected Accomplishments, performance measures and reported results (2002-2009) to which the work of the ETB and Energy Branch contributes (source; IMDIS)

	2002-2003	2004-2005	2006-2007	2008-2009
Expected accomplishment (for sub-programme element)	Trade and investment policies which reflect the integration of environmental considerations.	Enhanced capacity of governments, particularly developing and least developing countries and economies in transition, as well as national, regional and sub regional institutions to integrate environmental considerations in macroeconomic policies, including trade policies in accordance with the WSSD recommendations.	Enhanced capacity of public and private sector decision makers and organizations to integrate the environmental dimension of sustainable development into their economic, trade and finance policies and practices, including corporate environmental and social management;	Improved capacity of countries and institutions, including financial institutions, to integrate ecosystem issues into consideration of their economic and trade policies and practices to achieve sustainable development and poverty reduction
Performance Measure	1) The number of governments implementing policy tools for integrating environment and trade policies. 2) An increased proportion of private sector partners developing and using environmental procedures and practices leading to investment patterns that are considered environmentally sound.	Cooperation with UNCTAD, WTO and the Multilateral Environmental Agreement (MEAs) secretariats, to develop capacity to ensure that trade and environmental policies are mutually supportive. 1) Increased number of national government institutions, regional and sub regional organisations with capacity to develop and implement integrated environment, trade and development policies which addresses the development priorities and concerns of these countries. 2) Increased cooperation with UNCTAD, WTO and the multilateral environment agreement secretariats to promote the mutual support of trade and environment policies.	1) Increased number of public and private sector organizations adhering to the principles of the United Nations Global Compact initiative and sectoral partnership initiatives with UNEP in support of the goals of the World Summit on Sustainable Development. 2) Increased number of public and private sector organizations publishing environmental sustainability reports on their performance following the Global Reporting Initiatives guidelines. 3) Number of country projects introduced, in progress or completed that increased the capacity of national, regional and sub regional institutions to develop and implement macroeconomic policies that integrate environmental considerations into trade, finance and development policies.	1) Increased number of governmental and non-governmental, regional and subregional institutions with enhanced capacity to integrate ecosystem issues into consideration of trade and development policies 2) Increased number of financial institutions subscribing to the guidelines and principles that have been developed under the UNEP Financial Initiative
Final Result	1) Country projects on the	1) The subprogramme is on track.	1) As of December 2007, 4,900	In 2008, the capacity of 27

reported

integrated assessment of the economic, environmental and social impacts of trade and trade liberalization undertaken in developing countries on various sectors (i.e. as agriculture, forest management, mining, fisheries, transportation and water management). Country projects assist countries to take a more integrated approach to designing and implementing trade, environment and development policies.

2) The UNEP Finance Initiatives Global Outreach activities and awareness raising measures assist signatories to develop a deep understanding of the increased risk management necessity of introducing a sustainability approach across their operations

The target for 2004/2005 is 27 country projects in progress or completed (cumulative). By end 2005, 29 projects are in-progress or completed.

2) The Sub programme has far exceeded its target of 6 new activities for 2004/2005. A review of the data collected based on meeting reports, analytical papers and project reports conducted jointly with UNCTAD, the WTO or MEA Secretariats, indicates that over the course of the biennium, 24 activities (30 cumulative) are in progress or have been completed. These joint activities include 4 international meetings, 9 regional workshops, 5 national workshops, 2 new country-level capacity-building initiatives to be undertaken in 10 countries, and 4 informal meetings between UNEP and MEA Secretariats to discuss ongoing WTO negotiations.

public and private sector organizations (exceeding the target by 96%) adhered to the Global Compact and in line with the target, 2 new partnerships have been established.

2) As of December 2007, 1,200 public and private organizations (exceeding the target by 50%) have published environmental sustainability reports.

3) As set as the biennial target, 50 country projects have been introduced to increase capacities of institutions.

institutions has been improved to integrate ecosystem issues into their economic and trade policies and practices. These institutions include 24 governmental and non-governmental, regional and sub regional institutions, that have already been involved in activities of the 2006-2007 biennium, (e.g. through national level projects), the capacity of which has been further strengthened, as well as 3 new institutions. The 24 institutions already involved in activities of the 2006-2007 biennium were included in the target of 50 country projects - as proxy measurement - reached by the end of 2007 (baseline for 2008-2009 needs to be adjusted to 50). Activities targeting the capacity of 3 new institutions (country projects on fisheries subsidies in Vietnam and Southern Africa and technical assistance provided to Mc Gill University) have increased the interim measurement to 53. Following the assistance provided by the UNEP-UNCTAD Capacity Building Task Force (CBTF) to the governments of Uganda, Kenya and Tanzania to realize the environmental, social and economic trade benefits of organic agriculture (including the development of the East African Organic Products Standard (EAOPS)), policies have been adapted to integrate ecosystem issues.

160. Among the key accomplishments of the Economics and Trade Branch are a number of strategic initiatives. Over the period between 2005 and 2008 the Economics and Trade Branch initiated country projects with the Governments of Jamaica, Madagascar, Cameroon, Papua New Guinea and Uganda as part of its initiative on Trade related Policies and Biological Diversity. The countries have developed a framework for integrating environmental concerns in selected trade-measures and priority sectors.
161. Fifty (50) country projects have either been completed or are in progress to develop and implement macroeconomic policies that integrate environmental considerations into trade, finance and development activities. The sustainable trade and poverty reduction initiatives have assisted nine (9) participating countries to identify priority policy issues and make recommendations for policy reforms based on an integrated assessment methodology.
162. In the area of sustainable agriculture, the Branch has assisted the governments of Kenya, Tanzania and Uganda in realizing social, environmental and trade benefits of organic agriculture through integrated assessments resulting in significant influences to national policies. Earlier work on agriculture had focused on issues such as integrated assessment of trade liberalization in the rice sector and fisheries subsidies where outputs formed the basis to formulate positions on World Trade Organization (WTO) negotiations. Among others are assessments in the pulp, paper and cotton industries. The Capacity Building Task Force (CBTF) has also been instrumental in setting up a consultative mechanism for developing countries that have been active in WTO negotiations on environmental goods and services. The Bangkok group comprising Argentina, Bangladesh, Brazil, China, Cuba, Egypt, Ecuador, India, Indonesia, Malaysia, Mexico, Thailand, the Philippines and Mexico meet often just before or during the WTO negotiations. With support from the CBTF the group coordinates and articulates negotiating positions adopted by developing countries in the Trade negotiations.
163. In the area of Trade and the MEAs, the CBTF has supported the preparation of a policy review framework for wildlife trade and this framework is available to countries to enable them assess wildlife trade policies and analyze environmental, social and economic impacts resulting from such policies. The framework is currently being piloted in Madagascar, Nicaragua, Uganda and Vietnam.

a) **Environmental Economics**

164. The bulk of the work of the Branch in the area of *economic instruments* has focused on the preparation of publications and reports that examine the use of economic instruments in specific sectors in developing countries. Training workshops on the use of economic instruments have been organized in Asia and Africa. The economic instrument of primary focus has been subsidies. In the past two biennia, the Branch has placed high priority on fisheries subsidies as it fed into the ongoing WTO negotiations. Work on fisheries subsidies have been accomplished through informal roundtables to provide a forum for open discussion on sustainable development in artisanal fisheries and options for special and differential treatment for developing countries linking trade rules to sustainable development and poverty reduction. Additional work on fisheries subsidies has focused on access agreements. Among other efforts in environmental economics was the creation of a Virtual Resource Centre for Green Accounting and work on Payments for Ecosystems Services.

b) **Capacity Building (CBTF)**

165. The Capacity Building Task Force (CBTF), over the 2 phases of its programme has developed the capacity of, and provided assistance to, developing countries on the interface between trade, environment and development. The CBTF has developed a strong network between UNEP and organizations such as the World Trade Organization (WTO),

International Federation of Organic Agricultural Movements (IFOAM), World Customs Organization (WCO), Secretariat of CITES, and UN's regional commissions. Some sector-specific results of CBTF's work are described below.

166. The outcomes of CBTF capacity-building studies have created awareness among policy makers and the governmental sectors about the importance of organic agriculture, as well as the current status of its development in relation to the agricultural policies in place in each participating country. With the support of CBTF and IFOAM, the East African Organic Products Standard (EAOPS), was developed and adopted by the Council of Ministers. The standard was developed in response to stakeholder concerns that the multitude of standards in existence in the region could eventually become a technical barrier to trade. The standard has been accepted by both public and private sector institutions and is helping to; boost organic trade and market development in the region, raise awareness about organic agriculture among farmers and consumers and create a unified negotiating position that can help East African organic farmers win access to export markets.
167. As an outcome of the Branch's capacity building activities, Tanzania's agriculture policy will include a section on organic agriculture for the first time. In Uganda, a multi-stakeholder process including the key public and private sector actors has been developing an organic agriculture policy that is very much in-line with the recommendations of the CBTF country project aimed at developing policy options for integrating trade, environmental and social considerations in the organic agriculture policy. Many government officials, particularly in the Ministry of Agriculture, are now more aware of the benefits of organic agriculture. In Kenya, project activities have significantly raised the profile of organic agriculture in the Ministry of Agriculture and elsewhere.
168. Among other things, the CBTF has also provided support to MEAs, specifically CITES parties, through the development of a Wildlife Trade Policy Review Framework which has enabled countries to assess the effectiveness of wildlife trade policies and to analyze environmental, economic, and social impacts resulting from such policies. CBTF also facilitated the establishment of the Bangkok Group. The Group operates as a consultative mechanism for developing country WTO participants who have been active in negotiations on environmental goods and services. The Group which currently comprises 14 members coordinates and articulates negotiating positions of developing countries. CBTF serves as facilitator and provides substantive support to meetings.

c) Network of Institutions for Sustainable Development (NISD)

169. Another key ETB initiative brings together institutions from around the world to enhance capacity in environmental and integrated assessments. Among some of its activities are partnership research project in Asia to analyze the impacts of the economic integration currently taking place under the wave of Free Trade Agreements. Other activities related to integrated assessments include a workshop on Integrated Assessment of Regional Trade in South Asia; a workshop on environmental assessment targeting the private sector in the Mashreq countries; and a non-thesis Master of Science programme in Environmental Assessment offered by the McGill-UNEP Collaborating Centre in Environmental Impact Assessment (EIA).

d) UNEP Finance Initiative

170. This public-private partnership was designed to promote social and environmental responsibility in the financial services sector and to identify and develop financing sources for sustainable development. The programme was designed as a fee-based voluntary initiative with the participation of over 160 banks, insurance companies, asset managers, and other types of financial institutions. For that reason, the initiative is self-financing.

Through its numerous awareness activities (reports and publications, awareness-raising events, global roundtables, workshops, regional task forces) UNEPFI has developed awareness among some of the most senior executives of the financial services sector and developed financial services instruments that will facilitate the channeling of capital into environmental and socially sustainable but profitable investments. From helping to raise awareness worldwide of the financial, as well as societal, costs of failing to tackle global climate change, to encouraging governmental commitment to the Kyoto Protocol, the FIs are promoting investment in clean and renewable energy by financial institutions and other investors.

171. The FI links with, and use of, standardized, internationally recognized sustainability matrices and accounting and reporting protocols which are part of another UNEP Initiative – the **Global Reporting Initiative** - have increased the profile of the initiative and brought it worldwide recognition.

e) **Summative Comments**

172. This evaluation has found that, in general, the activities implemented by the Branch have been consistent with the approved programme of work of the division and have been aimed at achieving the expected accomplishments for which it has responsibility. The activities implemented under the Economics and Trade subprogramme element are clearly relevant to global environmental priorities and associated multilateral agreements, and more so given their cross-sectoral nature and combined use of assessments, technical advice, advocacy, capacity development, and other support modalities at different scales of intervention (global, regional, national). Given the resources available to the branch, a tremendous amount of work seems to have been accomplished, complemented by effective resource mobilization and judicious use of resources. The boundaries of UNEP's engagement with governments especially in the area of trade negotiations is being stretched and the Branch has provided a very effective forum for developing countries to develop common negotiating positions on trade and environment issues, a "niche" which only UNEP can effectively occupy. By assisting governments to develop policies based on integrated assessment methods which are implemented by the countries themselves, building the capacity of government institutions, and harmonizing standards in the area of organic agriculture and trade, the Economics and Trade Branch has ensured sustainability of its activities even after disengagement from the particular activities in the various countries.
173. The evaluation team has reviewed a sample of the outputs of the Branch including guidelines, toolkits, publications and reports prepared by the Branch over the past three biennia and found them to be carefully prepared and disseminated to relevant audiences. The products are all easily accessible and downloadable from the web page of the Division. While this evaluation has not interviewed stakeholders to glean insights on the perception of effectiveness, the continuing demands of governments, especially in the area of support to the implementation of MEAs and requests for support by developing countries to prepare common negotiating positions on specific issues at the World Trade talks, is an indication not only of continuing demand for such services but also of the effectiveness of previous efforts.
174. Beside its location within the Economics and Trade Branch, this evaluation did not find any evidence that there is sufficient synergy between the FI and the rest of the Branch. Indeed, there seems to be more work going on between the FI and the Energy Branch and perhaps to a more limited extent, the Sustainable Consumption and Production Branch. The decision on the location of the FI, therefore, seems to have been made on the basis of convenience rather than any institutional logic that promotes synergy and effective collaboration for the delivery of the Branch's programme of work.

175. By its very nature as a public-private partnership, the FI is a unique entity and needs to be managed in a unique way. The administrative processes in the UN can sometimes become a bottleneck in public-private engagements and constrain expeditious response to private sector initiatives. Examples of issues which have frustrated staff in the management of the FI relate to the fact that travel requests have to be approved in Paris which causes delays in the way they react to the financial institution which are used to making rapid decisions and executing them.
176. This evaluation found that while the formulation of statement of expected accomplishments have improved over time in this subprogramme element (from 2002-2003 which was quite vague) to a statement which has essentially focused on improving the capacity of governments and private sector institutions to integrate the environmental dimension of sustainable development into their economic, trade and finance policies and practices), their achievement, as in many of the expected accomplishments in other UNEP subprogrammes, are difficult to measure because of issues of "attribution".
177. Some issues that have been addressed by ETB, relating to agricultural trade policy seem to have considerable overlap with work undertaken by CGIAR centres such as WorldFish for fisheries subsidies and IFPRI more generally in relation to agriculture policy and trade issues. The ETB should ensure the focus of its efforts builds on the larger UNEP comparative advantage associated with its 'convening power' for, and access to, intergovernmental processes. The CGIAR's comparative advantage is to undertake policy-oriented research. Whilst the evaluation acknowledges the variety of ETB partner organisations it recommends that the possibilities for an enhanced strategic collaboration between UNEP and the CGIAR system be formally assessed by the ETB.

ii) Chemicals Branch

178. The primary goal of the Chemicals subprogramme element is to "catalyze actions to promote chemical safety by providing countries with access to information on toxic chemicals; assisting countries in building their capacity to manage the risks posed by chemicals throughout their life-cycle; and by supporting global actions such as the Stockholm and Rotterdam Conventions and the negotiations of the Strategic Approach to International Chemicals Management (SAICM)."
179. Over the period covered by this evaluation the expected accomplishments of the Chemicals sub programme element have not changed significantly. Support to global actions has been its primary goal. This has been accomplished through numerous successful initiatives.

Table 6. Summary of Expected Accomplishments, performance measures and reported results for the Chemicals Branch 2002-2009 (source IMDIS)

	2004-2005	2006-2007	2008-2009
Expected accomplishment (for sub-programme element)	b) Strengthened and effective legal regimes and institutional and programmatic arrangements at global, regional and national levels for sound management of chemicals.	c) Progress made by countries and the international community towards ensuring that chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment;	c) Enhanced capacity of countries and the international community towards achieving the 2020 goal of the Johannesburg Plan of Implementation to use and produce chemicals in ways that lead to the minimization of significant adverse effects on human health, including gender equality aspects, and the environment
Performance Measure	1) Entry into force of the Stockholm and Rotterdam Conventions. 2) Increased number of partnership agreements and joint programmes concluded with relevant Convention Secretariats, other MEAs, IGOs, governments and NGOs for sound management of chemicals.	1) A strategic approach to international chemicals management adopted by Governments and widely accepted in the international community. 2) Rotterdam and Stockholm Conventions widely adhered to. 3) Increased number of projects in countries to reduce risks from chemicals and wastes.	1) Increased number of countries and stakeholders that show clear progress in implementing the Strategic Approach to International Chemicals Management, including participation in the Quick Start Programme 2) Increased number of UNEP-supported national, subregional, regional and global projects and processes that build national capacities to manage chemicals and chemical waste in a manner that minimizes significant risks to human health and the environment 3) Increased number of active partnership arrangements among main stakeholders, such as Governments, intergovernmental organizations, chemical industry associations and environmental public interest groups promoting chemical safety
Final Result reported	1) Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade entered into force on 24 February 2004. By October 2005 there were 100 Parties to the Convention. The Stockholm Convention on Persistent Organic Pollutants (POPs) entered in force on 17 May 2004. By October 2005, there were 111 Parties to the Convention. 2) Partnerships and joint programmes have been established for sound management of chemicals	1) As set out as the biennial target, one Strategic Approach to International Chemicals Management (SAICM) has been adopted. 2) As of December 2007, there were 119 parties to the Rotterdam Convention (exceeding the target by 17%) and 150 parties to the Stockholm Convention (exceeding the target by 15%). 3) As of December 2007, 161 country	The Strategic Approach to International Chemicals Management (SAICM) provides a global policy framework to achieve the Johannesburg Plan of Implementation goal that, by 2020, chemicals are produced and used in ways that minimize significant adverse effects on human health and the environment. Key features of SAICM are its multi-sectoral scope and its and multi-stakeholder participation. By the

with other IGOs and MEAs, in particular FAO, WHO, WTO, WCO, Basel Convention, World Bank, GEF as well as with individual and groups of countries including a number of projects through the Canada POPs fund. The widest and most important partnership was established for the development of the Strategic Approach to International Chemicals Management (SAICM) with IOMC partner organizations, other IGOs, IFCS, Governments, and NGOs from the full range of interested sectors, including agriculture, development, environment, finance, health, industry and labour.

projects (exceeding the target by 7%) have been initiated to reduce risks from chemicals and wastes.

end of 2008 there were 157 national, 5 regional, 12 IGOs and 55 NGOs had designated focal points for this multi-sectoral approach, representing a global increase of 20% since 2007 (<http://www.saicm.org>). SAICM related meetings, conferences, maintain a network Since its inception in 2006, the trust fund has received pledges for an approximate total of \$18,782,000 and 74 projects are currently being implemented. The projects are being implemented by 60 individual Governments, 7 multi-country and seven civil society organizations. A total of 73 countries and stakeholders that participate in the Quick Start Programme is already exceeding the biennial target of 70 and is a clear proof of progress in the SAICM implementation as well as towards enhanced capacities towards improving chemical safety

a) **Multilateral environmental agreements (MEAs)**

180. In 2004, the Primary Informed Consent Procedure for Certain Hazardous Substances entered into force under the Rotterdam Convention. This procedure required exporters who trade in a named list of hazardous substances to obtain the consent of receiving countries prior to trading in the substances on the list. As of March 2009, 130 countries had either ratified, accepted, approved or acceded to the convention. Since its coming into force, the Chemicals Branch and FAO have convened several workshops to support the implementation of the convention procedures at the national level. In the same year, the Stockholm Convention on Persistent organic Pollutants (POPs) came into force to protect globally, human health and the environment from persistent organic pollutants. As the interim secretariat, the Chemicals Branch organized the first conference of parties and maintained a POPs database and information clearinghouse. In 2006, the secretariats for the Stockholm and the Rotterdam Conventions became independent of DTIE and were given the responsibility for organizing convention meetings including tasks connected to work the programme of the convention. UNEP Chemicals, however, continues to provide technical assistance to the two conventions. Technical Assistance provided to the two conventions has included the following:

- a) Assistance to the Secretariat and parties of the Stockholm Convention in to the management of polychlorinated biphenyls (PCBs) including identification of sources and releases of dioxins and furans, as well as alternatives to and sound management of POP pesticides.
- b) UNEP Chemicals is implementing a GEF project to assess existing capacity and capacity building needs to analyse POPs in developing countries in a sustainable manner, particularly in support of the effectiveness evaluation of the Stockholm Convention and technical guidelines for both the Basel and Illegal international traffic in hazardous Chemicals.
- c) In the area of environmental emergencies involving chemicals, the Branch has effectively collaborated with OCHA to pursue a more active role in disaster management activities. For example, during the Lebanon oil spills and the Cote d'Ivoire chemical incident, UNEP Chemicals and the Joint Unit worked closely together and were proactive in identifying risks and emerging issues. The two units provided technical and scientific information and expert advice related to emergency response. UNEP Chemicals played an important role during the assessment and the management phase of these environmental accidents.

b) **Strategic Approach to International Chemical Management (SAICM)**

181. The SAICM process, authorized by the Governing Council of UNEP and subsequently endorsed by the WSSD in 2002, is a consultative process which engaged many stakeholders and culminated in an international conference in 2006. The SAICM process is facilitated by 11 intergovernmental organizations (FAO, ILO, OECD, UNEP, UNIDO, UNITAR, WHO, UNDP, and the World Bank) with interest in chemical safety. The Secretariat for SAICM is located in the Chemicals Branch and reports to the International Conference on Chemicals Management (ICCM). The Secretariat facilitates the operations of the Quick Start Programme (QSP) designed to support initial SAICM enabling activities in developing countries. The QSP has two components: 1) a UNEP administered Trust Fund; 2) contributions from bilateral and multilateral sources. By June 2008, the pledges to the Trust Fund amounted to approximately \$18 million with a replenishment goal of approximately \$7 million a year. Besides its role as Secretariat, UNEP is also Trustee of the QSP Trust Fund (GC Decision SS.IX/1 and 24/10), member of Trust Fund Implementation Committee where it participates in decision-making on project applications, and a potential QSP project Executing Agency.

c) Mercury and other metals

182. Following a decision by the UNEP GC that sufficient evidence exists to show that mercury posed substantial adverse risks and impacts on human health and the environment globally, UNEP initiated national, regional, and global actions, both immediate and long-term, with the aim of supporting governments in their efforts to implement actions to reduce or eliminate the use and release of mercury into the environment. In 2004, the Chemicals Branch organized seven regional workshops to help countries identify and understand their mercury problems and to implement actions to mitigate them. A partnerships approach was adopted to reduce risks to human health and the environment from mercury through collaboration with countries and NGOs. Activities have focused on five main areas:
- artisanal and small scale gold mining,
 - coal combustion,
 - mercury cell chlor alkali production,
 - mercury in products, and
 - air transport and fate research.
183. UNEP Chemicals has mobilized technical and financial resources to deal with mercury through a Small Grants Programme (maximum USD 50,000) aimed at promoting mercury reductions in developing countries and countries with economies in transition. The grants fund technical assistance projects, capacity building on inventories, training and awareness-raising / information exchange, measures to reduce or eliminate releases from wastes, best available techniques and best environmental practices, as well as development of policy and regulatory controls. A toolkit for identification and quantification of mercury releases was developed and released in all UN languages and applied in up to 43 developing countries and countries with economies in transition. Besides mercury, UNEP chemicals established a working group to conduct scientific reviews on two other heavy metals; cadmium and lead. These reviews are expected to serve as a basis for global action on the two metals. In February 2009 a UNEP Governing Council Decision to set up an Intergovernmental Negotiating Committee to provide a forum for negotiating the legally binding instruments for dealing with mercury has been agreed. The GC Decision will provide the framework for dealing, not only with the problem of mercury globally but also provides, the 'umbrella' for future Governing Council Decisions to deal with other metals, including cadmium and lead that pose substantial human health and environmental risks. Indeed, scientific reviews for lead and cadmium have been completed.
184. The Branch has successfully initiated a partnership with UNDP to integrate sound management of chemicals into poverty reduction strategies. These have been completed in four countries in three different regions. As reported by the Chemicals Branch, increased understanding between officials from ministry of environment/ministry of health and the ministries for planning and finance has been fostered in four countries in the South-East Asian region and in six countries in the African Region with participation of women in these project activities reaching 30-40%.
185. A joint project has also been undertaken with WHO to identify, through the development of guidance documents, populations at risk from mercury exposure (in particular the risk of exposure of women of childbearing age to methylmercury), Based on previous cooperation with WHO on the issue of DDT and malaria control, further collaborative projects have been initiated to promote environmentally sound disposal and recycling of insecticide treated nets.

d) Chemical Information Exchange Network (CIEN)

186. In collaboration with the United States Environmental Protection Agency and the Canada POPs Fund, the Chemicals Branch developed a platform to assist countries in meeting their obligations under various chemicals related Multilateral Environmental Agreements. Approximately 43 countries in Africa, Latin America and Asia have benefited from the work of CIEN. The network has assisted in:

- developing skills on access and exchange of information using the internet;
- training on the use of ESTIS (a web-development tool created by IETC) as a cost-effective way to create a national Internet portal for chemical information exchange;
- computer and telecommunication equipment to facilitate access to the Internet;
- an opportunity to meet and strengthen collaboration among stakeholders, including the focal points of different chemical-related MEAs at the country level; and
- forums for national focal points to strengthen their ties and foster regional and international collaboration

e) Capacity building in developing countries and countries with economies in transition

187. Judging from the activities implemented by the chemicals Branch in support, not only of establishing MEAs, but also substantively in reducing the adverse effects on humans and the environment of hazardous substances, the heart of the chemicals subprogramme is its capacity building work. The Branch has developed the capacities of developing countries and countries with economies in transition to assess and manage chemical risks, improved access to information, conducted workshops and conferences that addressed priority issues in implementing chemical related MEAs, and assisted countries in the preparation of their National Implementation Plans and projects related to source identification and release of dioxins, furans, PCBs, DDTs and other POPs and pesticides.

f) Summative Comments

188. The activities implemented by the Chemicals Branch were primarily those approved by the UNEP Governing Council in the Division's Programme of Work with the aim of promoting production and use of chemicals in ways that lead to the minimization of significant adverse effects on human health and the environment. To that extent, the activities have been designed to fulfill relevant global environmental priorities and multilateral environmental agreements. The focus, to date, has been normative involving the regulation of transboundary transport of hazardous substances and on the development of capacity for the management of persistent organic pollutants. Seven years of preparatory work on mercury culminated, in a Governing Council decision to establish an international legal framework for managing mercury in February of 2009. Over the period covered by this evaluation, the Branch has worked to bring into force, two conventions which now each have their own independent Secretariats.

189. The evaluation team has reviewed a substantial number of the outputs (mostly reports prepared by the Chemicals Branch) and concluded that the publications are clearly written to a high professional standard and have been widely distributed to the relevant stakeholders. The publications are very well referenced and have excellent graphic qualities that convey visual impact. Evaluations of the interventions implemented using the toolkits have concluded that users in the various countries where they have been applied so far have found them very helpful in preparing inventories for example of PCB-containing equipment, setting up networks of laboratories and laboratory protocols, creating awareness, developing databases and sharing information. The Branch has created

partnerships, protocols and legal regimes for chemicals management through the Rotterdam and Stockholm conventions.

190. The Chemicals Branch has played a significant role in the development of SAICM. However, the various roles performed by the UNEP in general, and DTIE in particular in SAICM have, in the opinion of the evaluation team, created a potential conflict of interest situation where UNEP is trustee of the fund and the Chemicals Branch performs the Secretariat role. The Quick Start Programme Trust Fund Implementation Committee (QSP TFIC) is made up of all seven IOMC agencies which also receive SAICM funding; this presents a potential source of conflict of interest for all of the members, a risk that has been recognized and addressed in the Committee's rules of procedure which provide that "in cases where an organization that is represented in the Committee is involved in a project submitted to the Committee for its consideration, the representative of that organization shall declare his/her interest in the project before it is discussed by the Committee and recuse himself/herself from decision-making by the Committee in relation to the project in question." However, this evaluation believes that UNEP's role as Trustee and Secretariat is blurred and needs to be better clarified. For example, while most of the Secretariat roles are, indeed 'neutral service provision', the project screening role of the Secretariat of UNEP projects, it would seem, is a potential conflict of interest situation. This issue needs to be resolved expeditiously to ensure that the partnerships created by the programme are not undermined as a result of suspicion and distrust. The evaluation has been informed that a review process has already been initiated by the competent authority, i.e. the Conference. In its resolution II/3 adopted at its recent second session, the Conference requested the QSP Executive Board to evaluate the Quick Start Programme and make recommendations for the consideration of the Conference at its third session. The terms of reference for the evaluation will be drafted by the Secretariat for consideration by the Executive Board at its next annual meeting in April 2010. The evaluation supports the view that UNEP, as a member of the Board should advocate for a review of the arrangements for the approval of Trust Fund projects. The review might consider, as part of the Trust Fund implementation structure, the inclusion of an independent expert panel to review, assess and publicly disclose the relative merits of SAICM Trust Fund (Quickstart) project proposals. The QSP TFIC would then approve the projects of highest quality.

iii) Sustainable Consumption and Production Branch

The Sustainable Consumption and Production programme was designed to increase understanding and implementation by public and private decision makers of policies and actions for SCP. The primary activities of the programme are focused on the development of specific tools, encompassing policies, market-based instruments and voluntary approaches, with emphasis given to some specific economic sectors.

A participatory, multi-stakeholder approach to the analysis of SCP challenges and design of responses in the area of sustainable "production" and "consumption" is complemented by capacity building, communication, awareness -raising and demonstration projects. These are designed to illustrate the benefits of SCP policies and actions (environmental, economic and social), and enhance the capacity of stakeholders to apply them.

Particular emphasis is placed SCP challenges, responses and opportunities for developing countries (e.g. new markets for more sustainable products and poverty alleviation), and identifying and fulfilling capacity building needs.

191. The Sustainable Consumption and Production subprogramme element has expanded considerably over the implementation of the POWs since 2004. At the core of the Division's work on sustainable development has been its central role in the UN Global Compact and the Global Reporting Initiative (GRI) of which UNEP is co-founder. The Global Reporting

Initiative is an effort designed to encourage individual companies and industry associations to report on their sustainability performance and the implementation of their voluntary commitments in the form of codes of conduct and charters. Since its establishment in 1997, the GRI has worked to design and build acceptance of a common framework for reporting on the sustainability (economic, environmental, and social) of their activities. The sustainability reporting guidelines developed under the GRI are intended to be applicable to all types of organizations. Between 2003 and 2007 the number of companies participating in the Global Compact increased from 700 to 4900, a 700% increase. Participation in the GRI also increased. At the end of 2007 the initiative boasts a total membership of 470 organizations from 70 countries. A total of 1200 sustainability reports were published in 2007, an increase of 500 from 2005.

a) **Cleaner Production**

192. Cleaner Production involves “the continuous application of an integrated preventive environmental strategy to processes, products, and services to increase overall efficiency, and reduce risks to humans and the environment. Cleaner Production can be applied to the processes used in any industry, to products themselves and to various services provided in society”. Perhaps the oldest of the resource efficiency activities of UNEP DTIE was in the area of Cleaner Production which began in 1989. The goals of the programme involve the promotion of policies, strategies, environmentally sound technologies and management systems as well as products. These goals have been implemented over the years through capacity building activities, establishment of networks and National Cleaner Production Centres (NCPCs), demonstration projects and technical assistance - governmental organizations and academics.

Table 7. Summary of Expected Accomplishments, performance measures and reported results for the Sustainable Consumption and Production Branch 2002-2009 (source; IMDIS)

	2002-2003	2004-2005	2006-2007	2008-2009
Expected accomplishment (for sub-programme element?)	<p>a) Change of behaviour of decision-makers in national government, regional and local authorities, finance and industry, as well as the public at large, towards sustainable production and consumption patterns.</p> <p>b) Widespread introduction and use of renewable energy technologies and other raw materials at the national level.</p> <p>c) Wider adoption of open policies by industry towards reporting on their natural resources use and their environmental and social performance, including the gender dimension.</p> <p>d) Adherence to the goals of the International Declaration on Cleaner Production</p>	<p>Enhanced corporate environmental and social responsibility and accountability through voluntary initiatives, by industry and non-industry stakeholders towards pursuing the goals of sustainable development.</p>	<p>a) Enhanced ability of public and private sector decision makers and organizations to access, adopt and use environmentally sound technologies and to make informed choices about water resources management and energy production and use.</p> <p>b) Increased understanding and implementation by public and private sector decision makers and organizations of environmentally sound management practices and tools, including cleaner production, sustainable consumption and prevention of and responses to environmental threats and emergencies.</p>	<p>a) Greater human and institutional capability to integrate environmental and social considerations in energy-related decisions, with a focus on reducing energy-related greenhouse gas emissions</p> <p>b) Increased understanding and implementation by public and private sector decision makers of sustainable consumption and production, including in sectors such as construction and tourism, and increased voluntary initiatives promoting corporate environmental responsibility, as well as prevention of and response to environmental emergencies, giving due consideration to gender equality issues</p>
Performance Measure	<p>1) The number of countries, organizations and industries adopting policies, regulations or codes that require cleaner and safer production practices, products and services.</p> <p>2) The number of countries making specific mention of renewable energy as an element of the national energy policy and strategy.</p> <p>3) The number of companies</p>	<p>1) Increased number of companies adhering to the relevant provisions of the World Summit on Sustainable Development with regard to corporate responsibility and the Global Compact.</p> <p>2) Increased uptake of the Global Reporting Initiative (GRI) reporting framework at both the</p>	<p>1) Increased number of local, national and regional authorities having introduced sustainable production and consumption policies and programmes.</p> <p>2) Increased number of industry and professional associations having introduced sustainable</p>	<p>(i) Increased number of national and local governments introducing sustainable consumption and production policies and practices, aimed at industry, including tourism and other stakeholders</p> <p>(ii) Increased number of companies introducing sustainable business and finance initiatives, policies and practices based on principles promoted by UNEP</p> <p>(iii) Increased number of countries</p>

using the Global Reporting Initiative (GRI) Guidelines to report on their use of natural resources and their environmental and social performance, including the gender dimension.
4) The number of signatures to the International Declaration on Cleaner Production

company and sector levels, as well as by related institutions and organisations.

production and consumption policies and programmes.

with Governments/industry sectors introducing environmental risk management and emergency response and prevention programmes.

Final Result reported

1) Regional/global status reports, proceedings of regional round tables describe a qualitative assessment of the initiative and actions taken by the various stakeholders
2) YY countries have made specific mention of renewable energy. zz countries in Africa, cc countries in Asia. Shows an increase of bb% from 2001.
3) Complete.
4) The number represents only senior level signatories

1) By late 2005, over 2,000 organisations (mainly companies) have been registered as participants in the Global Compact. Most of these companies have started - at senior management level - to pursue Corporate Environmental and Social Responsibility (CESR) issues through their policies and strategies.
2) The GRI by late 2005 had 728 self-declared reporters listed (with links to many reports) on its online database.

1) As set out as the biennial target, 15 authorities have introduced sustainable production and consumption policies and programmes.
2) As set out as the biennial target, 10 industry and professional associations have introduced sustainable production and consumption policies and programmes.

1) Progress towards increased understanding and implementation of environmentally sound management practices is evidenced by 4 governments (29 in total and 26 % of the biennial target of 40) which have introduced sustainable production and consumption policies and programmes. 25 countries have introduced sustainable production and consumption policies and programmes covering the areas: National SCP roundtables (China, India and South Africa); National SCP programmes (Indonesia; Mauritius; Tanzania; Senegal; and Cairo (Egypt) and Maputo (Mozambique) with the support of national and local governments; Waste management (Lesotho, China, India and Sri Lanka); sustainable public procurement (Argentina); Natural disaster awareness and preparedness (Thailand and Peru); Integration of SCP into poverty reduction (Senegal); Sustainable resource management and Strengthening the scientific base for advancing SCP practices (Canada, Egypt, Tanzania, South Africa, China, Japan, Korea, Germany, Finland, Hungary, Italy, Mexico, Netherlands, Norway, Russia)

193. Among the key accomplishments of the Cleaner Production programme are its joint work with UNIDO to introduce Cleaner Production in developing countries and countries with economies in transition. The UNEP-UNIDO effort which established National Cleaner Production Centres is a unique programme to develop capacity to help achieve the adoption and further development of the Cleaner Production concept at the national level. The programme has developed Cleaner Production Industry Sector Guides and general awareness publications which have been widely distributed. The programme has published status reports on cleaner production for all regions. Recently, a series of publications have been released on cleaner production financing an outcome of demonstration projects designed to stimulate investments in cleaner production by helping cleaner production experts to develop creditworthy investment proposals.
194. Another key accomplishment of the Cleaner Production programme is its partnerships through the *networks* established to promote the goals of the programme globally. The networks include representatives from governments, multilateral organizations, industrial stakeholders, development banks, academia and other non-governmental organizations. Members of these networks have developed, and are participating in, Cleaner Production initiatives as diverse as conducting plant-level assessments, building awareness among key decision-makers and industry in general, training Cleaner Production experts, industry representatives and government officials, and developing and implementing policies that foster Cleaner Production activities.
195. A joint UNIDO/UNEP independent evaluation (May 2007) of the current status, potential and needs of the NCPCs and related initiatives concluded that the current status is best summarised as being in the 'youth' stage. The report states:

NCPCs/NCPPs have been established and are reportedly undertaking CP and CP-related activities. There is a richness of experience and expertise, and reasonable progress has been made in putting CP on the agenda, delivering professional training and implementation in particular of low to medium technology options. There are pockets of excellent results, but also of poorer quality work, and the Programme has the potential to effectively capture and disseminate best practices through a strong partnership with the emerging network of CP support institutions. The relevance of CP is on the rise, due to worsening industrial pollution, resource scarcity, globalisation and resulting market pressure and other factors, but the presence and significance of these trends varies largely between the host countries. Increased relevance can be expected to lead to higher awareness and demand from public and private sectors with regard to support for CP services.

196. The evaluation summarized the challenges facing the Cleaner Production programme and NCPCs and recommended the following:

The biggest challenge for the Programme is to adapt to the changing interests and demands from governments and private sector. For this, the Programme urgently needs a consistent Strategy that is impact-focused, delivers and values excellence and takes due account of the specific situation of host countries. The Strategy should drive the institutionalisation, positioning and profiling of NCPCs/NCPPs into nationally appropriate niches with customised service and capacity profiles. It should effectively promote the sharing of leading practices within a competence based network of CP support institutions, including qualifying NCPCs/NCPPs and other CP service providers not established through the UNIDO-UNEP CP Programme. The funding, management and governance models should then also be

brought in line with the demands of a maturing Programme, including more programme and less project-by-project funding and a truly joint programme management by UNIDO and UNEP. NCPCs will demonstrate performance against the Programme's outcomes and impacts to continue their association with the Programme.

197. The strategy proposed by the evaluation has since been developed and the programme and joint collaboration with UNIDO is systematically being streamlined.

b) The Marrakech Process

198. The Secretariat for this global multi-stakeholder process established to promote sustainable consumption and production, with the active participation of national governments, development agencies, the private sector, civil society and other stakeholders is located within the Sustainable Consumption and Production Branch. The Marrakech process is a forum for dialogue and co-operation on SCP issues. The process which was initiated in 2003 operates through Task Forces championed by governments. The Marrakech Task Forces are important and active mechanisms of the Marrakech Process building North-South cooperation and implementing concrete projects at national and regional levels. These voluntary initiatives focus on specific themes of SCP such as: sustainable products (led by United Kingdom), lifestyles (Sweden), education (Italy), building and construction (Finland), tourism (France), public procurement (Switzerland), and cooperation with Africa (Germany). The primary objective of the Task Forces is to develop and test SCP tools, share knowledge and good practice, and contribute to the development of a 10 Year Framework of Programmes on SCP (10YFP). At the third biennial meeting of international experts held in Stockholm in 2007 two new mechanisms of the Marrakech Process were launched, namely: the Business and Industry Forum and the NGO Forum, both committed to bringing their perspectives and intellectual and technical resources to the Marrakech Process yet currently these fora remain inactive.
199. Other key activities of the Task Forces include the following:
- Implementation of an African eco-labeling scheme
 - Five demonstration projects on National Action Plans on SCP (Mauritius, Indonesia, Tanzania, Egypt and Mozambique)
 - A Manual on communicating sustainability and capacity building in Brazil and China
 - A Toolkit on sustainable public procurement and a demonstration project in Argentina
 - Report on policy action points. Recommendations related to energy consumption in the built environment) and collection of best policy practices from all over the world (Buildings for a better future)
 - A Communication Campaign on Sustainable Holidays, including the launch of the Green Passport
 - Establishment of four Global Sustainable Products Networks (GSPN)
 - Among the accomplishments of the Branch that relate to the Marrakech process is the work it initiated, under the Sustainable Tourism programme, to develop a new set of globally relevant baseline criteria for sustainable tourism operations jointly with the United Nations Foundation, the Rainforest Alliance, the World Conservation Union–IUCN, the World Tourism Organization, the Secretariat of the Convention for Biological Diversity, the International Council on Monuments and Sites and a number of other partners from the travel and tourism community development. Another key SCP initiative, the Sustainable Buildings and Construction initiative, a partnership between governments, research institutions, NGOs and the private sector was formed under the Marrakech process to address greenhouse gas emissions from the building sector. This relatively new public-private initiative has 33 members. Key among its activities is a report on energy use and GHG emissions in construction and buildings and a publication, in cooperation with one of its key partners; UNEP's Sustainable Buildings

and Construction Initiative (SBCI), the baseline report Buildings and Climate Change: Status, Challenges and Opportunities.

c) Global Reporting Initiative (GRI)

200. GRI is a UNEP collaborating centre which has a Secretariat and a board on which UNEP is represented. Co-founded by UNEP and the London-based SustainAbility Ltd, the GRI has been a continuing effort to encourage individual companies and industry associations to report on their sustainability performance. To overcome the problems associated with sustainability performance reporting, UNEP, together with its collaborating partners developed a common reporting framework which is comprehensive, credible, and comparable and have been used for company and industry sustainability reporting. This reporting framework has undergone several revisions with the most recent being launched in October 2006. In recent years, sustainability reports have also been published by public authorities. In 2008, 962 sustainability reports were registered.
201. As a long-term voluntary multi-stakeholder process, the GRI uses guidelines that outline reporting principles and specific content to guide organization reporting, assists organizations to prepare balanced reports on their environmental, economic and social performance, promote comparability across organizations, supports benchmarking and assessment of sustainability performance and serves as an instrument that facilitates stakeholder engagement.
202. As part of its capacity building activities the GRI has developed training and education materials and is currently in the process of developing curricula for online or in-person tutorials, seminars and workshops aimed at building the capacity of organizations to use the Global Reporting Framework.

d) International Cyanide Management Code

203. Under the guidance of the International Council on Metals and the Environment, UNEP participates in a multi-stakeholder process that developed International Cyanide Code for the manufacture, transport and use of cyanide in the production of gold. The objective is to improve the management of cyanide in gold mining and protect human health and welfare, and the environment. UNEP played a significant role in setting up the International Cyanide Management Code and continues to participate in biennial meetings of the Code management.

e) YouthXchange

204. The Branch's outreach to the youth (15-25 years) has been developed in the form of a training toolkit on sustainable lifestyles. The toolkit consists of a guide and website. The YouthXchange programme also comes complete with trainers and teachers who provide compelling information on sustainable lifestyles. The toolkit contains information on the relationship between economics, environmental fairness, and social justice. However resource constraints have starved the youth programme of energy and activity. As of the time of this evaluation, limited work is on-going in the programme.

f) The International Panel for Sustainable Resource Management

205. Launched in November 2007 with the support of governments, the European Commission and representatives from civil society, the International Panel for Sustainable Resource Management was established to provide authoritative scientific assessments on the sustainable use of resources over their lives, including impacts on the availability of supplies

and environmental impacts of selected products and services on a global level. The Panel is relatively new but fully operational according to the project plan, confirmed by all donors, including the EC. Final reports are expected to be produced before the end of 2009; four successful meetings, side events, two scientific conferences, and one international conference jointly with OECD in Paris have been held.

g) UNEP/SETAC Life Cycle Initiative

206. Jointly implemented by UNEP and the Society of Toxicology and Chemistry and other partners, the Life Cycle initiative was designed to promote life cycle approaches (involving individual or corporate roles and responsibilities for external effects through a product's life span). Initiated in response to the Malmo Declaration^a of 2000, the activities of the initiative include: fine-tuning methodologies and promoting and facilitating the application of knowledge and tools. The Initiative has recently published a document - "Guidelines for Social Life Cycle Assessment". Long term deliverables include:
- Life cycle studies to identify best practices in different industry sectors and world regions.
 - Training modules for SMEs and developing countries
 - Integration of various tools and concepts for decision-making on more sustainable products and services in a life-cycle management framework.
 - Guidance for bench-marking in business practice
 - Strategies for communication of life-cycle information to relevant stakeholders
 - Information systems for easy access to peer-reviewed life cycle inventory databases
 - Life cycle impact assessment methods, models and factors
 - Manuals for simplified tools and practical applications.

h) Sustainable United Nations

207. SUN (Sustainable UN) programme, working with the Environment Management Group (EMG), has initiated Greenhouse Gas inventories and emission reduction plans for almost all UN organizations. Among the programmes key activities are the development of tools and methodologies on emission reduction. SUN has also engaged the common UN bodies on travel, facilities management, ICT support, and procurement to review and revise common policies so as to ensure these are supporting carbon reduction and more sustainable practices in these areas. The inventories and emission reduction plans will be summarized in a report to be released at COP15. Special support is being given to the UN secretariat in New York. This includes a review of the entire Capital Master Plan (CMP) to identify opportunities to increase its green profile, provision of a consultant to assist in the preparation of the greenhouse gas inventory of the UN Secretariat in New York, preparation of the sustainability baseline for CMP, including external verification, and work to improve the performance of the buildings not included in CMP.

i) Green Economy Initiative

208. The Green Economy initiative is an effort to mobilize and re-focus the global economy towards investments in clean technologies and 'natural' infrastructure such as forests and soils is the best bet for real growth, combating climate change and triggering an employment boom in the 21st century.
209. On 22 October 2008, UNEP and leading economists launched the Green Economy Initiative (GEI). The initiative, which will initially run for a period of two years, has three key elements:

^a The Malmo Declaration of the First Global Ministerial Environment Forum 2000.

the Green Economy report, that will provide an overview, analysis and synthesis of how public policy can help markets accelerate the transition towards a green economy; The Economics of Ecosystems and Biodiversity (TEEB), a partnership project focusing on valuation issues; and finally the Green Jobs report, published in September 2008, that looked at employment trends.

j) APELL

210. APELL was developed by UNEP in partnership with industry associations, communities, and governments. It is a tool for preventing accidents and/or minimising their impacts. This is achieved by assisting decision-makers and technical personnel to increase community awareness and to prepare co-ordinated response plans involving industry, government, and the local community, in the event that unexpected events should endanger life, property or the environment. APELL was originally developed to cover risks arising from fixed installations, but it has also been adapted for a variety of specific applications:

Within the context of Natural Disasters APELL is a tool for bringing people together to allow effective communication about risks and emergency response. The process of dialogue helps to:

- reduce risk;
- improve effectiveness of response to accidents; and
- allow ordinary people to react appropriately during emergencies

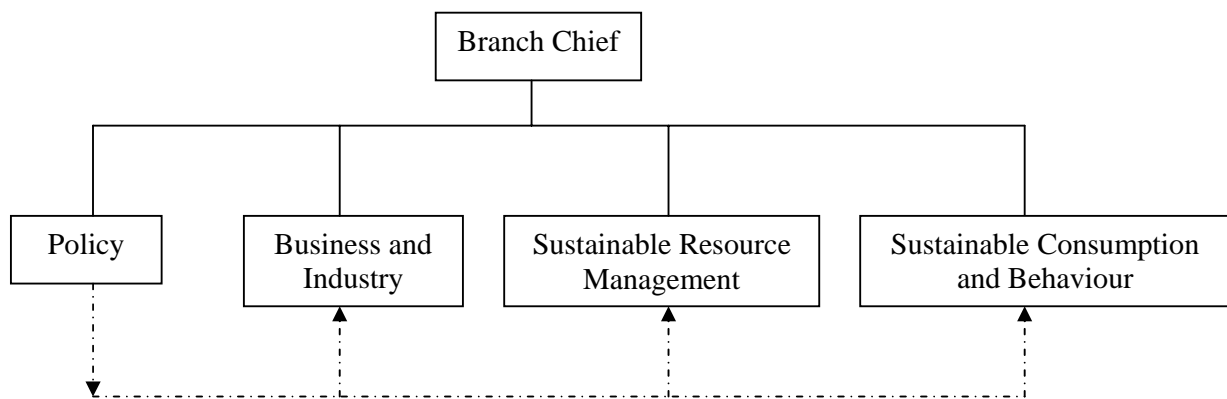
APELL can apply to any risk situation, whether industrial or natural. It can be initiated by any party, although companies can be expected to take the lead. It can be facilitated by governments, or by industry associations.

k) Summative comments

211. In common with the subprogramme elements previously discussed, this evaluation has concluded that the activities implemented by the Branch are predominantly those approved by the organization's intergovernmental body. They are clearly relevant to global environmental priorities. For the resources available to the Branch, it is this evaluation's conclusion that a tremendous amount of work has been accomplished over the duration timeframe considered by this evaluation. Inherent in the idea of the establishment of Cleaner Production Centres is the idea that they are owned and operated as national institutions and, therefore, have a considerable element of sustainability. The same national ownership would provide the flexibility to adapt to changing needs of the various countries keeping them relevant and therefore sustainable.
212. This evaluation has, however, concluded, based on a review of the structure of the SCP Branch and interviews with staff, that the structure of the Branch did not promote the interactions needed to implement the POW. While the interactions required/necessary for effective collaborations were established despite the Branch structure, there is a need to review this and ensure that 'form follows function' with the structure helping to promote the synergies and coordination needed for efficient implementation of Marrakech-related activities. In the judgment of the evaluation team there is a need to better link what is happening in the programme with what is happening in the Marrakech process. Given the level of effort invested by the Branch in facilitating and backstopping the Marrakech process, it would seem that the Marrakech process needs to be viewed as the guiding framework within which all of the SCP Branch activities operate.

213. The evaluation team is of the view that in order to give effect to sustainable “production” and “consumption.” the conceptual framework behind the SCP Branch should include a Policy Unit which will deal with the normative activities of the Branch (the Marrakech process, MEAs and MDGs-Poverty; sustainable production and consumption, green economy), and three other units dealing with Sustainable Resource Management (agriculture, water, international panel on sustainable resource management, international life cycle panel etc.), Sustainable Business and Industry (GRI, NCPC, tourism, oil and gas, metals and mining , waste, building construction, etc.), and Sustainable Consumption and Behavior (sustainable procurement, education, ecolabelling, SUN, green passport and other similar campaigns). The unit dealing with policy and normative activities will coordinate its work across other units to fully integrate the Marrakech process activities into the work of all units.

The Branch structure could follow the concept shown in the diagram below.



214. Sustainable Consumption and Production is, indeed, extremely broad and the Branch has shown a growth of activities in many different directions because the needs are evident. There are a limited number of professionals to manage implementation of programme activities and limited programme resources. This often means that resources are spread so thinly that a critical mass of effort on any one topic / initiative is difficult to achieve. This is further exacerbated by the proportion of staff time needed to mobilize resources to sustain both the work programme and the staff complement. This, in turn, encourages staff to focus their attention on their specific areas of work to the exclusion of others. This may not only reduce cohesion within the Branch, but also intra-divisional collaboration. There was a general need expressed for stable predictable funding to serve as the core programme of the Branch (and Division) to be supported by opportunistic fund raising and not the other way round.
215. For the volume of work currently undertaken by the branch, the professional staff complement is inadequate. This inadequacy makes it extremely difficult to address national or local requests perhaps as a result of the fact that the resources are spread too thinly. It also negatively affects coordination between the branch and other branches.
216. There is a need for capacity building at Divisional level to enable staff in other branches to have a better understanding of the various programmes of the branch. This will foster increased collaboration and synergy.

217. As a result of the limited resources allocated to it, the youth exchange programme has virtually become an orphan and seems to be struggling and should either be dropped or significantly strengthened. If retained the youth exchange programme will require an increased allocation of resources and inter-branch collaborations (e.g. with OzonAction's awareness raising and education activities) would need to be fostered. There are also synergies with the DCPI Tunza programme and these should be explored.

iv) **Energy Branch**

218. The primary objective of the Energy Branch is to facilitate consideration of the environment in energy sector decisions, with the aim of reducing green house gas emissions that contribute to climate change. Together with a wide range of partners, the branch has assisted countries to develop and use tools for analyzing energy policies and programmes, climate change mitigation options, energy sector reforms, and the environmental implications of transport choices. A primary focus of the Branch's activities has been to help improve the understanding by the financial services sector of investment opportunities in the renewable energy and energy efficiency sectors. Besides Sustainable Energy Finance Initiatives (SEFI) and Transport, the Branch's activities have also been in the areas of energy efficiency and renewable energy. The work of the Energy Branch contributes to the Expected Accomplishments of other Branches of the Division, those defined for SCP in particular.

a) **Finance Initiatives**

219. Since 1990, DTIE has worked with the financial services sector on new approaches to financing sustainable energy in developing countries. Through its Renewable Energy and Finance Unit, DTIE has implemented a variety of activities to catalyze investments in sustainable energy production. Such activities include: seed financing and enterprise development, credit enhancements and financier advisory support services. These activities are designed to assist financiers in sharing risks, reduce transaction costs, build capacity and overcome the many challenges to building sustainable energy investment portfolios.

220. The activities designed to catalyze investment in sustainable energy production is indeed a part of UNEP's Finance Initiatives (FI), which now includes a membership of over 170 banks and 85 insurers committed to integrating environmental considerations into their internal and external business activities and asset management. In addition to financial institutions, the Energy Branch has also worked closely with the Basel Agency for Sustainable Energy (BASE) a UNEP Collaborating Centre that promotes investment in the energy sector.

b) **Energy Efficiency**

221. In the area of energy efficiency, the activities generally focus on the needs of developing countries and countries with economies in transition involving various technology research, development, transfer and commercialization, initiatives as well as promoting new and innovative industrial energy efficiency techniques. The Branch works with a broad spectrum of partners including industry associations, NGOs, financial institutions and the private sector. Among the Branch's work on energy efficiency are the following key activities:

- UNEP's Rural Energy Enterprise Development Programme, an initiative offering enterprise development services and start-up financing to 'clean energy' enterprises.
- Brazil, China, and India- Lending for Energy Efficiency

222. UNEP and the UNEP Risoe Centre on Energy and Environment have initiated a programme with the World Bank's Energy Efficiency and Environment Thematic Group to conduct in-country investigations in order to prepare a proposal for a larger project that would help the countries overcome barriers hindering loans for energy efficiency.

c) Renewable Energy

223. In its effort to assist developing country governments to overcome barriers to the utilization of renewable energy technologies, DTIE's Energy Branch:

- undertakes assessments of solar and wind energy resources, and commissions research studies to inform public and private sector decision-making - with a view to breaking down information barriers
- works with local banks to set up end-user financing mechanisms for renewable energy technologies and works with the international finance industry (including banks and insurance companies) to lower risks for larger projects - with a view to breaking down financial barriers
- provides advice to developing country governments on broad policy approaches to bolster renewable sources of energy and supports the creation of an enabling environment for small- and micro-businesses in the area of renewable energy - with a view to breaking policy and institutional barriers.

Key activities include the following initiatives:

d) Solar and Wind Energy Resource Assessment (SWERA)

224. SWERA is a collaborative effort between a number of organizations with the primary objective of facilitating renewable energy policy and investment by making high quality information freely available to key user groups. SWERA products include Geographic Information Systems (GIS) and time series data, along with links to energy optimization tools needed to apply these data. The original technical team consisted of the US National Renewable Energy Laboratory (NREL), Brazil's National Institute for Space Research (INPE), the State University of New York (SUNY), the German Aerospace Center (DLR), Denmark's Risø-DTU (Technical University of Denmark) National Laboratory for Sustainable Energy (Risø), The Energy and Resources Institute in India (TERI), and the UNEP Global Resource Information Database (UNEP/GRID)-Sioux Falls. These were the implementing agencies for the original mapping, database and GIS activities. The partnership has now grown to approximately 27 institutions.

225. The SWERA pilot project, which began in 2001, was funded by the GEF (US\$ 6.8 million of the US\$ 9.1 million). The US Agency for International Development (USAID) also provided funding for resource assessments in Afghanistan and Pakistan; these are already available through the SWERA web site. USAID is also supporting assessments for Bhutan. Assessments for the United Arab Emirates (UAE) were funded by the Abu Dhabi Future Energy Company as part of the MASDAR initiative.

226. In 2006, the U.S. National Aeronautics and Space Administration (NASA) agreed to fund a US\$ 1 million 3-year project to continue the evolution of SWERA into a distributed and global decision support system and to prototype complementary small hydro power assessments utilizing NASA Earth-Science research results. The SWERA web site was enhanced through this initiative to improve user access to available data products and information about the programme.

227. Among other activities are the Branch's programme on Developing Financial Intermediation Mechanisms for Energy-Efficiency Projects in Brazil, China and India, North African MEDREP Solar Water Heating Loan Programmes, and a programme on Promoting Industrial Energy Efficiency through a Cleaner Production Framework (CP-EE Project) which is being implemented in China, Vietnam, India, Hungary, The Czech Republic, Slovakia.

e) Transport

228. The Branch's work in the transport sector is aimed at facilitating the integration of environmental considerations in transport-related decision-making. The overall objective being, to promote a shift to transport systems and approaches which are not as disruptive to the environment.
229. UNEP has identified three key areas of work to assist countries:
- The improvement of **urban planning** to promote inter-modality
 - The diffusion of **cleaner technologies** and the deployment of relevant policies that drive them to reduce environmental impacts
 - The introduction of **price signals** that capture the full costs of different modes of transport.
230. In urban areas the Branch's work is designed to facilitate a shift from the use of private automobiles to public and non-motorized transport modes by raising awareness and building institutional capacities of policy makers, city/ transport planners and other relevant stakeholders. Support to the activities in urban transportation is mostly from the Global Environment Facility and includes projects on: promoting sustainable transport in Latin America; global initiative on promoting bus rapid transit systems; roundtable on sustainable biofuels; promoting vehicles energy efficiency; and network for environmentally sustainable transport in Latin America and the Caribbean.

f) Urban Transport Unit

231. Located at headquarters but reporting to the head of the Energy Branch in Paris, the former Urban Environment Unit's (now Transport Unit) activities aim to integrate the urban dimension in UNEP's work, with a focus on environmental issues that both have a local and an international dimension (e.g. the role of cities in climate change). The Unit primarily collaborates with partners to provide support to governments to address emerging environmental issues associated with urban areas. Among its key initiatives are: the Partnership for Clean Fuels and Vehicles (PCFV); Sustainable Cities Programme; Cities Alliance; Eco-housing. Others include GEO Cities; and Eco-housing. As noted in para. 83, The Urban Environment Unit, was formerly a part of the Division of Policy Development and Law, then administered under the Division of Environmental Policy Implementation and finally became a part of DTIE in 2007. On 1st April 2009 it was renamed the Transport Unit and has now been subsumed under the Energy Branch.
232. Among the key activities in the transport sector are the following initiatives.
- Promoting Sustainable Transport in Latin America: this initiative promotes sustainable transport options through individual demonstration projects in Guatemala City, Panama City and Concepción city. The project focuses on three specific aspects of transport sustainability: Bus Rapid Transit (BRT), Bus Regulation and Planning (BRP) and Non-Motorized Transport (NMT)
 - Promoting vehicles energy efficiency: this initiative is aimed at promoting fuel economy improvements through partnerships with public and private sector institutions in raising awareness and understanding of low cost technology options, policy options, and their likely impacts. With support from Michelin, UNEP and the International Energy Agency have jointly organized two workshops during their annual Challenge Bibendum events. In addition, a component approach currently being implemented is the Promotion of environmentally friendly vehicle air conditioning with a focus CO2 based system and energy efficiency improvement features
 - Global Initiative on BRT systems: Primarily funded by the Global Environment Facility and executed by the Institute for Transportation and Development Policy (ITDP), this

global initiative focused mainly on providing technical assistance for planning, design and implementation of BRT systems in Tanzania, Colombia and Indonesia. Non-motorized transport e.g. pedestrian pathways and cycling networks facilitate efforts to transition from private to public transit systems and other alternative modes of transport. This initiative has prepared a comprehensive *Planning Guide on BRT* and is currently in use in the project countries.

g) UNEP Risoe Centre on Energy, Climate and Sustainable Development (URC)

233. Established in 1989 and funded primarily by the Danish Government and its scientific research centre – Risoe National Laboratory for Sustainable Energy of the Technical University of Denmark (Risoe DTU) - the Centre provides the location for the UNEP Risoe Centre on Energy, Climate and Sustainable Development (URC). The Centre's main focus is the integration of energy, climate and sustainable development issues into national planning and policy worldwide, as well as supporting international activities related to global and regional environmental agreements, such as the UN Framework Convention on Climate Change (UNFCCC). Staffed by an international group of scientists, engineers and economists, the Centre supports research by local institutions, coordinates projects, disseminates information, and has an active research programme which it implements in close collaboration with other institutions in Denmark and internationally.
234. From its numerous activities, the UNEP Risoe Centre has produced many publications. Examples of activities which the centre has implemented, primarily with the Energy and the SCP Branches, are activities related to: climate change, implementation of renewable energy technologies in Egypt, Ghana and Zimbabwe, overcoming barriers to renewable energy technologies in India, power sector reform in sub-Saharan Africa, economics of greenhouse gas limitations - methodological guidelines, mitigation and adaptation cost assessments, and methodologies and tools for wind and power projects.

h) Summative Comments

235. While there is considerable clarity in the strategy and approach to its energy work with substantial gains being accomplished through the Sustainable Energy Finance Initiative, the normative parts of UNEP's work in the area of policy frameworks and support to governments in policy development in the energy sector is not sufficiently developed. According to staff, there seems to be a "mismatch between UNEP Management expectations for countries and resources to provide the required support to governments". Whilst there has been a renewal of interest from management on energy policy issues since late 2008, and there is now an 'energy facility' with two staff allocated to work in the Energy Branch, this does not provide the critical mass of staff required to undertake this normative work in a comprehensive manner. There is a clear niche for UNEP to provide policy advice to countries to assist them in preparing for a wide variety of new energy initiatives.
236. A January 2005 evaluation of the Risoe Centre concluded that the centre had experienced rapid growth in its work with increased diversity in its program portfolio and a fast growing presence across developing countries. While the centre had made considerable inroads into achieving its longer-term objectives of bringing about change in energy policies and strategies conducive to environmental goals, the centre itself required improvements in its institutional arrangements and operational procedures. From the management response and follow-up to this evaluation, it is clear that the Centre has been responsive to the evaluation recommendations. While the procedural issues have been addressed, changes in the institutional arrangements seemed to depend on the availability of financial resources and, therefore, were not pursued to any significant extent.

v) **International Environmental Technology Centre**

237. This UNEP centre promotes and implements environmentally sound technologies (ESTs), including management systems for disaster prevention, production and consumption (including waste) and water and sanitation.

Table 8. Summary of Expected Accomplishments, performance measures and reported results for the International Environment Technology Centre (2002-2009)

	2002-2003	2004-2005	2006-2007	2008-2009 (Included under SCP)
Expected accomplishment (for sub-programme element)	e) Enhanced capacity of countries in assessing and adopting environmentally sound technologies and practices, and greater worldwide use of technologies, products and services which are cleaner and safer.	a) Improved capacities for environmental management of watersheds in relation to water supply and sanitation at the regional, national and local (both rural and urban areas) levels.	(a) Enhanced ability of public and private sector decision makers and organizations to access, adopt and use environmentally sound technologies and to make informed choices about water resources management and energy production and use;	
Performance Measure	3) The number of countries that have improved their capacities to assess and adopt sound technologies and practices as a result of UNEP capacity building activities.	1) Increased number of governments and national agencies implementing integrated watershed management plans, with a view to achieving WSSD targets.	1) Increased number of local and national authorities implementing integrated water resources management plans, and adopting environmentally sound technologies and practices. 2) Increased investment in renewable sources of energy and energy-efficient technologies in all regions, as evidenced by the value of programmes, projects and networks initiated with UNEP support.	
Final Result reported		1) 3 national agencies from Iraq have participated in IETC's activities related to IWRM. 3 institutions (1 Egyptian, 2 Japanese) have provided assistance to organize the above activities in cooperation with IETC. IETC worked with the Polish	1) As of December 2007, 51 governments (exceeding the target by 2%) have implemented the Integrated Water Resources Management Plans. 2) As of December 2007, US \$105 million	

Academy of Sciences and prepared a manual on Integrated Watershed Management, including Phytotechnology and Ecohydrology, and a pilot project at Peliza has been implemented. The Ministry of Environment and natural resources (SEMARNAT), Government of Mexico, state of Jalisco, jointly with Friends of Chapala Lake, Shiga prefectural Government of Japan, and International Lakes Environmental Committee, have revised the management plan for Chapala Lake and the watershed basin. The management plan is under implementation.

(exceeding the target by 5%) has been invested in renewable sources of energy and energy-efficient technologies in all regions.

238. Over the past three biennia, the Branch's expected accomplishments have focused on assisting countries in assessing and adopting environmentally sound technologies and practices, including greater worldwide use of technologies, products and services which are cleaner and safer (2002-2003), but specifically on watersheds in relation to water supply and sanitation at the regional, national and local level in 2004-2005. In 2006-2007, the focus shifted to assisting public and private sector entities to adopt and use environmentally sound technologies and to make informed choices about (a) water and sanitation, (b) production and consumption with special focus on waste management and 3R, and (c) environmental aspects of disaster management and prevention." The Branch aimed at achieving these results through a number of initiatives discussed in the paragraphs below.

a) **Water and sanitation**

239. The Branch's water and sanitation initiatives involve improving access to safe drinking water and basic sanitation on a sustainable basis with the aim of contributing to achieving the Millennium Development Goal and WSSD targets. In 2004, the Branch focused its activities on identifying suitable Environmentally Sustainable Technology (EST) options; raising technical and institutional capacity to assess, introduce, and manage such options; and supporting on-the-ground implementation on a pilot basis. Information on the implementation of ESTs for water and sanitation was disseminated, using electronic and other means. By the end of 2007, 51 national Governments had prepared Integrated Water Resource management Plans which are currently under implementation.

b) **Iraqi Marshlands**

240. A key initiative of the Centre in the area of water and sanitation was its support for "Environmental Management of the Iraqi Marshlands", within the framework of the United Nations Trust Fund for Iraqi Reconstruction. The UN 21 award winning project, funded by the Government of Japan, was designed to monitor and assess current conditions of the Iraqi Marshlands; disseminate information and assessment tools; build capacity for technical and policy management; and implementation of EST options on a pilot basis for drinking water, sanitation, and wetland and water quality management. The project also facilitates policy and strategy formulation and coordination. The project's capacity building activities involved the training of Iraqi officials and stakeholders. Three training events were undertaken 2004; two in Japan in the areas of water quality management, sustainable sanitation, and one in Egypt in phytotechnologies for wetland management. In 2005, additional seven training courses provided capacity building opportunities for around 200 Iraqi participants in several areas including; application of Remote Sensing and GIS for Marshland Assessment and Monitoring, Marshland Information Network, Integrated Water Resource Management (IWRM):Policy and Integration Environmentally Sustainable Technologies for Drinking Water Provision, Community Level Initiatives, Wetland Management, EST Assessment.

241. Preparatory tasks related to assessing the feasibility of pilot implementation of water, sanitation, and wetland management in a dozen settlements were undertaken. In 2005, as part of its activities in EST implementation to provide safe drinking water, as well as to demonstrate sustainable sanitation and wetland management practices, six communities in the Thi-Qar, Missan and Basra governorates were selected for pilot implementation.

242. The project also launched the Marshland Information Network (MIN), an internet-based information system, to share satellite imagery of re-flooding conditions and other data, tools for assessment, and project information in both English and Arabic. The ***Iraqi Marshlands Observation System (IMOS)*** was also established to monitor the extent and distribution of re-flooding and associated changes in vegetative cover. Twenty-two downloadable maps of marshland cover were produced by August 2005. The Iraqi Marshland Project has become

the core activity in the area of water and sanitation, however, the Branch has continued to work on its original mandate on freshwater issues such as water augmentation and sanitation.

243. Several communication and outreach activities, including a public forum in Japan and a documentary on Iraqi Marshlands have been broadcast on BBC's Earth series. In 2007, over 120 news items on Iraqi marshlands were documented. Satellite imagery showed that the Marshlands had recovered to about 40%. What is not clear, however, is the extent to which the 40% recovery of the marshlands can be attributed to the UNEP Marshlands project.
244. Among other water and sanitation activities are DTIE' programme to **improving access to water** In Jamaica and the demonstration of the use of phytotechnology in water quality improvement. The International Environmental Technology Centre and the UNEP Caribbean Environment Programme Regional Coordinating Unit initiated a project in 2007 to address the need for improving access to water and wastewater provision in rural communities in environmentally vulnerable areas. A pilot study was implemented to improve access to safe water, and several interventions for environmentally sound water provision, including improvements in rainwater harvesting and disinfection, have been identified. Another initiative, A pilot project was implemented in Bocaina, Brazil to demonstrate the application and efficiency of Phytotechnology to improve water quality. This project involved the design and implementation of an artificial wetland to treat domestic effluent.

c) Sustainable consumption and production

245. A good example of inter-branch collaboration and synergy is IETC's continuing work with the Sustainable Consumption and Production Branch in the areas of integrated waste management, the 3R initiative, Eco-towns and Green Procurement.

d) Integrated waste management

246. In the 2004-2005 biennium IETC, in close collaboration with DTIE's Sustainable Consumption and Production Branch, among other things, finalized the publication "Waste Management Planning - An Environmentally Sound Approach for Sustainable Urban Waste Management - An Introductory Guide for Decision Makers". Another key activity in this area was the acceptance by the ASEAN countries of a "Programme of Action on Integrated Waste Management" for implementation by the ASEAN Secretariat. IETC has provided backstopping and support to the secretariat (under the Secretariat's Clean Land Initiative) with a focus on waste management issues. This work is being carried out with the support and guidance of the ASEAN Working Group on Environmentally Sustainable Cities (AWGESC). IETC has worked on the issue of Integrated Solid Waste Management since 2006 and prominent activities include: Integrated Solid Waste Management (ISWM) in China, ISWM Plan for Maseru, Lesotho, ISWM Plan for Pune, India.
247. The China project was undertaken under a Framework Agreement where UNEP is assisting Wuxi New District (WND) in China to analyse solid waste from municipal, industrial and health care sectors and develop an ISWM Plan covering aspects including waste minimisation, recycling and reuse, collection and transportation, sorting and material recovery, treatment, and disposal and gas recovery. Another key project, the preparation of ISWM Plan for Maseru, Lesotho was implemented in collaboration with the Ministry of Environment, Lesotho and involves in phase 1 baseline data was collected to characterise and quantify the waste from various municipal, industrial and healthcare sectors. Phase II is planned under proposed Norwegian funding. In close cooperation with the Ministry of Local Government, an ISWM Plan will be developed and a pilot activity carried out to build local capacity and to support ESTs over a 12-month period. In Phase III, the Maseru City

Government will implement the ISWM Plan. Under a proposed Norwegian funding, preparation of the ISWM Plan for Pune, India will aim to develop local capacity and support ESTs for solid waste from all waste streams. Emphasis will be given to new forms of waste, such as electronics waste, and more difficult wastes from industry and the healthcare sector.

e) 3R (Reduce, Reuse and Recycle) initiative

248. Given Japan's advances in implementing a comprehensive life-cycle based economy using the 3R principle, IETC has worked closely with the Japanese Ministry of Environment in documenting the process and drawing lessons for replication in developing countries. Among other collaborative activities with the SCP programme is the Centre's work on Ecotowns with the city of Kawasaki. The Centre has collaborated with Kawasaki City in setting up the Asia-Pacific Eco-Business Forum to foster business linkages on environmental issues. The Centre has also collaborated with the SCP programme to promote green supply chains and green procurement in the Asia-Pacific region.

f) Disaster Prevention and Management

249. Among the key initiatives of the Branch in disaster prevention and management are its work at the World Conference in Disaster Reduction in Japan in 2005 where it collaborated with UNCRD and World Health Organization to organize a thematic session of the conference and shape the report on the underlying Risk Factors for disasters. The Center also organized side events and entitled Environmental Management and Disaster Preparedness. Another assessment report on the damage caused by the Tokage Typhoon in Toyooka city, Japan seems to complete the key reported activities of the centre in this area.

g) ESTIS (Environmentally Sound Technologies Information System)

250. Over the period covered by this evaluation, IETC pursued development of an Environmentally Sound Technologies Information System (ESTIS). Users have found ESTIS useful for creation and management of information on the Internet, sharing and searching for information (www.estis.net). The system was presented to a sub-regional meeting organized by UNDESA for Southeast Asia, in Bangkok, in 2004. In 2005, nine new networks were established. ESTIS is now being used by other UN agencies such as WHO and UN-DESA for specific projects. The system is also available in Arabic and French. The first ESTIS server in Africa was set up in Benin, in May, 2005.

h) Summative Comments

251. This evaluation has found that there is a clear lack of critical mass of staff in all three 'pillars' (solid waste and disaster preparedness and water and sanitation) of IETC's work. There is one staff member in the solid waste programme at the P-3 level, one in the disaster preparedness programme and 3 in the water and sanitation programme.
252. According to staff there is an increasing disconnect of IETC work programme with the original IETC mandate for work at Shiga, and the priorities of the Shiga office's host organization, the International Lakes Environment Committee, on integrated lake and water management. While it is true that UNEP's priorities cannot be dictated by the needs of a local authority irrespective of whether it is a hosting institution or not, there is a need to regularly communicate changes in UNEP priorities clearly to the government of the prefecture and synergies between UNEP's work and local priorities need to be identified. It is, indeed, important that the continuing relevance of the Shiga Office's mandate to work on "integrated lake and water management" is reviewed to determine how best to reconcile that mandate with UNEP's current focus on sanitation / water quality improvement. The changes

in IETC's priorities were communicated to IETC's International Advisory Board in 2006. Representatives from Government of Japan (Ministry of Foreign Affairs, Ministry of Environment), Shiga Prefecture, Osaka Prefecture, and our partner organisations (International Lakes Environment Committee, Global Environment Centre Foundation) were present at the meeting.

253. The evaluation has further found that the separation of the Centre into two offices, one in Osaka and the other in Shiga, inhibits a unified sense of belonging to IETC. This is further compounded by the reality that most professional staff are working on issues by themselves, the exception being the Iraqi Marshlands project.
254. The evaluation team is aware that the first process for the recruitment of a permanent Head of IETC failed and the vacancy has been pending for over 2 years. The evaluation further understands that the recruitment for this position is imminent. This evaluation commends the Division for taking immediate steps to fill its vacant positions, in the context of the changes to the recruitment processes that are set to be introduced in the UN system, with the concomitant increases to the time required to complete them.
255. Staff of IETC noted that public awareness of the work of UNEP in Japan is low. In order to increase the potential for resource mobilization through the Government of Japan (GOJ), and gain more popular public support in Japan, there is a need to increase the efforts and resources allocated to UNEP's public awareness activities there. The Director of IETC should mobilize resources to support these activities (e.g. include a public awareness budget line in IETC project proposals) and actively pursue collaboration and synergies with DCPI to assist awareness-raising activities.
256. The unique role that can be played by IETC in promoting risk reduction mechanisms for prevention and preparedness of disasters and conflicts needs to be clarified within UNEP. Disasters and conflict work undertaken within UNEP by IETC, the Post Conflict and Disaster Management Branch in DEPI and DEWA Early Warning and Assessment Branch need to be rationalized. A clear articulation of UNEP's role and mandate to tackle the environmental dimensions of disasters and conflicts is required. A clearly stated role and mandate would aid effective coordination and cooperation with other agencies such as OCHA, UNHCR and UNDAC.
257. The evaluation observes that when a Director for IETC is appointed the reporting lines to, and the programmatic responsibilities of, the Deputy Director will need to be reviewed. Under current arrangements the reporting relationships are unclear.
258. To address the above in a manner that engages all staff of IETC, a strategy for the Centre is needed. This strategy should be prepared using a participatory process that includes both Osaka and Shiga offices, host organizations and GOJ representatives
259. The PCFV, one of UNEP's most successful activities and award winning programme, is a global programme which promotes better urban air quality in developing countries through cleaner fuels and vehicles. The clearinghouse for the partnership is hosted by UNEP. A partnership of over 80 organizations from the private sector including both the oil industry and automobile industry), governments, NGOs and international organizations are working together to promote and implement activities through PCFV. The focus is on the phase out of leaded gasoline worldwide, the reduction of sulfur in fuels, and the introduction of clean vehicles technologies and clean vehicles. The PCFV Clearing House and UNEP are supporting activities at the global, regional, sub-regional and national levels.
260. The **Sustainable Cities Programme** is a joint undertaking between UNEP and the UN Human Settlements Programme (UN-HABITAT). The programme supports local authorities

in urban environmental planning and management. Funded by the government of the Netherlands, the sustainable cities programme provides an important vehicle for UNEP to strengthen capacities in cities to address global environmental concerns at the local level. The SCP approach and network are used in several other UNEP initiatives, including GEO Cities and Cities Alliance. In collaboration with **UN-HABITAT**, the program prepares tools, publications and workshops on EPM and various urban environmental issues such as air quality, climate change and gender. The sustainable cities programme is currently active in approximately 40 cities around the world.

261. A related programme, **Cities Alliance (CA)**, is a coalition of partners through which UNEP supports cities in poverty reduction and sustainable development. The purpose of UNEP's participation in the Cities Alliance initiative is to ensure that the environmental component is strengthened in CA activities, the CA mandate and in urban development in general. The key areas of UNEP's contribution to the alliance as stated are to:

1. Provide environmental inputs to CA projects;
2. Develop projects with an environmental component: in the areas of water and sanitation, air quality, urban environmental planning, poverty reduction. UNEP will also promote issues that have not been central to CA projects such as life-cycle economy, "3-R" approach, energy efficiency, and the ecosystem services approach for poverty alleviation;
3. Highlight local-global linkages in sustainable urban development. For example, cities can reduce waste disposal to coastal areas, thereby protecting the coastal and marine environment; more efficient and renewable energy sources will reduce greenhouse gas emissions; and improved natural resource management in cities will preserve biodiversity;
4. Strengthen the environment in the CA mandate through the provision of normative inputs by formally submitting policy papers to the CA, for example, on ecosystem services and cities, urban sustainable development, and the link between urban environment and urban poverty reduction. UNEP assisted the CA Secretariat in organising the annual CA Public Policy Forum in 2006 to focus on environmental sustainability of cities; and
5. To strengthen cooperation with CA members through its work with the CA, UNEP will increase cooperation with bilateral donors and multilateral organizations, especially The World Bank and UN-HABITAT.

262. **Eco-housing** is a concept that applies sustainability principles to the entire lifecycle of a housing project; from design, through construction and maintenance to the "end of life" activities. UNEP has established an Eco-housing Project in Asia and the Pacific.

263. While the GEO Cities can be reported under UNEP's work in Urban Environments, it is technically an off-shoot of UNEP's flagship publication – The GEO. The GEO Cities are assessments of the state of the environment in cities. These assessments have so far been prepared for 38 cities most of which are in the Latin American and the Caribbean region with additional 12 ongoing.

a) **Summative Comments**

264. The urban environment unit, while administered under DTIE, is located at UNEP Headquarters in Nairobi. Their location facilitates representation of the Division in important meetings that staff of the Division cannot travel to attend. The Unit also facilitates improved

flow of information between headquarters and the division, as well as attempting to ensure that administrative issues such as processing of SSAs, financial disbursements, and staff recruitment are not delayed as often is the case. While a positive development, this dual role imposes a heavy time burden that detracts from the time available for the core work of the unit.

265. The Urban Environment Unit is at the heart of a high profile and one of most successful of UNEP's collaborative activities. Given the extensive engagement required to coordinate three (3) of UNEP's Six (6) thematic priorities requiring constant communication and interaction with headquarters, what is perhaps required is the posting of a liaison officer to the Unit to play both an administrative and representational role for the Division. In that way, programme officers could focus on their substantive roles to deliver their work programme.

C. Interdivisional Collaboration

266. In order to deliver its work programme DTIE collaborates extensively with the Division of Regional Coordination where Industry Officers are posted to all Regional Offices to implement the Divisions Sustainable Consumption and Production work. The Division's regional presence has been strong over the years. In the evaluation of the Coordination Office of the Division of Regional Cooperation in 2004, the Division's out-posted officers were noted as an example of an area in which collaboration worked particularly well. Another key area where collaboration is evident is DTIE's work on the execution of projects funded by the Global Environment Facility which necessitates close collaboration with the Division of Global Environment Facility Coordination (DGEF).
267. The Division has also worked effectively with the Division of Communications and Public Information (DCPI), especially on its publications and youth programme. Indeed there has been effective collaboration with DCPI on climate change issues including effective outreach activities such as films, campaigns, messaging and the publication of a climate change strategy. The two Divisions also collaborated effectively in the campaign to phase out lead in fuels. Based on discussions with staff of the Division, however, there is a level of frustration with the implementation of the publication policy (which causes inordinately lengthy delays in publications) that requires attention. The vacant Information Officer's position is also a source of concern for staff because it affects some of their outreach activities. The need to ensure the amalgamation of all websites in DTIE with that of the DCPI was expressed.
268. In the area Economics and Trade the Division collaborates extensively with MEAs especially CITES and CBD. The Division also collaborates with DEPI in the implementation of activities related to energy and climate change and ecosystems management and Disaster Preparedness through IETC's work and with DEWA on integrated assessments.
269. The Chemicals Branch tends to work more closely with the chemicals conventions and less with other Divisions because of the very nature of their work. However, the Division of Global Environment Facility Coordination has had long term collaboration with DTIE in delivering its POPs activities with two outposted staff located in the Chemicals Branch. While there has been some concern about the development of parallel activities by DGEF^a to what the Chemicals Branch had been doing resulting in the separation into policy and implementation arms of the Chemicals Branch, there is continuing collaboration to implement GEF projects.

^a This concern has its origins quite early in the history of DGEF during the tenure of its first director.

- 270. Collaboration occurs with the Division of Environmental Conventions and Law through DTIE's linkages with MEAs and conventions in areas related to the Montreal Protocol, the Basel Convention, Regional Seas Conventions, the Rotterdam Convention , CITES, CBD and now to a significant extent, UNFCCC.
- 271. The compliance assistance programme team of the DTIE's OzonAction Programme under the Multilateral Fund has out-posted a total of 19 officers to the Regional Office for Africa, the Regional Office for Asia and the Pacific, the Regional Office for Latin America and the Caribbean and the Regional Office for West Asia.

D. Partnerships

- 272. A review of the links to and partnerships created by the Division in implementing its activities shows that the nature of and types of partnerships created have not changed substantially since the last evaluation in 2000. However, the extent of the activities and breadth of these partnerships have expanded. The Division has generally continued to work with governments, industries, financial institutions, bodies of the United Nations system and non-governmental organization.
- 273. The FI programme in the Economics and Trade Branch accomplished its activities through the creation of partnerships not only with the financial services institutions but also with NGOs, Pensions funds and Civil Society Groups world wide. Among the Branch's other key partners are governments, UN agencies including: UNCTAD, UN Regional Commissions, universities e.g. McGill, WTO, World Customs Organization, and a host of Multilateral Environmental Agreements including CITES and CBD. Private sector partners include: banks, insurance companies, and pension funds. The work of the ETB may have significant synergies with work undertaken by the CGIAR, and possible opportunities for collaborative work should be further explored by the branch.
- 274. In delivering its work, UNEP Chemicals collaborates with governments, organizations like the OECD, and non-governmental organizations. It also works closely with agencies within the UN family, including WHO, FAO, UNIDO, ILO, UNITAR, UNDP and the World Bank, and with the secretariats of the Basel, Rotterdam and Stockholm conventions on chemicals and wastes.
- 275. In its sustainable consumption and production work, DTIE works with three broad categories of stakeholders. They include: governments, business and industry, and civil society. Governments play a critical role through the development and implementation of policies that promote sustainable production and consumption. They develop and implement strategies, national programmes and action plans for sustainable production and consumption, promote sustainable public procurement and develop capacity for the integration of SCP objectives in national development plans.
- 276. DTIE supports and encourages business and industry to incorporate SCP and corporate environmental and social responsibility principles and policies into their core business activities. These include, among other things, management tools, strategies and new business models. Among key local partners are cleaner production centres, national business and industry associations, training and research institutions and industrial centres of excellence. Civil society organizations are instrumental in implementing DTIEs initiatives on SCP. They are very instrumental and participate in the Marrakech Process. Among key civil society partners are scientists, academics and researchers who provide the scientific knowledge and data on the environmental and social impacts of resource extraction and use

and constitute the core partners who assist in developing new and innovative approaches to promote sustainable resource use.

277. The Branch has very strong partnerships with other UN agencies and, in particular, with UNIDO. It has forged strong partnerships with UNDESA in delivering its sustainable or green procurement and sustainable building and construction activities. Even the World Bank Group has responded to technical advice provided by UNEP and UNIDO and now incorporates cleaner production in its financing schemes.
278. From cities all over the world to national governments, universities and research institutions civil society organizations, and financial service institutions the Energy Branch has collaborated extensively in conducting research, implementing demonstration activities, implementing end-user financing mechanisms for renewable energy technologies, works with the international finance industry including banks and insurance companies and promotes sustainable transport.
279. Universities, Academies of Sciences, National Research Centres, regional bodies such ASEAN, government ministries and local governments are instrumental in IETCs work in developing models, guidelines, integrated water management plans, and technical approaches for water and waste water management activities.
280. The urban environment programme has worked substantially with governments and NGO, the private sector including the oil and automobile industries, and other international organizations on the partnership for clean fuels, with cities and UN-Habitat on the Cities Alliance coalition as well as the GEO cities programme.

V. MONITORING AND EVALUATION

281. The monitoring arrangements established for the organization's activities are mostly related to reporting through the UN Secretariat's IMDIS system on outputs and activities as well as expected accomplishments and lessons learned for programme improvement. Biannual reports are prepared for each expected accomplishment by the managing Branch describing the status of results and outputs for the various activities that contribute to the Expected Accomplishment. These reports are cumulative, resulting in aggregated output reports, an accomplishment account and a statement of accomplishment over a biennium. The reports form the basis of accountability both to the organizations Governing Council and the United Nations. Although the monitoring reports are expected to measure expected accomplishments based on the indicators developed during programme design, it is quite clear that the monitoring plans were never systematically implemented and the data collection methods, which themselves were not adequate to measure the indicators of performance, were never really systematically implemented. The monitoring plans were considered as bureaucratic exercises and often ignored during the biennium. Indeed, without good baseline information in many cases, any data collected would not have been useful in determining the levels of accomplishment and answering the questions regarding the "attribution" of the reported results to UNEP's efforts.
282. Outside the half yearly IMDIS reporting, progress reports are prepared as required in project documents. They are often descriptions of project activities and outputs that do not convey a sense of the progress achieved. These reports often form the basis for disbursement of project funds at different stages of the project. Review of samples of these reports and evaluation commentaries reviewed by the evaluation team show that the quality of these reports varies considerably. The depth of information and analysis found in these reports differ considerably from very good to poor. What is clear, however, is that besides GEF projects, adequate provision has not been made for including monitoring and evaluation plans at the project level. This particular finding is not limited to DTIE. It is a common finding in UNEP evaluations because there had until recently been no specific requirement for a monitoring and evaluation plan in project documents.
283. The monitoring of performance has varied among branches, programmes and projects. Some branches have been proactive in monitoring, collecting user feedback and even identifying best practices and lessons from the implementation of their activities. Best Practice examples include: SCP's June 2008 publication on "Building Nepal's Private Sector Capacity for Sustainable Tourism Operations: A collection of Best Practices and Resulting Business Benefits", review of the project "promoting production and trade opportunities for organic agriculture products in East Africa"; best practices for organic policy; Environmental Management and Disaster preparedness: *Lessons Learnt from the Tokage Typhoon (Typhoon 23 of 2004) in Japan*.

a) Adequacy of monitoring and evaluation mechanisms

284. The required provisions for the evaluation of projects have generally been adhered to with provision made in project budgets specifically for evaluation. Even though reluctantly sometimes, in general, managers have used the opportunity to organize in-depth mid-term evaluations or reviews that are very much needed to guide the implementation of their initiatives which have been active for several years. While there is a general willingness to conduct evaluations of programme and project activities within the Division, there is a general tendency to under-budget for them.

285. Monitoring performance has direct bearing on adaptive management capacity. Indeed, the ability of UNEP to monitor its activities, identify and deal with externalities, anticipate constraints and implement corrective actions in a timely manner is critical to its “quality control” processes and influence implementation performance. For these reason, monitoring demands have and will continue to increase.
286. As in many of the Expected Accomplishments of the Division reviewed over the biennia from 2002-2007, this evaluation observes that the Expected Accomplishments are pitched at a fairly high level where the achievement is beyond the exclusive control of UNEP. There are significant attribution issues and understanding causality is especially important when examining the suitability of the indicators to measure the Expected Accomplishments. In other words, the relationship between Expected Accomplishments and performance indicators suggest simple causalities when, in fact, it is quite likely that the results being measured will not be entirely due to UNEP’s intervention; especially when one considers the fact that UNEP’s POW will be implemented through a large number of partnerships and collaborative arrangements. It is thus, to a large degree, reliant on the performance of many other actors in delivering against the Expected Accomplishments. This raises issues of risk in programme implementation and supervision and adds to the difficulty of attributing results to UNEP’s work or identifying UNEP’s contribution to such results. In addition, the absolute nature of most of the baselines will pose a challenge for the definition of the counterfactuals (what would have happened anyway without UNEP intervention). In some cases, no clear linkages between the expected accomplishments, strategies for achieving results and indicators could be ascertained.
287. Indeed, the Expected Accomplishments and the indicators, for the most part, were not designed to be SMART (Specific, Measurable, Achievable, Relevant and Time-bound). The evaluability concerns identified above are relevant not only for the period under review but more importantly for the POW of 2010-2011.

ANNEXES

A. List of Publications

Sustainable Consumption & Production Branch

1. Sowing the Seeds of Change: An Environmental and Sustainable Tourism Teaching Pack for the Hospitality Industry (English & French) - June 2008
2. Building Nepal's Private Sector Capacity for Sustainable Tourism Operations: A collection of Best Practices and Resulting Business Benefits - June 2008
3. Resource Kit on Sustainable Consumption and Production - 2008
4. The Kyoto Protocol, the Clean Development Mechanism, and the Building and Construction Sector
5. Planning for Change: Guidelines for National Programmes on Sustainable Consumption and Production
6. Indicadores de CPS para países en desarrollo - Un marco de orientación
7. Climate Change and Tourism - Responding to Global Challenges
8. SCP Indicators for Developing Countries - A Guidance Framework
9. Diseño para la Sostenibilidad - Un enfoque practico para economias en desarrollo
10. Climate Change Adaptation and Mitigation in the Tourism Sector: Frameworks, Tools and Practices
11. UNEP/UNESCO youthXchange Training Kit on Sustainable Consumption: Towards Sustainable Lifestyles (2nd Updated Edition 2008)

Energy Branch

1. Investing in a Climate for Change: Engaging the Finance Sector
2. Global Trends in Sustainable Energy Investment 2008: Analysis of Trends and Issues in the Financing of Renewable Energy and Energy Efficiency
3. Analysing Our Energy Future: Some Pointers for Policy-makers
4. Reforming Energy Subsidies

Risoe Centre Publications

1. Legal Issues Guidebook to the Clean Development Mechanisms
2. Institutional Strategy to Promote the Clean Development Mechanism in Peru
3. Clean Development Mechanism

IETC

1. Every Drop Counts
Environmentally Sound Technologies for Urban and Domestic Water Use Efficiency
2. Resource Augmentation by Tapping Renewable Resources and by Utilizing Waste in Viet Nam
3. E-Waste Vol. 1: Inventory Assessment Manual, Dec 2007 (PDF 1.7MB)
4. E-Waste Vol. 2: E-waste Management Manual, Dec 2007 (PDF 2.2MB)
5. Strategic Elements in Implementing the 3R Platform: UNEP's Contribution, March 2006 (PDF 70KB)
6. Integrated Waste Management Scoreboard, Dec 2005
7. Solid Waste Management,
8. Waste Stabilization Ponds and Constructed Wetlands - Design Manual, 2005
9. Eutrophication Management PAMOLARE2 - Shallow Lakes - model, Dec 2005
10. Integrated Watershed Management - Ecohydrology & Phytotechnology - Manual
11. Research on Eco-Towns in Japan: Implications and Lessons for Developing Countries and Cities
12. Environmental Management and Disaster Preparedness: Lessons Learnt from the Tokage Typhoon
13. Thematic Discussion Paper Cluster 4 - "Reducing the underlying Risk Factors" at World Conference on Disaster Reduction

14. Environment Management and Disaster Reduction
15. Environmental Management and Disaster Preparedness - Building a multi-stakeholder partnership, 2005 (PDF 3.36MB)
16. Water and Wastewater Reuse - An Environmentally Sound Approach for Sustainable Urban Water Management , Nov 2005
17. Report of the UNEP Roundtable on Iraqi Marshland Management, 2005 (PDF 1.4MB)
18. State of Waste Management in South East Asia, 2004
19. Phytotechnologies; A Technical Approach in Environmental Management, [FMS7] March 2003
20. Managing Urban Sewage; an Introductory Guide for Decision-makers [FMS10], March 2003
21. Guidelines for the Integrated Management of the Watershed –Phytotechnology and Ecohydrology [FMS5], December 2002
22. Biosolids Management; An Environmentally Sound Approach for Managing Sewage Treatment Plants Sludge [FMS1] November 2002
23. Phytoremediation: An Environmentally Sound Technology for Pollution Prevention, Control and Remediation [FMS2], November 2002
24. Rainwater Harvesting and Utilization [UE-2], Mar 2002
25. International Source Book on Environmentally Sound Technologies for Wastewater and Stormwater Management [TP 15], March 2002
26. Environmentally Sound Technologies in wastewater treatment for the implementation of the UNEP Global Programme of Action (GPA) "Guidance On Municipal Wastewater, January 2002

Economics and Trade Branch

Country Studies Round I, Phase II

1. Implementation of Policy Response Packages to Promote Sustainable Management of Natural Resources: Confronting Sustainability in the Mining Sector–Role for a Sustainable Fund (Country Study in Chile) (2003)

Country Studies, Round II

2. Integrated Assessment of Trade Liberalization and Trade-Related Policies, A Country Study on the Argentina Fisheries Sector (2002)
3. Integrated Assessment of Trade Liberalization and Trade-Related Policies, A country Study on the Cotton Sector in China (2002)
4. Integrated Assessment of Trade Liberalization and Trade-Related Policies, A Country Study on the Ecuador Banana Sector (2002)
5. Integrated Assessment of Trade Liberalization and Trade-Related Policies, A country Study on the Export Crop Sector in Nigeria (2002)
6. Integrated Assessment of Trade Liberalization and Trade-Related Policies, A country Study on the Fisheries Sector in Senegal (2002)
7. Integrated Assessment of Trade Liberalization and Trade-Related Policies, A country Study on the Forestry Sector in Tanzania (2002)
8. Integrated Assessment of Trade Liberalization and Trade-Related Policies, A Synthesis Report (2002) OUT OF PRINT (available electronically at: <http://www.unep.ch/etb/publications/intAssessment.php>)
9. Évaluation intégrée de la libéralisation des échanges et des politiques liées au commerce. Un rapport de synthèse (2004)

Country Studies, Round III

1. Integrated Assessment of the Impact of Trade Liberalization, A Country Study on China's Rice Sector (2005)
2. Integrated Assessment of the Impact of Trade Liberalization, A Country Study on the Colombian Rice Sector (2005)

3. Integrated Assessment of the Impact of Trade Liberalization, A Country Study on Indonesian Rice Sector (2005)
4. Integrated Assessment of the Impact of Trade Liberalization in the Rice Sector, A Country Study on the Nigerian Rice Sector (2005)
5. Evaluation intégrée de l'impact de la libéralisation du commerce – une étude de cas sur la filière du riz au Sénégal (2005)
6. Integrated Assessment of the Impact of Trade Liberalization, A Country Study on the Viet Nam Rice Sector (2005)
7. Integrated Assessment of the Impact of Trade Liberalization on the Rice Sector. UNEP Country Projects Round III - A Synthesis Report (2005)

Country Studies, Round IV

1. Sustainable Trade and Poverty Reduction: New Approaches to Integrated Policy Making at the National Level (2006) (*Synthesis report of nine countries studies*)
2. Individual country reports from Brazil, Chile, Colombia, Czech Republic, Indonesia, Kenya, Lebanon, Russia and Uganda are available electronically on our website (<http://www.unep.ch/etb/areas/IAPcountryProject.php>)

Manuals/Publications

1. Environmental Impact Assessment Training Resource Manual (second edition 2002) (Printed in Arabic and available electronically: <http://www.unep.ch/etb/publications/EIAMan2EdiAra.php> and CD-Rom)
2. Manuel de formation sur l'étude d'impact environnemental (disponible sur notre site internet <http://www.unep.ch/etb/publications/EIEManuelFormation2Edition.php> et en CD-Rom, 2007)
3. Environment and Trade: A Handbook, 2nd edition (2005) available in Spanish and Russian, soon in French
4. Implementing Sustainable development: Integrated Assessment and Participatory Decision-Making Process (December 2002)
5. Studies of EIA Practice in Developing Countries (a supplement to the UNEP EIA Training Resource Manual) (2003)
6. Environmental Impact Assessment and Strategic Environmental Assessment: Towards an Integrated Approach (2004)
7. Training Module: Introduction to Capacity Building for Environment, Trade and Sustainable Development (2004)
8. Mise en oeuvre du développement durable: Renforcement des capacités d'élaboration et de mise en oeuvre intégrées des politiques. Module de formation: Introduction au renforcement des capacités en matière d'environnement, de commerce et de développement (available electronically at http://www.unep.ch/etb/publications/Module_formationFR.pdf)
9. Handbook on Integrated Assessment of Trade-related Measures - the Agriculture Sector (2005)
10. Effects of Trade Liberalization on Agriculture in Lebanon - with Special Focus on Products where Methyl Bromide is used (2005)

Economic Instruments

1. Energy Subsidies: Lessons Learned in Assessing their Impact and Designing Policy Reforms (2003)
2. The Use of Economic Instruments in Environmental Policy: Opportunities and Challenges (2004)
3. Economic Instruments in Biodiversity-related Multilateral Environmental Agreements (2004)
4. Selection, Design, and Implementation of Economic Instruments in the Solid Waste Management Sector in Kenya: the Case of Plastic Bags (2005)
5. Sustainable Use of Natural Resources in the Context of Trade Liberalization and Export Growth in Indonesia: A Study on the Use of Economic Instruments in the Pulp and Paper Industry (2005)

Fisheries and the Environment Series

1. Fisheries Subsidies and Marine Resource Management: Lessons from Bangladesh (2004)
2. Policy Implementation and Marine Resource Management: Lessons from Senegal (2004)
3. Mise en oeuvre de mesures de conservation et gestion durables des ressources halieutiques : le cas du Sénégal (2004)
4. Evaluation de l'impact de la libéralisation du commerce - une étude de cas sur le secteur des pêches de la République Islamique de Mauritanie (2006)

Fisheries subsidies

1. Analyzing the Resource Impact of Fisheries Subsidies: A Matrix Approach (2004)
2. Incorporating Resource Impact into Fisheries Subsidies disciplines: Issues and Options – A Discussion Paper (2004)
3. Artisanal Fishing: Promoting Poverty Reduction and Community Development Through New WTO Rules on Fisheries Subsidies An Issue and Options Paper (2006)
4. Reflecting Sustainable Development and Special and Differential Treatment for Developing Countries in the Context of New WTO Fisheries Subsidies Rules An Issue and Options Paper (2006)
5. Sustainability Criteria for Fisheries Subsidies: Options for the WTO and Beyond (2007)

Intellectual Property Rights and the Environment

1. The Role of Intellectual Property Rights in Preserving the Spirit of Innovation, Experimentation and the Conservation Ethic at the Grassroots Level, by Anil K. Gupta (2003)

Chemicals

Non available

B. List of Interviewees

1. Sylvie Lemmet
2. Khalidar Bouzar
3. Lama Darghawth
4. Stefanos Fotiou
5. Arab Hoballah
6. Kaveh Zahedi
7. Charles Aden-Clark
8. Cornelius van der Lugt
9. Raj Shende
10. James Curlin
11. Mark Radka
12. Desta Mebratu
13. Niclas Svenningsen
14. Bas de Leuw
15. Adriana Zacarias
16. Isabella Marras
17. Ruth Coutto
18. Eric Usher
19. Guido Sonnemann
20. Saiful Ridwan
21. Susan Kikwe
22. Jeanette Curtin
23. Per Bakken
24. John Whitelaw
25. Agneta Sunden-Bylehn
26. Matthew Gubb
27. Hussein Abaza
28. Paul Clements-Hunt
29. Anja von Moltke
30. Asad Naqvi
31. Rob de Jong
32. Mary M'Mkindia
33. Peter Gilruth
34. Christina Boelke
35. Maryam Niamir-Fuller
36. Satinder Bindra
37. Surya Prakash
38. Hari Srinivas
39. Mushtaq Memon
40. Michiko Ota
41. Masami Oka
42. Julien Lefort
43. Yukio Yoshi
44. Chizuru Aoki
45. Vicente Santiago-Fandino
46. Olli Repo
47. Txema Beato
48. Erik Verschuur

C. UNEP Staff survey selected findings.

The questions for which more than one third of the responses were negative are shown. Highlighted questions are those for which negative responses outweighed the positive responses

UNEP Staff Survey Question	Issue	Category	Total positive %	Total negative %
I would recommend UNEP/my MEA as a great place to work	Commitment and Engagement	Myself	63.5	36.5
Even if offered a similar job with slightly higher pay elsewhere, I would stay with UNEP/my MEA*	Commitment and Engagement	Myself	45.2	52.2
My morale over the past year has been good	Commitment and Engagement	Myself	66.1	33.9
I am consulted on decisions that affect me and my work responsibilities	Empowerment and Participation	Myself	62.6	35.7
Staff who perform well in my division/office/MEA are acknowledged	Empowerment and Participation	My Division / office	56.5	38.3
Staff who continue to perform poorly in my division/office/MEA are sanctioned*	Empowerment and Participation	My Division / office	14.8	57.4
Work in my division/office/MEA is organised in a way that keeps stress to a manageable level	Quality of Working Life	My Division / office	53.9	37.4
In my team we regularly engage in conversations about how we are demonstrating values and ethics*	Values and Ethics	My Team	39.2	51.3
Raising issues of values and ethics is encouraged and supported in my team	Values and Ethics	My Team	54.8	51.3
The senior leadership of my division/office/MEA demonstrates transparency and integrity in their decision-making, and requires all levels of management to do the same	Values and Ethics	My Division / office	51.3	36.5
The values and behaviour expected of my division/office/MEA staff are clearly articulated and widely understood	Values and Ethics	My Division / office	54	37.4
Staff who do not uphold the values and ethical behaviour expected within my division/office/MEA are sanctioned*	Values and Ethics	My Division / office	20	37.4
My division/office MEA 'practices what it preaches' in terms of applying environmental standards to its work practices	Values and Ethics	My Division / office	54	34.8
I have the appropriate level of decision-making to effectively perform my job	Decision-Making	Myself	65.2	33.9
Our team has effective decision-making processes that allow all team members to participate in decision-making	Decision-Making	My Team	52.2	43.5
The reasons behind decisions are communicated effectively	Decision-Making	My Division / office	46.9	43.5
Decision-making mechanisms in my division/office/MEA are well understood*	Decision-Making	My Division / office	39.1	52.2
Decisions within my division/office/MEA are made on the basis of appropriate information and analysis	Decision-Making	My Division / office	40	38.3
Decisions in my division/office/MEA are taken in a timely manner*	Decision-Making	My Division / office	29.5	57.4
Decision-making mechanisms in my division/office/MEA are effective*	Decision-Making	My Division / office	33.9	49.6
Appropriate mechanisms are in place within my division/office/MEA for soliciting input and consultation on programme and policy issues	Decision-Making	My Division / office	45.3	41.7
A spirit of cooperation and teamwork exists within my division/office/MEA	Collaboration / teamwork	My Division / Office	60	36.5
My division/office/MEA has objectives and priorities which we all understand and share	Collaboration / teamwork	My Division / Office	55.7	39.1
Colleagues within my division/office/MEA keep each other informed of matters that concern my division/office/MEA	Collaboration / teamwork	My Division / Office	49.6	40
Colleagues within my division/office/MEA offer to help each other, even when they are busy with their own work	Collaboration / teamwork	My Division / Office	52.2	33.9
Colleagues within my division/office/MEA are recognised for working together as a team to deliver results	Collaboration / teamwork	My Division / Office	49.5	33
My roles and responsibilities are clearly defined	Planning and Coordination	Myself	67	33
My division/office/MEA has clearly defined priorities which guide our day-to-day work and decision-making	Planning and Coordination	My Division / Office	55.6	35.7
My division/office/MEA's responsibilities and programmes are well defined	Planning and Coordination	My Division / Office	53.1	37.4
Work across teams within my division/office/MEA is well-coordinated with little duplication of work*	Planning and Coordination	My Division / Office	39.1	49.6
My division/office/MEA has streamlined, efficient processes to support our work*	Work Processes	My Division / Office	37.4	53.9
My division/office/MEA regularly reviews the way we do our work and looks to improve our work processes*	Work Processes	My Division / Office	43.5	48.7
My division/office/MEA monitors and evaluates its performance against agreed benchmarks and performance standards*	Work Processes	My Division / Office	40	40.9

Internal meetings within my division/office/MEA are relevant and conducted effectively with clear agendas*	Work Processes	My Division / Office / Myself	34.8	54.8
I am satisfied with the information I receive about what is going on in UNEP*	Information and Knowledge-Sharing	Myself	45.2	54.8
I get the information I need to do my job when I need it	Information and Knowledge-Sharing	Myself	53	46.1
I receive timely information about policies and changes that affect me and my team	Information and Knowledge-Sharing	Myself	54.8	44.3
Work-related information is shared freely within my division/office/MEA	Information and Knowledge-Sharing	My Division / Office / Myself	52.2	41.7
I have training or professional development opportunities to learn, develop my skills and improve my knowledge to meet the requirements of my job	Competencies	Myself	49.5	48.7
I am offered training when new policies or technologies are introduced*	Competencies	Myself	38.3	59.1
I have opportunities for career advancement within UNEP*	Personal Growth and Career Development	Myself	35.7	60.9
I am confident I will be able to advance within UNEP*	Personal Growth and Career Development	Myself	41.7	53
In the past 12 months I invested a significant amount of my time in learning new skills or improving my knowledge	Personal Growth and Career Development	Myself	61.8	36.5
Staff in my division/office/MEA who lack required competence are coached and supported*	Personal Growth and Career Development	My Division / Office / Myself	30.5	41.7
UNEP/my MEA is investing in my professional development*	Personal Growth and Career Development	My Division / Office / Myself	33.9	59.1
My work space encourages creative and innovative thinking	Innovation and Change	Myself	62.6	36.5
Creativity and innovation are encouraged and recognised in my division/office/MEA	Innovation and Change	My Division / Office / Myself	49.6	39.1
Appropriate risk taking is encouraged in my division/office/MEA without fear of reprisal*	Innovation and Change	My Division / Office / Myself	33.1	47.8
My division/office/MEA constantly reviews our products and results and captures lessons learned*	Innovation and Change	My Division / Office / Myself	36.5	47
My division/office/MEA's staff members are receptive to change	Innovation and Change	My Division / Office / Myself	48.7	33.9
New practices and new ways of doing things are encouraged in my division/office/MEA	Innovation and Change	My Division / Office / Myself	42.7	40.9

D. Budgets and Expenditures by Branch for the Years 2004-2008

DTIE BUDGET AND EXPENDITURES FOR YEARS 2004 TO 2009

(Data based on IMIS Reports as of 18 September 2008)

DTIE EVALUATION DOCUMENT - ITEM NO. 4

DTIE Branch	Fund	2004 Allocation	2004 Expenditures	2005 Allocations	2005 Expenditures	2006 Allocations	2006 Expenditures	2007 Allocations	2007 Expenditures	2008 Allocations	2008 Expenditures	2009 Allocations	Total Allocations	Total Expenditures	
Intern. Environmental Technology Centre (IETC)	FP	801,695	577,499	676,891	671,441	784,160	553,340	553,340	879,607	850,000	465,548	0	3,480,000	3,147,435	
	CP	36,152	24,631	5,867	4,775	1,893,526	1,277,525	1,708,719	761,360	1,037,980	1,044,888	33,991	5,317,037	3,113,200	
	TF	10,917,409	1,662,978	12,087,968	9,580,780	4,350,871	3,078,322	2,555,362	2,067,964	809,994	1,453,895	0	26,211,694	17,843,516	
	Total	17,157,313	2,264,708	12,770,776	10,257,002	7,028,559	4,909,187	4,817,421	3,708,961	3,187,624	2,964,301	33,991	44,995,694	24,104,149	
	Actual Total	2,264,709	2,264,709	10,257,002	10,257,002	4,909,187	4,909,187	3,708,961	3,708,961	3,187,624	2,964,301	33,991	24,361,474	24,104,180	
Production and Consumption (SCP)	FP	2,377,112	1,763,102	2,916,710	3,033,264	3,390,174	3,120,889	4,038,925	3,977,987	3,080,000	2,950,807	0	16,713,921	14,851,069	
	CP	1,804,192	1,019,968	3,493,106	1,707,225	4,230,045	2,145,224	5,157,331	2,650,284	2,948,382	2,593,572	862,135	18,303,171	10,416,284	
	TF	153,931	42,278	1,329,002	252,276	94,320	94,319	1,845,231	471,964	1,558,149	700,683	0	4,281,633	1,561,405	
	Total	4,335,235	2,825,348	7,746,818	4,992,766	7,714,539	5,360,432	11,042,467	7,400,145	8,496,511	6,245,047	862,135	39,999,725	26,828,759	
	Actual Total	2,830,348	2,830,348	4,992,786	4,992,786	5,360,432	5,360,432	7,400,145	7,400,145	8,496,511	6,245,047	862,135	20,732,557	20,828,759	
Chemicals	FP	3,126,300	3,072,296	4,345,089	4,335,003	3,159,373	2,685,344	2,693,711	2,664,834	2,600,000	1,607,937	0	16,127,473	14,265,814	
	CP	1,936,307	1,731,891	2,157,043	1,943,373	1,808,404	1,581,469	1,146,167	536,384	1,394,645	816,710	0	8,492,526	6,406,957	
	TF	9,104,001	8,345,043	14,635,653	8,889,506	10,893,058	6,498,222	17,444,899	13,871,380	19,403,889	10,459,483	0	79,542,191	47,874,813	
	TFs	220,000	0	220,000	216,978	0	0	0	0	0	0	0	0	440,000	218,978
	Total	14,486,268	11,150,330	21,359,085	15,198,059	23,910,825	12,565,065	21,284,569	16,872,588	23,598,434	12,787,710	0	104,602,190	68,570,382	
Actual Total	11,150,330	11,150,330	15,198,059	15,198,059	12,565,065	12,565,065	16,872,588	16,872,588	23,598,434	12,787,710	0	79,385,086	68,570,392		
Energy and OzonAction	FP	1,039,352	933,749	1,586,455	1,586,219	1,403,979	1,225,204	1,900,546	1,799,760	1,762,531	1,437,710	0	7,692,863	6,982,848	
	CP	7,724,806	5,133,525	8,291,579	5,052,101	7,015,248	4,085,847	7,412,486	4,164,044	10,388,745	3,394,313	50,700	41,563,362	21,820,830	
	TF	16,079,535	11,620,752	20,954,310	12,977,714	25,026,754	10,975,802	24,446,898	15,689,715	28,019,734	10,859,755	500,000	118,027,037	62,114,828	
	RAL	0	0	0	0	0	0	0	0	180,000	0	190,000	380,000	0	
	Total	27,843,493	17,688,026	30,832,350	19,616,034	33,445,979	16,386,743	33,759,730	21,644,525	40,861,010	15,691,778	740,700	167,483,262	90,927,196	
Actual Total	17,688,026	17,688,026	19,616,034	19,616,034	16,386,743	16,386,743	21,644,525	21,644,525	40,861,010	15,691,778	740,700	116,637,036	90,927,196		
Economics and Trade (ETB)	FP	1,495,300	1,418,608	1,820,583	1,820,558	1,431,130	1,298,774	1,578,272	1,500,040	1,473,064	928,907	0	7,789,349	7,027,955	
	CP	1,395,228	1,180,376	1,142,429	801,318	1,567,993	968,790	990,745	774,081	987,581	331,110	0	6,083,944	3,955,875	
	TF	665,205	292,477	2,138,587	1,264,751	3,200,747	1,584,258	3,061,730	1,697,214	2,872,933	1,461,043	0	11,937,662	6,460,744	
	Total	3,555,733	2,891,461	5,099,599	3,886,627	6,199,674	3,752,823	6,631,747	4,231,343	5,333,338	2,721,120	0	25,821,255	17,483,374	
	Actual Total	2,891,461	2,891,461	3,886,627	3,886,627	3,752,823	3,752,823	4,231,343	4,231,343	5,333,338	2,721,120	0	20,095,582	17,483,374	
Division/ Private Sector	FP	2,327,741	1,918,300	2,712,994	2,711,108	1,644,113	1,216,200	2,220,103	2,218,703	1,812,300	1,548,504	0	10,717,251	9,612,816	
	CP	2,451,834	1,227,414	2,451,834	1,227,414	2,203,795	1,771,472	1,812,890	445,062	36,089	678,946	0	8,057,042	4,750,338	
	RAL	0	0	100,000	100,000	0	0	0	0	0	0	0	100,000	100,000	
	Total	4,779,575	3,145,714	5,264,828	4,038,522	3,847,908	2,987,672	4,032,893	2,663,795	1,848,999	2,227,450	0	19,774,293	14,463,154	
	Actual Total	3,143,714	3,143,714	4,038,523	4,038,523	2,987,672	2,987,672	2,663,795	2,663,795	1,848,999	2,227,450	0	14,064,893	14,463,154	
Urban	FP	0	0	0	0	0	0	0	0	495,522	19,703	0	495,522	19,703	
	CP	0	0	0	0	0	0	0	0	874,597	703,653	0	1,574,119	703,653	
	TF	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total	0	0	0	0	0	0	0	0	1,370,119	723,356	0	1,370,119	723,356	
	Actual Total	0	0	0	0	0	0	0	0	1,370,119	723,356	0	1,370,119	723,356	
GEF	FP	17,330	0	1,433,128	511,579	1,375,898	628,937	1,017,495	387,278	4,089,171	1,340,500	0	7,833,020	2,868,294	
	CP	17,330	0	1,433,128	511,579	1,375,898	628,937	1,017,495	387,278	4,089,171	1,340,500	0	7,833,020	2,868,294	
	TF	0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total	34,660	0	2,866,256	1,023,158	2,751,796	1,257,874	2,034,990	774,773	8,178,342	2,681,000	0	15,666,040	5,736,588	
	Actual Total	0	0	1,433,128	511,579	1,375,898	628,937	1,017,495	387,278	4,089,171	1,340,500	0	7,166,731	2,868,294	
GRAND TOTAL	72,138,947	39,968,588	84,900,584	58,501,210	83,540,554	45,892,858	81,586,441	56,908,645	86,775,196	44,697,262	1,436,826	411,978,548	245,968,584		
ACTUAL GRAND TOTAL	39,968,588	39,968,588	58,501,210	58,501,210	45,892,858	45,892,858	56,908,645	56,908,645	86,775,196	44,697,262	1,436,826	291,463,324	245,968,584		

Total
Actual Total

Budget allocation and expenditures for the year
Actual accounts considering that at the closure of accounts for the year expenditures become the actual budget when
(a) Balances are repaid, therefore becoming part of the following year's budget
(b) FPL balances are returned to the Environment Fund of UNEP at the end of a biennium

FP Environment Fund
CP Earmarked Contributions
TF Trust Funds
RAL Reserve

E. Terms of Reference for the Evaluation of Subprogramme 4

a) BACKGROUND

1. The overall objective of the subprogramme is to enable decision-makers in Government, local authorities and industry to develop and adopt policies, strategies, practices and technologies that promote sustainable patterns of consumption and production, make efficient use of natural resources, ensure safe management of chemicals and contribute to making trade and environment policies mutually supportive.
2. The Division of Technology, Industry and Economics is responsible for delivering the subprogramme. The programme strategy of the Division is implemented in seven areas: environmental technologies and technology cooperation; sustainable consumption and production; chemicals; energy; economics and trade; private sector outreach and partnership development and implementation; urban Environment; and OzonAction.
3. The greater part of the activities in respect of environmental technologies and technology cooperation is financed by contributions from the Government of Japan to the Technical Cooperation Trust Fund for the Establishment of the International Environmental Technology Centre in Japan.
4. The OzonAction programme is funded through the Multilateral Fund for the Implementation of the Montreal Protocol and GEF and therefore not included under this subprogramme evaluation. In its capacity as an implementing agency of both the Multilateral Fund and GEF, UNEP creates enabling conditions in developing countries and countries with economies in transition to advance the protection of the ozone layer through the implementation of the Montreal Protocol. This involves providing assistance to countries in the form of information exchange, training, networking, institutional strengthening, country programmes and refrigerant management plans with the aim of strengthening the capacity of Governments and industry in particular to make informed decisions and comply with the Montreal Protocol. The corresponding work programme for each biennium is approved by the Executive Committee of the Multilateral Fund and the GEF Council.
5. The Division contributes to the effective implementation of multilateral environmental agreements, in particular the Convention on Climate Change and the Convention on Biological Diversity. Desertification.
6. To ensure efficient regional delivery of the subprogramme, the Division has Regional officers as well as OzonAction Officers located in UNEP's regional offices in Africa, Asia and the Pacific, North America, Europe, Latin America, and the Caribbean and West Asia.
7. As stated, the Division's strategy is designed '*to influence informed decision making through partnerships with other international organizations, governmental authorities, business and industry, and nongovernmental organizations; support implementation of conventions; and build capacity in developing countries.*'
8. The expected accomplishments as noted in the Programme of Work for 2006 – 2007 were stated as:
 - Enhanced ability of public and private sector decision-makers and organizations to access, adopt and use environmentally sound technologies and to make informed choices about water resources management and energy production and use;

- Increased understanding and implementation by public and private sector decision-makers and organizations of environmentally sound management practices and tools, including cleaner production, sustainable consumption and prevention of and responses to environmental threats and emergencies;
- Progress made by countries and the international community towards ensuring that chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment;
- Enhanced capacity of public and private sector decision-makers and organizations to integrate the environmental dimension of sustainable development into their economic, trade and finance policies and practices including corporate environmental and social management.

b) LEGISLATIVE MANDATE

1. The subprogramme is based on General Assembly resolutions 47/190, 53/242, 55/2, 55/199, 55/200, 56/95, 56/193, 56/200 and S-19/2, and Governing Council decisions 20/17, 20/19, 21/3 to 21/7, 21/14, 21/15, 21/18, SS.VII/2 and SS.VII/3, It also responds to paragraphs 8, 9, 10, 14 to 21, 23, 28, 47, 49, 54(l), 56(b) and (c) and 97(c) and (d) of the Plan of Implementation of the World Summit on Sustainable Development

c) OBJECTIVE AND SCOPE OF THE EVALUATION

1. The evaluation shall be conducted as an in-depth evaluation. The evaluation will comprise a review of the achievement of Performance Indicators against actual results, outputs and activities undertaken in DTIE according to each sub-programme element against the objectives of the Programme of work 2004 – 2005 and 2006 - 2007. The evaluation will also assess the effects from the restructuring of the organization in 1999 on activities implemented by DTIE according to the programme of work and the performance during the last two programmes of work 2004-2007.
2. Relevant documents will be reviewed at UNEP Headquarters including project documents, financial reports, progress reports, policy papers, manuals, guidelines, self-evaluation fact sheets and publications. Interviews will be conducted during the period of the evaluation.
3. The objective of this evaluation is to determine accomplishments and achievements of the Division of Technology, Industry and Economics.
4. The evaluation will examine the success of delivery of programme results in the main areas of work, that is, environmental technologies and technology cooperation; production and consumption; chemicals; energy; economics and trade; private sector outreach and partnership development and implementation.
5. The evaluation will look at strengths and weaknesses in the provision of support and encouragement to the public sector, business and industry in the development and implementation of policies, strategies, technologies and practices that are environmentally sound, based on an integrated and partnership approach to sustainable development.
6. The evaluation will examine collaboration between DTIE and UNEP divisions of DEPI, DELC, DEWA, DRC and regional offices, DCPI and DGEF and collaboration with other UN bodies, intergovernmental organizations, international regional and national non-governmental organizations, scientific and environmental centers, private sector organizations, networks and groups.
7. The evaluation will also assess the effects of the restructuring of the Organization in 1999 on activities implemented by DTIE.

8. The scope of the evaluation covers the period from 2004 to mid-2008. UNEP Programmes of Work 2004 – 2005, 2006 - 2007 are the main reference documents for the evaluation. The new Programme of Work 2008-2009 including the Urban Environment sub programme element will be consulted during the evaluation.
9. Performance indicators and indicators of achievement specified in the relevant Programme of Works and general evaluation parameters of appropriateness, effectiveness and efficiency, impact and sustainability will be used to assess achievements.
10. Linking the achievement and the current work to the Medium term Strategy and the POW 2010-2011..... recommend a 'way ahead' ?

d) METHODS

1. Findings of the evaluation will be based on the following:
 - a) Desk review of relevant costed work plans, project documents, financial and monitoring reports, six monthly programme and project progress reports, manuals, guidelines, self-evaluation reports, web sites and publications.
 - b) Interviews with DTIE staff in Paris and outposted staff.
 - c) Interviews with relevant UNEP staff
 - d) Interviews with other multilateral environmental agreements in particular the Convention on Climate Change and the Convention on Biological Diversity.
 - e) Interviews with selected UNEP Permanent Representatives
 - f) Interviews with direct beneficiaries may be considered
 - g) Stakeholder questionnaire(s) may be used as deemed necessary.
2. Two subprogramme elements (to be selected) will be reviewed in some detail to determine how those subprogramme elements have been successful in influencing environmental policy among governments and the actions of other key target users.

e) EVALUATION PARAMETERS

- i) **Relevance and appropriateness of Programme objective(s) and strategy**
 - Establish how the activities undertaken by the Division contribute to the attainment of the subprogramme's overall objective, UNEP's mandate, and the WSSD Plan of Implementation and the Millennium Development Goals;
 - Evaluate how, and to what extent the expected accomplishments and programme strategy elements of the sub-programme are met taking into account indicators of achievement and planned outputs;
 - Determine the complementarity of the expected accomplishments and programme strategy elements to other relevant programme objectives such as those of partnership agreements^a;
- ii) **Overall subprogramme performance: Efficiency and Effectiveness**
 - Assess assumptions and risks under which the sub-programme is delivering its outputs and how these risks are managed;
 - Assess the relative importance attributed by the Division to each of its branches and twenty three (23) elements of its programme strategy within its focal areas and generally as follows:

^a Relevant Partnership Agreements between UNEP and donor countries include The Netherlands, Belgium and Norway.

- The raising of awareness and strengthened capacity of decision-makers to develop and implement policies, strategies and practices that promote sustainable consumption and production patterns, make efficient use of natural resources, ensuring sound management of chemicals and contribute to making economic, trade and environment policies mutually supportive;
 - Promotion of access of the public sector, business and industry to knowledge, technology and economic tools in support of sustainable development, and to support the provision of appropriate assessments and tools for improved management knowledge in this regard;
 - Supporting the development of appropriate information, communication, management and training tools, through partnership with other international organizations, public authorities, business and industry, and non-governmental organizations to build capacity through training trainers and enabling small entrepreneurs, consumers and other civil society actors to make informed choices;
- Promoting the implementation of the outcome of the international environmental governance process in enhancing delivery of the capacity-building initiatives of UNEP.
 - Identify impacts and/or accomplishments, intended and unintended, generated/to be generated by the sub-programme, and assess the significance of such impacts/accomplishments;
 - Assess the effectiveness and cost-effectiveness of the activities related to the delivery of the division's programme strategy. In that regard, the evaluation will determine the extent to which the various subprogramme elements of the division were successful in:

iii) **Environmental Technologies and Technology Cooperation**

1. Promoting the development and adoption of environmentally sound technologies for water supply and sanitation in developing countries;
2. Stimulating the development and use of appropriate tools and environmentally sound technologies for use in sustainable construction industry of developing countries;
3. Establishing various regional and sub-regional networks on integrated waste management in key priority areas of the Asia/Pacific region.

iv) **Production and consumption**

1. Promoting the adoption of sustainable production and consumption policies, practices, technology and financing mechanisms at functional areas such as housing, clothing, food, including initiation and implementation of partnerships and voluntary initiatives in key areas such as tourism, telecommunications, advertising and the retail industry;
2. Identifying, developing and promoting the adoption and implementation of environmental management tools in the area of production and consumption, as well as policies, measures and monitoring and assessment mechanisms, at regional and national levels;
3. Raising of awareness, capacity building, training, facilitation of information exchange and promotion of networking and multi-stakeholder dialogue in relation to sustainable production and consumption, focusing on government institutions, private industry and consumer organizations;
4. Monitoring and reporting progress made by different stakeholder sectors in the area of production and consumption.

- v) **Chemicals**
1. Providing policy, technical and administrative support to intergovernmental negotiating committees and, ultimately, to the conferences of the parties of the Stockholm and Rotterdam Conventions;
 2. Developing capacity building activities to assist countries in promoting the sound management of chemicals, in particular under the Stockholm and Rotterdam Conventions;
 3. Providing support for efforts by governments towards coherent chemicals policy development and implementation;
 4. Assessing the impact of chemicals especially persistent toxic substances on people and the environment globally, and where appropriate, follow-up action including the implementation of a decision responding to the global mercury assessment mandated by Council decision 21/5;
- vi) **Energy**
1. Providing information and technical support for sustainable energy activities in developing countries, with an emphasis on influencing the development of government policies and programmes and on linking the provision of energy services with broad environmental and sustainable development objectives;
 2. Promoting networking between centers of excellence working on energy, environment and development issues to develop and apply knowledge about sustainable energy policies, influence policy and accelerate the transfer of improved technologies;
 3. Providing targeted expertise and support to the finance sector on sustainable energy;
 4. Working with stakeholders in the transport sector (in particular the automotive and fuel industries) to promote environmental best practices and encourage manufacturers to develop strategies for sustainable motility, and to promote progressive improvement in fuel quality in developing countries as a critical element to improving urban air quality;
- vii) **Economics and Trade**
1. Enhancing the role of governments particularly of developing and least developed countries, countries with economies in transition as well as national regional and subregional institutions, in the assessment of macroeconomic and trade policies, the development and implementation of integrated environment, trade and development policies in accordance with WSSD recommendations;
 2. Promoting the internalization of environmental costs as recommended by the WSSD, by facilitating international multi-stakeholder process to enhance the use of economic instruments for environmental policy at national, regional and international levels, including in the specific context of multilateral environmental agreements.
 3. Enhancing the role of financial institutions in incorporating sustainable development considerations into their decision-making process and in supporting the implementation of sustainable development projects, programmes and policies in accordance with World Summit recommendations.
 4. Enhancing synergies between the multilateral trading and environmental systems and cooperation between the secretariats of multilateral environmental agreements and WTO and their governing bodies in accordance with WSSD recommendations.
- viii) **Private Sector Outreach and Partnership Development and Implementation**
1. Promoting corporate citizenship through Global Compact, the Global Reporting Initiative and the Engaging Stakeholders Programme of UNEP and SustainAbility Ltd.

2. Engaging key private sector and key stakeholders in voluntary initiatives in pursuit of sustainable development complementing appropriate legislative frameworks;
3. follow-up on the industry self-evaluation process initiated with the production of reports for the WSSD, initiating an evaluation by industry of its contribution to implementing the Plan of Implementation;
4. Building of networks with relevant regional organizations and industry associations and strengthen the knowledge base to address key environmental industry challenges at the regional level.
 - Evaluate the timeliness, usefulness, quality and scientific credibility of the reports, publications, training manuals, and Internet resources produced, workshops and activity initiatives, and identify areas that may require improvement in order to maximize their benefits;
 - Identify administrative, operational and/or technical problems and constraints that have influenced the effective implementation of programme activities;

ix) **Cooperation and Coordination**

- Asses the effectiveness of tools and internal mechanisms established for sharing of information and creating synergy within the Division, and outside the Division with relevant stakeholders.
- Assess the extent to which the programme has engaged and collaborated with other UNEP Divisions in the focal areas, in particular in facilitating policy development and improvement by informing decision making processes;
- Examine the level and benefits of involvement of target stakeholder groups and external partners in the Division's activities;
- Assess the extent to which the programme has been able to take up opportunities for joint activities and pooling of resources with other networks, organizations and institutions;

x) **Sustainability**

- The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits from programme implementation. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation would ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. Four aspects of sustainability would be addressed: financial, socio-political, institutional frameworks and governance, and ecological.
- The evaluation will also describe any catalytic or replication effects associated with activities implemented under the subprogramme. What examples are there of replication and catalytic outcomes that suggest increased likelihood of sustainability? Replication describes lessons and experiences coming out of the programme that are scaled up in the design and implementation of other programme activities.

xi) **Lessons learned**

- Identify lessons learned from the implementation of the subprogramme and suggest ways in which these lessons can be used to improve the implementation of the Division's activities and improve delivery of UNEP's mandate.

xii) **Recommendations**

- Identify strengths and weaknesses in the Division's implementation of activities and make recommendations which will assist UNEP to better articulate the functions of the Division as well as enhance the Division's capacity to deliver its mandate.

f. EVALUATION REPORTING FORMAT

- The evaluation report shall be a detailed report, written in English and composed of (1) a concise summary, not exceeding five pages, including finding and recommendations; (2) a detailed evaluation report; (3) separate section on lessons learned; (4) separate section on findings and recommendations; and (5) all annexes should be typed. The detailed evaluation report without annexes should not exceed 50 pages.

g. OUTPUTS OF THE EVALUATION

- The final report shall be written in English and printed in hard copy.

h. RESOURCES AND SCHEDULE OF THE EVALUATION

- Under the overall guidance of the Chief, Evaluation and Oversight Unit (EOU), and in close co-operation with the Director of the Division of Technology, Industry and Economics, the evaluation team will undertake a sub-programme evaluation of the Division during the period September 2008 – June 2009. The team will travel to Paris, Geneva and if resources should allow it to Japan) to review documents and interview appropriate staff.
- The draft evaluation report will be discussed with the Division Director and her staff prior to its submission for comments to other UNEP Divisions and offices. EOU will present a draft of the evaluation report in English by 30 April 2009 to the Director of DTIE. The Director will provide written comments on the draft report to EOU by June 23 2009. The evaluators will present a final version of the evaluation report by end of July 15 2009.