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

Evaluation Office of the UN Environment Progamme
April 2020

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Acknowledgements

This Terminal Evaluation was prepared for UNEP by Kris B. Prasada Rao, Sarah Humphrey and Stephanie Robert Oksen as independent consultants.

The evaluation consultants hope that the findings, conclusions and recommendations will contribute to the successful management and implementation of the ongoing DG ENV-UNEP GPGC PCA agreement and projects under this agreement, and the continuous improvement of similar ongoing and future agreements and projects for the EC, UNEP and MEA secretariats administered by UNEP.

BRIEF CONSULTANT BIOGRAPHY

Mr Kris B. Prasada Rao, Partner at PEMconsult, holds and M.Sc. in human geography and has 20 years of professional experience in environment, climate change, and natural resource management. He has carried out assignments in 39 countries in Africa, Asia, Latin America and Eastern Europe for a broad range of international clients, including the EU and UNEP. Mr Prasada Rao has since 2010 carried out approximately 30 evaluations and reviews, being team leader on half of these. This includes complex strategic/policy evaluations, global and regional multi-country programme evaluations, and in-country project evaluations. Most of these evaluations were specifically related to environment or climate change. Moreover, Kris has project management, implementation and supervision, experience from positions in the Danish Committee for Aid to Afghan Refugees (DACAAR), the International Fund for Agricultural Development (IFAD), and Oxfam America.

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Ms Sarah Humphrey has over 25 years' experience working on environmental research and policy, project and programme development and institutional strengthening with a wide range of nongovernmental, intergovernmental and research organisations in Africa, Asia and Europe. Sarah has conducted over twenty evaluations and assessments of multi-country projects and programmes in the areas of environment and climate adaptation, usually acting as team leader. Earlier professional experience includes working at international level in the areas of ecosystems, water resources and natural resources management with IUCN, WWF International and the European Commission. Sarah hold a PhD on evaluation of environmental management and an MBA with a specialisation in development management and has delivered work assignments in over 50 countries.

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About the Evaluation

Joint Evaluation: Yes/No

Report Language(s): English.

Evaluation Type: Terminal Evaluation

Brief Description: This report is a Terminal Evaluation of the Strategic Cooperation Agreement between EC and UNEP. The SCA was designed to rationalise, simplify and increase the programmatic coherence of the cooperation between EC DG ENV, UNEP and MEA secretariats. The SCA was implemented from 16 September 2011 to 31 December 2018 and financed a total of 46 projects. The objective of the evaluation was to assess the relevance and overall performance of the project portfolio implemented by UNEP and the MEAs for which UNEP hosts the Secretariats up to the closure of the EC DG ENV Strategic Cooperation Agreement (SCA). The purpose of the evaluation was to a) provide a basis for accountability on UNEP and MEA secretariat performance, and b) draw lessons from experience for project improvement and future EC-UNEP cooperation

Key words: European Commission, EC, Evaluation, Partnership, Strategic Cooperation Agreement[1]

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[1] This data is used to aid the internet search of this report on the Evaluation Office of UNEP Website

Acronyms

10 YFP	10 Years Framework Programme
APR	Annual Progress Report
ASEAN	Association of Southeast Asian Nations
ASGM	Artisanal and Small-scale Gold Mining
BIP	Biodiversity Indicators Partnership
BRC	Biodiversity Related Conventions
BR	Basel, Rotterdam and Stockholm Conventions
C&W	Chemicals and Waste
CB	Convention on Biological Diversity
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CMS	Convention on Migratory Species
COP	Conference of the Parties
DG DEVCO	Directorate-General for Development Cooperation
DG ENV	Directorate-General for Environment
EC	European Commission
EcAP Med	Ecosystem Approach in the Mediterranean
ECL	Code for the trust fund for the DG ENV SCA
EG	Environmental Governance
EM	Ecosystem Management
ENRTP	Environment and Natural Resources Thematic Programme
ER	Expected Result
EU	European Union
EUR	Euro
FAO	Food and Agriculture Organisation
FFP	Full-fledged Proposal
FMO	Fund Management Officer
GE	Green Economy
GEF	Global Environment Facility
GPGC	Global Public Goods and Challenges Thematic Programme
GRP	Governance Rules and Procedures
ICCM	International Conference on Chemical Management
Logframe	Logical Framework
MAP	Mediterranean Action Plan
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreement
MIP	Multiannual Indicative Programme
MoU	Memorandum of Understanding
MTE	Mid-term Evaluation
MTS	Mid-term Strategy
NBSAP	National Biodiversity Strategies and Action Plans

PCA	Programme Cooperation Agreement
PMU	Programme Management Unit
POP	Persistent Organic Pollutant
POPRCPOP	Review Committee
PoW	Programme of Work
PSC	Programme Steering Committee
RE	Resource Efficiency
RFB	Regional Fishery Body
RFMO	Regional Fisheries Management Organisations
SAICM	Strategic Approach to International Chemicals Management
SCA	Strategic Cooperation Agreement
SCP	Sustainable Consumption and Production
SDGs	Sustainable Development Goals
SO	Strategic Objective
SOP	Standard Operating Procedures
SPOR	Strategic Performance Overview Report
TLS	Traffic Lights System
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNEP	United Nations Environment Programme

Project acronyms:

10 YFP	Phase I: Global Platform for Action on Sustainable Consumption and Production
	Phase II: 10 Year Framework Programme on Sustainable Consumption and Production
BIP	Biodiversity Indicators Partnership
BRS Synergies I	Implementation of synergy activities approved by the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions
CBD Outcomes I	Support to the implementation and capacity building activities relating to COP 11 outcomes
CITES Aquatic Species	Strengthening capacity in developing countries for sustainable wildlife management and enhanced implementation of CITES wildlife trade regulations, with particular focus on commercially exploited aquatic species and production systems
CMS Sharks	Development of sharks conservation measures in the context of the CMS Memorandum of Understanding (MoU) on the Conservation of Migratory Sharks
GE TOP I	Green Economy and Trade – Assessing Risks and Opportunities, Phase I
GE TOP II	Green Economy and Trade – National Level Strategies for Harnessing Trade Opportunities, Phase II

MEA Focal points	Support for implementation of the biodiversity and ecosystems and the chemicals and waste clusters of multilateral environmental agreements
Mercury	Mercury knowledge and information to assist negotiations + Expert meeting on Mercury Finance pre INC4
Stockholm COP 5	Implementation of activities approved by the fifth meeting of the Conference of the Parties to the Stockholm Convention

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1. Executive Summary

1. **Evaluation purpose and methodology**
    The objective of the evaluation was to assess the relevance and overall performance of the project portfolio implemented by UNEP and the MEAs for which UNEP hosts the Secretariats up to the closure of the EC DG ENV Strategic Cooperation Agreement (SCA). The purpose of the evaluation was to a) provide a basis for accountability on UNEP and MEA secretariat performance, and b) draw lessons from experience for project improvement and future EC-UNEP cooperation. The evaluation was based on a combination of a desk review of available documentation, distance interviews, and brief online surveys. A representative sample of 11 (out of 46) projects were analysed.

2. **The EC DG ENV-UNEP Strategic Cooperation Agreement**
    The SCA was designed to rationalise, simplify and increase the programmatic coherence of the cooperation between EC DG ENV, UNEP and MEA secretariats. It replaced the previous practice of having several small project grant agreements with an overarching framework agreement. The SCA was implemented from 16 September 2011 to 31 December 2018 and financed a total of 46 projects. The SCA had a Programme Steering Committee (PSC), co-chaired by the European Commission and UNEP, providing oversight and guidance, and a Programme Management Unit (PMU) responsible for coordination of the SCA.

3. The overall objective of the SCA was to contribute to global environmental sustainability and to achieve the Millennium Development Goals (MDGs) and be instrumental to the implementation of the Rio 2012 outcomes by promoting a) global environmental sustainability knowledge, tools and capacity-building, and b) strong international environmental governance. The specific objectives of the SCA were to:
    1. Develop methodological and governance tools
    2. Support the preparation and the follow-up of major international environmental processes to which UNEP contributes
    3. Support the coordination among MEAs and promote better implementation of and compliance with MEAs

4. The expected results of the SCA were:
    1. Strengthened international environmental governance
    2. Enhanced implementation of and compliance with MEAs
    3. Strengthened capacities of developing countries for international environmental negotiations and improved access to information

4. Enhanced global and regional environmental monitoring and assessment for policymaking
5. Enhanced visibility and coherence of EC and UNEP cooperation

5. **Conclusions**

The initial ambition with the SCA was to simplify the administration of the cooperation while promoting a broader and more strategic cooperation between the EC and UNEP. In practice, there were a number of efficiency and management gains, but the SCA did not lead to a significantly more strategic cooperation or discussion, in part due to a disconnect between the SCA PSC programmatic discussions and the policy discussions at the EU-UNEP high-level meetings.

6. <u>Relevance</u>: The SCA was strongly aligned with the EU priorities and UNEP's Medium-term Strategies, and thus supported the implementation of EU and UNEP's shared environmental priorities. Moreover, the SCA specifically aimed at supporting MEA decisions and processes. The strategic outcomes and expected results of the SCA were broadly framed; this had the advantage of allowing the SCA to respond and align to emerging international priorities and agreements, but it also meant that the SCA provided little strategic direction for the cooperation. The responsiveness to an evolving international context was justified, as it was of importance that the SCA was supportive of developments in the international environmental governance landscape rather than imposing a fixed set of priorities. The SCA provided some degree of predictability, not in terms of firm financial commitments, but in terms of a commitment from the EC to cooperate with UNEP and the MEA secretariats beyond the individual project and a broad indication of the level of support that could be envisaged, which facilitated longer term planning.

7. The project selection process was not fully formalised, and was to a large extent geared towards building on earlier areas of cooperation between DG ENV, UNEP and MEA secretariats. This had significant advantages in terms of building on results achieved and lessons learned, and promoting continuity and supporting policy processes over longer periods. But it also had the disadvantage of providing limited entry points for other parts of UNEP to establish a working relationship with the EC. The projects were in general demand-driven, for example spelled out in MEA COP decisions, but also from specific requests for support from countries. The projects in general engaged stakeholders in the implementation (although the engagement of national stakeholders was a challenge at times), and partnerships with a range of organisations at the international and regional level were essential to the implementation of many projects, the delivery of project outputs, and the mobilisation of key stakeholders.

8. <u>Effectiveness and sustainability</u>: The SCA projects provided a) improved access to knowledge, information and data, tools and guidelines, and b) capacity development vis-à-vis implementing and meeting the commitments made under MEAs, and vis-à-vis strengthening international environmental governance processes under MEAs and in relation to resource efficiency. The projects were for the larger part successful in delivering their intended outputs.

9. The projects contributed towards achieving their intended outcomes as well as the overall expected results of the SCA, but the extent to which the intended outcomes were achieved and the projects contributed toward tangible environmental and sustainable development impacts is very difficult to establish, due to a) their policy- and process-oriented nature, b) the fact that they mainly operated at the global level and did not entail a large and longer-term investment at the country level, c) the broadly defined nature of the SCA expected results, and d) due to weak monitoring of results beyond activities and outputs. Nonetheless, the projects made contributions towards improving national policies, institutional frameworks, and capacities. Overall, limited attention was paid to gender and human rights, although it was considered in some SCA projects. The SCA projects were embedded in larger UNEP programmes or in continuous processes within the MEA architecture, which contributed to sustainability and results in the longer term.

10. <u>Efficiency</u>: The SCA streamlined the administration of multiple grants, and facilitated the approval of projects, extensions, budget reallocations, and reprogramming of the savings from individual projects. Due to the latter, full spending was achieved under the SCA. DG ENV in particular benefitted from the reduced administrative burden. However, the SCA led to additional managerial and administrative demands on UNEP and the MEA secretariats. The available budget for programme management is considered by UNEP and MEA secretariats to have been insufficient for covering the true management costs.

11. <u>Factors affecting performance</u>: Project delivery was affected by several challenges which caused delays; many of these were external factors outside the control of the projects, but a number of these were also related to delayed disbursements and administrative issues, including the significant difficulties associated with the introduction of the Umoja financial management system employed at UN Secretariat level.

12. The SCA management structures and procedures provided an appropriate and transparent framework for the management and implementation of the SCA, and the PMU was mostly able to provide sufficient guidance to the project managers.

Internal communication between DG ENV, UNEP and the MEA secretariats was in general structured and well-functioning.

13. Communication was a central element of the SCA and also a key element of the projects, which aimed at disseminating knowledge, information, and tools and guidelines. All projects had provisions for ensuring EU visibility. The implementation of EU visibility at project and PMU level improved over the duration of the SCA.

14. **Recommendations**

15. **Recommendation 1: Enhance the strategic and programmatic orientation of the (project) grants provided under EC-UNEP framework agreements**
    1.1 Replace the project proposal approach with more programmatic grants around UNEP sub-programmes and MEA programmes of work with flexibility for reorientation and responding to emerging issues
    1.2 Provide a single 2-5 year grant for each UNEP sub-programme and MEA secretariat (for the MEA secretariats aligned with their COP cycles), instead of multiple project grants
    1.3 For each grant, carry out joint annual review meetings between DG ENV (incl. the responsible task managers) and the implementing UNEP division/MEA secretariat to discuss progress and results, needs for reorientation, and agreement on the annual work plan and deliverables for the coming year
    1.4 Share grant concept note among UNEP divisions and MEA secretariats for identifying potential options for synergy and cooperation
    1.5 For UNEP, let the grant development and annual reviews be guided by the outcomes of the EU-UNEP high-level dialogue and EC inputs to the Programme of Work through the Committee of Permanent Representatives, to ensure coherence between the strategic discussions and the programmatic support
    1.6 For MEA secretariats, align the grant annual review process with their respective COP cycles

16. **Recommendation 2: Clarify and enhance the governance and management arrangements for the EC-UNEP framework agreements**
    2.1 Revise the definition of the PSC to include a core committee representing the EC, UNEP and MEA secretariats, and a wider membership of technical and administrative staff/advisers who participate in relevant discussions according to the needs of the PSC agenda
    2.2 Establish a mechanism for periodic and/or needs-based consultations with the PSC core committee outside its formal meetings
    2.3 Upgrade the PMU to serve as a central coordination, advisory and tracking node for all EC funding for UNEP

17. **Recommendation 3: Establish results-based and learning-oriented monitoring and evaluation**
    3.1 Carry out ex-post surveys and interviews with project beneficiaries to establish the actual use of tools, data and skills, the results achieved, and the constraints faced towards their use
    3.2 Set aside a budget in each grant for external evaluations, carried out at the programme of work level, or at the level of specific elements/agreements under the programme of work (not stand-alone project evaluations)
    3.3 Set aside a budget at project/grant level for results monitoring for MEAs
    3.4 Establish an M&E support function with a budget allocated under the PCA to provide guidance and technical support to MEA secretariats on the development and implementation of monitoring tools and evaluations – for example, one MEA secretariat could be designated to host this function (if this is not feasible, then it could be considered to use UNEP as a host)
    3.5 Carry out 1-2 MEA evaluation pilots to test and identify appropriate processes, e.g. with the help of the M&E support function (see 3.4)

18. **Recommendation 4: Enhance the link to national-level interventions**
    4.1 Link SCA grants/projects to development partners and longer-term interventions that work at the country level (which can promote and pilot the use of knowledge, tools and skills developed by SCA projects) – including DG DEVCO and EU Delegations, UN agencies with country offices (e.g. UNDP), EU Member State development assistance agencies
    4.2 Use UNEP regional offices to help with identifying and linking up to development partners and initiatives that work at the country level

19. **Recommendation 5: Enhance the attention given to cross-cutting issues, including gender and human rights**
    Sub-recommendations:
    5.1 Establish a cross-cutting issues support function at SCA level (or higher) to provide guidance and technical support on the development of approaches and tools for mainstreaming cross-cutting issues, including gender and human rights – for example through systematic support from the Gender and Safeguards Unit in UNEP's Policy and Programme Division, or through a dedicated helpdesk function financed under the new DG ENV-UNEP framework agreement

    5.2 Set aside a budget in each grant for, a) analysis of gender and human rights, and b) establishing and implementing approaches to address these

2. Evaluation purpose, scope and methodology

20. The objective of the evaluation of the DG ENV-UNEP Strategic Cooperation Agreement (SCA) under the EU's ENRTP was to "*assess the relevance and overall performance of the project portfolio implemented by UNEP and the MEAs for which UNEP hosts the secretariats up to the closure of the SCA, 31 December 2018*".

21. The purpose of the evaluation was to:
    a. *provide a basis for accountability on UNEP and MEA secretariat performance towards the EU Member States*
    b. *draw lessons from experience for project improvement and future cooperation between UNEP and the EC*

22. The scope of the evaluation consisted of the following dimensions:
    a. <u>Time:</u> The period from September 2011 to December 2018, corresponding to the SCA implementation timeframe
    b. <u>Institutional coverage:</u> 46 projects, of which 25 were implemented by UNEP and 21 by MEA secretariats hosted by UNEP
    c. <u>Thematic scope:</u> The SCA and its projects covered four themes, which also correspond to UNEP sub-programmes: Ecosystem Management (EM), Resource Efficiency (RE), Chemicals and Waste (C&W), and Environmental Governance (EG).

23. The theoretic framework which guided the evaluation process was an analysis of the SCA objectives and intended results, upon which a Theory of Change (ToC) was reconstructed to analyse the solidity of the results framework and to guide the elaboration of evaluation questions and indicators (see annex I for the analysis of the results framework and reconstructed ToC). 17 evaluation questions, each supported by 1-5 indicators were defined (see annex L for the evaluation matrix). The evaluation followed the internationally agreed definitions of the Organisation for Economic Cooperation and Development/Development Assistance Committee (OECD/DAC) evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability.

24. The evaluation was based on a combination of: a) desk review of available documentation (at the strategic/institutional, SCA and project levels), b) distance interviews over Skype/phone, and c) brief online surveys with project managers and DG ENV task managers (see annex B for details on the documents and annex A for the list of people interviewed). Interviewees were identified in dialogue with the UNEP Project Management Unit (PMU), MEA secretariat ENRTP focal points, and DG ENV. 52 people were interviewed, including SCA (PMU) technical staff, EC DG ENV staff responsible for the oversight of the SCA and liaison with the PMU,

UNEP senior managers including directors for the divisions involved in SCA oversight and implementation, MEA secretariat ENRTP focal points, SCA project/components managers for the sample projects, DG ENV task managers for the sample projects, and finance/administrative staff from DG ENV/UNEP/MEA secretariats involved in the SCA. Full confidentiality of the views and information provided by the interviewees and survey respondents was ensured, no reference is made to specific individuals and interview notes and survey responses were not shared outside the evaluation team. The two online surveys were multiple choice surveys with additional space for narrative information (see annex M for survey questionnaires). The survey was open for responses for 92 days[2]. Twenty-three project managers (spanning 22 individual projects) and ten DG ENV task managers responded to the surveys[3]. A number of UNEP SCA projects had been evaluated previously, but mainly as part of a larger UNEP umbrella programme (e.g. the Global Mercury Partnership). These evaluations only considered SCA project results within the larger results framework of the umbrella programme and as such are not easily linked to the delivery of the SCA's expected results, but the evaluation reports were used to triangulate evaluation findings on factors affecting performance and the likelihood of impact.

25. To obtain more in-depth evidence and tangible examples, a representative sample of 11 projects was selected (see table 2.1). The sample covered both UNEP and MEA secretariat projects across the four thematic clusters of the SCA and with contributions made to all five expected results of the SCA, and covering a mix of larger and smaller projects. The sample projects were used to provide detailed information and tangible evidence and examples for indicators across several evaluation questions (see annex L for the evaluation matrix and use of sample) and evaluation findings. The sample projects were assessed using a range of sources, such as: a) distance interviews with MEA secretariat/UNEP division focal points, project/component managers and DG ENV task managers; and b) available documentation, including progress reports, completion reports, concept notes, proposals, project documents, SCA SPOR reports, evaluations reports if available (including SCA MTE and UNEP programme evaluations), and project deliverables (written products and websites).

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[2] The deadline was extended twice in view of the low response rate over the summer holiday period.
[3] One survey response was excluded as the respondent referred to a non-SCA project.

Table 2.1: SCA project sample

No.	Title	Acronym	Implementer
Resource Efficiency (RE)			
7	Phase I: Global Platform for Action on Sustainable Consumption and Production Phase II: 10 Year Framework Programme on Sustainable Consumption and Production	10 YFP	UNEP Economy
8	Phase I: Green Economy and Trade − Assessing Risks and Opportunities	GE TOP I	
9	Phase II: Green Economy and Trade − National Level Strategies for Harnessing Trade Opportunities	GE TOP II	
Ecosystem Management (EM)			
2	Biodiversity Indicators Partnership	BIP	UNEP Ecosystems
24	Development of sharks conservation measures in the context of the CMS Memorandum of Understanding (MoU) on the Conservation of Migratory Sharks	CMS Sharks	CMS
26	Strengthening capacity in developing countries for sustainable wildlife management and enhanced implementation of CITES wildlife trade regulations, with particular focus on commercially-exploited aquatic species and production systems	CITES Aquatic Species	CITES
30	Support to the implementation and capacity building activities relating to COP 11 outcomes	CBD Outcomes I	CBD
Chemicals and Waste (C&W)			
13	Mercury knowledge and information to assist negotiations + Expert meeting on Mercury Finance pre INC4	Mercury	UNEP Economy
39	Implementation of activities approved by the fifth meeting of the Conference of the Parties to the Stockholm Convention	Stockholm COP 5	Basel, Rotterdam, Stockholm
41	Implementation of synergy activities approved by the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions	BRS Synergies I	
Environmental Governance (EG)			
21	Support for implementation of the biodiversity and ecosystems and the chemicals and waste clusters of multilateral environmental agreements	MEA Focal points	UNEP Law

26. **Limitations:** The following limitations applied to the evaluation:
    a. It was beyond the scope and resources of this evaluation to carry-out project level evaluations, nor was it possible to conduct primary project data collection
    b. It was beyond the resources of this evaluation to directly interview project beneficiaries
    c. Face-to-face consultations were only possible with selected UNEP, MEA secretariat and DG Environment (DG ENV) staff; consultations were in most cases carried out as distance interviews
    d. Due to staff turnover and the long period covered by the evaluation, it was

in some cases difficult to access institutional memory and a historical perspective of stakeholders

    e. The response rates to the stakeholder surveys were at a medium level

3. Context of the SCA

27. UNEP and the EC entered into a formal partnership in 2004. Both parties signed a Memorandum of Understanding (MoU), to consolidate, develop and intensify cooperation in the field of environmental policy. The partnership led to projects and programmes in areas of common concern such as sustainable consumption and production, climate change, water, sound chemicals and waste management; environmental monitoring and assessment, strengthening environmental governance at the global, regional and national levels, including also the support to the implementation of MEAs. In 2007-2010, a large part of the funding under the EC Thematic Programme for Environment and Sustainable Management of Natural Resources (ENRTP 2007-2010) was channelled through UNEP and the MEA secretariats, and focused on priority 4: *"Strengthening international governance on the environment and make EU actions a key part of the process"*. It was found during this period that projects lacked an overall strategic approach, there had not been enough predictability in the level of support to the UNEP, and that there had not been sufficient flexibility in adapting the projects to respond to new challenges. Discussions were held annually to decide which actions within the various UNEP services would be included in the Annual Action Programme of the ENRTP, but this resulted in a fragmentation of actions, a lack of strategic focus, and a relatively inefficient use of resources.

28. It was agreed in 2010 to develop a multiannual joint programme of work under the revised ENRTP strategy (ENRTP 2011-2013) and Multiannual Indicative Programme (MIP) 2011-2013, which largely coincided with the UNEP Medium-Term Strategy (MTS) for 2010-2013. The ENRTP Strategy and MIP 2011-2013 anticipated piloting of a more strategic approach with UNEP in those areas where it had comparative advantage. This led, in 2011, to the signature of two Strategic Cooperation Agreements (SCA) with the EC's Directorate-General for Environment (DG ENV) and the EC's Directorate-General for Development Cooperation (DG DEVCO). The specific areas of support were defined as follows:
   - The UNEP-DG ENV SCA supported international work related to environmental governance within multilateral processes and agreements that benefit developing countries
   - The UNEP-DG DEVCO SCA supported developing countries in improving environmental protection and combating climate change while contributing to poverty alleviation

29. The SCA with DG ENV was designed to rationalise, simplify and increase the programmatic coherence of the cooperation between the EC, UNEP and MEA secretariats towards ENRTP priority 3.1: "*Addressing international environment and climate governance*".

30. Three addenda to the original SCA were signed in December 2012, November 2013 and July 2018. The second addendum provided adjustments to the objectives and results, which are presented in Section 7. The agreement covered priority areas common to the ENRTP and the UNEP Medium-Term Strategy, i.e. environmental governance; ecosystem management; harmful substances and hazardous waste; resource efficiency, and sustainable consumption and production. The addenda increased the total EC contribution from EUR 15,200,000 (UNEP-DG ENV SCA 2011) to EUR 33,700,000 (UNEP-DG ENV SCA 2013), further details are provided in Section 4 and Annex E.

31. The SCA duration was planned for 9 years, including an implementation period from 16 September 2011 to 31 December 2018, and one year for final reporting[4]. During this period, a total of 46 projects were implemented. The SCA had a Programme Steering Committee (PSC) and a Programme Management Unit (PMU). The PSC, co-chaired by the European Commission and UNEP, was responsible for guidance and management of the agreements and has met on seven occasions. The joint EC-UNEP PMU served as the coordination unit for the implementation of the SCA and Secretariat to the Programme Steering Committee (PSC).

32. The overall objective of the SCA was to contribute to global environmental sustainability and in particular to achieve the Millennium Development Goals (MDGs) and be instrumental to the implementation of the Rio 2012 outcomes including sustainable development by promoting:
   1) Global environmental sustainability knowledge, tools and capacity-building, including on halting the loss of biodiversity, fostering greener growth, protecting human health and the environment from hazardous substances as well as transparency and efficiency of natural resource management
   2) Strong international environmental governance, through a support to the work of UNEP and the MEAs

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[4] The Co-chairs agreed at their April 2018 meeting to revise this timing. The decision is reflected in the 2018 SCA addendum that allowed for reprograming of financial savings to activities to be implemented in the second half of 2018

33. The specific objectives of the SCA were to:
    1) Develop methodological and governance tools appropriate to developing countries
    2) Support the preparation and the follow-up of major international environmental processes to which UNEP contributes
    3) Support the coordination among MEAs and promote better implementation of and compliance with MEAs for which UNEP administers the secretariat (Addendum 2)

34. The expected results of the SCA were:
    1) Expected result 1: Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes
    2) Expected result 2: Enhanced implementation of and compliance with MEAs
    3) Expected result 3: Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes
    4) Expected result 4: Enhanced global and regional environmental monitoring and assessment for policymaking
    5) Expected result 5: Enhanced visibility and coherence of European Commission and UNEP cooperation in the field of global environment protection

35. While no outputs and activities were specified in the SCA, the narrative of the SCA identifies the following, which are aligned with the UNEP mandate and can be viewed as expected main activities:
    1) Catalysing and promoting international cooperation and action
    2) Providing early warning and policy advice based on sound science
    3) Facilitating the development, implementation and evolution of norms and standards
    4) Supporting the development of international policy and law as well as methodological tools for developing countries
    5) Developing coherent interlinkages among international environmental conventions
    6) Delivering technology support and capacity-building services in line with developing countries' priorities

36. The SCA also envisaged support to the MEAs' agreed work programmes (by COP decisions) funded under their voluntary budgets and strengthening the capacity of developing countries to implement measures agreed under the MEAs.

4. Strategic relevance

37. **SCA objectives and outcomes were consistently aligned with the EC ENRTP's environmental governance sub-priority.**

    The SCA was formulated as a cooperation agreement specifically responding to ENRTP sub-priority 3.1: "*improving international environmental governance, enhancing EU leadership and effective implementation of the EU's external policy on environment*".[5] The SCA was specifically intended to support international work (e.g. tools, guidelines, trainings, workshops) related to environmental governance within multilateral processes and agreements that benefit developing countries. The SCA objectives and outcomes were consistently aligned with the ENRTP, with four out of five SCA outcomes directly derived from the ENRTP (see annex F for a detailed alignment check).

38. **SCA objectives and outcomes were aligned with the objectives and expected achievements in UNEP's Medium-Term Strategies for the period.**

    The SCA's thematic priorities were defined according to the already existing collaboration between the EU and UNEP on ecosystem management, harmful substances and hazardous wastes, resource efficiency and sustainable consumption, and environmental governance. The SCA priorities were consistent with UNEP's Medium-Term Strategies for 2010-2013 and 2014-2017, covering the sub-programmes and objectives related to ecosystem management, environmental governance, chemicals and waste, and resource efficiency (see annex G for a detailed alignment check). Furthermore, the intended results of the SCA were aligned with UNEP's expected accomplishments for each of the sub-programme objectives (see annex G). SCA Expected Result 5 was an outlier in that it was not an environmental result per se or directly linked to the objectives of the SCA, but focused on visibility and coherent cooperation between the EC and UNEP. It did also not respond to specific UNEP's Medium-Term Strategy sub-programme objectives.

39. **SCA objective and outcomes specifically aimed at supporting MEA decisions and processes.**

    The SCA general objective was formulated as "*…support to the work of MEA secretariats*", and the third specific objective was "*support coordination among MEAs and to promote better implementation of and compliance with MEAs for which UNEP provides the Secretariat*". The expected results also corresponded to the mandates and areas of work of the MEA secretariats; in particular: expected result 1 "*strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global*

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[5] SCA Agreement, 2011.

environment processes", and expected result 2 "*Enhanced implementation of and compliance with MEAs*". In short, the SCA deliberately aimed at supporting the MEA processes and the implementation of the decisions made by MEA COPs, including the implementation of the MEA secretariats' programmes of work.

40. **SCA objectives and outcomes targeted environment-related SDGs.**
The SCA global objective was formulated as a "*contribution to global environmental sustainability and sustainable development*". While predating the adoption of the SDGs, it aligned with all SDGs related to environment and sustainable development: SDGs 9 (industry, innovation and infrastructure), 11 (sustainable cities and communities), 12 (responsible consumption and production), 14 (life below water), and 15 (life on land). It also contributed indirectly to SDG 13 (climate action) through work related to resource efficiency and ecosystem management, which contribute to reducing greenhouse gas emissions.

5. Design and structure

41. **The SCA was originally envisaged as a strategic partnership, but the SCA was in practice mainly used as a tool for streamlining the administration of multiple small grants rather than a strategic framework.**
The ENRTP Strategy Paper for 2011-2013 noted that at a large number of separate targeted actions were implemented with UNEP in 2007-2010. A number of interviewees found that these were not always fully aligned with UNEP's Programme of Work (PoW) and were dependent on existing working relationships at the division level with a high prevalence of projects with the UNEP Units based in Paris and thus with greater proximity to Brussels. The ENRTP Strategy Paper noted that a more strategic approach would be piloted with UNEP. In response, the SCA was introduced as a single overarching contract replacing a multitude of DG ENV managed contracts for individual projects with UNEP and the MEA secretariats[6] (see annex C for an overview of the projects implemented under the SCA and annex E for a financial overview of the SCA). The arrangement was unprecedented and required the establishment of management structures (PSC and PMU) and mechanisms. In the early years, the PSC actively sought to strengthen the strategic dimension of the programmatic cooperation, with discussions on the scope of such cooperation, identifying the potential to bring other EC services and programmes into the existing SCA framework and/or develop similar agreements for other funding instruments. However, the DG ENV SCA only replaced contracts managed by DG ENV, whereas DG DEVCO and other DGs still had project agreements with UNEP. A sister SCA was entered for global

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[6] Approximately fifty-nine actions under the ENRTP were individually contracted to UNEP or MEA secretariats between 2008 and 2011.

contracts managed by DG DEVCO, but DG DEVCO discontinued the use of framework agreements after the SCA. DG ENV maintained the framework agreement approach with the GPGC PCA. The project contracts are managed/implemented by different UNEP divisions, and there is no single node for contracts with the EC. The SCA initially was envisioned as a strategy for strengthening UNEP and its partnership with the EC, including regular programmatic dialogue and the formulation of "common priorities. The PSC meeting in the early years engaged in broader EC-UNEP dialogue and policy discussions, but had insufficient time to discuss administrative and management issues in adequate detail. From 2014 and onwards, the PSC meetings focused on contractual matters, with policy matters discussed at the High-level Meetings under the renewed EU-UNEP MoU. However, there was little coordination between the EC-UNEP High-level Meeting discussions and the PSC orientations and the identification and selection of projects. Hence, the SCA primarily became a donor-recipient contractual and managerial tool to support and finance individual projects, rather than a strategic framework.

42. **The SCA broadly aimed at supporting international environmental governance processes. It was flexible and open-ended in nature, and thus did not provide clear strategic guidance on the identification and selection of projects.**
The strategic objectives and expected results were very broad in nature and focused on supporting international environmental governance processes, without specifying clear areas of work or targets. Moreover, the SCA results framework did not include outputs and activities, noting that these would be defined according to programme/projects selected. This left significant flexibility which allowed the SCA projects to respond to decisions and emerging issues emanating from MEA COPs and other international governance processes. As such, all the projects fitted under the framework of the SCA objectives and expected results, and thus also with the ENRTP sub-priority 3.1 (see chapter 4), as also confirmed unanimously by the DG ENV task managers responding to the evaluation survey.

43. However, the extent to which the project identification and development deliberately aimed at aligning with the SCA objectives and expected results appears limited, although the available data is not entirely consistent. On the one hand, the majority of the DG ENV task managers (75 per cent) responding to the survey indicated that the SCA were a very important factor in the identification, development and approval of the projects. On the other hand, this is not supported by the interviews conducted, which all indicated that the SCA objectives were not really discussed, and that their broad nature did not impose any restrictions. Moreover, the PSC discussions related to the selection of projects were more concerned with the thematic alignment of projects than with the SCA results

framework. The templates for submission of project concepts and proposals were based on a standard UNEP template and did not include any requirement to demonstrate the alignment with the SCA results framework. None of the project documents reviewed contained any indication of the alignment with the SCA objectives and expected results, although a handful of, mostly MEA, proposals refer in general terms to the ENRTP or to EU Policy.

44. **The final designs of the funded projects responded well to the programmes of work of UNEP and the MEA secretariats, and were also aligned with EU priorities.**
The point of departure for the project identification and development was, for MEA projects, their respective programmes of work decided by the COPs, and for UNEP projects, the UNEP sub-programme priorities. As shown in annex C and chapter 6, all projects contributed to the expected results and strategic outcomes of the SCA; considering that the SCA was fully aligned with the ENRTP, UNEP's Medium-Term Strategies and MEA decisions and processes (see chapter 4); this implies that the projects responded to the programmes of work and EU priorities; this is not surprising, considering the close dialogue with DG ENV task managers on the project design, that the UNEP SCA projects were embedded in larger UNEP programmes, and MEA projects were derived from COP decisions. Both interviewees and 91 per cent of the project managers responding to the survey confirmed that the final projects were fully aligned with their organisations' work programme and priorities (with the remaining nine per cent finding there was a partial alignment). Moreover, the projects were aligned with the EC's strategic priorities; all DG ENV task managers responding to the survey found the projects were fully aligned with these.

45. **The SCA project selection process was partly institutionalised, but partly relying on existing, often interpersonal relationships; this enabled a constructive cooperation on the project development, but posed a limitation towards opening up for new areas of cooperation.**
The SCA 'description of the action' did not specify how projects would be identified and selected. The roles of the various actors were identified, namely that the EC would decide on an indicative balance of resources (implicitly amongst themes), and UNEP sub-programme coordinators and MEA secretariats would be responsible for the overall consistency of the programme. The draft terms of reference for the PSC indicated that it should agree by consensus on a list of projects screened by the PMU as the basis for allocating project funding. The PMU was expected to screen 'projects' for alignment with strategic priorities identified in the SCA or by MEA COPs and develop an initial list of projects with concept notes. The 2013 SCA Governance Rules and Procedures indicated that sub-programme coordinators and MEA focal points should identify priorities prior to technical discussions, and prioritise the emerging concept notes. Technical
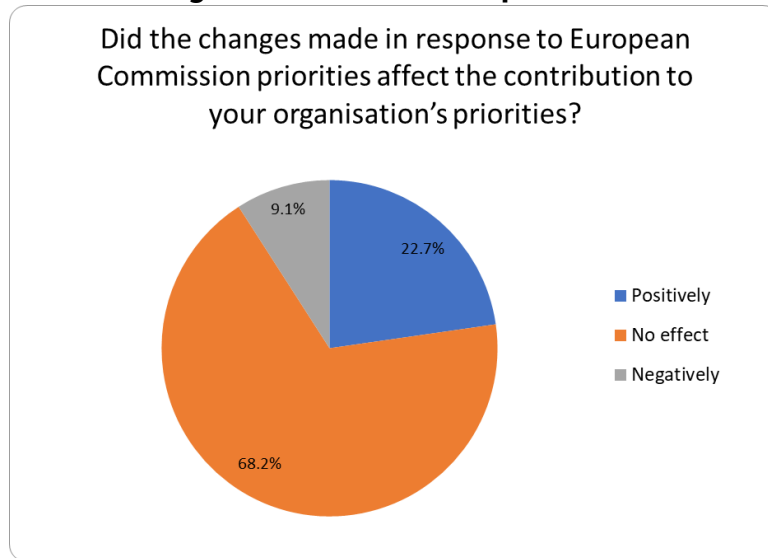
meetings would take place for project identification and detailed formulation. In practice, the initial process of project identification started before the SCA was signed and the PMU was formally established. Project ideas had been prioritised and ranked by UNEP and MEA secretariats prior to submission to DG ENV for technical review.

46. From the UNEP and EC perspectives, the process was expected to bring some order to the prevailing fragmentation of resource mobilisation with similar and competing proposals sometimes received from different parts of the organisation[7]. At the same time, it was recognised that much of the UNEP and MEA cooperation with DG ENV built on established relationships and partnerships at the technical level. The EC favoured concepts that had been developed jointly with EC services and required these to have been at least discussed with EC services prior to submission in order to ensure that i) there was an internal ownership for technical follow-up, ii) that project concepts from the outset would be aligned with EC priorities, iii) that continuity could be ensured in the cooperation, iv) that the cooperation could further build upon successful initiatives, and v) that UNEP did not spend a lot of effort on developing project proposals that would end up being unsuccessful. Hence, the SCA project selection process to a large extent relied on existing, often interpersonal, relationships rather than an institutional and formalised approach; this limited the extent to which the SCA opened up for cooperation in new areas, although some interviewees indicated a much larger segment of UNEP became engaged in the dialogue with the EC compared to the situation prevailing before the SCA. On the positive side, the process in general allowed for a close and constructive cooperation at the technical level, a mutual understanding and shared priorities, and thus helped ensure that both UNEP/MEA and DG ENV priorities were taken on board in the design. A total of 78 per cent of the project managers responding to the survey indicated that the initial project idea only required very little modification since their own organisation's priorities were well-aligned with EC priorities, and the remaining indicated that no change was required. Most of the respondents indicated that the changes made to align with EC priorities had no effect on the project design, whereas roughly a quarter found the changes had a positive effect, and a minority found a negative effect (see figure 5.1).

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[7] The decentralised or 'delegated' approach to resource mobilisation in UNEP prevailing when the SCA was signed in 2011 placed responsibility on individual project managers to raise funds for their projects.

Figure 5.1: Effect of EC priorities

Did the changes made in response to European Commission priorities affect the contribution to your organisation's priorities?

- 22.7% Positively
- 68.2% No effect
- 9.1% Negatively

Source: Project manager survey

47. **While continuity of individual projects was not guaranteed, the SCA provided a structure and framework that facilitated continuity and longer-term planning.** The signature of the SCA marked a shift from an annual to multi-year perspective on EU support to UNEP and the MEA secretariats. The SCA was expected to enhance the financial predictability of the EC's voluntary contributions to support the work of UNEP sub-programmes and MEA secretariats. The enhanced financial predictability can be considered as limited to the amount contracted under the SCA. Indeed, some MEA secretariats found the predictability in a sense had decreased a bit, as they received less clear indications of the allocation for the specific MEA secretariat compared to the situation prior to the SCA. However, it was clear at the outset of the process that the SCA was developed in the context of the three-year funding cycle of the ENRTP[8], with expected replenishments subject to formal EC budgeting decisions. The programming of funds to individual actions exceeded the contracted budget in 2011 and 2012 and was predicated on approval of further instalments. The agreed 60/40 split of funding between UNEP and the MEA Secretariats, and contributions to the larger MEA secretariats such as CBD and BRS remained largely stable over the SCA and subsequent PCA period; and in practice, the ratio between expenditure on UNEP and MEA project (excluding CITES Aquatic Species[9]) was 62:38. The typical three-year project duration allowed for longer term planning and greater flexibility than earlier annual budgets. However, financial predictability did not change substantially at the level of individual projects, though the PSC provided a venue to discuss anticipated

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[8] ENRTP revised Strategy and Multiannual Indicative Programme (MIP) 2011-2013
[9] The addendum to the SCA note that CITES Aquatic Species was not included in the budget split (see Annex E, para 5)

needs, and the SCA financial structure and written procedure facilitated the provision of top-up funding to ongoing initiatives[10].

6. Effectiveness

6.1. Delivery of intended project outcomes and outputs

48. **The sampled projects mostly delivered their intended outputs, which in turn contributed to the intended outcomes, but for the most part, the extent to which the outcomes were achieved, and the contribution of the projects to these, is difficult to establish due to the process-oriented nature of the projects and limited outcome monitoring.**

The projects implemented by UNEP focused primarily on providing technical resources (tools, guidelines, manuals, information/knowledge products, clearing house, registries/databases, online portals) and capacity development, but they also facilitated MEA processes, mainly through consultations. The projects implemented by the MEA secretariats focused on process facilitation, capacity development, and knowledge generation and management to support the implementation of MEAs. Typical activities and outputs were tools, guidelines, manuals, databases, websites, assessments, technical reports on best environmental practices and best available technologies, information and knowledge products, trainings, technical advisory, and financial (travel) support for participation in international negotiations and processes. Some projects also implemented small pilot interventions at national level, in particular in relation to policies, strategies, plans, and data and information management. As such, the projects contributed to larger and longer-term processes at the international and national levels, processes that were also shaped by, and dependent on, several other factors, especially at the national level (e.g. political and economic factors) – hence, the outcomes achieved are by nature difficult to attribute specifically to the projects, this challenge (further exacerbated by the fact that outcomes were often vaguely defined in the project designs). Moreover, the monitoring and reporting was mainly activity and output oriented, and the projects were for the larger part not evaluated, so there is often little information available on the achievement of the intended outcomes (see chapters 7 and 9). Box 6.1 provides an overview of the outcomes and outputs delivered by the sample projects.

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[10] Six projects received top-up funding

Box 6.1: Project outcome and output delivery

BIP reports to have delivered upon all its targeted outputs. It contributed to its intended objective (enhance national and regional capacity for the development and use of biodiversity and related indicators, to support the current revision of National Biodiversity Strategies and Action Plans (NBSAPs)) through: training of trainers, regional indicator capacity building, establishing a community of practice hub, and facilitating lesson sharing. However, the lack of outcome targets does not allow to conclude on the achievement of the project outcome. Nonetheless, there is strong indication that the delivered activities sensitised on the use of biodiversity related indicators. Furthermore, an assessment of BIP II found that the "*Project results helped enable the evaluation of the CBD Strategic Plan 2011-2020 achievements*".

10 YFP reports to have delivered all its intended outputs. The project contributed to its intended outcome in relation to establishing a global platform for action and mainstreaming sustainable consumption and production (SCP). Six thematic and sectoral programmes were launched, gathering more than 450 partners from all sectors of society, in addition to 129 national focal points officially nominated by their governments. Six calls for proposals were made under the 10 YFP Trust Fund to implement pilot projects targeted at SCP. The Final Report stated that: "*the shift towards SCP and the 10 YFP have gained visibility and support at the international level, in the context of Agenda 2030 for Sustainable Development and the Sustainable Development Goals*". However, the implementation and upscaling of SCP has not yet led to a global shift towards SCP. Interviewees pointed out that the overall access to the platform and discussion on indicators may have remained among experts, finding that the 10 YFP initiative should continue after 2020 with continued support geared more towards implementation. In 2017, the evaluation of the 10 YFP umbrella project concluded that:" *The 10 YFP is not yet able to adequately demonstrate results that show a tangible shift towards SCP as a consequence of its action. It is called to show more thorough evidence to governments, to the business community and to the general public that it is yielding tangible outcomes*".

GE TOP reports to have delivered upon its intended outcome (develop and disseminate to global and regional economic and trade forums and national policy makers in developing and emerging an integrated policy assessment, including cost benefit analyses and case studies on the economic, environmental and social gains of applying policies for resource efficiency and SCP). The second phase (GE TOP II) aimed at providing "*national-level policy analysis and strategy guidance on identifying and harnessing trade related opportunities associated with a transition to a green economy, with a view to supporting the design and implementation of sustainable policies and tools, leading to a shift towards more sustainable trade patterns and reduced adverse impacts of international trade*". The second phase reportedly delivered upon all its targeted outputs. GE TOP II made an important contribution to UNEP's outreach and training efforts on green economy and trade, as a component of the larger Green Economy Initiative umbrella project. More directly, the project activities contributed to supporting an enabling

framework for sustainable trade in the five GE TOP partner countries (Ghana, Peru, Vietnam, Chile, South Africa).

Mercury reports to have achieved most of its outputs and contributed to the larger outcome of the Global Mercury Partnership: "Reduce the risks from anthropogenic use and release of mercury through the development of a legally-binding treaty and related actions in partnership". By 2016, the project had not delivered the planned national inventories. Nonetheless, there is evidence that the other delivered project outputs strongly contributed to the intended outcome. An international legally binding agreement was adopted through the adoption of the Minamata Convention on Mercury in 2013. The Evaluation Report of the Global Mercury Partnership concluded that: "*Participating countries use the developed inventory to monitor mercury use and release*", "*Stakeholders use BAT/BEP [best available technologies/best environmental practices] guidelines to improve practices*", and *Governments and other stakeholders are aware of the challenges of environmentally sound storage and disposal of mercury and have the knowledge to improve their practices*". Interviewees reported that the success of the project was related to: i) "*the scientific-based evidence facilitating the political buy-in and increased the visibility of environmental issues related to mercury release*"; ii) "*It was not an isolated project, but part of a larger initiative as well as in line with other supportive initiatives* (e.g. the Chemical and Waste Finance Project)".

MEA Focal Points delivered most of its intended outputs. Several activities made a strong contribution to MEA Parties, focal points and other key stakeholders gaining an increased understanding of negotiated MEA issues and adopting best practices for implementation, for example through demand-driven technical support to the establishment of "*regional strategies and action plans for the ASEAN and SPREP work on NBSAPs and Aichi targets*". Moreover, the project strengthened national and regional implementation of chemicals and biodiversity related MEAs. For example, "*some 30 countries were supported by regional focal points in the ratification of the Nagoya Protocol on ABS [Access and Benefit Sharing]*". Similarly, regional MEA focal points helped to advance ratification, accession and preparation of the implementation of the Cartagena Protocol on Biosafety. The CBD Secretariat relied on MEA focal points to solicit responses on missing country progress reporting on the implementation of CBD. However, the overall contribution to the intended outcomes was questioned by the evaluation, which pointed out that an insufficient needs assessment and planning of workshops *"undermined the achievement of the intended project outcomes"*. Moreover, *"the project was not planned and implemented in an effective manner. Consequently, the outcomes and several outputs fell short of the intentions"*. No examples were found of the project achieving *"effective country level synergies"*. Moreover, the extent to which the meetings supported COPs is unclear, although they did lead to an improved understanding of the issues that were negotiated.

MEA projects

CMS sharks reports to have delivered all its intended outputs. It contributed to its intended outcome 1 (regular review of the species listed, and international collaborative arrangements proactively pursued to obtain conservation gains) through the establishment of a Sharks MoU website and updating a review of the conservation

status of sharks. Outcome 2 (actions carried out to mitigate most serious threats to migratory species), was contributed to, through supporting and facilitating the adoption of a conservation plan for sharks, and facilitating the initiation of a regional pilot project on sharks trafficking in the Middle East and North Africa Region.

CITES Aquatic Species delivered outputs which contributed to its outcome 1 (Parties able to implement CITES provisions for trade in sharks and manta rays), but the extent to which the targeted 35 Parties were enabled to implement the provisions cannot be established with the data and information available. The same applies to outcome 2 (Parties able to improve their implementation of CITES provisions for trade captive-bred and ranched animals), relevant outputs were produced, but the achievement of the outcome remains unclear.

CBD Outcomes I delivered four of its five outputs/components, at least in terms of implementing the planned activities, with a focus on making information available: 1) publication of the Global Biodiversity Outlook 4, 2) biodiversity restoration and mainstreaming (provision of technical and scientific information, strengthened partnerships), 3) The Global Registry of Introduced and Invasive Alien Species (GRIIS) information facility (establishment of website, database and toolkit), 4) Marine and Coastal Biodiversity (provision of information). Output/component 5 (clearing house) was dropped. However, while the outputs corresponded to the intended outcome (strengthened implementation of the Strategic Plan for Biodiversity through provision of scientific and technical information, assessments and monitoring, and cooperation with partner organisations), the extent to which this contributed to a strengthened implementation of the Strategic Plan cannot be established with the data and information available.

Stockholm COP 5 likely made a contribution to its intended outcomes, as the activities delivered were relevant for the outcomes. However, it is impossible, due to imitations with the data and information available, to clearly establish the contribution towards achieving most of the intended outcomes and outputs, especially since the uptake and use of the products by Parties is unknown. Outcome 1 (enhanced knowledge and decision-making capacity for implementation of the Convention) was contributed to by training, which reached people from 65 countries vis-à-vis strategies and actions plans for elimination of newly listed POPs. A contribution to outcome 2 (updated global monitoring plan for POPs) was made with a data warehouse which enabled harmonised data management which supported the production of monitoring reports. Outcome 3 (updated toolkit on inventories, action plans and reporting) was fully delivered. Outcome 4 (development of means to establish whether exemptions for endosulfan were still needed and assistance to the development in implementation plans for its prohibition) was supported through the provision of information. A contribution was made towards outcome 5 (supporting Parties in implementing recommendations on eliminating brominated diphenyl ethers from the waste recycling streams, and assessment of alternatives to perfluoroocane sulfonic acid s), through the provision of knowledge materials. Moreover, the project supported the participation of 327 participants from 125 countries in Stockholm Convention COP 6 (together with Basel COP 11 and Rotterdam COP 6).

> **BRS Synergies I** was conceived to compile a number of small synergy activities into a single project to reduce the administrative burden for the BRS Secretariat as well as DG ENV, rather than being designed as a coherent and comprehensive project. The SCA MTE found the project design as lacking clarity and consistency (e.g. with outputs formulated as simple products or activities), and noted that the components and activities did not address all aspects identified as required to fully achieve the intended outcome (Expected project outcome: Parties meet the synergy objectives under the Basel, Rotterdam and Stockholm Conventions), as it covered only three of the 17 related activities in the Conventions' work programmes (the available funding was insufficient for covering all 17 activities), although it was acknowledged that the project would contribute towards the outcome. The three outputs under component 1 (support to the work of, and coordination among, the scientific bodies under the conventions) were delivered, but the extent to which all the intended outputs for component 2 (capacity building on the coordinated implementation at national level) and component 3 (updating general technical guidelines on the environmentally sound management of POPs waste to include new POPs) is less clear[11]. Overall, the project contributed to increased capacities and an enabling environment, although the extent which this has contributed to tangible interventions by the Parties, thus to achieving the intended project outcome, cannot be assessed due to lack of data and information.

49. **The SCA projects were for the large part seen as successful in term of delivering the expected results.**
Most of the responsible project managers (interviews and survey) from UNEP and the MEA secretariats found that their projects had fully delivered their expected outcomes, and the remaining found that while the outcomes had not been fully achieved, there had been a good degree of delivery. While most of the project managers found that the projects had fully delivered the intended outputs, the delivery of the planned outcomes was seen as somewhat lower (see figure 6.1). The EC DG ENV task managers also had a good degree of (albeit somewhat lower) satisfaction with the delivery, with a significant majority being either highly satisfied or somewhat satisfied with the degree of outcome delivery as well as the quality of the results achieved. The sample projects mostly delivered their intended outputs (see figure 6.2). However, as described in the previous paragraphs, chapter 7.1 and chapter 9.4, limited information is available at the outcome and impact levels.

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[11] The SCA MTE found that only one of the two outputs for component 2 and one of the three outputs for component 3 were delivered, but this is disputed by the BRS Secretariat which finds that all outputs were fully delivered. The progress towards the output indicators was not monitored and reported on.

Figure 6.1: Delivery of project outputs and outcomes

To what extent was your project able to deliver the planned project outputs (including any approved amendments)?

- Fully achieved (over 90%) — 91,3%
- Substantially achieved (60-90%) — 8,7%
- Partially achieved (less than 60%) — 0,0%

To what extent was your project able to deliver the planned project outcomes?

- Fully achieved (over 90%) — 78,3%
- Substantially achieved (60-90%) — 21,7%
- Partially achieved (less than 60%) — 0,0%
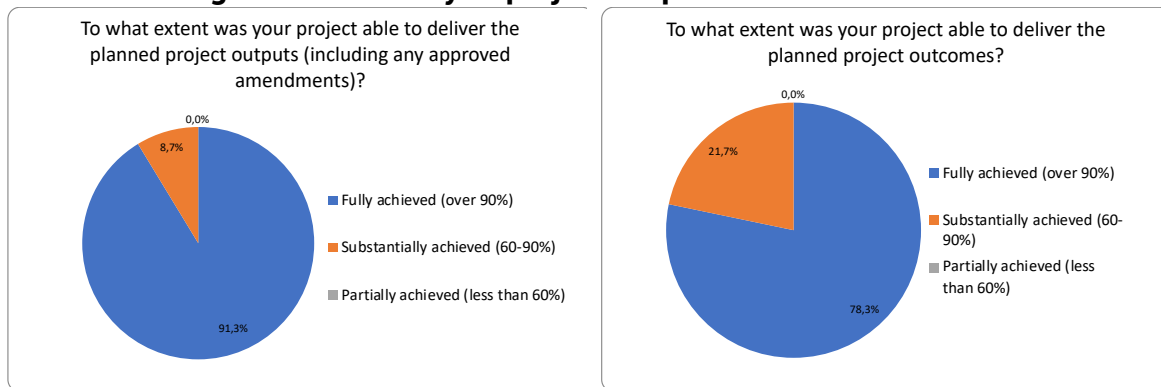
Source: Project manager survey

Figure 6.2: Delivery and quality of project results

Satisfation with delivery of expected project results

- Highly satisfied — 60%
- Somewhat satisfied — 30%
- Somewhat dissatisfied — 10%
- Highly dissatisfied — 0%

Satisfaction with quality of project results

- Highly satisfied — 70%
- Somewhat satisfied — 20%
- Somewhat dissatisfied — 10%
- Highly dissatisfied — 0%
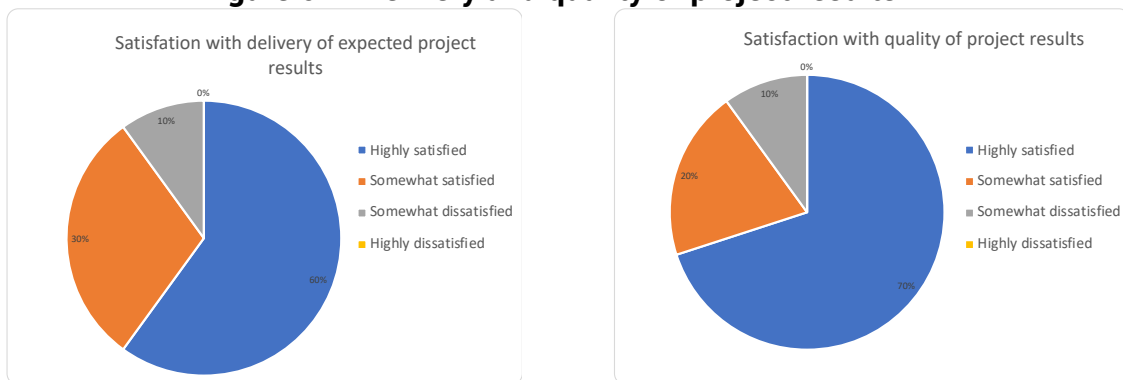
Source: DG ENV task manager survey

6.2. Delivery of SCA objectives and expected results

50. **Overall, the project portfolio was seen as having made a significant contribution towards the delivery across all the SCA's strategic objectives and expected results.**

The individual projects did not contribute to all expected results (ERs) and strategic objectives (SOs), but according to the project managers and confirmed in an analysis of the SPORs, there was a good level of delivery for all ERs across the portfolio albeit with variation (see figure 6.3 and table 6.1). All projects had a visibility element (ER5) built in, but the extent to which they contributed to enhanced visibility varied (see chapter 9).

Figure 6.3: Project contribution to expected SCA results and outcomes

How did your project contribute to the SCA 'Expected Results' and 'Specific Outcomes' identified in the 'Description of the Action'?
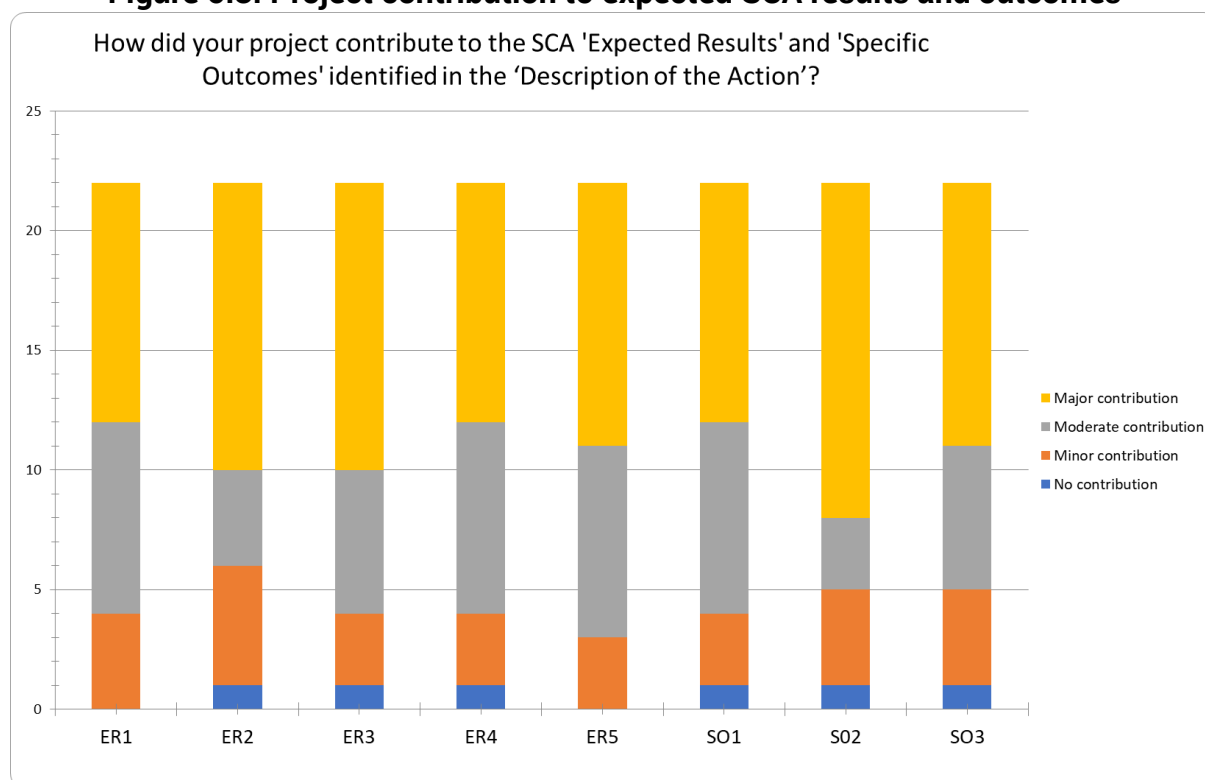
Source: Project manager survey

Table 6.1: Contribution to SCA expected results

Expected result	Percentage of SCA projects	
	Primary focus	Second-ary fo-cus
ER1: Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes.	24%	9%
ER2: Enhanced implementation of and compliance with MEAs	48%	7%
ER3: Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes	26%	22%
ER4: Enhanced global and regional environmental monitoring and assessment for policymaking	28%	4%

Source: Portfolio analysis – as reported in SPOR reports

51. The PMU reports that several contributions were made to the indicators for the ERs and SOs in the logframe (see table 6.2), but since no targets had been established for the indicators, the figures do not lend themselves to an objective assessment of the delivery against expectations.

Table 6.2: Contributions to the SCA logframe indicators for results and objectives

Indicators for expected results	2014	2015	2016	2017*
No. of knowledge products[a]	86	52	58	8
No. of capacity building activities[b]	83	75	32	15
No. of countries participating in international negotiations[c]	171	299	22	0
No. of countries implementing MEAs[d]	296	389	421	3
Indicators for specific objectives				
No. of countries participating in and implementing MEAs[e]	464	690	443	3
Outputs of international negotiations and processes[f]	7	13	5	0
[a] Number of tangible outputs (e.g. publications, tools kits, modules) [b] Number of training courses and workshops [c] Sum of the number of countries funded per major international event [d] Sum of the number of countries undertaking official actions per project supported initiative [e] Sum of indicator 4 and 5 [f] Number substantive outputs in negotiations influenced by project studies, advisory, and technical advocacy				
*Excluding UNEA-3				

Source: SCA Final Report

52. **The SCA projects contributed to the SCA's expected results, but the extent of this contribution cannot be established, due to the broad nature of the ERs which is influenced by many factors outside the SCA.**
It is difficult to establish the extent of the SCA projects' contribution to achieving the intended outcomes due to the broad definition of the expected results, to which the SCA projects would only be one among several contributing factors, including projects funded by other parts of the EC and other donors as well as national decision processes and interests. Nonetheless, the SCA projects did make contributions to several of the expected results:

53. ER1 (*Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes*) – the SCA projects contributed to this through the promotion of regional cooperation, outreach events, science-based platforms, information sharing and knowledge management, studies, policy recommendations, capacity building, and through financing the participation of delegates at COPs and other international meetings related to the Conventions. For example, 10 YFP provided a global framework of action for mainstreaming SCP globally, with over 115 countries engaged in 10 YFP. The SCA-funded component of 10 YFP led to increased cooperation and provided science-based knowledge and information to facilitate the mainstreaming of SCP in regional and

national strategies and plans, and ensure increased political, technical and financial support for their implementation. GE TOP further promoted green economy and trade on the global agenda through studies and outreach events. BRS Synergies I focused on strengthening synergies between the three chemicals and waste Conventions, by promoting closer cooperation between the POP Review Committee (POPRC) and Chemical Review Committee; the development of a common expert database; the creation of a common alumni website; and structuring a common bibliography and presenting it on the BRS website.

54. ER2 (*Enhanced implementation of and compliance with MEAs*) – the SCA projects contributed to this through capacity building (e.g. workshops, training on best available techniques and best environmental practices), tools and guidelines, support to drafting action plans and strategies, provision of access to data and information (e.g. websites, databases, studies, technical reports, e-learning courses), and establishment of community of practices. For example, BIP organised regional and national training in the use of biodiversity indicators for monitoring the implementation of NBSAPs and achievement of national targets, thereby strengthening country capacities to comply with the CBD Strategic Plan for Biodiversity 2011-2020. MEA Focal Points enabled UNEP to assist countries in addressing the MEA implementation and coordination gap and supported the implementation of and compliance with several MEAs (CBD, CITES, CMS, Ramsar, BRS, Minamata). Mercury was a component of the larger Global Mercury Programme, which aimed at establishing a legally binding treaty for the reduction of risks from the use and release of mercury. The project supported the Intergovernmental Negotiating Committee for the implementation of the Minamata Convention. Mercury also conducted national studies and built national technical capacities (within governments and the private sector) to demonstrate best available techniques and best environmental practices adopted under the Minamata Convention with a particular focus on addressing mercury emissions from coal combustion. CMS Sharks provided support for the first Meeting of Signatories (2012), that led to an agreement on the institutional and financial arrangements of the Sharks MoU and the adoption of the Sharks Conservation Plan. CITES Aquatic Species provided training and tools for Parties for the implementation of CITES provisions for commercially valuable marine species (with a focus on newly listed sharks) and for captive-bred and ranched animals; notable examples are the support provided for the development of the iSharkFin shark fin identification software for port inspectors, customs agents, fish traders and others (developed jointly by FAO and the University of Vigo), and the online CITES Sharks Portal with information and guidelines on sharks. CBD Outcomes I published the CBD toolkit for Parties to achieve Aichi Biodiversity Target 9 on invasive alien species and pathways. Stockholm COP 5 updated toolkit guidance and training materials help Parties develop, update and revise their inventories,

review and action plans. BRS Synergies I supported the development of a draft Central American strategy on the management of hazardous chemicals and waste, and a draft National Strategy for El Salvador for environmentally sound management of chemicals and hazardous wastes and other wastes.

55. ER3 (*Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes*) – the SCA projects contributed to this through capacity building (workshops, online courses), outreach events, science-based platforms, studies, policy recommendations, provision of access to data and information (e.g. websites and databases), and through financing the participation of delegates at COPs and other international meetings related to the Conventions. For example, 10 YFP conducted trainings on key SCP topics as well as training to enhance the science base knowledge on SCP/RE. As mentioned above, Stockholm COP 5 supported the participation of 327 participants from 125 countries in Stockholm Convention COP 6.

56. ER4 (*Enhanced global and regional environmental monitoring and assessment for policymaking*) – the SCA projects contributed to this through supporting the development of monitoring guidelines and indicators, establishment of websites and databases, and capacity development. For example, GE TOP II carried out national-level policy analysis and advisory services to identify trade opportunities for a green transition in developing countries, and organised policy and technical dialogues. BIP developed a Biodiversity Indicator Facilitator's Handbook and provided training on identification, development and use of monitoring indicators. Mercury carried out a Global Atmospheric Mercury Assessment and preparatory work on national inventories. CBD Outcomes I updated the information on the status and trends of biodiversity through the 2013 version of the Aichi Passport (in cooperation with the Biodiversity Indicators Partnership), supported the Global Invasive Alien Species Information Partnership (GIASIP) which increased collaboration and information sharing, and supported the establishment of online Global Registry of Introduced and Invasive Species (GRIIS); thereby CBD Parties and others were provided with updated information, e.g. on marine biodiversity and on invasive species. CITES Aquatic Species supported the Southeast Asian Fisheries Development Center (SEAFDEC) and the International Commission for the Conservation of Atlantic Tunas (ICCAT) in shark stock data collection and assessment in selected countries, and FAO in developing a database on international and regional measures for the conservation and management of sharks. Stockholm COP 5 established global system for monitoring of POP concentrations. BRS Synergies I established an online database of scientific and technical publications and an expert database to promote an understanding of the inter-linkages among the three conventions.

57. ER5 (*Enhanced visibility and coherence of European Commission and UNEP cooperation in the field of global environment protection*) – All SCA projects had a visibility element (E5) built in, but the extent to which they contributed to enhanced visibility varied (see chapter 9.6).

58. **The SCA portfolio of projects in particular contributed to increased knowledge and access to information and tools in order to inform and strengthen international governance processes.**
According to the project managers, most projects made a significant contribution to increasing the knowledge and information available to countries. This was, in particular, done through providing opportunities for global and regional sharing of experiences, as well as through better management of, and increased access to, knowledge and data, e.g. through databases and websites. A number of projects also improved availability of, and access to, state-of-the-art tools and methodologies, both by supporting tools development or improvement and by making available tools more easily accessible, e.g. on websites. Examples of contributions made to increased knowledge and access to information and tools are provided in chapter 6.

7. Likelihood of impact and sustainability

7.1. Impact

59. **The contribution to impacts cannot be clearly established due to the mainly global and policy-oriented nature of the SCA projects and insufficient provisions for results monitoring.**
The expected impact (overall objective) of the SCA was to contribute to global environmental sustainability and the achievement of the MDGs (and later the SDGs). The SCA projects mainly worked at the global or regional level. Some projects had pilot projects at national level, but these were mostly small and short-term in nature. Most projects contributed to the expected impact by providing increased access to knowledge, information, data, tools and methodologies, also through experience-sharing. Many projects also contributed to enhancing the engagement of developing countries in MEA processes and international negotiations. The knowledge and capacity development support often aimed at improving national strategies and policy frameworks for MEA implementation and for increasing resource efficiency. Fewer projects engaged in strengthening national institutional frameworks and capacities; this is unsurprising, considering the mandates of the MEA secretariats and DG ENV, and since the SCA had a global focus. Since the implementation of MEAs and SDGs as well as environmental management and protection in general mainly happens at the national or sub-

national levels, achieving impacts would primarily depend on several political, economic and institutional factors at the national level – although international agreements, improved access to knowledge and information and increased implementation capacities undoubtedly contribute. Thus, the impacts of the SCA projects would mainly have been indirect rather than direct. Another challenge to ascertaining the impacts of the SCA projects were shortcomings at the project level vis-à-vis indicators, targets, baselines and monitoring as described in chapter 9.4.

60. **Several SCA projects contributed to strengthened, and enhanced engagement in, international MEA and governance processes.**
According to the project managers, many projects contributed to better participation of developing countries in international processes, e.g. through funding the travel costs for delegates and thereby increasing the representation at COPs and international meetings, and through capacity development and access to information to enable a more informed and proactive engagement. Furthermore, UNEP resource efficiency projects engaged in supporting and influencing the definition, reporting, and monitoring of SDGs. The DG ENV task managers were to a good degree satisfied with the international policy outcomes of the SCA projects (see figure 7.1).

Figure 7.1: Satisfaction with policy outcome contribution
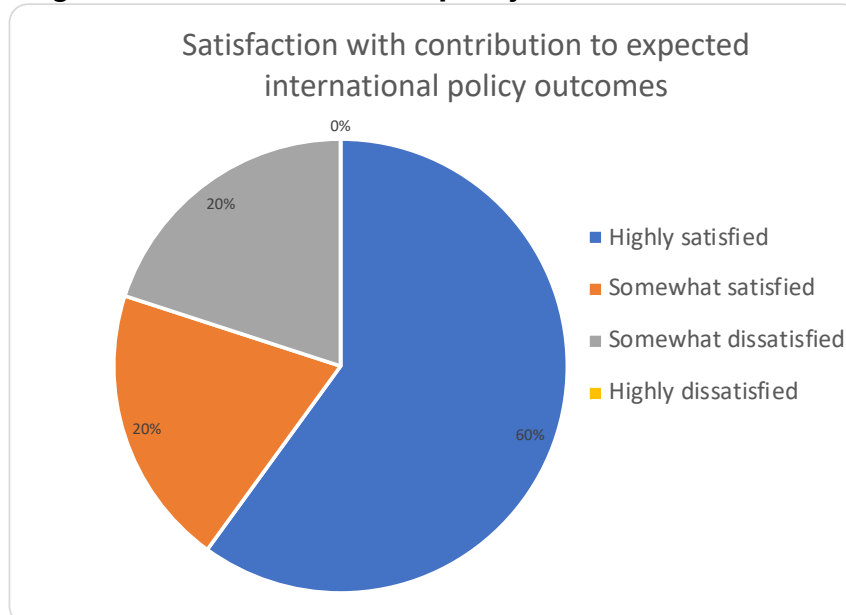
Source: DG ENV task manager survey

Box 7.1: Project contributions to international environmental governance

UNEP projects

10 YFP provided a global exchange platform engaging stakeholders from all sectors of society to increase cooperation and further promote SCP. The platform provided science-based knowledge and information on SCP and sustainable development to a large community of 3,000 members to further raise awareness on SCP. 10 YFP also organised high level events and dialogues on SCP and sustainable development, and engaged its board members and other UN agencies to develop inputs to substantiate the political debate and negotiations in including SCP in the SDGs, including the development of SCP indicators. Through a large outreach and science-based policy dialogue, 10 YFP contributed to the inclusion of a stand-alone SCP goal as well as other SCP-related targets in SDGs.

GE TOP shared the findings of its Trade and Green Economy Handbook as well as the results of its national support to mainstreaming green economy into national strategies and plans at high level meetings, such as events at the WTO. Although a small contribution to the further promotion of the green economy concept in the global arena, the project was a component of a larger initiative which was assessed in 2017 as UNEP's most "*visible contribution to the global environmental debate during the past decade*".

Mercury provided knowledge that informed discussions, negotiations and ratification of the Minamata Convention through the Global Mercury Assessment and information from national inventories. It further brought to international attention the fact that artisanal and small-scale gold mining is the largest source of mercury emissions. The project also provided technical information on coal combustion, to inform the Best Available Technologies/Best Environmental Practices Guidance Document adopted at COP1. As such, the project contributed to establishing an enabling environment for environmentally appropriate control and management of chemicals.

MEA Focal Points organised training and awareness raising campaigns, which reportedly resulted in an increased number of countries signing and ratifying MEAs and/or their amendments. 31 countries were supported in ratification and implementation of the Nagoya Protocol on Access and Benefit-Sharing; 11 countries in Africa were supported in ratification and early implementation of the Minamata Convention on Mercury, 15 countries in Africa were supported in ratification and early implementation of the Bamako Convention on Wastes. As such, the project contributed to enhancing and scaling-up the level of engagement in the international processes for biodiversity protection and chemical and waste management.

MEA projects

CMS Sharks supported the first Meeting of Signatories on the Sharks MoU, where agreement was made on the institutional and financial arrangements of the newly adopted Sharks MoU and the elaboration and adoption of the Sharks Conservation Plan in September 2012. At the second Meeting of Signatories in 2016, 22 additional shark and ray species were added, and the Conservation Working Group comprising shark conservation experts was created. At the CMS COP 11 in 2014, 21 of the 31 approved

proposals to add new species with a focus on sharks, sawfish and rays. The project contributed to the conservation of sharks by bringing sharks range states together and providing information that informed discussions and agreements on conservation measures.

CITES Aquatic Species through its collaboration with FAO successfully engaged with regional fisheries management organisations (RFMOs) and regional fishery bodies (RFBs), which enabled an increased engagement of the fishery community, in what had initially been seen as an "environment agency". A tangible result was that an increased number of CITES Parties involved fisheries experts in CITES processes and that more fisheries organisations participated in CITES meetings. Moreover, the CITES Secretariat was increasingly invited to contribute to fisheries related activities and events. The CITES Secretariat reports that many RFMOs and RFBs now include sharks in bycatch reporting. They have also become important partners for CITES in training, data collection and analysis, and the development of regional and national shark management plans. The project contributed to the adoption of seven decisions on trade in sharks and rays, and the addition of new 13 shark and ray species at CITES COP17.

CBD Outcomes I compiled and analysed scientific and technical biodiversity information, which informed the mid-term review of the Strategic Plan for Biodiversity 2011-2020; this in turn led to the adoption of related decisions to enhance the implementation of the plan. The data and information made available by the project informed CBD COP 13 and the adoption of the Short-Term Action Plan on Ecosystem Restoration, and decisions on biodiversity and human health, marine and coastal biodiversity, and mainstreaming of biodiversity.

Stockholm COP 5 supported the establishment of a functional global system for monitoring of POP concentrations (the Global Monitoring Plan), which informed both COP delegates and national policy-makers through regional capacity building and establishing partnerships with already existing monitoring programmes. Information was prepared on new and candidate POPs for Stockholm COP 5, and facilitated information exchange on the successful management of new POPs. Moreover, the project supported a) the implementation of the Convention's work programme on brominated diphenyl ethers and perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride, and b) the work programme to support the development and deployment of alternatives to endosulfan. The project also supported the participation of 10 delegates at COP-6, which enabled them to communicate implementation challenges and participate in the decision-making on future steps at the national level. Through funding travel costs, the project also enabled 10 delegates to attend COP 6 and express their views and implementation challenges faces, and participate in decision-making on future steps needed at the national level.

BRS Synergies I established an online database, which provided access to scientific and technical documents for the three BRS Conventions. This as well as capacity development promoted a better understanding of the interlinkages between the Conventions, e.g. for the subsidiary bodies of the Conventions. The project thereby contributed to establishing an enabling environment for environmentally appropriate management of chemicals.

61. **Many SCA projects have contributed to improving national policies, institutional frameworks and capacities, vis-à-vis MEA implementation and vis-à-vis resource efficiency, but the extent to which this has contributed to tangible environmental improvements and sustainable development cannot be established.**

According to the project managers many projects contributed to improving the national enabling environment in terms of policies, institutional frameworks, and institutional and individual capacities. This was done through training, improved access to knowledge and tools, supporting the mainstreaming of environment-related issues into national development plans and strategies, and to a lesser extent through the use of national and regional pilot projects. Some projects, in particular those implemented by MEA Secretariats but also a number of UNEP projects, focused on improving the implementation of MEAs. Moreover, a substantial proportion of UNEP projects focused on creating an enabling environment for improved resource efficiency/sustainable consumption and production. Unsurprisingly, fewer projects contributed to resource efficiency than MEA implementation, since resource efficiency is not guided by any specific MEAs, so this theme was only addressed by UNEP.

62. Small global process-oriented projects, such as those funded under the SCA cannot on their own ensure good environmental governance, let alone tangible environmental improvements and sustainable development advancement, as this requires a deeper and more comprehensive engagement at the national and even sub-national levels. While acknowledging achievements at national level, several project evaluations also pointed out that legislative, awareness, stakeholder engagement, and financial barriers at the national level were obstacles to in-country coordination and cooperation. UNEP projects, which where embedded in larger umbrella initiatives, may have contributed bigger outcomes and impacts, but it is not possible to establish the significance of the SCA project's contribution. Overall, the contribution to providing an enabling environment for sustainable development could potentially have been stronger if the support to building capacities and political, institutional or technical frameworks had been accompanied more systematically with projects investing in the promotion of piloting of viable models for sustainable development on the ground. Limited evidence was found of the SCA and its projects being linked up to in-country projects to ensure that all components of creating enabling environment were addressed, although the EU is the world's largest grants-based donor and has a large bilateral and regional portfolio of interventions that could have been linked to.

Box 7.2: Project contributions to national policy and institutional frameworks

UNEP projects

BIP I and II successfully developed a list of biodiversity indicators which can be used by Parties to adapt their national priorities and assess their progress towards the Aichi Biodiversity Targets. However, the extent to which these indicators were used, and integrated into National Biodiversity Strategies and Action Plans (NBSAP) and adopted as a policy instrument is unclear.

GE TOP conducted training and supported the formulation of green economy and trade related plans and strategies in five countries. The approach of linking the environment and the economy in "win-win" scenarios contributed to illustrating national pathways towards sustainable development.

Mercury trained government officials and power plant operators in Thailand, Vietnam and Indonesia on best available technologies and best environmental practices for controlling mercury emissions from coal-fired power stations. Furthermore, the Mercury Inventory Toolkit and Best Available Technologies and Best Environmental Practices Guidance were disseminated as a tool for implementing sound chemicals management and the related Minamata convention. However, the extent to which there was concrete implementation and reduction of Mercury emissions is unclear.

MEA Focal Points supported the integration of CMS, Ramsar Convention, and CITES objectives into National Biodiversity Strategies and Action Plans (NBSAPs) in 21 African and 12 West Asian countries. More generally, the project contributed to mainstreaming biodiversity- and chemicals and waste-related issues into national and regional development plans, and increased awareness of stakeholders through training at national level. However, the extent to which these plans are implemented and producing environmental improvements is unknown.

MEA projects

CMS Sharks facilitated the initiation of a regional pilot project on sharks trafficking in the Middle East and North Africa Region through three training workshops. The pilot project was intended to improve the regulation of sharks and other marine species listed under CMS and CITES with stricter domestic measures. However, the results achieved by the pilot project are unclear.

CITES Aquatic Species provided capacity development and online access to information, data, technical guidance, and tools. The extent to which, this led to improved implementation of CITES at the national level is difficult to ascertain. Nonetheless, data in the CITES trade database showed that Parties were enabled to issue CITES documents for listed sharks and rays, and thus able to assess whether catches were legal and determine non-detrimental levels of export. Moreover, the iSHarkFin tool introduced assist port inspectors, customs agents, fish traders and others in identifying shark species from fin shapes. The project also supported the non-detrimental findings (NDF) process and a shark traceability study with special attention to artisanal fisheries in Costa Rica. The study provided the foundation for a pilot project funded by Germany.

CBD Outcomes I provided information, data and tools for CBD Parties, including on the role and potential of biodiversity and ecosystems vis-à-vis climate change mitigation and adaptation, human health, and sustainable development, but its use at national level is unclear. Similarly, the Invasive Alien Species Information Facility (GRIIS) provided information and tools for national authorities, customs and border control agencies, but its use is unclear. The information and data provided and cooperation with partner organisations is likely to have contributed to a strengthened implementation of the Strategic Plan for Biodiversity 2011-2020.

Stockholm COP 5 supported the review and updating of the toolkit on updating and revising national inventories and action plans, identification and quantification of unintentional POP emission factors, and evaluating the effectiveness of measures implemented for eliminating POP pollution. Country representatives were trained on the use of the toolkit for inventory development and revision and updating action plans for the elimination of POP releases, which contributed to enabling Parties to better implement their obligations under, and report to, the Convention. The project helped increasing the availability of POP monitoring data at the global scale. The capacities of 65 developing countries and countries in transition were reportedly strengthened. Moreover, pilot projects were implemented in Uganda and Mozambique on the sound management of endosulfan, but the results are unclear.

BRS Synergies I established an online database and carried out capacity building activities that reportedly created an increased understanding of the interlinkages between three BRS Conventions, and enabled the integration of the Conventions into national legislation in several developing countries. For example, African Parties' understanding of the process for reviewing and listing chemicals under the Rotterdam and Stockholm Conventions was increased. The project also funded three pilot projects, in Central America, Eastern Europe and Sri Lanka, which carried out workshops, trainings and meetings. Moreover, national assessments of BRS implementation were carried out in Belarus and Sri Lanka. Strategies on the management of hazardous chemicals and wastes were drafted for the Central America region and for El Salvador. However, the extent to which the project led to concrete action at the national level and reduced risks from chemical waste is unclear.

63. **The information made available and tools developed by SCA projects are generally of global relevance and thus have a good potential for replication and upscaling. There was in general a demand from countries for the types of support provided by SCA projects, but actual replication is to a large extent dependent on donor funding.**
The knowledge, information, data, tools and guidelines produced were generally of global relevance for the implementation of MEAs, as they respond to COP decisions and prepared to inform all MEA Parties (from developing countries and countries in transition) and can thus contribute to wider implementation to meet MEA commitments, insofar the products are put into use by Parties. They have generally been made available online to allow easy access for countries and

stakeholders. Similarly, the training courses and materials developed can mostly also be replicated in other countries and regions. MEA Secretaries (e.g. the CITES and BRS Secretariats) have often received requests from parties for capacity building often triggered by the support provided by SCA projects, for example in relation to CITES provisions for marine species. However, replication and upscaling thus ultimately depend on access to sufficient resources to cover additional countries; and will thus to a large extent depend on continued access to funding from international donors. However, little data is available on the extent to which replication has actually taken place.

7.2. Sustainability

64. **Some SCA projects established mechanisms that continued to function after project completion.**
Several websites established by UNEP (e.g. BIP, 10 YFP) and MEA projects (e.g. the Shark Portal) were still used by experts and Parties to share experiences and access information and e-training after the SCA projects had ended. With continued support through the PCA the 10 YFP website renamed 'One Planet network website' has become a well-known platform for SDG 12. The CITES Aquatic Species project's cooperation with FAO also continued after project closure and information on CITES provision has been integrated in FAO activities and RFMOs/RFBs were made knowledgeable about CITES provisions and can thus advise their members; thereby a wider audience in the fisheries community can be reached. Another example is the training provided under Stockholm COP 5 to Regional Centres of the Basel and Stockholm Conventions, which have been capacitated to provide further trainings for countries. The knowledge from the Global Mercury Assessment led to a number of GEF projects on artisanal and small-scale gold mining, and it is expected that the 10 YFP programmes will lead to further pilot projects to mainstreaming SCP.

65. **Most SCA projects were embedded in larger UNEP programmes or a phase of longer-term/continuous processes within the MEA architecture. This contributed to sustainability, although this also depends on continued donor funding.**
The SCA description of the action did not explicitly anticipate synergies amongst or between UNEP and MEA Secretariat projects but did seek to achieve a more coherent and less fragmented packages of work through a multi-annual approach compared to the multiple single-project agreements prior to the SCA. The theme of synergies has however been of interest to the PSC[12], and reporting on synergies has been included in the annual project progress reports (under final remarks and

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[12] The GPGC PCA signed in December 2014 included an expected result on synergies. However, the result was not included in the addends to the agreement.

later as a dedicated section on interlinkages between projects) and in the earlier SPORs[13].

66. Projects were often part of more continuous support provided by EC DG ENV through the SCA and PCA or even prior to the SCA, following or being followed by earlier or subsequent projects, as shown in table 7.1 below for the sample projects. Fifteen UNEP SCA projects were associated with follow-on work under 13 PCA projects. Similarly, work on many of the components of MEA projects as well as two topic-based MEA projects (CITES Aquatic Species and EcAp Med) continued with PCA support. Hence, the support under the SCA was also conducive for continuity, which in turn contributed to processes being followed through and thereby enhancing the likeliness of achieving sustainability.

Table 7.1: Project continuity – sample projects

Sample project	Earlier pro-ject	Subsequent project
10 YFP	SCA: SCP Platform	PCA: 10 YFP II
GE TOP I+II	-	PCA related: TEST, GE Policy
BIP	-	PCA: BIP II
Mercury	SCA: Mercury	SCA: Minamata INC, Minamata II
MEA Focal Points	Pre-SCA: MEA Focal Points	-
CMS Sharks	-	*The EC engagement in CMS related to sharks was transferred from DG Env to DG Mare* SCA: The Sharks MoU website fed into the CMS Family website
CITES Aquatic Species	-	PCA: CITES COP 17 Outcomes
CBD Outcomes I	SCA: CBD In-tersessional	SCA: CBD Outcomes II, CBD Access and Benefit-Sharing PCA projects: CBD COP 12 Outcomes, CBD COP 13 Outcomes, Bio-COP Capacities, COP 17 Outcomes
Stockholm COP 5	-	SCA: Stockholm Global Monitoring Plan
BRS Synergies I	-	SCA: BRS Synergies II

67. All UNEP SCA projects contributed to the UNEP Programme of Work (PoW), and sometimes more than one SCA project contributed to same UNEP PoW output (see annex H). The UNEP SCA projects were managed under four UNEP sub-

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[13] The third SPOR report covering 2016 was structured around thematic areas in order to facilitate reporting on synergies across the three agreements

programmes (RE, EG, EM, and C&W). Five of the six sampled UNEP projects were part or a component of a larger UNEP initiative, namely, BIP, 10 YFP, GE TOP I + II (the Green Economy Initiative), and Mercury (Global Mercury Partnership).

68. The MEA projects were supporting the implementation of the programme of work decided by the COPs of the respective MEAs and thus in principle reflecting the interests and commitments of the Convention Parties. As such, the projects were not stand-alone projects, but part of larger and more long-term processes, to which the other projects implemented by the MEA Secretariats also contributed, and thus did not have a need for individual exit strategies. This integration in continuous processes were conducive for sustainability. However, without future donor funding it would be impossible to continue implementation at the current scale and level of ambition, which could, for example, negatively affect the continued updating of data and tools. Indeed, the current level of donor funding, is insufficient to fully meet the support needs and demand.

Figure 7.2: Project contribution to strategic outcomes

How did your project contribute to the following strategic outcomes?
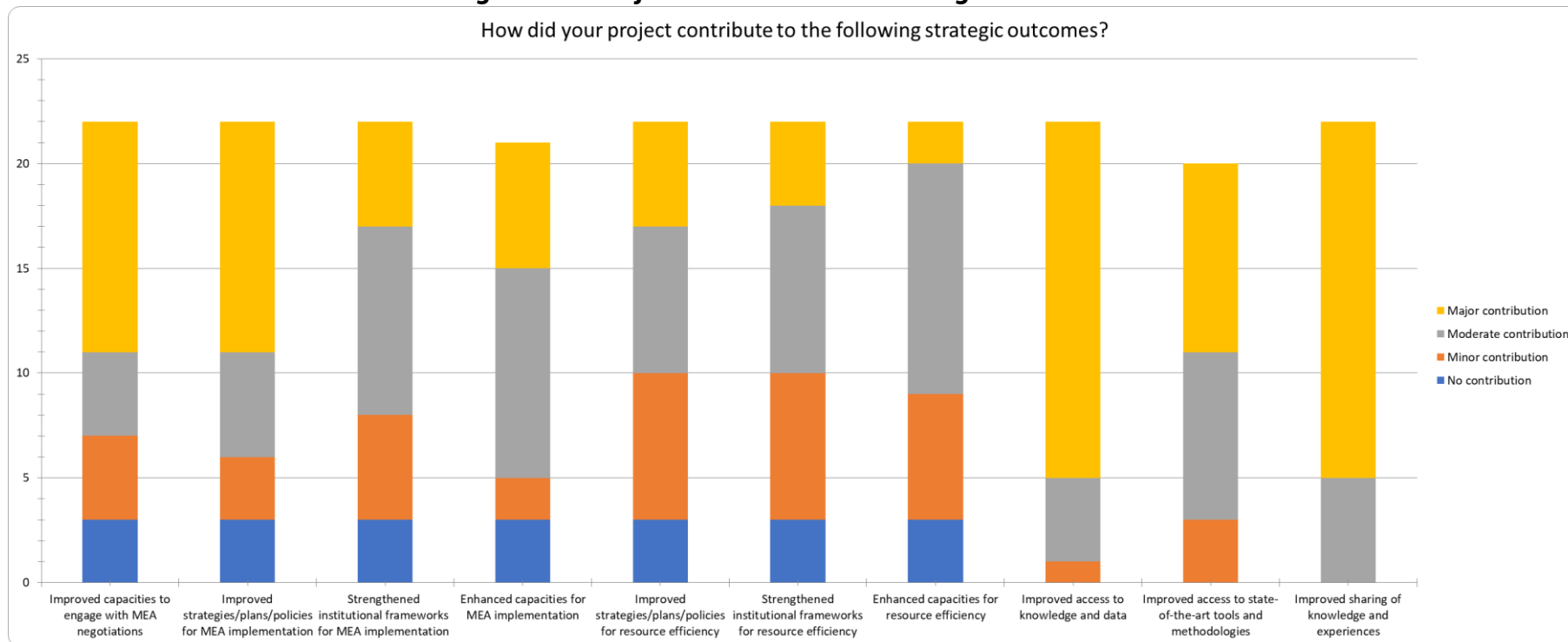
Source: Project manager survey

8. Efficiency

69. **The SCA significantly facilitated the processes for approving projects for funding, approving project extensions, and financial reallocation, by replacing multiple project contracts with the EC with a single overall contract with inbuilt flexibility.**
The SCA was characterised by the replacement of a set of individual project level contracts with multiple partners by a single contract with UNEP, with a significant reduction in the efforts associated with negotiation and review of individual contracts. The umbrella contract also provided for streamlined administrative processes related to project approval, revisions and extensions, and for flexibility in financial allocations, including notably the ability to grant project top ups and to re-programme savings. The multi-year approach allowed a greater number of projects to start in the first two years of the agreement than would have been possible within the confirmed budget, allowing a more rapid response to requests for funding and extending the overall period for project delivery. It also made it easier to extent project closing dates, which was done in several cases. This was based on a high level of confidence that replenishments would be received but this was at the same time risky for both UNEP, the MEA secretariats and DG ENV, as programming proceeded in advance of related EC budget decisions.

70. **The SCA significantly reduced the administrative burden for the EC, but introduced new and partly unforeseen administrative and managerial demands on UNEP.**
The extent to which different stakeholders in the agreement benefitted from savings as a result of a reduced administrative burden by replacing several project agreements with a single SCA agreement varied considerably, with the main beneficiary being EC services concerned with contracting and financial reporting. DG ENV indicated that it is unlikely that it would have been able to continue to support numerous small contracts with multiple MEA secretariats due to internal capacity constraints. However, the overall gains for DG ENV came at the expense of the need for UNEP to establish dedicated coordination and oversight structures, mechanisms and procedures; considerable time was spent on defining and adjusting these mechanisms and procedures (see chapters 8 and 9.2). Some MEA secretariats expressed that the passing through UNEP added an extra administrative layer and thus in some aspects increased their workload.

71. **In 2013-16, disbursements to projects were at times delayed by insufficient fund availability in the UNEP SCA trust fund and administrative delays.**
Until 2018, the SCA provided for only partial pre-financing of the EU contribution[14].

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[14] In line with the prevailing 2003 Financial and Administrative Framework Agreement between the European Union and the United Nations)

UNEP in general does not have sufficient financial reserves to pre-finance projects. Several projects were affected by this in 2013/2014 and 2016. Moreover, ten SCA projects reported issues related to 'delays in project approval and/or transfer of funds'[15]. Four UNEP projects started activities in 2013/2014 using funds from other sources[16]. Two UNEP projects were affected in 2016 due to a Division level response to the pre-financing situation. The third addendum (2018) resolved the issue, allowing for EU pre-financing of the final payment. This issue was intensified by the application of stricter requirements related to earmarking of funds in Umoja. Anecdotal evidence suggests that the situation was exacerbated by some FMOs withdrawing funds from the Trust Fund earlier than envisaged, squeezing the amount of funds accessible to other projects. EU payments on each instalment were conditional on expenditure thresholds at the overall SCA level being met on earlier payments. The ability to reach these thresholds was affected by uneven expenditure rates in view of implementation challenges faced by individual projects. (see figure 8.1)

72. Cash transfers to UNEP and some MEA projects were managed internally within UNEP. Transfers to the MEA Secretariats with independent trust funds were processed as payments to external entities and passed through the United Nations Office at Nairobi, normally processed within the expected three-week limit. However, payments were sometimes held up because of the United Nations Office at Nairobi's due diligence processes, for example, six projects implemented by BRS were affected by the non-availability of funds in the BRS Trust Fund in 2012 or 2014. The situation improved with the strengthening of the PMU in 2017 through the establishment of a financial "arm" of the PMU in Nairobi, which followed up on payments. Moreover, Stockholm COP5 and BRS Synergies experienced significant delays due to a lengthy negotiation between the EC, UNEP and the BRS Secretariat on the SCA disbursement arrangements and the applicable exchange rate. Furthermore, there were incompatibilities between the rules for the SCA (in the Governance Rules and Procedures (GRP)) and for the MEA Trust Funds, which in some cases created disbursement delays. There were significant delays in outward payments in the Umoja transition period. The SPOR review of project challenges indicates that around one third of the DG ENV SCA projects active in 2015 reported issues with 'Umoja'. One project reported delays owing to difficulties in setting up the project in Umoja in 2015, building on earlier delays due to a backlog in PRC approval. One third of the project managers responding to the survey, reported that disbursement delays negatively affected project delivery. For some MEA Secretariats, the delays at times posed a challenge vis-à-vis the timely implementation of the programmes work in view of their COP cycles; a related challenge for some MEA Secretariats was the lack of alignment between PSC and COP cycles.

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[15] SPOR background data - see annex C
[16] Including in two cases of funds being 'borrowed' from another project

Figure 8.1: timeliness of disbursements
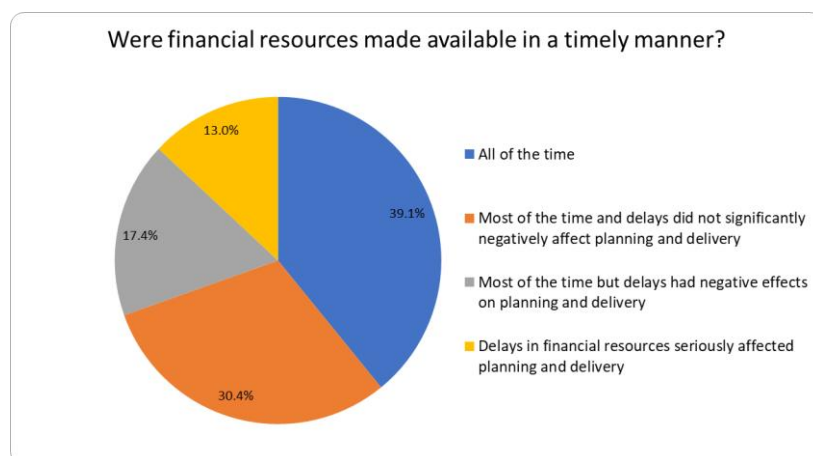
Source: Project manager survey

73. **The SCA achieved full spending, due to the ability to reprogramme remaining balances.**

The overall expenditure on the EU contribution to the SCA was EUR 33,637,228, equivalent to 99.8 per cent of the total EU contribution. This unusually high level of spending was possible since the remaining balance [17] could be reprogrammed to new projects in 2017 and 2018, a total of EUR 2.96 million was reprogrammed. The expenditure rate on the EU contribution to the 46 individual projects ranged from 48 to 100 per cent, with an average rate of 91 per cent. The reasons for under-spending at the project level varied significantly and included cost savings, lower than expected participation levels in meetings, and some cancelled activities[18].

74. **The available budget for programme management, appears as having been insufficient for covering the true costs associated with management of the SCA for both UNEP and MEA secretariats.**

The DG ENV and DG DEVCO SCAs both provided a budget for their joint management and management and oversight. The responsibilities of the PMU expanded in 2015 with the addition of the PCA, which only had a small management-related budget[19]. The DG ENV SCA operations allocations were amended with each addendum reflecting the requirements of the PMU as well as the need to balance contributions across the agreements. The total operations

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[17] Comprising a small unprogrammed balance on the original EU allocation, the sum of unspent balances on closed projects, and income from interest generated on the ECL Trust Funds and by MEA secretariats.

[18] The reasons for cancelled activities were project-specific and often related to those activities being obsolete (no longer required) or unfeasible. Such changes were discussed with the relevant DG ENV Task Manager, and formalised where required through project document amendments.

[19] It was initially expected at this stage that income from interest under the ENRTP SCA could be carried for-ward and allocated to management costs.

budget (including communication and visibility) was just under 2.5 per cent of the total cost of the DG ENV SCA (EU contribution and co-financing). The following points should be noted: i) the PMU coordinator's salary was partly covered by UNEP; ii) the costs of the PMU rose sharply from 2017 with the recruitment of additional staff; iii) the communications and visibility budget was reduced to cover other management related costs; and iv) the funding of the final evaluation was taken from the budget line for projects. There was no budget line for costs of non-PMU UNEP and MEA secretariat staff supporting SCA operations[20], though these costs were partly offset by the reduced demands for support services due to the streamlined administrative framework of the SCA. The SCA also included a programme support cost of seven per cent [21], split between UNEP (two thirds) and MEA secretariats (one third). These funds were managed at organisational level and did not directly support management of the SCA, although it could be argued that they contributed to partly covering costs associated with non-PMU staff.

75. **The overall co-financing raised at project level exceeded expectations.**
The total anticipated co-financing from UNEP was 13 per cent. Co-financing was expected to be mobilised by the individual UNEP and MEA projects, although there was no explicit guidance on the expected contribution of each project. The verified co-financing for UNEP and MEA projects was EUR 14.5 million higher than the expected UNEP contribution of EUR 5,035,632, and brought the total costs to just over EUR 53 million, 38 per cent higher than expected[22]. Thirty-two SCA projects anticipated co-financing and 33 reported receiving co-financing. In practice, there was only limited variance in mobilisation of the amounts anticipated in the full-fledged proposals, with eight projects mobilising less co-financing than expected, although this was at least in part due to non-reporting on budgeted operations contributions.

76. **SCA funding was overall well-managed, but the transition to Umoja was a major obstacle and cause of delays.**
The UNEP PMU took overall responsibility for financial management at the SCA level under the oversight of the Corporate Services Division. Management was guided by the SCA's Governance Structure Rules and Procedures (2013). UNEP Divisions and MEA secretariats appointed FMOs supporting project managers in the financial management and reporting. The need for a more active approach to fund management at the SCA became increasingly apparent in view of the effects of uneven project expenditure rates and the need for timely data to re-programme savings on completed projects. A 'traffic light' monitoring system was thus introduced by the PMU in 2014 to provide more timely information on the performance of projects the expenditure and level of execution of ongoing

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[20] Including focal points and finance staff.
[21] Below the UNEP standard 13 per cent, but in line with the prevailing rate in EU contracts.
[22] Cofinancing was verified based on project expenditure and related funds did not pass through the DG ENV SCA trust fund.

projects and in order to inform PSC management decisions, e.g. as a basis for rescheduling of funds from delayed and finishing projects.

77. UNEP's transition in 2015 to the UN Secretariat-wide enterprise resource planning system (Umoja) caused widespread disruption to financial management and was associated with corruption of data integrity. The TLS monitoring exercise was suspended in 2015-2016 due to difficulties in extracting meaningful financial information, and financial data was reintroduced only in 2018. In, 2017 a dedicated FMO and full-time finance assistant were recruited, replacing the earlier part-time assistant. The new staff undertook an in-depth clean-up of records from mid-2017 and the data integrity was largely restored by the end of 2017. The approach to reporting was revised and from 2017 the PMU FMO extracted draft reports from Umoja using a customised template, for review by Divisions and MEA secretariats; this ensured a consistent approach. The SPOR for 2015 had to be resubmitted in December 2017 in view of substantial changes in expenditure data following the financial clean-up. Financial reporting from 2017 was delayed by several weeks or months due to a need for consistent application of clean-up exercises across the portfolio. The financial data was considered sufficiently robust in 2018 to allow for reprogramming of savings.

78. **Staff requirements for the PMU were initially underestimated, and additional staff was recruited. Delivery of the SCA also depended on a wider network of supporting staff in UNEP and the MEA secretariats.**
The SCA anticipated establishment of a joint Programme Management Unit (PMU) that would serve as the coordination unit for the DG ENV and DG DEVCO SCAs and secretariat for the PSC. The PMU has also supported the GPGC PCA since 2015. In March 2012 UNEP appointed a coordinator to the PMU, who remained in place throughout the SCA implementation, providing continuity. Moreover, UNEP recruited additional staff to support the PMU: A programme assistant/programme officer (Sep 2013), a part-time finance assistant (Sep 2013) and replaced in November 2017 with a full-time assistant, a full-time fund management officer (FMO) (early 2017). Moreover, a short-term consultant helped with the preparation of the annual SPOR narrative reports. The PMU received support from other UNEP staff: a Senior Resource Mobilisation Officer in the early years, the Deputy Director for Strategic Donor Partnerships and Global Funds, a programme and policy officer in 2017-2019, and a senior FMO following the difficult transition to Umoja. DG ENV was represented in the joint PMU by an Assistant Policy Officer, throughout the entire duration of the SCA. The policy officer played a crucial role in day-to-day liaison with the UNEP PMU and DG ENV staff as well as in monitoring and reporting.

79. The workload of the PMU included one-off tasks related to the establishment of the SCA Agreements and Trust Funds, occasional tasks such as input into the renewal of agreements; and regular tasks including monitoring and reporting. The

PMU had to handle a backlog of clean-up tasks linked to financial management of the agreement in view of insufficient consideration of needs in this area at the start of the agreements and the interruption in normal operations in 2015-2016. The PMU Coordinator was also called upon to review individual project contracts signed with the EC outside the SCAs/PCA and provided guidance and training on related contractual frameworks. The unprecedented nature of the agreement meant the PMU faced a steep learning curve that at times threatened to be overwhelming. The PMU can now be considered an invaluable source of institutional knowledge and know-how.

80. The PMU was also supported by designated focal points in the MEA secretariats and UNEP divisions, notably for organisation of project monitoring and reporting. FMOs in UNEP divisions and MEA secretariats were heavily involved in the financial clean-up exercise which placed significant demands on their time in the later years of the agreement.

81. **Projects had to a fairly good extent sufficient staff resources available, but several projects were affected by challenges related to staffing.**
Forty-eight per cent of the project managers responding to the questionnaire considered staffing to be adequate for delivery of the project while the balance suggested this was 'somewhat adequate'. Twenty SCA projects reported issues related to 'internal administrative processes and staffing' and these issues were mentioned in 37 different annual reports[23]. Six projects reported challenges related to recruitment in 2013, four projects identified staff turnover as a challenge. Ten projects found staffing challenges[24], due to UN regulations and slow administrative processes, in a few cases with delays of more than a year. Some projects appointed consultants rather than permanent staff to reduce procedural delays, but still faced challenges. Eleven project managers responding to the survey reported that their projects were affected by recruitment delays, which in turn contributed to implementation delays (see figure 8.2).

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[23] Annex C
[24] Project annual reports

Figure 8.2: Effect of recruitment delays
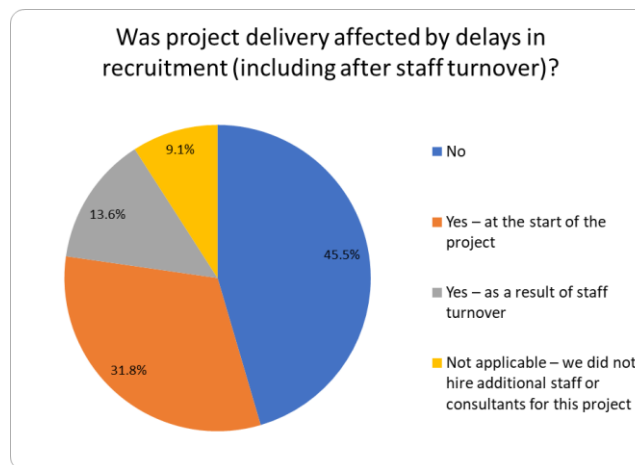
Source: Project manager survey

82. All projects depended to varying degrees on support from other staff, such as line managers, division or secretariat focal points and finance staff, whose time was not generally included as a cost in project budgets, but was sometimes been identified as co-financing (e.g. for CMS Sharks), and it could be argued that the seven per cent support costs indirectly contributed to partly covering UNEP's core budget costs. The demand on these staff increased when projects were extended. Two MEA secretariats reported general issues of shortfalls in secretariat capacity, with CITES identifying the need for a dedicated assistant for the SCA. In 2015, the implementation of CITES Species was supported by a Junior Professional Officer funded by the Government of Germany. Moreover, some projects were affected by temporary understaffing and staff turnover among their implementing partners, which contributed to delays. CITES Aquatic Species dealt with understaffing with Indian Ocean Tuna Commission by FAO agreeing to handle the administrative burden of the project on the Commission's behalf. All UNEP project managers interviewed reported sufficient staffing for the management and implementation of their projects, although there are indications that some project activities were delayed due to recruitment processes of external experts, and reliance on a small full-time team.

83. None of the reported challenges related to staffing were specifically linked to the SCA structure or approach. Nevertheless, the SPOR for 2015 recommended to include an inception period for projects facing potential delays at their outset, including in view of recruitment needs; this was included in the guidance from the PMU to project proponents.

9. Factors affecting performance

9.1. Implementation timeliness

84. **Several projects were affected by several challenges, which were often outside the influence of the project, although many were related to issues within the SCA partner organisations – as a result several SCA projects were delayed. Delays also occurred as a result of adjustments to the context, and due to administrative issues.**

A large number of projects experienced a range of challenges, most of which were partly or fully outside the control of the projects (see table 9.1). However, while some challenges were external, a number of challenges were related to administrative issues within the implementing organisations, see chapters 8, 9.2, and 9.3. Many projects were delayed and required extensions as a result (see annex C).

Table 9.1: Challenges affecting project implementation

Challenge	No. of projects affected	No. of times issue was reported
External challenges (e.g. political change, insecurity)	12	22
National level capacity and ownership	17	38
Consensus building and coordination with other processes (time and effort required)	26	40
Delays in project approval and/or transfer of funds	10	11
Administrative issues with third parties/countries (e.g. contracting, fund transfer)	7	8
Internal administrative processes and staffing (incl. recruitment)	20	37
Introduction of Umoja financial management system	12	19
Fundraising and co-finance	9	15

Source: SCA Final Report

85. The SCA projects worked in complex global or regional contexts, with several stakeholders and external factors at various levels, that could cause delays. It is thus not surprising that several projects faced delays. However, it also appears that project planning by UNEP and the MEA secretariat was sometimes overambitious, with unrealistically short time frames. Delays were also caused by internal procedures within UNEP and the EC (see figure 9.1 and chapters 8 and 9).

Figure 9.1: Administrative and third party challenges affecting project implementation

To what extent do you consider that project delivery was negatively affected by the following challenges:
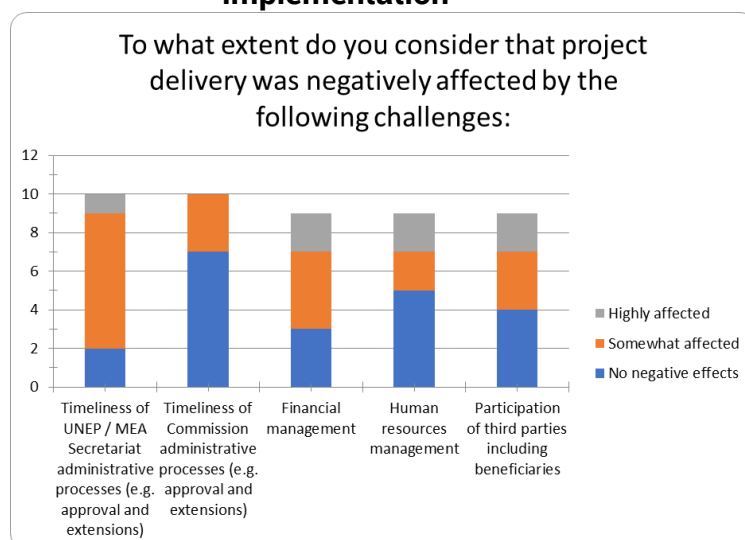
Source: DG ENV task manager survey

86. BIP and the GE TOP I were completed on time. These projects had clear and time consistent design and did not rely on external partnerships, hence the risk of delays due to external factors was limited. The other four UNEP projects in the sample were delayed and extended, mainly due to external factors and in some cases as they were adjusted to the delivery of the larger programmes they were part of:

- 10 YFP: The project was extended from 40 to 43 months, due to late nomination of the 10 YFP Board, a lengthy process to establish the Multi-Stakeholder Advisory Committee, and the transition to Umoja, and an overly ambitious design.

- GE TOP II: The project was extended from 33 to 37 months. The project was discussed with the EC for a rephasing of activities. Furthermore, the process of engaging national authorities and partners took longer than expected. Other financial management issues also contributed to the delay, e.g. conditional funding of the second year activities, the transition to Umoja (See chapter 8).

- Mercury: The project was extended from 11 to 33 months, since activities were rescheduled to align with the Global Mercury Partnership as well as global processes (e.g. the project was required to deliver the fourth Global Mercury Assessment, an activity that replaced the planned national inventories since these received significant GEF support following the adoption of the Minamata Convention). The process of engaging national authorities also took longer than expected, and the project was also affected by administrative challenges at the country level.

- MEA Focal Points: The project was extended from 36 to 48 months, to ensure the transition to new projects supporting MEA implementation and in response to requests from countries for further support.

87. The MEA projects were frequently delayed, mainly due to factors outside their control. In fact, all five MEA projects in the sample experienced delays and had their completion date extended by several months:

- CMS Sharks: The project was extended from 12 to 27 months, since the activities of outputs B and C could not be completed by the original completion date but also to allow additional activities to utilise funds remaining from cost savings. Delays were caused by external factors, such as the need to move the 1st Meeting of Signatories to the Sharks MoU to Bonn (which in turn also enabled savings on travel costs and interpretation).
- CITES Aquatic Species: The project was extended from 44 to 51 months, due to delays of a few activities caused by e.g. a need to relocate a workshop, the longer-than-expected time required to receive specific guidance and decisions from two committees under the Convention, changes in target beneficiaries caused by political and financial factors. The project start had also been delayed due to delayed disbursement to the CITES Secretariat, and blackout periods with the Umoja financial systems caused major delays of some contracts as retroactive funding is impossible. A challenge with Umoja is that funds cannot be committed before they have been received. Contracting with partners (FAO) and staff recruitment at the CITES Secretariat took longer than expected, and the finalisation of some sub-contracts were delayed.
- CBD Outcomes I: The project was extended from 9 to 33 months and later further extended by 12 months due to the introduction of additional activities. The project start had been delayed due to delayed disbursement to the CBD Secretariat.
- Stockholm COP 5: The project was extended from 27 to 39 months through two extensions. The project start was delayed due to lengthy negotiations between the EC, UNEP and the BRS Secretariat on the SCA financial governance structure; this was the reason for the first extension. The second extension was to allow project closure after the COP in 2015, enabling the project to support the COP discussions.
- BRS Synergies I: The project was extended from 24 to 35 months through two extensions, due to late start-up caused by delayed disbursement of funds as a result of the above-mentioned negotiations and negotiations on the applicable exchange rate.

9.2. Organisation, management and oversight

88. **The SCA management structure, rules and procedures largely provided an appropriate and transparent framework for the management and implementation of the SCA, albeit with some shortcomings in the project selection process.**
The SCA description of the action outlined internal coordination modalities and identified the roles of internal stakeholders. The joint PMU developed a set of Governance Rules and Procedures (GRP) together with annexes addressing SCA and project-level reporting (approved in 2013), monitoring, and communications, which further elaborated the provisions of the SCA. The GRP document was updated in 2015 to take account of developments (including the signing of the PCA), but this draft was not formally signed off, in part due to a DG DEVCO concern that it had too much detail on the internal procedures of UNEP without corresponding attention to those of the EC. A set of factsheets and standard operating procedures (SOPs) were developed towards the end of the SCA and did thus not significantly guide the SCA (although they summarised earlier guidance provided by the PMU), but they reflected the experience and learning from the SCA. The UNEP PMU had a primary reporting line through the Corporate Services Division, and a secondary through the UNEP Regional Office for Europe. The reporting lines of the PMU Coordinator and finance staff underwent several changes in 2015-18 and the discontinuity was magnified by changes in senior positions.

89. As described in chapter 5, the identification of most projects predated the signature of the SCA, thus largely predating the GRP guidance, albeit with some follow-on projects and top-ups based on satisfactory results. The project selection process was only partly institutionalised and to an extent building ongoing areas of cooperation and individual relationships, although there was an internal invitation to propose projects within UNEP and MEA secretariats. This, and the participatory nature of the PSC meetings, resulted in a fairly transparent and relatively coherent approach to project selection compared to the earlier approach of 'shopping around'. Most of the initial UNEP projects were based on ideas discussed at the first PSC meeting and already existing cooperation between UNEP and DG ENV. The use of the less transparent 'written procedure' was largely restricted to projects that built on, or were closely related to, existing initiatives. Some interviewees emphasised that the project selection had remained unclear, and did not extensively provide space for "newcomers" and new projects. Some MEA secretariats reported that they received only limited information of follow-on opportunities related to replenishment. The process for reprogramming of savings in 2018 was also not entirely transparent, perhaps reflecting the need to identify activities that could be implemented within a short timeframe. The process for project identification and selection was adapted to the prioritisation of a large number of project proposals, but not so well adapted to respond to emerging issues and the availability of incremental funding and

reallocation of savings. Moreover, the process for approval of UNEP concepts prior to seeking approval from DG ENV was not well articulated within UNEP's internal project approval process. A number of interviewees found that the UNEP project document template was easier to use than the EC's, even though MEA Secretariats found that initially the standard UNEP template was not fully suitable for MEA Secretariats, but subsequent versions were improved.

90. **The guidance from the PSC and PMU was mostly relevant and responsive, and in most cases sufficient.**
The PSC met roughly on an annual basis, but did not meet in 2018 (although the co-chairs met twice in 2018). It was co-chaired by DG ENV, DG DEVCO, and UNEP line managers responsible for EC-UNEP contract delivery. The wider PSC composition was more open-ended and defined by the participation in its meetings, and included: i) senior managers and focal points from MEA secretariats; ii) staff from DG ENV, DG DEVCO and DG CLIMA; iii) UNEP subprogramme coordinators; iv) project managers; and v) technical staff from implementing agencies and partners. PSC members participated in discussions according to the relevance of the theme or project under discussion. Only the co-chairs were consulted outside the PSC meetings. The co-chairs also met outside the PSC meetings in 2018 and addressed identified management issues and developed and endorsed solutions related to the challenges of pre-financing and reprogramming of savings. The discussions at earlier PSC meetings were expansive in scope with discussions on the nature of the partnership and potential for wider collaboration, while later meetings mainly focused on management issues. The PMU tracked the status and delivery of more substantive PSC decisions, and its records indicated that most of the agreed actions were either 'completed' or 'ongoing', showing a good degree of implementation of the PSC decisions.

91. The PMU provided regular written guidance (incl. proposal submission, reporting and monitoring templates) to focal points and project on all aspects of the project cycle as well as occasional guidance on different aspects of SCA implementation, such as communications. The PMU worked with different UNEP functional units and to a lesser extent the MEA secretariats, to develop the GRP and templates. The PMU also took part in discussions related to project extensions and top-ups from the perspective of overall implementation of the agreement (timing and budget allocation). Moreover, the PMU responded to a wide range of emerging issues, e.g. in relation to the compatibility of UNEP and MEA structures and systems with the requirements of the SCA.

92. The PMU guidance was in general found responsive and helpful by survey respondents and interviewees (see figure 9.2), albeit with certain shortcomings such as: the limited notice period for preparation annual report, lack of information regarding the release of funding, in some cases the timeliness of

responses to queries (but in other cases quick response), and the desire for more systematic information on the project proposal process. Project identification largely occurred through contacts between project and task managers in UNEP and DG ENV, with little guidance from the PMU. The PMU guidance was mainly at the functional level, that is to say navigating the rules of the EC.

Figure 9.2: Adequacy of PMU support
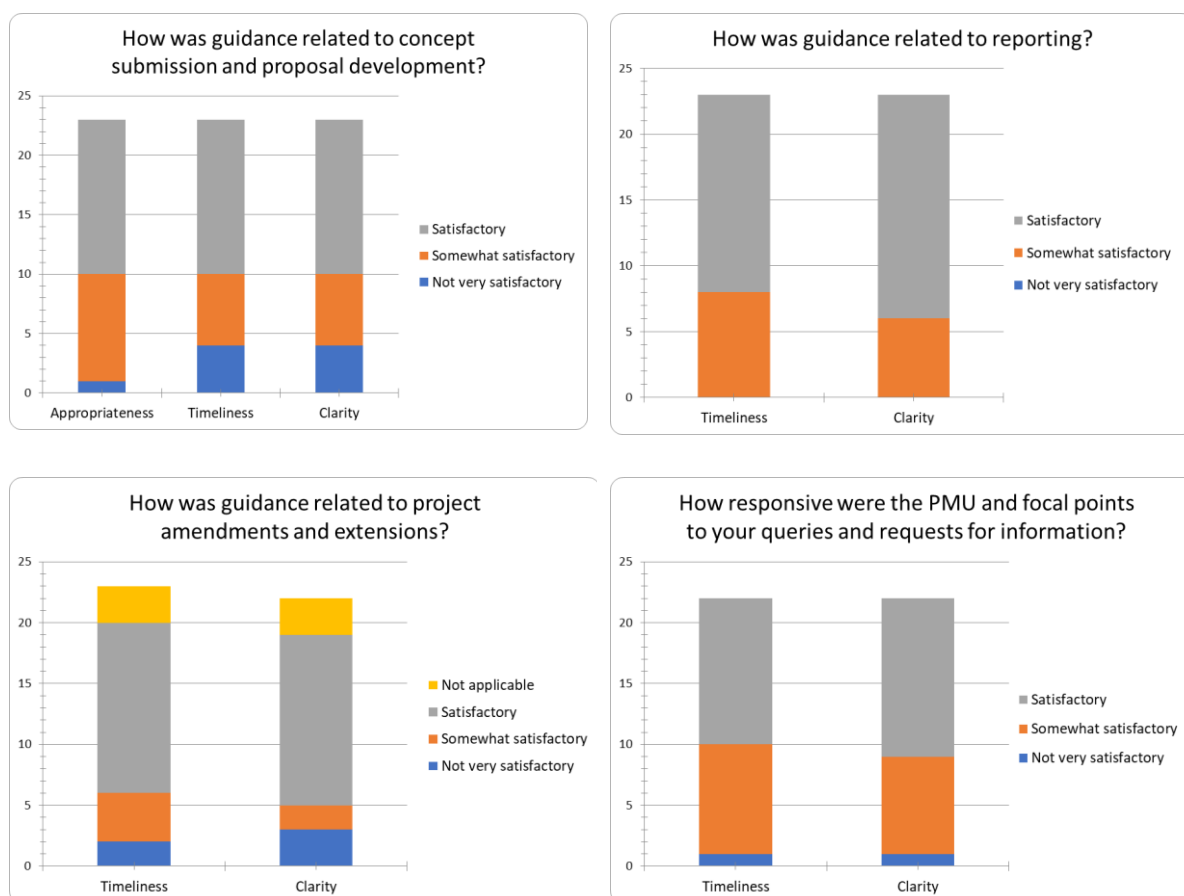
Source: Project manager survey

93. Memoranda addressing key issues and developments, with related instructions, were issued by UNEP senior management at the start of the process, following the transition to Umoja, and related to the closure of the SCA. There were some concerns that the PMU struggled to receive adequate attention from senior management to tackle issues raised by the EC, until concerns around financial reporting in the post-Umoja period reached a critical level.

94. The UNEP PMU had a close and constructive working relationship with the DG ENV counterpart, who served both as an integral part of the PMU (e.g. in the monitoring process), as well as assuring coordination with, and guidance for, DG ENV task managers and providing a first point of contact for UNEP on accountability and compliance issues. The UNEP PMU also liaised directly with the DG ENV Unit for Management of Financial Resources; relations were

characterised as *constructive, solutions-orientated and cordial*, and built on an established level of trust founded in UNEP's participation in the pillar assessment process[25].

9.3. Cooperation and partnerships

95. **The overall management set-up and specific projects facilitated coordination and collaboration between UNEP and MEA secretariats, but project-to-project synergies were most readily achieved between projects implemented by the same entity.**
    The SCA description of the action did not explicitly anticipate synergies amongst or between UNEP and MEA Secretariat projects but did seek to achieve a more coherent and less fragmented packages of work through a multi-annual approach. The theme of synergies was of interest to the PSC[26]. The expectations regarding programmatic coherence and synergies in the SCA portfolio increased over time echoing more concerns to seek coherence and synergy in the global environment arena.[27] A number of projects specifically aimed at generating synergies amongst the MEAs (e.g. BRS Synergies, MEA Focal Points, Bio-MEAs Synergies) and to provide common tools or platforms to facilitate implementation synergies (e.g. InforMEA), and their implementation entailed in-depth collaboration amongst UNEP and MEA secretariats, including at regional level. Bio-MEAs Synergies, which supported synergies amongst biodiversity related MEAs was initially less well received, but adapted its activities to support the MEA secretariats' own initiatives; however, since the biodiversity MEAs already had some mechanisms in place for coordination and synergy (e.g. CITES-CMS joint work programme) the added value of UNEP in this regard appears somewhat unclear.

96. The PSC meetings provided an opportunity for interaction between MEA secretariats and UNEP technical divisions, increasing knowledge of each other's activities and opportunities to comment on other agencies' initiatives while these were still at the design stage, such as MEA secretariat inputs into the design of UNEP's MEA support projects. MEA secretariats took up new ideas and approaches based on other Secretariats' experiences. Ultimately, the interaction led to collaboration in the design of some PCA projects. However, a number of MEA secretariats already had interaction and communication (e.g. CITES-CMS joint work programme), and the contribution of the SCA in this regard appears modest.

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[25] The EC undertook a desktop review in 2008 related to UNEP's applied standards in the four pillars of financial management: accounting, auditing, internal control and procurement.

[26] The PCA signed in December 2014 included an expected result on synergies. However, the result was not included in the addends to the agreement.

[27] The GPGC PCA addresses this as activity under the environmental governance theme, namely: *United Nations system and MEA bodies, respecting the mandate of each entity, demonstrate increasing coherence and synergy of actions on environmental issues*.

97. Often, the SCA projects were part of longer processes, and within each implementing agency, there was a good degree of synergy between projects, where one project would build on the processes and results of earlier projects (see chapter 7.2). However, there is less evidence of cooperation and collaboration between SCA projects implemented by different agencies. The initial development and submission of MEA and UNEP project documents proceeded in an independent manner, with no specific efforts to seek collaboration where this did not already exist. Nevertheless, some projects and a number of survey respondents did report complementarities and linkages at the technical level, such as sharing knowledge products or participation in workshops and meetings. For example, CMS and CITES had a number of such involvements in each other's projects and CMS Sharks addressed both CMS and CITES aspects in capacity building workshops. MEA Focal Points implemented by UNEP supported countries' preparation for several MEA COPs through sub-regional workshops and consultations. At a practical level, the collaboration between SCA projects generated cost-saving and efficiency measures within the SCA portfolio, for example through organising back-to-back meetings.

Figure 9.3: SCA contribution to project collaboration and synergies
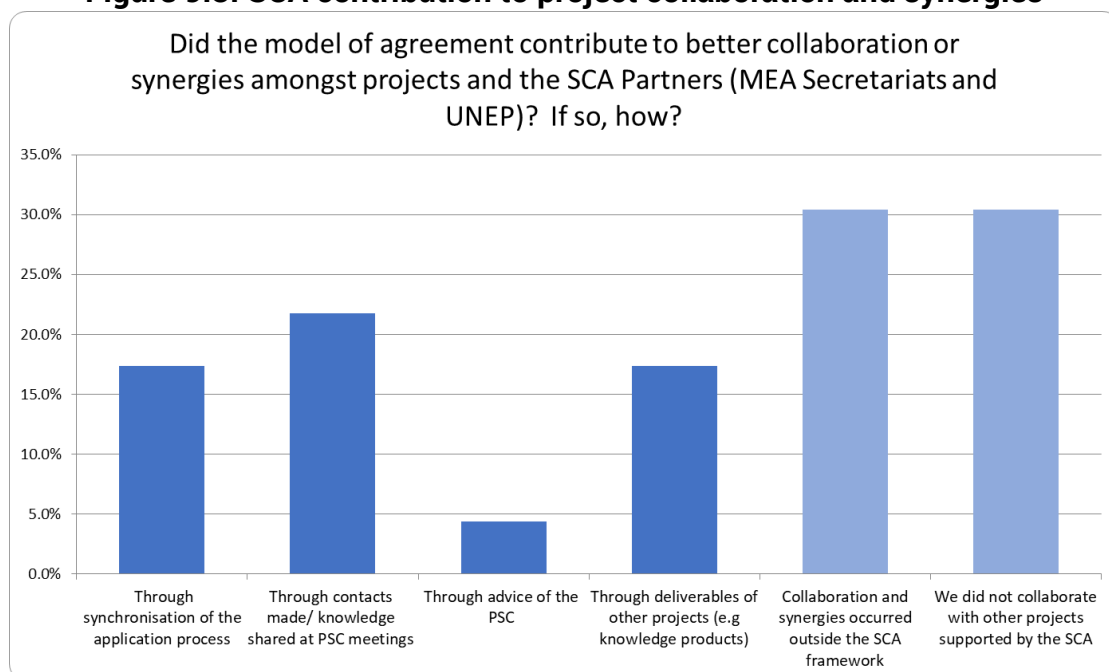
Source: Project manager survey

Figure 9.4: SCA contribution to project collaboration and synergies

Did the SCA modalities, procedures and processes facilitate collaboration and synergies amongst projects?
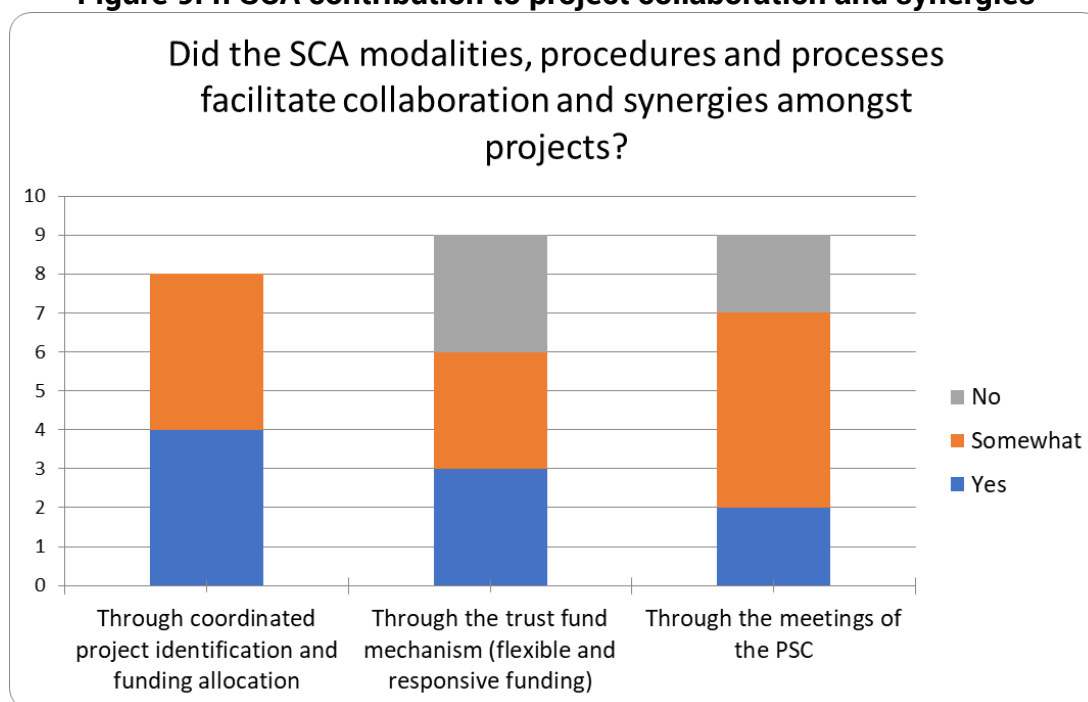
Source: DG ENV task manager survey

98. **Stakeholder involvement at design stage took several forms, but overall, projects arose from demand-driven processes. Most projects engaged partners in the project implementation, although at times, stakeholder engagement at national level was a challenge.**
UNEP projects were part of the UNEP Programme of Work (see below), which is approved by UNEP member states, and some projects arose directly from government requests (e.g. Mercury, MEA Focal Points). Some projects derived from a demand-driven process (e.g. BIP answered to CBD needs, 10 YFP followed the Marrakech process, GE TOP and country demand for advisory services). The MEA projects responded to the programmes of work decided at the COPs, and as such implemented activities and priorities identified by the Parties to the Conventions. Stakeholders were consulted (e.g. through consultative workshops) and provided inputs to the development of activities by articulating their capacity needs; and some activities were tailored to the needs of specific Parties. As such, there was often a good degree of involvement of stakeholders in design, although the detailed project design remained primarily an informal discussion between UNEP and MEA secretariat project managers and their DG ENV counterparts.

99. All UNEP sample projects, by nature, engaged a range of stakeholders (government representatives, experts, civil society, research and academic organisations, and in few cases private sector) in the implementation. However, national stakeholder engagement was often a challenge and the projects had to develop strategies to that effect, through i) initial introductory national

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workshops/meetings (e.g. GE TOP, 10 YFP), ii) identification and support to "local champions"/National Focal Points (e.g. GE TOP, 10 YFP, Mercury), iii) formulation of strategies for targeted stakeholder engagement (e.g. 10 YFP strategy for private sector engagement), and iv) support of the UNEP regional offices and MEA secretariats, capitalising on their convening power and experience (e.g. BIP).

100. Stakeholders were engaged by MEA project implementation through their participation in i) workshops and events; ii) capacity development; iii) data collection, inputs to scientific and technical products, and iv) experience and information sharing activities, e.g. at workshops, seminars and through websites. In this way, a number of projects (e.g. CITES Aquatic Species, CBD Outcomes I), achieved a high level of stakeholder participation.

101. **Partnerships were essential to the success of many projects. UNEP were among the partners mobilised for some MEA secretariat projects.**
The implementation approach set out in the SCA action fiche envisaged that UNEP would engage in partnerships and mobilise a broad range of stakeholders, such as government institutions, UN agencies, bilateral donors, academia, the private sector, and civil society. In practice, projects engaged a wide range of partners during implementation. These partnerships leveraged additional expertise in support of the projects, both during the project implementation period, for example through extensive engagement of technical experts in support of the project (e.g. BIP), or through the utilisation of project-supported outputs, such as platforms (e.g. 10 YFP). Project-supported processes also influenced actions of third parties, leveraging further financial resources, including notably related to GEF funding in the chemicals sector, after the GEF revised its strategy on chemicals and waste in response to an invitation from UNEP's Governing Council[28]. The CMS Secretariat mobilised significant funding from Parties for the implementation of activities supporting the Sharks MoU29. CITES Aquatic Species mobilised in-kind contributions from Parties for (sub)regional workshops30, and the traceability systems study in Coast Rica served as the basis for a pilot project funded by Germany. Partnerships were facilitated between the MEA Secretariats and other UN agencies, which contributed to mainstreaming of biodiversity and other environmental issues and generated longer term collaboration (e.g. CITES Aquatic Species with FAO).

102. None of the SCA projects entered into partnerships that needed formal approval and there were no major grants to third parties, although some of the MEA secretariats shared funds intended for jointly hosted secretariats, such as that for the Rotterdam Convention, with their partners. However, engagement

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[28] Building on the work of the CW Finance Project.
[29] Funding was mobilised from USA, UK, Germany, South Africa, Monaco, Australia.
[30] Incl. contributions from China, USA, India, Colombia.

with third parties was frequently associated with external and procedural challenges at the project level, such as contracting and fund transfer issues[31] (see annex C), exacerbated in some cases by overambitious planning. Some of these issues could have been averted with greater engagement of stakeholders at the planning stage. For example, after consultations at national level failed a number of projects had to work with different pilot countries than those originally identified (e.g. Mercury).

103.   The SCA action fiche also envisaged a range of activities to enhance inter-agency cooperation and coordination in line with UNEP's chairmanship of the (UN) Environment Management Group and engagement with the UN Development Group. In practice, coordination at this level has continued but without specific reference to EU funding or the SCA. Similarly, the potential to seek complementarities and synergies with other EU funded programmes has not been actively pursued at the PMU or SCA level.

104.   Larger UNEP projects, relied on national partners to implement activities at country level, and engaged more generally in partnerships to leverage expertise, and implement capacity building activities:

- 10 YFP partnered with UN agencies, global research and academic institutions, to support some of the research and strategic thinking activities (i.e. Idea42, University College of London, Technical University of Denmark, World Resources Forum, Hedmark University College, Institute of Global Environmental Strategies), to implement capacity-building and learning activities (BioRegional, WRAP, United Nations Institute for Training and Research (UNITAR), Stockholm Environment Institute (SEI), and to support stakeholder engagement and communication (GRID Arendal). Partnership agreements were also entered for the management of the 10 YFP Trust Fund activities[32] (including assessment of project proposals and project oversight).
- GE TOP relied on national parties to coordinate and administer national activities (i.e. the Ghana Energy Centre, the Peruvian Trust Fund for National Parks and Protected Areas, the Ministry of Industry and Trade in Vietnam, the Trade Law Centre in South Africa, and Fundación Chile) and engaged the expertise of several international organisations (e.g. the International Trade Centre, and the International Centre for Trade and Sustainable Development) in providing detailed national assessments of green trade opportunities and related challenges; and consulted other

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[31] Twelve projects were affected by external challenges at the national level, 17 were affected by issues related to national level capacity and ownership, and seven by administrative issues with third parties.

[32] 10 YFP developed six thematic programmes for the development, identification and implementation of national projects related to i) sustainable public procurement, ii) consumer information, iii) sustainable buildings and construction, iv) food systems, v) sustainable tourism, and vi) lifestyles and education.

multilateral partners, e.g. UNCTAD and the World Trade Organisation (WTO).

- Mercury relied on national parties in Indonesia, Thailand and Vietnam to coordinate and administer national activities (including training). The project also engaged into collaborative research for the Global Mercury Assessment and national inventories, partnering with the Arctic Monitoring and Assessment Programme, the United Nations Institute for Training and Research (UNITAR), and the International Energy Agency's Clean Coal Centre.

105.   Being small entities, the MEA secretariats to a large extent relied on partnerships to implement the projects. For example:

- The International Fund for Animal Welfare carried out trainings under the CMS Sharks pilot project in Egypt, the United Arab Emirates and Yemen.
- CITES Aquatic Species worked closely with FAO on capacity development and the development of the iSharkFin tool. Due to the partnership with FAO, the project was able to engage with regional fisheries management organisations (RFMO) and regional fisheries bodies (RFB). The RFMOs and RFBs play a central role in the research, data collection and analysis, capacity building, and the development of management plans for marine species, and in the involvement of national fisheries agencies. The partnership with FAO, RFMOs and RFBs has continued beyond project. FAO has incorporated CITES-related elements into its work on sharks.
- CBD Outcomes I partnered with the EC, the United Nations Framework Convention on Climate Change (UNFCCC) and the United Nations Convention on Combatting Desertification (UNCCD) Secretariats, the World Health Organisation (WHO) and other partners on the mainstreaming of biodiversity[33], e.g. in relation to health and climate change, and thereby strengthened the CBD Secretariat's partnerships with these. The Global Biodiversity Outlook 4 report was prepared in cooperation with a range of partners, including UNEP[34].
- Stockholm COP 5 relied on support from Parties, donors and technical agencies for the POPs toolkit revision and updating, such as inputs from nominated national experts, in-kind contribution from expert institutions, and funding; the project also cooperated with UNEP on the updating activities. The Global Monitoring Plan on POPs that is drawn upon for the Effectiveness Evaluation of the Stockholm Convention was implemented in close cooperation with WHO and UNEP (e.g. with UNEP/GEF funding

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[33] Partners: World Health Organisation, Global Partnership for Forest Landscape Restoration, UNFCCC Secretariat, EC, UNCCD Secretariat., International Tropical Timber Organization (ITTO), FAO, CMS Sec., Joint Liaison Group of the Rio Conventions and WMO.

[34] Partners: Biodiversity Indicators Partnership, UNEP, DIVERSITAS, Netherlands Environmental Assessment Agency, Forest Peoples Programme, Global Youth Biodiversity Network.

participation costs).

- China, Japan, UNEP and FAO each took the lead in the drafting or updating of specific technical guidelines on waste management under BRS Synergies.

106. **UNEP Regional Offices were engaged in the implementation of SCA projects, when relevant.**

UNEP regional offices were engaged in the country selection process for some projects (e.g. BIP), supporting training activities and facilitating workshops/meetings, promoting regional cooperation by establishing partnerships at the sub-regional and regional levels or serving as a point of contact (e.g. MEA Focal Points, GE TOP, Mercury), as well as supporting stakeholder engagement processes (e.g. BIP). More importantly, the UNEP regional offices were directly liaising with MEA secretariats, through hosting the MEA Focal Points. As such, they were engaged in several activities:

- The Regional Office for Africa commissioned an information note on launching the report on State of Biodiversity in Africa at the 15th session of the African Ministerial Conference on the Environment in 2015.
- The Regional Office for Europe provided support to the preparatory meeting for the 2015 COPs of the BRS Conventions for Central and Eastern Europe and Central Asia and facilitated discussions and exchange of views among the participants.
- The Regional Office for Europe engaged proactively in negotiating the SCA agreement, including consulting other UNEP divisions.
- The Regional Office for Europe convened the sub-regional workshop for Central and Eastern European and Central Asian countries in support for the ratification and early implementation of the Minamata Convention on Mercury.
- The Regional Office for West Asia facilitated the second national workshop for the revision of Bahrain's National Biodiversity Strategy and Action Plan (NBSAP) and the preparation of its Fifth National Report to CBD.
- The Regional Office for West Asia offered programmes to strengthen institutional capacity of 12 member states to respond to the conservation and sustainable use of marine ecosystems and their biodiversity and services, the management of emerging regional issues related to ecosystem degradation (terrestrial, aquatic and coastal), and strengthening the implementation of biodiversity and marine-related MEAs and their coherence in the North-West Indian Ocean and adjacent Gulf areas.

107. UNEP regional offices also contributed to the Global Biodiversity Outlook 4 report prepared under CBD Outcomes.

9.4. Monitoring and reporting

108. **Systems were put in place for tracking and reporting on overall delivery of the portfolio that enabled management to get an overview of, and respond to, implementation progress.**
The PMU tracked and recorded the status of the SCA portfolio and included references to management decisions (for example on top-ups and expenditure). The databases were used on a day-to-day basis by the PMU and provides information for the annual reports. The quarterly traffic lights system (TLS) allowed a periodic review of the performance of projects, and provided up-to-date information related to the expenditure and level of execution of ongoing projects. The PMU monitoring system was administered in collaboration with MEA secretariat and divisional focal points, who in turn liaised with project managers. The system functioned as an alert system for project teams to raise issues, including those that could affect project timing or expenditure, and as an opportunity for discussion with the PMU on possible solutions and risk mitigation. It enabled the joint PMU to follow up, and make suggestions, on issues related to implementation progress, from the perspective of meeting overall contractual requirements at SCA. The monitoring also highlighted issues of concern for the PMU, notably by putting the spotlight on communications implementation and visibility from 2017. Moreover, the TLS process triggered a dialogue between financial and technical managers at the project level. The TLS process was considered useful at both the project and portfolio levels. After initial concerns about demands on time and the possible implications of sharing expenditure data, the system became well accepted and considered useful by a majority of stakeholders. However, some MEA secretariats found that the reporting required under the SCA was somewhat excessive.

109. The annual Strategic Performance Overview Reports (SPOR) addressed developments of the portfolio, project challenges, and SCA operations and related challenges, and financial management. The challenges sections of the SPORs were used to draft recommendations to the PSC and senior management, including some recommendations related to systemic issues associated with the interface with SCA and implementing partner processes (e.g. project approval) and common issues experienced during project implementation (e.g. delays as a result of consultative processes). The PMU tracked and recorded the status of the recommendations.

110. The SCA projects reported on an annual basis using a template provided by the PMU. The template was regularly updated based on experience from the previous reporting period, developments in the UNEP internal reporting, and areas of interest to the PSC. A requirement for senior management sign-off was introduced to ensure more timely and accurate reporting at the project level. MEA secretariat reporting was coordinated through MEA focal points. Initially, the

PMU had direct contact with individual UNEP project managers but shifted to work with focal points in the UNEP divisions in order to facilitate management sign-off of reports. The DG ENV manager survey and interviewed showed a fair degree of satisfaction with the project reporting, although some found the reports "lengthy" and that there were delays in reporting. In regard to the usefulness of reports in steering project and decision-making the survey answers seem more positive. From the review of documents and interviews, there is indication that project steering was more a process of direct and regular communication than a result of project reporting.

Figure 9.5: Quality of project monitoring and reporting
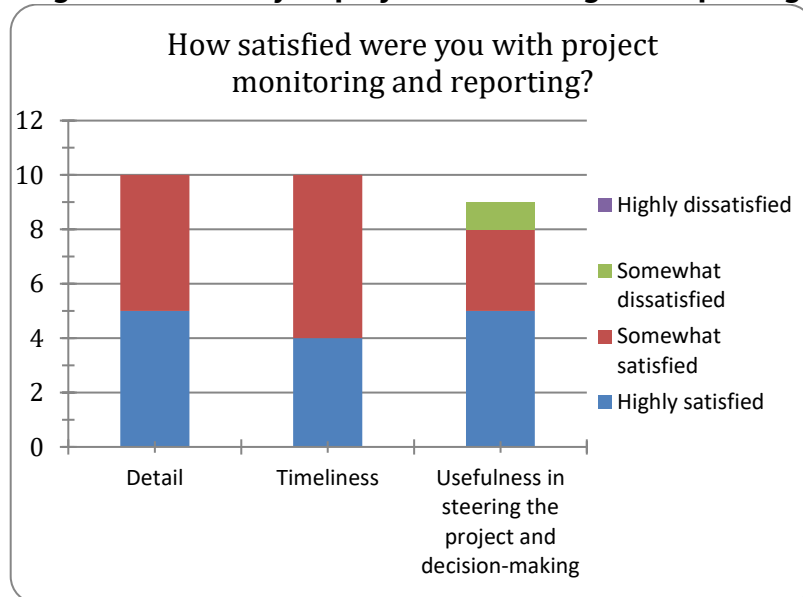
Source: DG ENV task manager survey

111. **Monitoring was mostly activity and output focused, with insufficient attention paid to the outcomes and contributions towards impact of the projects. As a result, it is impossible to clearly establish the outcomes and impacts achieved.** The SCA results framework included four indicators for the expected results and two indicators for the strategic objectives; these indicators were not specific to one expected result or strategic objective, but common to these (see chapter 6). However, most of these indicators were activity- or output-oriented and those that were outcome oriented were impossible to attribute to the SCA. Moreover, no baselines or targets were identified. It should, however, be kept in mind that it would have been very difficult to establish a set of outcome-oriented indicators with clear baselines and targets for the SCA, considering that: i) the SCA was designed to be responsive to international environmental governance processes, which are evolving processes, b) that the SCA covered several projects implemented by different entities and governing different themes, and c) the process-oriented nature of the SCA and the projects.

112.   Project level outcomes were not explicitly addressed in the SPORs. At the same time, the SPORs provided only a limited and rather fragmented perspective on SCA outcomes reflecting both the nature of the SCA results framework and the shortcomings with the indicators and that the focus was on delivery in the reporting year in question. There was no requirement in the project annual reports to report on the contribution to the SCA results framework. The summary of contributions to expected results in the annual SPORs was thus based on largely qualitative data extracted from the annual reports; compiled based on reported project outputs, and occasionally outcomes, in the calendar year. The final SCA report produced in 2019 provided a more holistic perspective on project results, and their contribution to the SCA's expected results and outcomes, but again, this could only be based on the project annual reports, and the quality of reporting on SCA outcomes was thus determined by the extent to which the SCA outcomes were captured in the individual project annual reports.

113.   Several projects did not have clearly formulated outcomes and inconsistent results frameworks, and most of the sample projects did not have well-defined outcome indicators, baselines, and targets (e.g. BIP, Mercury, 10 YFP, MEA Focal Points, GE TOP, Stockholm COP 5, BRS Synergies I). A notable exception was CITES Aquatic Species, which had a coherent results framework with appropriate indicators, baselines and targets. As found by the SCA mid-term evaluation: "At portfolio level, only in 50% of the cases could the quality of the project's logical framework be considered as adequate and providing a useful tool for planning, monitoring and evaluation purposes. The most commonly observed deficiencies include the poor quality of the indicators, lack of clarity in the formulation of the outputs, and lack of coherence between the project outputs and the higher level of project outcome(s). The latter is clearly linked with the UNEP requirement to select an Expected Accomplishment from UNEP's PoW as project outcome". Some improvements were made later; in 2015, the PMU introduced a new template for the project final report to provide a perspective on delivery and results over the lifetime of the projects. However, outcome- and impact monitoring remained a challenge. Generally, and due to the nature of projects, indicators were process-oriented (e.g. number of people trained), and very few indicators were formulated to assess the actual use and influence of the products delivered.

114.   UNEP project evaluation reports (MEA Focal Points, 10 YFP, GE TOP I) highlighted that the monitoring frameworks were reworked, both at project and umbrella programme levels, allowing for a better measurement of outcomes and the likelihood of impacts. For example, the attempt to link more consistently the outcome indicators of 10 YFP with related SDGs indicators may in the future provide a clearer picture of 10 YFP's contribution to sustainable development. However, these monitoring frameworks have not yet been put into use. All UNEP sampled projects had financial provisions for monitoring.

115.   The SCA mid-term evaluation found that for the MEA projects, the indicators and reporting were mainly activity- and output-oriented and did not capture outcomes and contributions to impact, but it also acknowledged that "outcomes and especially impacts are difficult to monitor due to the nature and mandate of MEAs and their global reach"; these findings remained valid at the end of the SCA. None of the MEA projects in the sample had budget allocations for monitoring.

116.   **Most SCA projects were not evaluated individually; some were covered under larger programme evaluations, whereas others in particular MEA projects, were not evaluated at all.**
Only one third of the SCA projects were evaluated. All UNEP projects had financial provisions for monitoring and evaluation, whereas the MEA projects did not. Moreover, being small entities, the MEA secretariats have limited capacity to commission and manage evaluations, whereas UNEP has a dedicated Evaluation Office and procedures.

117.   UNEP projects had financial provisions for evaluation. Thirteen of the 26 UNEP projects were evaluated, but often as part of a larger UNEP umbrella programme (e.g. Global Mercury Partnership) and these evaluations only considered SCA project results within the larger results framework of the umbrella programme. Two of sampled UNEP projects were evaluated within the framework of the SCA, i.e. GE TOP and 10 YFP. One UNEP project was addressed as a case study under both the SCA mid-term and the Ecosystem Management Subprogramme evaluations. Four UNEP and five MEA projects were addressed as case studies in the mid-term evaluation of the SCAs, with the case studies focused on management arrangements.

118.   No project-specific reviews or evaluations were carried out for the sampled MEA projects, and none of them had budget provisions for evaluation. MAP was the only MEA Secretariat that initiated evaluations, but these were not SCA-specific. An independent evaluation was carried out in 2012 of the BRS "Synergies Decisions", but this was at a time when the synergies process was still immature. Projects implemented by the other MEAs were only evaluated on UNEP's initiative and only as part of larger evaluations (e.g. the SCA MTE). In general, MEAs do not have a culture of using external evaluations, but mainly rely on COPs for feedback on the results and performance of their projects and work.

9.5. Human rights and gender

119.   **Overall, limited attention was paid to gender and human rights, although it was considered in some SCA projects.**
The EC action fiches for successive SCA instalments identified gender (2011, 2012, and 2013) and human rights (2011 and 2013) as cross-cutting issues. The 2011 and 2013 SCA descriptions of the action similarly addressed gender as a

cross-cutting issue under the implementation method but did not refer explicitly to human rights. No gender or human rights analysis were carried out at the SCA level, and this would probably have been overly difficult considering the nature of the SCA with its broad objectives as a funding mechanism for several projects at the global and regional levels. Neither gender nor human rights were addressed systematically in the SPORs or the draft SCA Final Report.

120. The UNEP and SCA GRP guidance and templates for project design had sections related to gender, and the GRP also referred to indigenous peoples' rights. However, none of the project reporting templates required reporting on human rights, but the annual and final report templates from 2015 an onwards contained sections or questions related to gender and was thus applied to the 13 UNEP and 17 MEA projects that reported in 2015-2018[35]. Socio-economic aspects were broadly referenced in project reporting on activities and results, reflecting individual project strategies and monitoring.

121. Only a few of the DG ENV SCA projects had field-level/pilot project components with potential direct effects on the environment and livelihoods. Activities on the ground included studies and assessments, and many such activities were highly focused and involved only a small number of stakeholders.

122. Some UNEP projects reported gender initiatives, such as:
- Selecting "*sectors which have the highest potential for poverty alleviation, which goes hand in hand with gender inclusiveness*" (GE TOP)
- Ensuring gender equality in the project structures. For example, the *"BIP steering committee has gender balance*". The 10 YFP reported that *"The contact points representing the organizations in the MAC [Sustainable Public Procurement Multi-stakeholder Advisory Committee] count: 52% of women. Overall, of the 123 organizations which make up the MACs* of the *six 10 YFP programmes, the principle representative from 56 of the organizations, or 43%, are women*"
- Ensuring that gender and poverty issues were taken into consideration by MEAs and other international conventions – for example, the Minamata Convention takes note of the "*health concerns resulting from exposure to mercury of vulnerable populations, especially women, children, and through them, future generations*"
- Producing reports on gender equality opportunities – for example, 10 YFP produced a report on Gender and SCP

123. Generally speaking, gender mainstreaming and human rights-based approaches do not appear to have retained the attention. Of the six sampled UNEP projects, only one (BIP) collected gender disaggregated data.

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[35] There was no requirement for the UNEA projects approved in 2017 and 2018 to report.

124.   The MEA projects in the sample did not engage significantly in gender and human rights issues. The gender engagement was mostly limited to aiming at ensuring participation of women in training workshops and meetings. However, both gender and human rights are often addressed in the Conventions (e.g. the CBD Gender Plan of Action (2018) and components on indigenous peoples, BRS Gender Action Plan), but given specific focus of the MEA SCA projects, the gender and human rights link was not always very obvious, let alone easily measured. Other donors also support the MEA Secretariats, e.g. in relation to CBD, Sweden is engaged in gender, and Sweden and France are engaged in indigenous peoples' issues, so the EC is not focusing their funding support on these issues.

9.6. Communication and visibility

125.   **Internal communication between SCA stakeholders was overall well-functioning, structured and systematic.**
Early communications efforts by the PMU focused on building awareness in UNEP and the MEA secretariats of the SCA and its implications for working with the EC, including through articles in internal newsletters and briefings at relevant meetings. Guidance on working in the SCA framework was introduced in the UNEP Programme Manual (2013). The approach was supported by a series of memos to division heads and other key stakeholders. Liaison with internal and EC stakeholders was strengthened with the appointment of focal points in the MEA secretariats and relevant UNEP divisions. The PMU moved from addressing queries on an ad hoc basis to the development guidance material (see chapter 9.2). Liaison with financial and administrative officers was strengthened with the appointment of dedicated staff at PMU level, and the PMU convened and attended meetings and workshops to develop and roll out a consistent approach to different aspects of financial management. UNEP and MEA Secretariat stakeholders were generally satisfied with PMU communications (see chapter 9.2). Similarly, DG ENV task managers were very satisfied with the communication and guidance from the DG ENV Focal Point. Moreover, interviewees found there was good and regular communication between DG ENV task managers and UNEP/MEA secretariat focal points and projects managers, e.g. in relation to the identification and development of new projects. Many interviewees referred to the communication as being built on trust and taking advantage of the expertise of each other to solve issues and redirect projects when facing challenges.

126.   **Considerable communications efforts were made at SCA level, but it proved difficult to generate public interest in an arrangement that in practice was mainly administrative.**
The SCA 'implementation approach' indicated that EU visibility would be provided

as per the provisions of the EU Financial and Administrative Framework Agreement and in line with the 'Joint Visibility guidelines for EC-UN Actions in the Field'. More significantly, the SCA expected result 5 specifically concerned communications and visibility. The SCA had a budget line for communications and visibility, managed as part of the joint operations budget with the DG DEVCO SCA. UNEP supported external communications related to the SCA at two levels: i) direct delivery of communications activities at the SCA portfolio level and ii) support to project level communications.

127.   The SCA mid-term evaluation captured the inherent difficulty of public communication about the agreements in view of limited external interest in what is essentially an administrative arrangement, and recommended that communication and outreach effort be focused at technical level (where possible, in the broader context of programmes and processes) and on visibility of EU-funding. A new communications and visibility workplan (spanning both SCAs and the PCA) was introduced in 2017, structured around interventions at high profile policy events on selected themes. A costed workplan for 2018-19 supported further work around key events, including production of films, as well as commissioning of a series of project and thematic factsheets on SCA outcomes. These products were largely completed by mid-2019 but had a limited public profile, with the exception being a set of stories featured on the IISD SDGs Knowledge Hub.

128.   **Project communications efforts tended to focus on products, and to a lesser extent on media and audience. Communication of results at the overall SCA level was confounded by the breadth and diversity of projects and activities under the SCA portfolios and the incremental nature of policy results.**

The PMU launched a communication and visibility guideline for projects in 2014 and project teams were asked to develop communications and visibility plans alongside their full-fledged proposals. Just over 50 per cent of respondents to the survey indicated that their projects developed such plans (e.g. 10 YFP). The EC expressed concerns that communications products were not systematically shared with them, so a section and rating on 'communications implementation' was introduced in the TLS in 2015.

129.   Communication and outreach were a central part of several, or most, SCA projects. The main focus of project outreach and communication was to reach specific types of audiences (e.g. COP delegates, national focal points, policymakers, technical experts) and provide them with access to knowledge, information, and tools generated or packaged by the projects. According to the survey, the means for dissemination were mainly outputs delivered by the project, among which the most quoted in the survey are (see figure 9.6):

- Websites and webinars, e.g. making publications and other written products, tools and data available online (e.g. all projects in the sample). In several of cases specialised webpages, online tools and online communities, were launched, updated or strengthened as part of the project. Some projects, such as BIP, coordinated with other projects for a larger outreach of their websites: "*The website, e-learning module and guidance materials of the BIP have been made available on the website of the NBSAP Forum (nbsapforum.net), which is for all NBSAP development and implementation practitioners.*"
- Technical reports, notes, and guidance in electronic and printed versions (e.g. all projects in the sample).
- Presentations at events, conferences and workshop arranged by the projects or by others – including using global events, such as side events at COPs, as platforms to launch and discuss products (e.g. all projects in the sample).
- Exhibition booths at events, including COPs (e.g. CITES Aquatic Species).
- Visibility materials, such as posters, factsheets, leaflets, booklets, videoclips, press releases (e.g. 10 YFP, CITES Aquatic Species, CBD Outcomes I, BRS Synergies I).

130.   Many policy results are developed over an extended period through an iterative process of review by designated committees that are of limited interest to non-technical audiences. Moreover, the SCA projects often engaged in longer policy processes, where outcomes would only materialise some years after project completion, and where the projects' contribution can be difficult to pin-point and communicate.

Figure 9.6: Dissemination approaches used

What measures did you take to disseminate information, concepts, approaches and tools generated by the SCA projects?
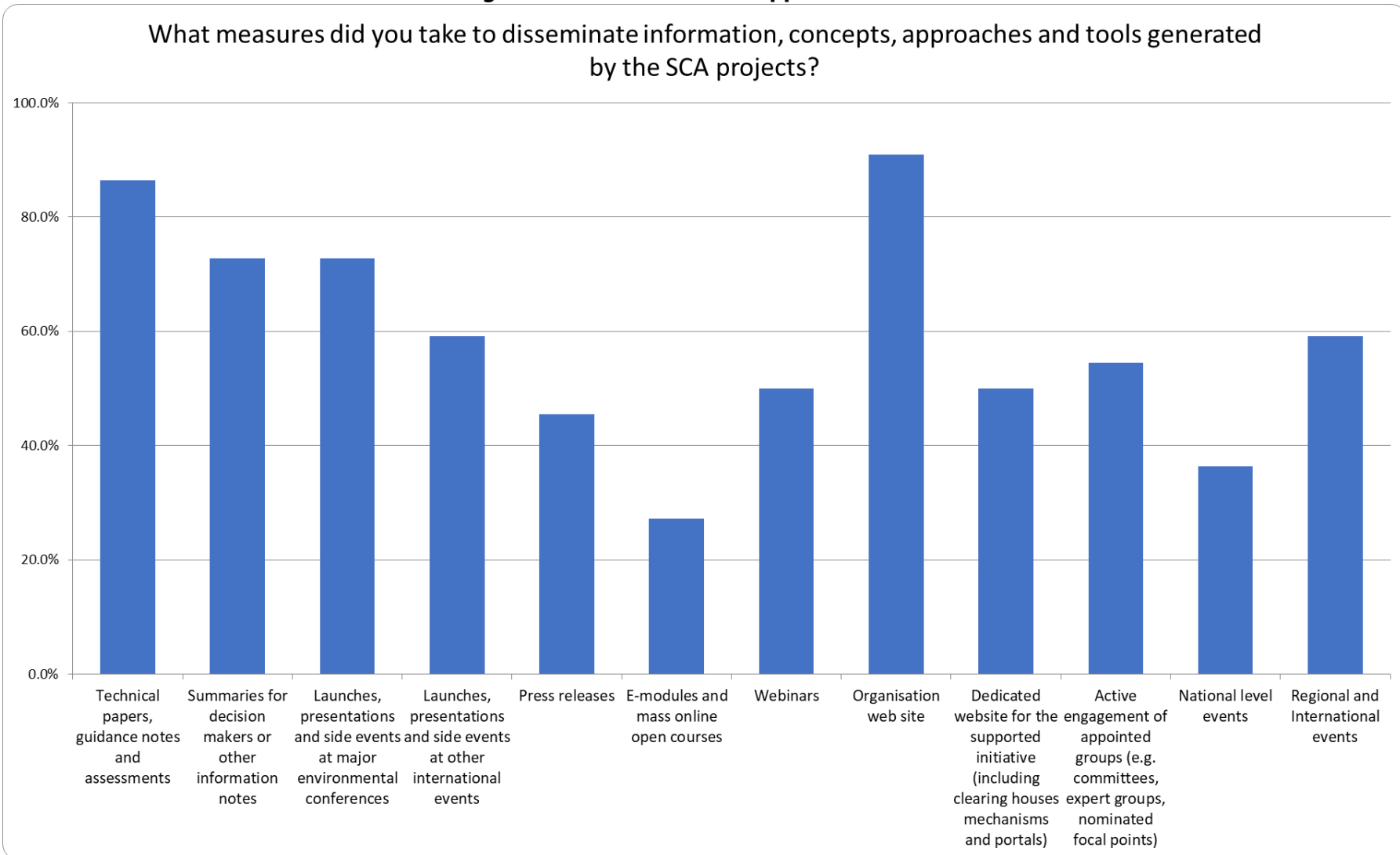
Source: Project manager survey

131.   Generally, EC task managers responding to the survey expressed satisfaction with SCA projects' dissemination of information, concepts, approaches and tools generated (see figure 9.7).

Figure 9.7: Sufficiency of dissemination
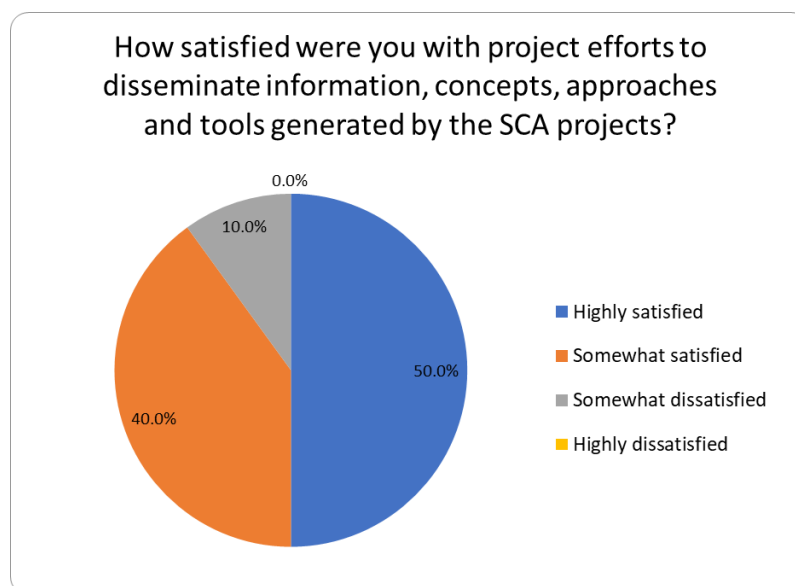
Source: DG ENV task manager survey

132.   **All projects reportedly ensured EU visibility – often, but not always, to the full satisfaction of DG ENV.**
The SCA 'implementation approach' indicated that EU visibility would be provided as per the provisions of the EU Financial and Administrative Framework Agreement and in line with the 2008 'Joint Visibility guidelines for EC-UN Actions in the Field'.

133.   According to project managers responding to the survey, EU visibility was mainly ensured through acknowledgement of the EU support and use of EU logo at events, websites and printed materials (see figure 9.10). Direct involvement of EC staff and joint events with the EC were used to a lesser extent (CBD Outcomes I organised a side event at the United Nations Framework Convention on Climate Change (UNFCCC) COP 19, in cooperation with DGDEVCO).

134.   The survey findings show that most EC tasks managers were satisfied by SCA project efforts to ensure EU visibility (see figure 9.9). Still, around 40 per cent of them were not fully satisfied, which is also consistent with the SCA assessment and PSC minutes of meeting pointing out some weaknesses. For example, the SCA Assessment pointed out that the EC has long been concerned that projects were not systematically acknowledging EC support in project outputs and presentations. Furthermore, not all UNEP projects reported on their visibility initiatives, e.g. the progress reports of GE TOP, BIP and MEA Focal Points

did not mention the actions taken to ensure EU visibility. The PMU re-emphasised the need for systematic references to the support of the EC and annual progress reports now generally refer to their efforts in this area. The PMU also added a section and rating on 'communications implementation' to the Traffic Light System in 2015.

Figure 9.9: Sufficiency of project visibility efforts
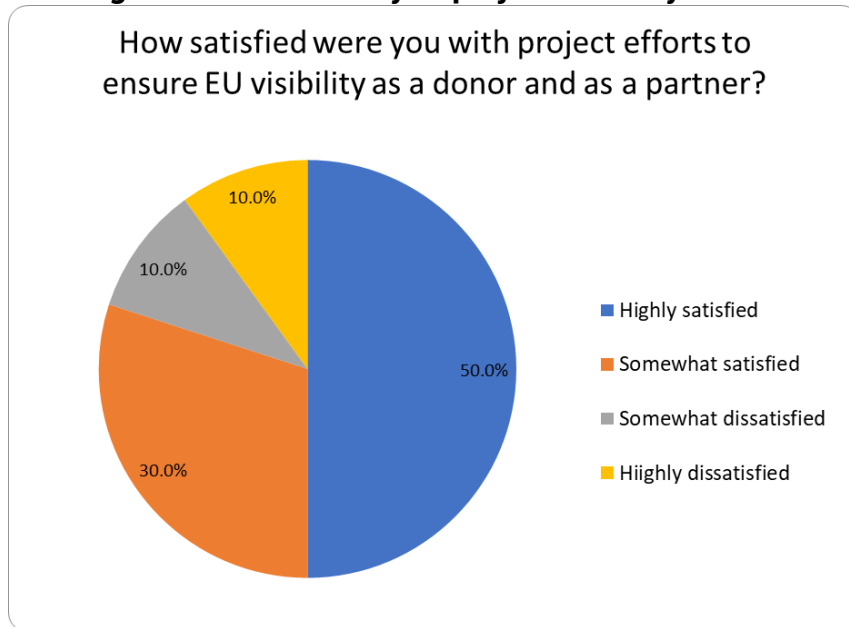
Source: DG ENV task manager survey

Figure 9.10: Project visibility measures

What measures did you take to ensure EU visibility as a donor and as a partner?
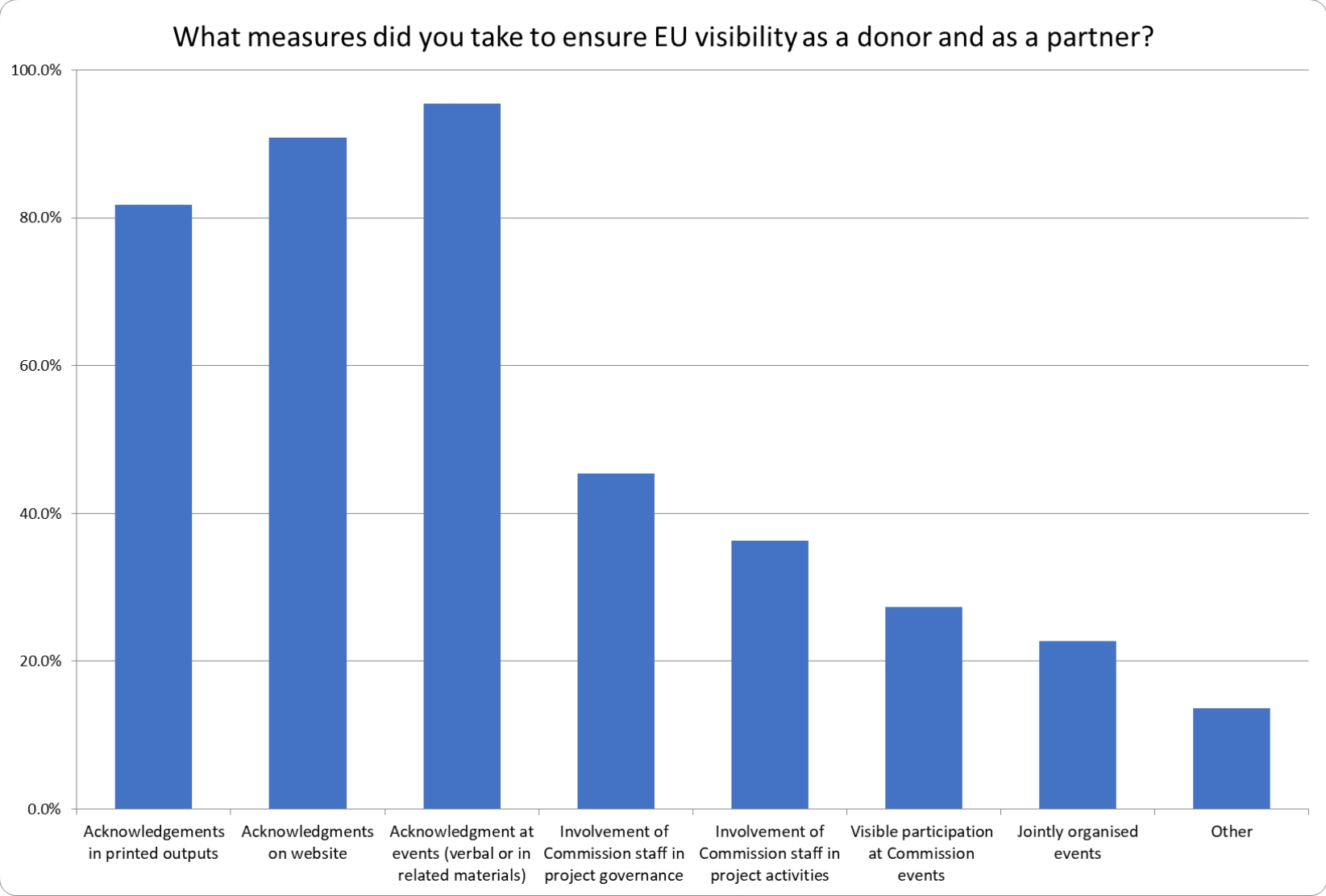
Source: Project manager survey

10. Conclusions

135.   The UNEP-DG ENV SCA marked a shift in the way the cooperation between the EC and UNEP on international environmental governance was executed with a shift from multiple project agreements to a single framework agreement. The initial ambition with the SCA was to simplify the administration of the cooperation while promoting a broader and more strategic cooperation between the EC and UNEP. In practice, there were a number of efficiency and management gains, but the SCA did not lead to a significantly more strategic cooperation or discussion, in part due to a disconnect between the SCA PSC programmatic discussions and the policy discussions at the EU-UNEP high-level meetings.

136.   The SCA was strongly aligned with the EU priorities, in particular in the ENRTP sub-priority on strengthened environmental governance and UNEP's Medium-term Strategies, and thus supported the implementation of EU and UNEP's shared environmental priorities. Moreover, the SCA specifically aimed at supporting MEA decisions and processes. The strategic outcomes and expected results of the SCA were broadly framed to fully accommodate this; this broad nature had the advantage of allowing the SCA to respond and align to emerging international priorities and agreements. However, it also meant that the SCA provided little strategic direction for the cooperation. Nonetheless, it is the view of the evaluation team that the responsiveness to an evolving international context was justified and more appropriate than a more prescriptive strategic approach would have been. In other words, it was of importance that the SCA was supportive of developments in the international environmental governance landscape rather than imposing a fixed set of priorities. Another added value was that the SCA provided some degree of predictability, not in terms of firm financial commitments, but in terms of a commitment from the EC to cooperate with UNEP and the MEA secretariats beyond the individual project and a broad indication of the level of support that could be envisaged. This facilitated longer term planning.

137.   However, the project selection process was not fully formalised, and was to a large extent geared towards building on earlier areas of cooperation between DG ENV and UNEP and DG ENV and MEA secretariats. This had significant advantages in terms of building on results achieved and lessons learned, and promoting continuity and supporting policy processes that often run over longer periods than the lifespan of a single project. But it also had the disadvantage of providing limited entry points for other parts of UNEP to establish a working relationship with the EC. The projects were in general demand-driven, for example spelled out in MEA COP decisions, but also from specific requests for support

from countries. The SCA projects in general engaged stakeholders in the implementation (although the engagement of national stakeholders was a challenge at times), and partnerships with a range of organisations at the international and regional level were essential to the implementation of many projects, the delivery of project outputs, and the mobilisation of key stakeholders.

138. The SCA projects in general engaged through the provision of improved access to knowledge, information and data, tools and guidelines, and capacity development vis-à-vis implementing and meeting the commitments made by countries under MEAs, and vis-à-vis strengthening international environmental governance processes under MEAs and in relation to resource efficiency. The projects were for the larger part successful in delivering their intended outputs.

139. The projects contributed towards achieving their intended outcomes as well as the overall expected results of the SCA. However, the extent to which the intended outcomes were achieved and the projects contributed toward tangible environmental and sustainable development impacts is very difficult to establish, partly due to a) their policy- and process-oriented nature, b) the fact that they mainly operated at the global level and did not entail a large and longer-term investment at the country level and c) the broadly defined SCA expected results, but also due to very limited monitoring of results beyond activities and outputs (and the MEA secretariats generally did not evaluate their projects). Nonetheless, the projects did make contributions towards improving national policies, institutional frameworks, and capacities. Overall, limited attention was paid to gender and human rights, although it was considered in some SCA projects. The SCA projects were embedded in larger UNEP programmes or a phase of longer-term/continuous processes within the MEA architecture, which contributed to sustainability and results in the longer term.

140. Overall, the SCA provided some important efficiency gains, in terms of streamlining the administration of multiple grants, and in terms of facilitating the approval of projects, extensions, budget reallocations, and reprogramming of the savings from individual projects. Due to the latter, full spending was achieved under the SCA. DG ENV in particular benefitted from the reduced administrative burden. However, the SCA led to additional managerial and administrative demands on UNEP, which due to the novelty of the mode of cooperation had to develop new tools and processes for the SCA. For the MEA Secretariats, the SCA meant an additional administrative layer as the funding and reporting had to go through UNEP rather than directly to the EC. The available budget for programme management is considered by UNEP and MEA Secretariats to have been insufficient for covering the true management costs for both UNEP and MEA Secretariats.

141. Project delivery was affected by several challenges which caused delays for several projects, many of these were external factors outside the control of the projects, but a number of these were also related to issues within the SCA partner organisations, such as delayed disbursements due to insufficient fund availability and administrative issues. One particular issue was the significant difficulties associated with the introduction of the Umoja financial management system employed at UN Secretariat level.

142. Overall, the SCA management structures and procedures provided an appropriate and transparent framework for the management and implementation of the SCA, and the PMU was mostly able to provide sufficient guidance to the project managers. Internal communication between DG ENV, UNEP and the MEA secretariats was in general structured and well-functioning.

143. Communication was a central element of the SCA and also a key element of the projects, which aimed at disseminating knowledge, information, and tools and guidelines, for example through websites and online tools. Visibility was explicitly included in expected result 5, and all projects had provisions for ensuring EU visibility. The implementation of EU visibility at project and PMU level improved over the duration of the SCA, but not always to the full satisfaction of DG ENV.

11. Recommendations

Recommendation 1: Enhance the strategic and programmatic orientation of the (project) grants provided under EC-UNEP framework agreements
Rationale: Recommendation 1 addresses the following: • The SCA did not deliver the envisaged strategic cooperation between the EC and UNEP • The proposal process was not entirely formalised • Projects often faced delays and required extensions • Projects did not always spend their entire budget • There were sometimes implementation gaps moving from one project to the next, this for example affected the time available for the delivery of MEA programmes of work • A longer project duration would further facilitate long-term planning • Synergies between SCA projects implemented by different UNEP Divisions and MEA secretariats were not sought for in a systematic manner • The costs for UNEP and some MEAs vis-à-vis SCA and project administration

and management were quite high
- Coordination between the EC-UNEP high-level meetings (policy dialogue) and the PSC/SCA (programming) was insufficient

Sub-recommendations:	Responsibility:
1.1 Replace the project proposal approach with more programmatic grants around UNEP sub-programmes and MEA programmes of work with flexibility for reorientation and responding to emerging issues 1.2 Provide a single 2-5 year grant for each UNEP sub-programme and MEA secretariat (for the MEA secretariats aligned with their COP cycles), instead of multiple project grants 1.3 For each grant, carry out joint annual review meetings between DG ENV (incl. the responsible task managers) and the implementing UNEP division/MEA secretariat to discuss progress and results, needs for reorientation, and agreement on the annual work plan and deliverables for the coming year 1.4 Share grant concept note among UNEP divisions and MEA secretariats for identifying potential options for synergy and cooperation 1.5 For UNEP, let the grant development and annual reviews be guided by the outcomes of the EU-UNEP high-level dialogue and EC inputs to the Programme of Work through the Committee of Permanent Representatives, to ensure coherence between the strategic discussions and the programmatic support 1.6 For MEA secretariats, align the grant annual review process with their respective COP cycles	1.1 DG ENV 1.2 DG ENV 1.3 DG ENV, UNEP, MEA secretariats 1.4 UNEP, MEA secretariats 1.5 DG ENV, UNEP 1.6 DG ENV, MEA secretariats

Recommendation 2: Clarify and enhance the governance and management arrangements for the EC-UNEP framework agreements
Rationale: Recommendation 2 addresses the following: • The PSC played an important role in ensuring representative and transparent oversight of the SCA • The PSC composition comprised designated EC and UNEP cochairs, whereas the remaining membership was more open-ended and comprised those who participated in individual PSC meetings • PSC meetings have become increasingly infrequent • EC support to UNEP is provided through multiple channels and to different

parts of UNEP, and there is not an easy entry point to get a full overview of the cooperation	
Sub-recommendations: 2.1 Revise the definition of the PSC to include a core committee representing the EC, UNEP and MEA secretariats, and a wider membership of technical and administrative staff/advisers who participate in relevant discussions according to the needs of the PSC agenda 2.2 Establish a mechanism for periodic and/or needs based consultations with the PSC core committee outside its formal meetings 2.3 Upgrade the PMU to serve as a central coordination, advisory and tracking node for all EC funding for UNEP	**Responsibility:** 2.1 DG ENV, UNEP 2.2 DG ENV, UNEP 2.3 UNEP

Recommendation 3: Establish results-based and learning-oriented monitoring and evaluation	
Rationale: Recommendation 3 addresses the following: • The monitoring did not sufficiently capture outcomes and the contribution to impact • MEA secretariats did not commission external evaluations of their SCA projects	
Sub-recommendations: 3.1 Carry out ex-post surveys and interviews with project beneficiaries to establish the actual use of tools, data and skills, the results achieved, and the constraints faced towards their use 3.2 Set aside a budget in each grant for external evaluations, carried out at the programme of work level, or at the level of specific elements/agreements under the programme of work (not stand-alone project evaluations) 3.3 Set aside a budget at project/grant level for results monitoring for MEAs 3.4 Establish an M&E support function with a budget allocated under the PCA to provide guidance and technical support to MEA secretariats on the development and implementation of monitoring tools and evaluations – for example, one MEA secretariat could be designated to host this function (if this is not feasible, then it could be considered to use UNEP as a host)	**Responsibility:** 3.1 UNEP, MEA secretariats 3.2 UNEP, MEA secretariats 3.3 MEA secretariats 3.4 DG ENV, MEA secretariats 3.5 MEA secretariats

3.5 Carry out 1-2 MEA evaluation pilots to test and identify appropriate processes, e.g. with the help of the M&E support function (see 3.4)	

Recommendation 4: Enhance the link to national-level interventions	
Rationale: Recommendation 4 addresses the following: • SCA projects appropriately worked mainly at the global and regional levels, but at the same time the implementation of MEA commitments and environmental governance is mainly shaped by national contexts and processes • Impact is mainly achieved at the national and sub-national levels • The SCA partners do not have an in-country presence • Liaison with national stakeholders was often a challenge and a source of delays (in some cases due to inadequate consultations with target countries at the design stage)	
Sub-recommendations: 4.1 Link SCA grants/projects to development partners and longer-term interventions that work at the country level (which can promote and pilot the use of knowledge, tools and skills developed by SCA projects) – including DG DEVCO and EU Delegations, UN agencies with country offices (e.g. UNDP), EU Member State development assistance agencies 4.2 Use UNEP regional offices to help with identifying and linking up to development partners and initiatives that work at the country level	**Responsibility:** 4.1 UNEP, MEA secretariats 4.2 UNEP, MEA secretariats

Recommendation 5: Enhance the attention given to cross-cutting issues, including gender and human rights	
Rationale: Recommendation 5 addresses the following: • Overall, limited attention was given to gender and especially human rights in the SCA projects (other than generic statements in project designs and sometimes in progress reports) • The gender and human rights angle and opportunities were not always easily identified, but could nonetheless be relevant to explore	
Sub-recommendations: 5.1 Establish a cross-cutting issues support function at SCA level (or higher) to provide guidance and technical support on the development of approaches and tools for mainstreaming	**Responsibility:** 5.1 UNEP, MEA secretariats 5.2 UNEP, MEA

cross-cutting issues, including gender and human rights – for example through systematic support from the Gender and Safeguards Unit in UNEP's Policy and Programme Division, or through a dedicated helpdesk function financed under the new DG ENV-UNEP framework agreement 5.2 Set aside a budget in each grant for, a) analysis of gender and human rights, and b) establishing and implementing approaches to address these	secretariats

Annex A: People consulted

	Name	Organisation	Title
1.	Hugo Schally	EC, DG ENV	Head of Unit, F.3 Multilateral Environmental Cooperation
2.	Fabien Sordet		Assistant Policy Officer, F.2
3.	Luca Marmo		Policy Officer, F.1
4.	Anne Teller		Senior Expert, D.2
5.	Anne Theo Seinen		Policy Officer, D.2
6.	Gaël de Rotalier		Policy Officer, B.3
7.	Jürgen Helbig		Senior Expert, B.2
8.	Chantal Ansiau		Finance Initiator, A.5
9.	Sebastian Gil	EU Delegation, Nairobi	UNEP Coordinator
10.	Frank Moser	BRS Secretariat	Programme Officer
11.	Katarina Magulova		Programme Officer
12.	Kei Ohno		Programme Officer
13.	Marius Wiher		Junior Professional Officer
14.	David Cooper	CBD Secretariat	Deputy Executive Secretary
15.	Nicolaas Van Der Werf		
16.	Wataru Suzuki		
17.	Ide Ahmed		Finance Officer & Budget Officer
18.	Laura Cerasi	CMS Secretariat	Fundraising and Partnerships Officer
19.	Andrea Pauly		Associate Programme Officer
20.	Haruko Okusu	CITES Secretariat	Chief, Knowledge Management and Outreach Services
21.	Tatjana Hema	MAP Secretariat	Deputy Coordinator
22.	Megumi Seki	Ozone Secretariat	Deputy Executive Secretary
23.	Claudia Ten Have	Minamata Secretariat	Senior Policy Coordination Officer
24.	Joyce Msuya	UNEP	Deputy Executive Director/Assistant Executive General
25.	Ulf Björnholm	UNEP, Secretariat for the Governing Bodies	Deputy Director
26.	Ligia Noronha	UNEP, Economy Division	Director
27.	Didier Salzmann		Fund Management Focal Point
28.	Ardeshir Zamani		Administrative Officer Resources & Markets Branch
29.	Milena Muhadinovic		Programme Officer, ENRTP Focal Point
30.	Daiana Marino		Coordination Officer
31.	Charles Arden-Clarke		Head of the Secretariat of the 10 YFP
32.	Anja Von Moltke		Head, Environment and Trade Hub Unit
33.	Jacob Duer		Chief, Chemicals and Health Branch
34.	Jacqueline Alvarez		Head, Knowledge and Risk Unit, Chemicals and Health Branch

	Name	Organisation	Title
35.	Eisaku Toda		Senior Programme Officer (Team leader), Technology and Metals Team
36.	Sari Sherman		Programme Officer, ENRTP Focal Point
37.	Hilary Allison		Head of Programme, Ecosystem Assessment and Policy Support
38.	Neville Ash	UNEP, Ecosystems Division	Director, UN Environment World Conservation Monitoring Centre
39.	Philip Bubb		Senior Programme Officer, Ecosystem Assessment and Policy Support
40.	Elizabeth Mrema	UNEP, Law Division	Director
41.	Cristina Zucca	UNEP, Environmental Governance	Sub-programme Coordinator
42.	Nicolien Delange	UNEP, Communication Division	
43.	Sylvie Motard		Deputy Director
44.	Christophe Bouvier	UNEP, Europe Office	Former Director of UNEP Europe Office / Former Director of UNEP Office for Operations
45.	Sonja Leighton-Kone	UNEP, Corporate Services Division	Director
46.	Thierry Lucas	UNEP, Corporate Services Division	Head
47.	Sandrine Marques	UNEP, Corporate Services Division, Liaison Office with EU	Coordinator ENRTP-GPGC Programmatic Cooperation
48.	Celine Fréchou		Programme Officer, ENRTP-GPGC Programmatic Cooperation
49.	Bakate Hall		Fund Management Officer, ENRTP-GPGC Programmatic Cooperation
50.	Joyce Ngugi		Finance and Budget Assistant, ENRTP-GPGC Programmatic Cooperation
51.	Theresa Panuccio		Former Director of UNEP Corporate Services Division
52.	Brennan van Dyke	UNEP, Science Division	Deputy Director of Science Division, former Head of UNEP Resource Mobilisation Section

Annex B: List of documents

Background

Environment and Natural Resources Thematic Programme (ENRTP), 2011-2013 Strategy Paper & Multiannual Indicative Programme. Final draft (reflecting DCI Committee comments 29/10/2010).

Action Fiches for the SCA in the approved EC Annual Action Programmes/Fiches – 2011-2013

Joint Statement of the European Commission (EC) and the United Nations Environment Programme (UNEP) for 2011-2013. Final Version dated 16 Feb 2011.

Memorandum of Understanding between the European Commission and the United Nations Environment Programme, signed 25 June 2014

UNEP Medium Term Strategies for 2009 to 2013 and 2014-2017

UNEP Programmes of Work for 2010-2011; 2012-2013; 2014-2015 and 2016-2017

MAP Five Year Programme of Work (2010-2014) Decision 19/17. Appendix 1. UNEP/MAP COP 16, November 2009.

MAP Biennial Programmes of Work and Budget (2010-2011, 2012-2013, 2014-2015) (Decisions IG.19/17, IG.20/14, IG.21/17)

Basel Convention Programme budget for the biennium (2012−2013; 2014−2015, 2016-2017, 2018-2019)(Decisions BC-10/27, BC-11/26, BC-12/25; BC-13/24:)

Rotterdam Convention. Financing and budget for the biennium 2012−2013 (RC-5/14)

Stockholm Convention. SC-5/28: Financing and budget for the biennium 2012−2013 (Decision SC-5/28)

SCA and addenda

European Union Contribution Agreement with an International Organisation (N° 21.0401/2011/608174/SUB/E2) for the implementation of the Action "Strategic Cooperation Agreement (SCA) between the European Commission and UNEP covering ENRTP priority 3.1 – strengthening environment governance". Comprising: Special Conditions. Annex I: Description of the Action. Appendices: (1) Provisional Logical Framework; (2) ToR for the Programme Steering Committee; (3) ToR for the Programme Management Unit; and (4) List of Fast Start Actions. Annex II: General conditions applicable to EU Contribution Agreements with International Organisations, and Annex III: Budget for the Action.

Addendum N°1 to the Contribution Agreement N°21.0401/2011/608174/SUB/E2.

Addendum N°2 to the Contribution Agreement N°21.0401/2011/608174/SUB/E2 with revised Annexes I (Description of the Action) and III (Budget of the Action), plus appendices (Provisional Logical Framework & ToRs for PMU & PSC)

Addendum N°3 to the Contribution Agreement N°21.0401/2011/608174/SUB/E2 with revised schedule of payments

Minutes of the meetings of the PSC and co-chairs – 2011-2018

Minutes and Action Points of the eight meetings of the EC-UN Environment Programme Steering Committee (14 December 2011, 29 March 2012, 7 November 2012. 29 November 2013, 10 December 2014. 10 December 2014, 3 December 2015, 29 March 2017)

Reports of the two meetings of the EC-UN Environment Programme Steering Committee co-chairs (12 April 2018 and 25 June 2018)

Strategic performance overview reports (SPOR) – 2014-2018

UNEP, 2014-2018. ENRTP Strategic Cooperation Agreements. Strategic Performance Overview Reports (SPOR) covering the periods 16 September 2011 – 31 December 2013., January - December 2014, January - December 2015. January - December 2016. And January - December 2017.

UNEP 2019. ENRTP Strategic Cooperation Agreement DG Environment Mini-Strategic Performance Overview Report (Mini-SPOR) covering the period January - December 2018

UNEP 2019. ENRTP Strategic Cooperation Agreement DG Environment. Draft Final Report covering the period 16 September 2011 - December 2018. September 2019

Monitoring

Reports of the Joint PMU Traffic Light System (TLS) Monitoring exercises (2014-2018)

PMU 'Annex VI' Project database (excel file) dated March 2019

PMU internal tracking sheet on Recommendations and Action Points

Finance

Draft final SCA ENV financial report annexed to the draft Final Report (September 2019)

PMU summary of verified project co-finance (2019)

Summary of EU contributions to operations for each SCA instalment

Joint SCA and PMU operations budget for 2018

Memos issue by senior management on SCA financial management, including project allotments, applicable exchanges rates, clean up of financial records post Umoja, and SCA closure

Other PMU documents

Governance Structure Rules and Procedures, PMU February 2013

Governance Structure Rules and Procedures, PMU November 2015

ENRTP Strategic Cooperation Agreements and GPGC Programme Cooperation Agreement Standard Operating Procedures 1-10. PMU 2018 – 2019

ENRTP Strategic Cooperation Agreements and GPGC Programme Cooperation Agreement Fact Sheets 1-6. PMU 2018 – 2019

Assessment of the European Commission – UN Environment Model of Cooperation under the ENRTP Strategic Cooperation Agreements and GPGC Programme Cooperation Agreement. 31 October 2018

Communications

Framework Communication and Visibility Plan for the ENRTP Strategic Cooperation Agreements (SCAs) & The GPGC Strategic Programme Cooperation Agreement(S) (PCA(S)) Between The EC and UNEP. Draft of November 2014

Suggested Draft Template for Individual Project Communication and Visibility Plans

EC-UNEP ENRTP Strategic Cooperation Agreements Communication &Visibility Guidelines (no date)

ENRTP/GPGC Umbrella Agreements – Budgeted Communication Work Plan 2018/2019

Draft ENC SCA Project Fiches developed under contract to IISD in 2018

https://www.unenvironment.org/about-un-environment/funding-and-partnerships/funding-partners/european-commission   last visited November 2019

Evaluations - UNEP

UNEP, 2016. Mid-Term Evaluation of the EC-UNEP Strategic Cooperation Agreements under the EU Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP). Including eight DG ENV SCA Case Studies

Terminal Evaluation of the UN Environment project: "Resource Efficiency and Eco-Innovation in Developing and Transition Economies" (Referred to as the "Eco-Innovation Project"), November 2017 (REEDTE)

Terminal Evaluation of the UN Environment Project: Global Platform for Action on Sustainable Consumption and Production (SCP): Supporting the Implementation of the 10 Year Framework of Programmes on SCP (10 YFP) – 2017 (10 YFP)

Terminal Evaluation: "Policy, macro-economic assessments and instruments to empower governments and business to advance resource efficiency and move towards a Green Economy" (61-P3)" completed in January 2017 (GE TOP I&II, GE Indicators)

Terminal Evaluation of the UNEP Project: "Science policy interface in support of Resource Efficiency" (PIMS 00684). November 2016. (IRP)

Mid-Term Evaluation (MTE) of the UNEP-ILO-UNDP-UNIDO- UNITAR Project "Partnership for Action on Green Economy (PAGE)" completed in April 2017. (PAGE)

"Terminal Evaluation of the Project "UNEP Global Mercury Partnership and Mercury Programme" completed in October 2016 (Mercury, possibly Minamata)

Portfolio evaluation of selected MEA projects. Completed in October 2016 (UNEP MEA support projects: InforMEA, MEA Focal Points, Bio-MEAs synergies)

Evaluation of the UNEP project Strategic Approach to International Chemicals Management Secretariat SAICM. Completed in December 2018 (SAICM, ICCM3)

Project documentation – sample projects

Concept Notes where available

Fully Fledged Proposals and budgets where available

Revised project proposals submitted to the Commission where available

Project Annual Progress Reports to the Commission from 2013 to 2018

Project Final Reports to the Commission from 2016-2018[36]

Examples of project deliverables (technical reports, meetings reports, etc)

Examples of Communications products

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[36] Only APRs were produced for projects completed before 2016

Annex C: Portfolio analysis

1. This annex provides an overview of the portfolio of 46 individual projects supported through the DG ENV SCA and implemented by UNEP Divisions and MEA Secretariats. The annex does not include the part of reprogrammed savings from closed projects that was used to cover i) salary costs of nine UNEP projects approved under the GPGC PCA and ii) a small contribution to the top up for the IRP II project under the PCA.

2. In total, 46 projects were selected, approved and delivered under the SCA between 2011 and 2018. Forty-three projects were selected and approved between 2011 and 2014, with a total financial allocation of EUR 32,924,703 (EU contribution only). Three further projects were approved in 2017 and 2018 using savings from projects that had closed. This brought the total financial allocation for the 46 projects to EUR 34,102,580[37].

3. One project, REED-TE, was jointly funded by under the DG DEVCO and DG ENV SCA, with a combined budget of over EUR 4 million. It produced a single annual technical report spanning contributions from both agreements. One project, IPBES, was terminated early and its budget was reduced[38].

4. **Project allocation by implementing body**: The SCA portfolio of 46 projects comprised 25 projects implemented by UNEP and 21 projects implemented by MEA secretariats. Table C-1 provides an overview of the number of projects assigned and related financial allocations to the UNEP Divisions and MEA secretariats responsible for implementing the SCA portfolio of projects.

5. The 21 MEA projects were allocated to seven MEA secretariats[39] and together accounted for 42.7% of the financial allocation to projects approved under the SCA, in line with the indicative allocation of 40% of the budget to MEA secretariats referred to in the 2011 Description of the Action. Biodiversity-related MEAs (CBD, CITES, CMS) received 45.1% of this amount, chemicals-related MEAs (BRS, Minamata Convention) 43.1%, and MAP 11.8%.

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[37] This amount exceeds the total EU contribution to the SCA since savings from completed projects were reallocated.
[38] In 2013; financial presentations and analyses consistently refer to the lower budget.
[39] Including the interim Minamata Secretariat

6. The MEA share of the overall projects allocations is 39.1%, excluding the CITES aquatic species project (as indicated in the budgets annexed to the SCA addendum 1, 2 and 3)(annex F)[40].

Table C-1: Allocations and expenditure (as of 31 Dec 2017) by implementing body

Implementing body	Number of projects	Allocation EUR	% of total allocation	Expenditure EUR
Economy Division	14	13 755 001	40	12 587 017
Law Division	5	4 000 000	12	3 697 455
Ecosystems Division	4	2 121 138	6	1 958 946
CBD Secretariat	5	3 030 117	9	2 705 474
CMS Secretariat	3	851 676	2	808 987
CITES Secretariat	2	2 680 000	8	2 171 562
BRS Secretariat	8	5 070 771	15	4 654 212
MAP Secretariat	1	1 716 000	5	1 564 133
Ozone Secretariat	1	200 000	1	191 947
Secretariat of the Governing Bodies	2	677 877	2	676 627
Total	**46**	**34 102 580**	**100**	**31 016 359**

7. The 25 UNEP Projects were managed by four Divisions. The Economy Division managed the largest share projects, with the 78.8% share of UNEP project allocations reflecting its leadership of UNEP's chemicals and waste and resource efficiency sub-programmes. The Economy Division also managed the Minamata (MEA) project.

8. **Thematic alignment:** The entire DG ENV SCA portfolio contributed to the environmental governance objective (objective 3.1) of the ENRTP, and all 46 projects can be broadly characterised as "environmental governance". The projects have also been categorised according to their alignment with the thematic priorities identified in the SCA. Table C-2 provides an overview of the distribution of projects and related funding allocations across the portfolio of 46 projects based on themes of four of the five SCA priorities identified in the 2011 description of the action. The themes correspond with four of UNEP's sub-programmes identified in its Medium-Term Strategies (MTS) for the periods 2009-2013 and 2014-2017.

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[40] The SCA budget (from Addendum 1, Annex III) indicates that the EUR 1.9 million allocation for the CITES capacity building work (CITES Aquatic Species) is not considered in the indicative share of funding.

Table C-2: Allocations to UNEP and MEA projects by SCA priority theme (EUR)

Theme	UNEP			MEA secretariats			Total		
	#	Allocation	Expenditure	#	Allocation	Expenditure	#	Allocation	Expenditure
Resource efficiency	8	10 455 000	9 574 249	0	0	0		10 455 000	9 574 249
Ecosystem management	4	2 121 138	1 958 946	10	7 727 793	6 719 661	14	9 848 931	8 678 607
Chemicals and waste	5	2 300 001	2 054 716	9	5 270 771	4 846 159	14	7 570 772	6 900 875
Environmental governance	8	4 677 877	4 374 082	2	1 550 000	1 488 546	10	6 227 877	5 862 628
Total	25	19 554 016	17 961 993	21	14 548 564	13 054 366	46	34 102 580	31 016 359

9. The were no MEA projects categorised as resource efficiency, reflecting that there is no dedicated MEA on this theme. The UNEP resource efficiency projects were linked to international policy in that they fed into and responded to outcome document of the Rio+20 meetings.

10. The ten projects classified under the environmental governance theme 'environmental governance' projects include i) two MEA projects concerned respectively with governance support to parties (CMS Family) and support to the intergovernmental negotiating committee of the Minamata Convention and ii) a set of projects implemented by the UNEP Law Division including two cross cutting support projects to MEA Secretariats (reflecting the Division role as lead interlocuter with the MEA Secretariats), and six projects that respond to decisions and requirements directed at UNEP by its own[41] and other international governance bodies (biodiversity synergies, chemicals and waste finance, convening of UNEA III & IV and support to the UN Governing Council 'Global Pact' process).

11. **Contribution to SCA expected results:** The SCA projects were not required to identify their contribution to SCA expected results in their project documents and have not reported on these contributions. All 46 projects were expected to contribute to ER5 (*Enhanced visibility and coherence of European Commission and UNEP cooperation*). Many of the project can be broadly mapped onto the set of four SCA results based on their main themes.

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[41] UNEP Governing Council, and later, UNEA

12. The SPOR reported contributions to the expected results of the SCA based on major outputs and deliverables described in the project annual report for the reporting period. Contributions varied across thematic clusters, see Table C-3. The SPOR reporting was not exhaustive since the SPOR captures only delivery highlights in the reporting year and projects may also have made contributions to other expected results:

- **Resource efficiency** projects did not contribute to expected result 2 (*enhanced implementation of and compliance with MEAs*), as there is no MEA for this area.
- **Ecosystem management** projects made a particularly large contribution to expected result 2 and also to expected result 3 (*strengthened negotiation capacities and information access)* and 4 (*enhanced monitoring and assessment*), but only a limited contribution to expected result 1 (*strengthened international environmental governance*).
- **Chemicals and waste** projects contributed to all four expected results, in particular expected result 2.
- **Environmental governance** projects contributed to expected result 1 and 2 and to a lesser extent expected result 3, but not to expected result 4.

13. The reported contribution to the expected results of the SCA also differed between UNEP and the MEA secretariats:

- **UNEP** contributed relatively evenly to all four expected results.
- **The MEA secretariats** in particular contributed to expected result 2 (*enhanced implementation of and compliance with MEAs*), and also to a good degree to expected result 3, but only to a lesser extent to expected results 1 and 4.

Table C-3: Contribution to SCA expected results by thematic cluster and implementer

Cluster	Implementer	Contributor to expected results* (number of projects)								Total projects
		1		2		3		4		
		Primary	Secondary	Primary	Secondary	Primary	Secondary	Primary	Secondary	
Resource efficiency	UNEP	3	1	-	-	4	3	3	1	8
Ecosystem management	UNEP	1	-	-	1	-	2	3	-	4
	MEA secretariats	-	2	9	-	2	4	3	2	10
	UNEP	-	-	2	1	1	1	3	-	5

Cluster	Imple-menter	Contributor to expected results* (number of projects)								Total projects
		1		2		3		4		
		Primary	Secondary	Primary	Secondary	Primary	Secondary	Primary	Secondary	
Chemicals and waste	MEA secre-tariats	3	1	5	1	3	1	1	-	9
Environmen-tal govern-ance	UNEP	4	-	5	-	1	-	-	-	9
	MEA secre-tariats	-	-	1	-	1	-	-	-	1
Total	UNEP	8	1	7	2	6	6	9	1	26
	MEA secre-tariats	3	3	15	1	5	6	4	2	20
	Total	11	4	22	3	11	12	13	3	46

*as reported in strategic performance overview reports (SPOR)

14. **Timing and extensions:** The original SCA portfolio of 43 projects was formally selected and approved between December 2011 and August 2014. The 22 projects selected in December 2011 included two projects identified as 'fast start' projects with start dates backdated to September 2011, which was the official start date for the agreement implementation period. The projects had planned durations of 9 to 36 months with the latest completion date of the initial 43 projects, at approval, expected to be in March 2017.

15. Extensions to individual projects were approved at the technical level in liaison with the PMU. Twelve UNEP projects were extended, with five receiving two or more extensions, and total extension periods ranging from six to 49 months. Fifteen MEA secretariat projects were extended, with five receiving two or more extensions, and total extension periods ranging from six to 38 months.

16. The PSC agreed at its seventh meeting that that no further extensions would be granted on ongoing projects and the latest running project was scheduled to close to on 31 December 2017. Three further projects were approved in 2017 and 2018 using identified savings on completed projects. The SCA implementation period concluded on 31 December 2018 with the closure of the two projects selected and approved in 2018.

17. **Overlapping and sequential projects:** Many of the projects resulted from long-standing cooperation between UNEP and the Commission including collaboration in the previous four-year phase of the ENRTP. Neither UNEP nor DG Environment was able to provide systematic records on this earlier collaboration.

18. With regard to UNEP projects:
   - Five of the 25 UNEP projects had a follow-on phase under the SCA.
   - Thirteen of the UNEP projects have follow-on work under the PCA (including five where more immediate follow-on work was under the SCA).
   - Notable sequences/clusters of projects (PCA in brackets) include:
     a. CW Finance I > CW Finance II (> Special Programme of Chemicals & Waste)
     b. GE TOP I + GE Indicators > GE TOP II (> GE Policy)
     c. SAICM/ ICCM related projects (>SAICM II)
     d. Mercury and Minamata (MEA) projects (> Minamata INC & Minamata II)

19. Sixteen of the 21 MEA projects comprised a set of activities designed to deliver multiple tasks and actions by Convention Secretariats in support of COP and Meeting of Parties decisions (or the intergovernmental mandate in the lead up to the Minamata Convention). All the Secretariats have received follow-on funding under the PCA, except the Ozone Secretariat (MBTOC & TEAP), which receives funding from DG CLIMA. There is considerable continuity of funding across different themes (or project components) in sequential and sometimes overlapping MEA projects, notably in the CBD and BRS projects.

20. The remaining five MEA projects had a more typical theme-based project format (perhaps addressing a single decision or cluster of decisions). Three of the five were CMS projects that together represented the first voluntary contribution by the Commission to global activities under this Convention[42]. The CITES Aquatic Species has been followed up upon as one component of broader work-programme support project under the PCA, while the fifth (EcAP Med) has two follow-on projects reflecting its two main themes[43].

21. **Project evaluations:** Thirteen of the UNEP projects were evaluated as part of eight larger UNEP project evaluations, with the focus in most cases being on a larger UNEP Programme of Work project. One further project was addressed as a case study only (under both the SCA mid-term and Ecosystem Management Sub-programme evaluations).

22. The MEA Secretariat projects were not evaluated. Of the MEA Secretariats, only MAP is known to undertake regular evaluations (but the EcAP project has not been

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[42] The Commission had previously supported the African-Eurasian Migratory Waterbird Agreement (AÈWA) under the Convention. CMS now receives funding for Decisions-based or work programme projects in a similar manner to other MEAs under the PCA.

[43] The project was primarily concerned with ecosystem management but took on a second theme, marine litter, with top-up funding.

evaluated). Five MEA projects were addressed as case studies in the mid-term evaluation of the SCAs.

23. **Overview of project challenges:** Project challenges were reported in each of the SPORs according to a standard set of categories (expanded in 2015 to reflect the number of projects reporting specific issues with the introduction of Umoja). Data for these summaries was taken from project annual narrative reports, which include a section on challenges. The annual data summaries were seen during preparation of this evaluation.

24. Box C-1 provides a description of the categories of challenges (from the SPOR covering 2017) while Table C-4 summarises the challenges reported by year (SPOR for 2017, plus background data for earlier SPORs[44]). No challenges were reported for the two projects active in 2018. Table C-5 from the draft final report for the SCA provides a summary of the number of projects effected by each challenge (category) and of the number of incidences that each challenge was cited over the life of the agreement

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Box C-1. Description of SPOR categorisation of project challenges (SPOR 2017)

External challenges beyond the control of project managers, such as insecurity which in some cases were mitigated by working with national partners.

Implementation challenges including: i) issues related to national level capacity and ownership which were tackled through specific procedures to select countries, dedicated awareness and capacity activities at country or network level and ii) the time and effort required to engage and build consensus amongst a wide range of stakeholders and/or to ensure coordination with related technical or political processes.

Operational challenges including: i) delays in project approval and/or transfer of funds; ii) internal administrative processes and staff capacity, sometimes linked to recruitment of project staff; iii) issues related to fundraising and cofinance including efforts required to realise pledges for associated trust funds or generate additional operational funds where projects cover staff costs, iv) administrative issues with third parties including finalisation of contracts and transfer of funding. The introduction of UNEP's new enterprise resource planning system, Umoja, was added as a specific category in 2015 in view of associated operational delays.

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[44] The compiled background data includes brief description of the issue included in the count from 2013.

Table C-4. Challenges reported by DG ENV SCA Projects in 2014-2017

Challenge	Total number of projects reporting issue						
	Year	2012	2013	2014	2015	2016	2017
	# of project reports		*34*	*37*	*29*	*14*	*5*
External Challenges		6	5	5	4	2	0
National level capacity and ownership		4	10	9	8	6	1
Consensus building		5	14	9	7	4	1
Delays in project approval and/or transfer of funds		7	1	1	0	2	0
Administrative issues with third parties / countries		-	-	5	2	1	0
Internal administrative processes and staffing		3	11	8	8	7	0
Introduction of Umoja		-	-	-	10	7	2
Fundraising and cofinance		-	4	3	5	3	0

Source: SPOR background data

Table C-5. Summary of Challenges reported by DG ENV SCA Projects

Issue	Number of projects affected by the Issue	Number of times the issue was reported
External Challenges	12	22
National level capacity and ownership	17	38
Consensus building	26	40
Delays in project approval and/or transfer of funds	10	11
Administrative issues with third parties / countries	7	8
Internal administrative processes and staffing	20	37
Introduction of Umoja	12	19
Fundraising and cofinance	9	15

Source: Project Annual Reports 2012-2018, as compiled in the draft SCA Final Report

25. Descriptive data for these counts was compiled from 2013 and allows a finer breakdown of data - for example related to administrative issues and staffing (Table C-6).

Table C-6. Summary of staffing related issues in the project annual reports

Issue	Number of projects concerned						
	2013	2014	2015	2016	2017	2018	All years
Recruitment	6	2	6	6	0	0	10
Staff turnover	1	3	1	0	0	0	4
General capacity shortfalls	0	2	2	3	0	0	3

Source: SPOR background data

26. The data extracted from annual reports projects a general overview of the nature and incidence of challenges. However, it should be noted that i) due to the format of the final report it is not always possible to distinguish challenges experienced in the reporting year or over the life of the project and this may lead to some repetition, and ii) there was some tendency to reuse text in consecutive reports, and it is not always clear whether repercussions were still being experienced in the reporting year. The categorisation of challenges in the SPORs was a best approximation. In some cases, reference to more general issues, such as 'administrative processes', may mask more specific challenges such as delay in transfer of funds.

27. The SPORs also refer to challenges mentioned in the quarterly and later four monthly monitoring reports that were associated with yellow or red ratings. These were not always mentioned in the subsequent annual report.

Annex D: List of SCA projects

Resource efficiency (sustainable consumption and production)

#	Project title	Project abbreviation	Implementer	Approved project allocation (EUR)	Expected result*			
					1	2	3	4
5	Scientific assessments and reports on resource flows: The International Resource Panel and the global dimensions of EU's Thematic Strategy on the Sustainable Use of Natural Resources	IRP	UNEP Economy	2 000 000	X		x	x
6	Resource Efficiency and Eco-Innovation in Developing and Transition Economies (DG Env part)	REEDTE-Env		2 725 000	x		X	
7	Phase I: Global Platform for Action on Sustainable Consumption and Production Phase II: 10 Year Framework Programme on Sustainable Consumption and Production	10 YFP		2 200 000	X		x	
8 9 11	Phase I: Green Economy and Trade – Assessing Risks and Opportunities	GE TOP I		250 000			X	
	Phase II: Green Economy and Trade – National Level Strategies for Harnessing Trade Opportunities	GE TOP II		500 000			X	
	Indicators for Measuring the Green Economy Transition	GE Indicators		750 000				X
10	Integrating resource efficiency in international supply chains - enabling companies and consumers to benefit from information on life-cycle environmental performance of products	RE-ISC		1 530 000			X	X
12	Support to Partnership for Action on Green Economy (PAGE)	PAGE		500 000	X		x	X
* Reported in SPORs					X = primary x = secondary			

Ecosystem management

#	Project title	Project abbreviation	Implementer	Approved project allocation (EUR)	Expected result*			
					1	2	3	4
1	Intergovernmental Science-Policy Platform for Biodiversity and Ecosystem Services	IPBES		600 000	X		x	

#	Project title	Project abbreviation	Implementer	Approved project allocation (EUR)	Expected result*			
					1	2	3	4
2	Biodiversity Indicators Partnership	BIP	UNEP Eco-sys-tems	1.021 138		x	x	X
3	Building capacities of member states for the World Oceans Assessment	WOA		200 000				X
4	Strengthening MEA synergies, reporting and indicators in NBSAPs for the pan-European region	PE Synergies & NBSAPs		300 000				X
24	Development of sharks conservation measures in the context of the CMS Memorandum of Understanding (MoU) on the Conservation of Migratory Sharks	CMS Sharks	CMS	224 000		X		
25	Saker Falcon Global Action Plan	CMS SakerGAP		77 676		X		
26	Strengthening capacity in developing countries for sustainable wildlife management and enhanced implementation of CITES wildlife trade regulations, with particular focus on commercially-exploited aquatic species and production systems	CITES Aquatic Species	CITES	1 980 000	x	X	X	
27	Implementation of Decisions adopted by the 16th meeting of the Conference of the Parties to CITES (CoP16) through the work of the CITES Secretariat and support to the CITES Sponsored Delegates Project	CITES CoP		700 000		X	x	
28	Implementation of the Ecosystem Approach in the Mediterranean by the Contracting parties in the context of the Barcelona Convention and its Protocols + Marine litter	EcAp Med	MAP	1 716 000		X		X
29	Supporting intersessional activities prior to COP11	CBD Intersessional	CBD	788 000		X		x
30	Support to the implementation and capacity building activities relating to COP 11 outcomes	CBD Outcomes I		1 000 001	x	X	x	X
31	Further Support to CBD Cop 11	CBD Outcomes II		453 261		X	x	x
32	Activities in support of Access and Benefit-sharing / Nagoya Protocol 2012-2015	CBD ABS		700 000		X	x	
33	"Risk Assessment and Risk Management" and "Information sharing" under the Cartagena Protocol on Biosafety	Cartagena	Cartagena	88 855			X	X

#	Project title	Project abbreviation	Imple-menter	Approved project allocation (EUR)	Expected result*			
					1	2	3	4
			Proto-col					
* Reported in SPORs					X = primary x = secondary			

Chemicals and waste (harmful substances and hazardous waste)

#	Project title	Project abbreviation	Imple-menter	Approved project allocation (EUR)	Expected result*			
					1	2	3	4
13	Mercury knowledge and information to assist negotiations + Expert meeting on Mercury Finance pre INC4	Mercury	UNEP Economy	950 000		X	x	X
14	Worldwide interlaboratory comparison study on Persistent Organic Pollutants	POPs		300 001		x		X
15 16	Supporting the strategic approach to international chemicals management - Third Session of the International Conference on Chemicals Management	SAICM ICCM3		500 000		X		
	Support to SAICM Regional Meetings 2013-2014	SAICM RMs		250 000			X	
17	International Cooperative Project on Endocrine Disrupting Chemicals to build awareness and understanding and promote actions	EDCs		300 000				X
35	Implementation of activities approved by the tenth meeting of the Conference of the Parties to the Basel Convention	Basel COP 10	Basel, Rotterdam, Stockholm	997 775		X	X	
36	Basel Convention - Work programme of the Implementation and Compliance Committee and coordination and provision of support to parties in follow up to the country-led initiative on environmentally sound management and further legal clarity	Basel COP 11		170 174	x	X		
37	Implementation of activities approved by the fifth meeting of the Conference of the Parties to the Rotterdam Convention	Rotterdam COP 5		1 226 220		X	X	
38	Orientation workshop for members of the Chemical Review Committee and workshops to develop key elements of Na-	Rotterdam CRC & NAPs		249 845		X		

#	Project title	Project abbreviation	Implementer	Approved project allocation (EUR)	Expected result*			
					1	2	3	4
	tional Action Plans (NAP) on the implementation of the Rotterdam Convention and follow up							
39	Implementation of activities approved by the fifth meeting of the Conference of the Parties to the Stockholm Convention	Stockholm COP 5		1 453 863		X	X	
40	Implementation of Activities related to the POPs Global Monitoring Plan approved by the sixth meeting of the Conference of parties to the Stockholm Convention in 2013	Stockholm GMP		221 000				X
41	Implementation of synergy activities approved by the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions	BRS Synergies I		292 913	X	x	x	
42	Implementation of activities approved by the meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions in 2013	BRS Synergies II		458 981	X			
43	Support to the Montreal Protocol Technology and Economic Assessment Panel (TEAP) and Methyl Bromide Technical Options Committee (MBTOC) Co-chairs	TEAP & MBTOC	Ozone Secretariat	200 000	X			
* Reported in SPORs					X = primary x = secondary			

Environmental governance

#	Project title	Project abbreviation	Implementer	Approved project allocation (EUR)	Expected result****			
					1	2	3	4
18 *	Improving the effectiveness of and cooperation among biodiversity-related conventions and exploring opportunities for further synergies	Bio-MEAs Synergies	UNEP Law	900 000		X		
19 20 **	Consultative Process on Financing Options for Chemicals and Wastes	CW Finance I		100 000		X		
	Follow-up to Consultative process on financing options for chemicals and waste	CW Finance II		200 000		X		

#	Project title	Project abbreviation	Implementer	Approved project allocation (EUR)	Expected result****			
					1	2	3	4
21 ***	Support for implementation of the biodiversity and ecosystems and the chemicals and waste clusters of multilateral environmental agreements	MEA Focal points		1 500 000		X		
22	InforMEA and the MEA Information and Knowledge Management Initiative -a comprehensive approach to information and knowledge Management across MEAs, UNEP and key NGOs	InforMEA		800 000		X	X	
46	Global Pact for the Environment	GPE		500 000	X			
44	Support for organisation of the third United Nations Environment Assembly	UNEA-3	UNEP Governance Affairs Office	438 596	X			
45	Support to preparatory meetings for the fourth United Nations Environment Assembly	UNEA-4 Prep		250 000	X			
34 **	Secretariat support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury	Minamata	UNEP Economy	1 000 000	X			
23 *	Effective implementation of CMS and its instruments (CMS Family) across the African region through capacity building	CMS Family	CMS	550 000		X	X	
* Projects with a thematic focus on ecosystem management ** Projects with a thematic focus on chemicals and waste *** Project with a thematic focus on ecosystem management and chemicals and waste **** Reported in SPORs					X = primary x = secondary			

Annex E: Financial overview

This summary includes reference to data included in the financial report annexed to the September2019 draft of the SCA Final Report that was submitted to the Commission for approval on 6 September 2019. The data is prefinal and subject to further adjustment including notable on operations, where some budget items (including the final report and final evaluation) were still open. Expenditure reports span 2019 in view of adjustments made during closure of individual projects and operations related budget lines.

1.   Background – The Agreement

1.1   Overall Budget and Expected Contributions

1. The original agreement signed in December 2011 provided for an EU contribution of EUR 15,200,200 and a UNEP contribution of EUR 2,060,485 equivalent to 13.5% of the EU contribution or 11.9% of the estimated cost of the action.

2. The 2012 and 2013 addenda provided for an increased in the overall budget, bringing the total 'estimated cost of the action' to EUR 38,735,632, of which the EU contribution was EUR 33,700,000 (Table F-1). The UNEP contribution to the total cost of the action after the 2013 replenishment, referred to as cofinancing, was 13%. There was no change to the contributions or estimated cost of the action in the 2018 addendum.

Table F-1. Summary of EU and UNEP contributions to the SCA

	EU Contribution (EUR	UNEP Contribution (EUR)	Total Cost (EUR)
2011 contracted amount (SCA)	15 200 000	2 060 485	17 260 485
2012 Replenishment (Addendum 1)	11 000 000	1 587 267	12 587 267
2013 Replenishment (Addendum 2)	7 500 000	1 387 880	8 887 880
TOTAL	**33 700 000**	**5 035 632**	**38 735 632**

Sources: Signed SCA (Article 3), SCA Addendum 2 (Article 3)

1.2.   The SCA Budget

3. The 2011 SCA includes a straightforward and brief budget showing indicative total costs (sum of EU and UNEP contributions)[45]. The budget has three main budget items – 1) programme costs (budget lines 1.1 individual actions and 1.2 visibility & communications); 2) programme management (2.2 programme management unit costs for 3 years, 2.2 Programme Steering Committee for 3 years) and 3) evaluation. It includes an additional sum to cover programme management

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costs of 7% on budget item 1. The budget includes footnotes indicating: i) that an indicative share of 60% to support UNEP's work and 40% to support MEAs work is to be applied to budget line 1.1 and ii) that figures under Programme Management and Evaluation represent cost sharing between the two SCAs signed with DG ENV and DG DEVCO.

4. While the budget includes both EU and UNEP contributions, the distribution of EU and UNEP contributions amongst the budget lines was not explicit. The PMU has understood cofinancing as applying pro-rata to each budget line, including the programme support cost.

5. Addenda 1 (2012) and 2 (2013) include an increase in the UNEP and EU contributions to the agreement with the combined increment presented for each budget line in column 2 and the new total cost for each line in column 3. The EU total contribution is provided at the end of each budget column. The footnote on budget sharing between UNEP and the MEAs notes that a specific action for CITES capacity building does not enter into consideration in the budget split. The 2012 budget notes that the budget comprises 87% EU contribution and 13% other sources of funding. The 2013 budget indicates that budget item 2 (programme management) now covers 4 years.

6. The Addendum 3 (2018) budget includes a shift from budget line 1.1 (individual actions) to evaluation costs and a shift in allocations from budget line 1.2 (communications) and 2.2 (PSC) to budget line 2.1 (PMU costs). The stated duration of the programme management allocation – as 4 years – was retained. (See also Section 3. Allocations and Expenditure).

2. Income and Contributions

7. There have been two sources of income to the 'ECL' Trust Fund established for the SCA, namely i) payments of the EU contribution and ii) income from interest. The UNEP contribution to the agreement, represented by 13% funds raised from other (non-EU) sources, has been calculated based on direct expenditure and funds did not pass through the ECL Trust Fund

8. **Payment of EU contribution:** Table F-2 summarises payments from the EU to the trust fund to the end of 2018. An initial 95% pre-financing was negotiated and agreed with DG Environment for their first instalment. Pre-financing was 78% on the second instalment and 80% on the third instalment. UNEP was able to request balance of payments on earlier instalments once the expenditure threshold of 70% on the first payment was reached.

9. The final payment ('Further instalment of interim payment #3') was made in September 2018 per the revised payment schedule on the 2018 SCA addendum. The front-loading of the final payment was approved by the co-chairs and formalised by the SCA addendum. The payment averted a potential cash flow issue associated with UNEP's inability to advance funding from other sources to the SCA projects and allowed new activities funded through reprogramming of project savings to commence in a timely manner.

Table F-2. Income to the ECL Trust Fund showing applicable exchange rates (SCA only)

Payments	SCA pledges & schedule of payments (EUR)	Cash received (EUR)	Date of receipt	Exchange rate
Initial agreement	**15 200 000**			
1st instalment pre-financing 95 %	14 440 000	14 440 000	28 Dec 2011	0.75
Balance on 1st instalment	760 000	760 000	21 Apr 2015	0.923
Addendum 1 increment	**11 000 000**			
2nd instalment pre-financing 78%	8 800 000	8 607 000	23 Jan 2013	0.754
Balance on 2nd instalment	2 200 000	2 178 095	3 May 2016	0.882
		214 905	26 May 2016	0.740
Addendum 2 increment	7 500 000			
3rd instalment pre-financing 80 %	6 000 000	6 000 000	16 Dec 2013	0.725
Balance on 3rd instalment	1 500 000	1 500 000	5 Sept 2018	0.858
TOTAL	**33 700 000**	**33 700 000**		

Source: Operations Services Centre/PMU 'Detail of EC funding as of 31.12.2018' as reported in SCA Final Report

10. **Income from interest:** The annual SPORs report that management of interest payments has been conducted according to the description in Section 3.6 of the 2015 Governance Structure Rules and Procedures. Calculations on the interest income earned on the overall contributions received under the ENRTP SCA are submitted to the UNEP PMU by UNEP for monies held in the ECL trust fund, and by the MEA secretariats for monies held in the MEA's trust funds. Reported income from interest to 31 December 2018 is presented in Table F-3.

Table F-3. Interests accrued on the UNEP ECL Trust Funds (SCA only)

Year	UNEP (EUR)	MEA Secretariats (EUR)	Total (EUR)
2012	104 141	6 874	111 015
2013	90 812	403	91 215
2014	44 410	169	44 580
2015	26 363	4 524	30 888
2016	73 885	23 150	97 034
2017	60 625	30 190	90 815
2018	87 898	39 508	127 406
Total	**488 134**	**104 818**	**592 953**

Source: PMU/SCA Final Report

11. The September 2019 draft of the SCA Final Report indicates that all UNEP interests accrued on the EU contributions under the SCA have been credited to the ECL trust fund.

12. UNEP requested the MEA secretariats to reimburse interest accrued on funds that they held. The draft SCA Final Report indicates that as of September 2019 MEA secretariat interests have been similarly credited except for those generated on the BRS, CITES and CBD voluntary trust funds, which, following a review of the legal situation, were expected to be credited at a later date. The legal review was required since the rules related to use of interest on the respective trust funds were incompatible.

13. **Cofinance:** The main source of cofinance was expected to be funds contributed at the individual project level, and the SCA description of the action indications that full financing of individual actions would be an exception, to be explicitly justified and approved. There was no specific guidance on the level of cofinance to be raised by each project. Thirty two of the 46 projects anticipated cofinance in their full-fledged proposals and 33 reported receiving cofinancing. Table F-4 provides a summary of UNEP cofinance mobilised at the individual project (or, 'individual action') level as reported in the SCA final report. The verified cofinance on UNEP and MEA projects was EUR 14.5 million higher than the expected UNEP contribution of EUR 5,035,632, bringing the indicative total cost of the action to EUR 53 million, 38% higher than the expected cost of the action.

Table F-4. Summary of project reported cofinance (December 2017)[46]

	Amount anticipated in full-fledged proposals (EUR)	Verified Cofinancing (EUR)
UNEP Projects	10 267 611	11 916 151
MEA Projects	5 522 144	7 684 763
Total cofinance	**15 789 755**	**19 600 914**

Source: PMU cofinancing analysis 13032019 as reported in SCA Final Report

14. The project by project approach to mobilising cofinance meant that it was unlikely that the total would exactly meet the requirement at SCA level. The issue of over mobilisation of cofinancing generated some uncertainty. The 2018 Assessment of the Model of Cooperation reflects that the understanding of expected cofinance at portfolio level required clarification: "*UNEP initially understood that additional cofinance was viewed as a welcome indication of UNEP and MEA secretariats' commitment to the partnership. However, prevailing guidance is that the total cost of the actions should equal the contracted amount since if UNEP were to raise additional funding for activities described in the contract, then the EU contribution would not be fully required. This presents a conundrum in a context where i) individual project budgets were approved with cofinance and ii) the bottom up approach to mobilising cofinance is not guaranteed to generate a total that equals the amount expected at portfolio level.*"

15. The draft final report indicates that the reported UNEP and MEA Secretariat contribution is close to the total amount anticipated in the fully-fledged proposals, and the related funds are thus commensurate with delivery of the activities described in those proposals. However, there was some variance at the individual project level in the extent to which cofinance targets were reached or exceeded, and eight projects mobilised less cofinance than expected.

16. The financial report annexed to the September draft of the SCA Final Report does not include cofinance raised against any of the budget lines related to operations items[47], but the report includes a note that the total expenditure and cofinancing recorded under Programme Management (PMU) budget is not final, as UNEP still has unpaid commitments for the ongoing final evaluation and the final report of the DG ENV SCA.

3. Financial Allocations and Expenditure

17. This section covers allocations and expenditure i) on individual actions (Budget

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[46] Neither of the projects active in 2018 generated cofinance.
[47] Cofinance on operations was included in financial reports annexed to the SPORs with the reservation (in the SPOR covering 2017) that cofinance data was subject to an ongoing verification.

Line 1.1 and related PSC) including reprogrammed amounts, ii) on operations (Budget line 1.2 and related PSC, plus budget items 2 & 3), and iii) of income from interest.

18. **Individual actions** (budget Line 1.1 and related PSC)**:** In total, 46 projects were selected, approved and delivered under the SCA between 2011 and 2018. An important development in 2017 and 2018 was the reprogramming of savings, building on the PMU analyses of savings presented in the SPORs covering 2016 and 2017.
   - Forty-three projects were selected between 2011 and 2014, with a total financial allocation of EUR 32,924,703[48].
   - Three new projects were approved in 2017 and 2018 bringing the total financial allocation for the 46 projects to EUR 34,102,580.

19. The average budget of the projects was EUR 0.742 million. The ratio of SCA project allocations between UNEP and MEAs based on approved project budgets for 45 projects (after removal of the CITES Aquatic Species project as per addendum 2) was 61:39, close to the indicate ratio of 60:40.

20. The co-chairs approved two further allocations against budget line 1.1 (individual actions) in 2018 as part of the reprogramming discussion:
   - A shift in expenditure on salaries of EUR 1,763,394 from seven UNEP and two MEA projects under the GPGC PCA. The projects concerned are expected to generate corresponding savings that will be reprogrammed under the PCA. These funds are currently accounted for as part of the PCA portfolio49
   - A small contribution (EUR 34,530) to the top-up funding granted to the PCA IRP project that was accounted for as part of the 2018 PCA IRP project report

21. This brought the total sum reprogrammed to EUR 2,975,801 and the gross allocation against budget line 1.1 (Individual actions) to EUR 35,900,504. The ratio between allocations to UNEP and MEA individual actions (excluding the CITES Aquatic Species project) at the close of the agreement was 62:38.

22. Total project expenditures to 31 December 2018[50] for the 46 projects was EUR 31,106,360. The average project expenditure rate for the individual projects against their approved allocations was 91%, with very similar rates for UNEP and MEAs. Expenditure rates for individual projects varied from 48 to 100%. Twenty-

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[48] EU contribution, inclusive of programme support costs.
[49] The projects concerned are expected to submit revised the full-fledged proposals reflecting the reduced PCA allocation, that will in turn release funds for reprogramming under the PCA.
[50] Including consideration of adjustments made in 2019.

nine projects had an expenditure rate of 90% or over and 42 projects had an expenditure rate of 80% or over. Expenditure on the salary shift was almost 100%, while expenditure on the IRP top up was just 60%. The ratio between expenditure on UNEP and MEA individual actions (excluding the CITES Aquatic Species project) was 62:38.

23. **Operations** (All other budget lines, including PSC on budget line 1.1)**:** Direct management related or 'operations' costs have been taken by the PMU to include budget line 1.2 on visibility and communication, budget item 2, and budget item 3. The budget for operations was amended in each of the SCA addenda as shown in Tables F-5 and F-6. The breakdown of the budget prepared by the UNEP PMU assumed that the EU contribution to each budget line, at 88% on the SCA and addenda 1 and at 87% on addenda 2 & 3, is proportional to the overall EU contribution for the agreement Management costs were budgeted and managed across the two SCAs, and later the PCA, in line with the anticipated cost sharing arrangement.

Table F-5. DG ENV SCA operations budget (EUR)

Description	SCA	Addendum 1	Addendum 2	Addendum 3
Programme Management Unit	196 000	121 999	412 691	677 525
Programme Steering Committee	40 000	26 252	85 980	15 424
Evaluation	61 815	34 349	127 395	227 395
Visibility & communication	95 000	66 450	209 526	34 500
7% PSC cost on visibility & comm.	6 650	4 652	14 667	2 415
Total	**399 465**	**253 702**	**850 259**	**957 259**

Source: SCA and addenda; PMU for calculation of PSC

Table F-6. EU Contribution to the DG ENV SCA operations budget (EUR)

Description	SCA	Addendum 1	Addendum 2	Addendum 3
EU contribution	*88%*	*88%*	*87%*	*87%*
Programme Management Unit	172 480	107 359	359 041	589 447
Programme Steering Committee	35 200	23 102	74 803	13 419
Evaluation	54 397	30 227	110 834	197 834
Visibility & communication	83 600	58 476	182 288	30 015
7% PSC cost on Visibility & comm.	5 852	4 093	12 760	2 101
Total	**351 529**	**223 257**	**739 725**	**832 815**

Source: PMU

24. Table F-7 summarises annual expenditure on operations attributed to the DG ENV SCA as presented in the financial report appended to the draft DG ENV SCA

Final Report51. The total was pre final in view of ongoing activities (final report preparation and final evaluation) and the reported overspend was expected to be eliminated.

Table F-7. DG ENV SCA expenditure on programme operations (6 September 2019)

Year	Amount (EUR)
2012	39 720
2013	50 251
2014	137 404
2015	44 664
2016	172 035
2017	276 210
2018	33 813
2019	82 968
Total	**837 064**

25. Expenditure was low in the early years of the agreement, in large part because the PMU Coordinator's salary was not charged to the agreement. Expenditure has increased in recent years in view of the increasing size of the PMU. The detailed presentation in Part 1 of the financial report indicates that expenditure on communications between 2012 and 2017 was minimal. The original evaluation budget was used for production of the SPORs.

26. A revised budget for management costs spanning the three agreements was prepared in 2018 for consideration by the PSC co-chairs[52]. The budget reflected strengthening of the PMU, included an increase in the evaluation budget based on savings to accommodate the final evaluation of the DG ENV agreement, and reaffirmed the cost-sharing arrangements in place to the end of 2020.

27. The reprogramming undertaken in 2017 and 2018 resulted in an increase in overall expenditure on the agreement (individual actions and operations) from 91% to 99.8% of the EU contribution.

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[51] ENRTP Programme Management / Visibility /Evaluation as summarised in Part 2 of the financial report of 6 September 2019. "Overview of DG ENV-UNEP ENRTP Strategic Cooperation Agreement projects financial reports (Reporting period 2012 – 2018".

[52] The cost sharing arrangement between the SCAs has been questioned by DG DEVCO in view of the substantial difference in the number of projects and the expansion in responsibilities of the programme management bodies to cover the PCA in 2015. The DEVCO SCA budget over nine years was higher than the DG ENV SCA budget. Nevertheless, the cochairs confirmed the arrangement at their April 2018 meetings, as follows: "...*until the end of implementation of the DG DEVCO Strategic Cooperation Agreement in December 2020, the sharing of the costs related to the Programme Management (including evaluation/monitoring, and communication would be incurred between the DG DEVCO Strategic Cooperation Agreement (contributing to a max of 50%), and to the DG ENV Strategic Cooperation Agreement + DG ENV Programme Cooperation Agreement (contributing to the rest)*".

28. **Income from interest:** UNEP is not expected to return income from interest to the Commission and it does not have an expiry date, but the Commission (formalised through the PSC) has commented on its use. The PSC advised at its fifth meeting that income from interest as well as unallocated amounts under the SCA would be used to contribute to management costs under the SCA and PCA, with an expectation that the amount budgeted for management costs under the PCA would be adjusted accordingly.

29. Income from interest was subsequently presented as part of the calculation of savings under the SCA and was made available but not used for reprogramming in 2018. The draft final report indicates income from interest will be fully carried forward to the PCA to complement the PCA projects and activities.

5.   Financial Management

30. The DG ENV SCA was developed under the terms of the Financial and Administrative Framework Agreement signed between the European Union and the United Nations, which entered into force on 29 April 2003[53]. The SCA followed the format of the standard contribution agreement establishing the conditions for the joint management mode and, composed of two parts: 1) Special conditions and 2) General conditions. (Source: Draft Final Report)

31. UNEP established two dedicated trust funds in 2011 to manage the ENRTP funding received from the European Commission in line with the UN financial rules. The DG ENV trust fund (ECL) is maintained in US dollars. A sub-account was established in the ECL Trust Fund for the 2014 PCA.

32. **Roles and staffing:** The UNEP PMU took overall responsibility for financial management at the SCA level, in compliance with the Special and General provisions of the agreements, as well as with section 3.9 of the Governance Structure Rules and Procedures approved for both SCAs. Management and oversight functions and related staffing responsibilities have spanned all three agreements under implementation between 2011 and 2019 but the DG ENV SCA received particular attention in 2018 and 2019 in view of its impending closure (one year in advance of the DG DEVCO SCA).

33. The work of the PMU was initially overseen by the Operations Services Centre in UNEP's Office for Europe, based Geneva, that formed part of the then Office for

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[53] https://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/fafa-united-nations_en

Operations (now Corporate Services Division). The Operations Services Centre recruited a part-time financial assistant to support operations in 2013, who was considered part of the PMU (with shared reporting lines to the Head of the Operations Services Centre). Reporting lines changed in 2016 with restructuring of the OfO. The PMU Coordinator moved to Brussels and had a direct reporting line to the renamed Corporate Services Division on Nairobi. Additional support was provided by a fund management officer (FMO) from the Office for Operations during 2016 following the transition to Umoja (see below). The financial management function was significantly strengthened in 2017 with recruitment of a dedicated FMO and a full-time finance assistant based in Nairobi from November 2017.

34. Financial management at the project level was the responsibility of the Divisional and MEA FMOs in line with requirements for individual EU contracts. Requests for revisions were handled bilaterally between FMOs and their Commission counterparts, with the joint PMU in copy.

35. **Reporting:** Annual financial reports covering each calendar year were prepared respectively by UNEP Divisions and MEA Secretariats at the project level (using a PMU template) and by the PMU finance team at SCA level. The PMU financial team prepared reports centrally from 2017 based on a newly developed template for data extraction from Umoja, for review by relevant FMOs.

36. The financial report at SCA level was annexed to the SPOR and to the draft final report. The report is in two parts:
    - Part 1 provides an overview of allocations and annual expenditure to the end of the reporting year according to the budget lines in the budget annexed to the SCA. The presentation is based on the budget in the 2013 Addendum and includes EU and UNEP contributions.
    - Part 2 provides an overview of expenditure per year and per project based on the EU contribution only. Management related (operations) costs are reported as a single line ("ENRTP Programme Management / Visibility /Evaluation").

37. The financial report was due by the end of May of each year. Project reports were typically prepared after the closure of annual accounts in Umoja, which is typically around March, but prior to the annual audit. The transition to Umoja (see below) affected the quality and timeliness of reporting.

38. Project financial reports were reviewed at operational level in the Commission while the SCA financial report was reviewed by the DG Environment's Unit responsible for Management of Financial Resources.

39. **Cofinance:** The projects initially reported on cofinance in their annual narrative reports, though the approach has varied[54], in part as the understanding of expectations has evolved[55]. The total reported cofinancing was presented in the narrative section of each of the annual SPORs based on information in the annual reports and follow up correspondence. The PMU launched a systematic review of cofinance data in 2018 with a view to verifying the reported amounts against original budgets and with respect to eligibility.

40. **Monitoring:** The Programme Steering Committee noted that the availability of financial reports in the middle of each year, and the presentation of the previous year's data at their meeting towards the end of each year meant they did not have an up to date picture of overall financial implementation of the agreement.

41. The PMU instigated quarterly monitoring in 2014 (the 'traffic light system'). The transition to Umoja and inability to generate reliable financial data on demand during in this period led to the suspension of the monitoring system from 2015 to mid-2016. Reports from mid-2016 included a qualitative update on financial implementation and expenditure data was reintroduced in 2018. The PMU depended on the collaboration of Division and MEA staff for contextual information on actual and projected expenditure and obligations.

42. **Financial Management Challenges:** Financial management challenges across the three agreements were reviewed at length in the 2018 "Assessment of the European Commission – UNEP Model of Cooperation under the ENRTP Strategic Cooperation Agreements and GPGC Programme Cooperation Agreement" commission by the PMU. The assessment identified i) issues inherent to the structure (including contract conditions, magnitude and extended timeframe) of the agreements, including notably cash availability associated with the payment structure and the need to manage multiple exchange rates over the life of the agreement; ii) issues where the agreements left scope for different interpretations and understandings of requirements, notably with regard to cofinance, and iii) issues that were external in origin, notably UNEP's transition in 2015 to the UN Secretariat-wide enterprise resource planning system, known as Umoja. Issues associated with the structure of the agreement were felt more keenly for the DG DEVCO SCA which had a smaller number of longer running projects.

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[54] For example, some projects reported on actual expenditure, some reported budget expenditure and some reported funds mobilised.

[55] For example, it was initially assumed that salaries for staff working on project would not be eligible. The Commission later confirmed that staff salaries could be counted.

43. **Umoja:** The introduction of the system is 2015 generated a backlog in day to day administrative procedures (including funding transfers and contracting) as a result of closure periods for financial transactions and a peak in the workloads of FMOs. Teething issues carried over into 2016 with issues reported across the organisation including lack of system mastery, corruption of data integrity, and inclusion of workflows that disconnected responsibility and authority. UNEP reported to the PSC in 2017 that mastery of the system had improved dramatically, the integrity of data had been restored, and workflows have gradually been corrected. The transition to Umoja was particularly disruptive to project level operations, affecting contracting and outward payments.

44. **Financial clean up and closure:** The new PMU financial staff undertook an in-depth clean-up of records from mid-2017. (For example, verifying the PSC had been charged appropriately and at the correct rate). The PMU FMO also undertook to draft project financial reports for verification by project FMOs.

45. The PMU staff initiated a verification of cofinance and clearance of outstanding obligations towards closure of the agreements in collaboration with project FMOs and the United Nations Office at Nairobi; both exercises taking longer than anticipated and leading to a delay in preparation of the final financial report.

Annex F: Alignment check – SCA and ENRTP

SCA[56]	ENRTP sub-priority 3.1[57]
Objectives	
Contribute to global environmental sustainability and in particular to achieve the MDGs by promoting global environmental sustainability knowledge, tools and capacity-building, including on halting the loss of biodiversity, fostering greener growth, protecting human health and the environment from hazardous substances as well transparency and efficiency of natural resource management: strong international environmental governance, through a support to the work of UNEP and MEAs.	Better international environment and climate governance shaped by the external dimensions of the EU's environment and climate change policies and the provision of methodological and governance tools appropriate to developing countries, and to improve mainstreaming of environment as well as promote governance and transparency of natural resources management.
Outcomes/eligibility for ENRTP support	
ER 1: Strengthened international environmental governance including increased synergies and coherence in international decision-making processes related to global environment processes.	Strengthen international environmental governance by encouraging synergies both between UNEP and the MEA it hosts and between related MEAs with a special focus on the chemicals/waste and biodiversity cluster; promoting the preparation of the UN Rio + 20 Conference and its follow-up at the policy and institutional level; supporting where appropriate negotiating processes for new instruments;
ER 2 Enhanced implementation of and compliance with MEAs	Encourage implementation of and compliance with MEAs by: funding developing country participation in meetings of MEAs; supporting their agreed work programmes that fall outside core operations and therefore rely on donor funding. In some cases, it may be more appropriate to work through UNEP or development agencies to achieve goals agreed by Conferences of the Parties; strengthening capacity of developing countries for implementation of measures agreed within MEAs; supporting international debate on the linkage between MEA financial mechanisms and compliance regimes.
ER 3: Strengthened capacities of developing countries for international environmental negotiations and improved access to information on pro-	Strengthening capacity of developing countries for international environmental negotiations and improve their access to information on progress in different processes.

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[56] Id.
[57] ENRTP 2011-2014

SCA[56]	ENRTP sub-priority 3.1[57]
gress in different international processes	
ER 4: Enhanced global and regional environmental monitoring and assessment for policymaking	Enhance global and regional environmental monitoring and assessment and countries' capacity to participate in the work and to use the results in policymaking;
ER 5: Enhanced visibility and coherence of European Commission and UNEP cooperation in the field of global environment protection	Support other international environmental organisations and processes as well as international and regional civil society advocacy groups and environmental think tanks who share the EU's desire to find multilateral solutions to environmental problems.

Annex G: Alignment check – SCA and UNEP MTS

SCA ERs	Sub-programme objectives	Expected achievements
	SCA alignment with UNEP Medium-term Strategies	
		MTS 2010-2013
ER 1 ER 2 ER 3	Countries utilise the ecosystem approach to enhance human well-being	1. Countries and regions increasingly integrate an ecosystem management approach into development and planning processes. 2. Countries and regions have capacity to utilise ecosystem management tools. 3. Countries and regions begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services
ER 1 ER 2 ER 3	Environmental governance at country, regional and global levels is strengthened to address agreed environmental priorities	1. The United Nations system demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements. 2. States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions. 3. National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in their implementation. 4. National and international stakeholders have access to sound science and policy advice for decision-making.
ER 2 ER 3 ER 4	To minimize the impact of harmful substances and hazardous waste on the environment and human beings	1. States and other stakeholders have increased capacities and financing to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste. 2. Coherent international policy and technical advice is provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices. 3. Appropriate policy and control systems for harmful substances of global concern are developed and in place in line with States' international obligations
ER 1 ER 3 ER 4	Natural resources are produced, processed and consumed in a more environmentally sustainable way	1. Resource efficiency is increased, and pollution is reduced over product life cycles and along supply chains. 2. Investment in efficient, clean and safe industrial production methods is increased through public policies and private sector action. 3. Consumer choice favours more resource efficient and environmentally friendly products.

		MTS 2014-2017
ER 1 **ER 2** **ER 3**	To promote a transition to integrating the management of land, water and living resources, with a view to maintaining biodiversity and providing ecosystem services sustainably and equitably among countries.	1. Increased use is made of the ecosystem approach in countries, with a view to maintaining ecosystem services and the sustainable productivity of terrestrial and aquatic systems. 2. Increased use is made of the ecosystem approach to sustain ecosystem services from coastal and marine systems. 3. Services and benefits derived from ecosystems are integrated with development planning and accounting, particularly in relation to wider landscapes and seascapes and the implementation of biodiversity related MEAs.
ER 1 **ER 2** **ER 3**	To strengthen synergies and coherence in environmental governance, with a view to facilitating the transition towards environmental sustainability in the context of sustainable development.	1. The United Nations system and the multilateral environmental agreements, respecting the mandate of each entity, demonstrate increasing coherence and synergy of actions on environmental issues. 2. The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced. 3. Mainstreaming environmental sustainability: Countries increasingly mainstream environmental sustainability in national and regional development policies and plans.
ER 2 **ER 3** **ER 4**	To promote a transition among countries to the sound management of chemicals and waste, with a view to minimizing impacts on the environment and human health.	1. Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions of the multilateral environmental agreements. 2. Countries, including major groups and stakeholders, make increasing use of the scientific and technical knowledge and tools needed to implement sound chemicals management and the related multilateral environmental agreements. 3. Countries, including major groups and stakeholders, make increasing use of the scientific and technical knowledge and tools needed to implement sound waste management and the related multilateral environmental agreements.
ER 1 **ER 3** **ER 4**	To promote a transition in which goods and services are increasingly produced, processed and consumed in a sustainable way that decouples economic growth from resource use and environmental impact, while improving human well-being.	1. Cross-sectoral scientific assessments, research and tools for sustainable consumption and production and green economy are developed, shared and applied by policymakers, including in urban practices in the context of sustainable development and poverty eradication. 2. Uptake of sustainable consumption and production and green economy instruments and management practices in sectoral policies and in business and financial operations across global supply chains is increased, in the context of sustainable development and poverty eradication. 3. Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced.

Annex H: Contribution of UNEP SCA projects to UNEP PoW

UNEP SCA project	UNEP PoW outputs		
	2012-2013	**2014-2015**	**2016-2017**
IPBES	331	-	-
BIP	321	-	-
WOA	322	-	-
PE Synergies & NBSAPs	-	*331 #*	*331 #*
IRP	611	611	-
REEDTE -Env	623	621	621
10 YFP	642	613	613
GE TOP I	613	-	-
GE TOP II	-	614 to Dec 14 612 from Jan 15	612
RE-ISC	614, 624, 631, 632, 633	633	-
GE Indicators	621	614 to Dec 14 612 from Jan 15	-
PAGE	-	614	614
Mercury	531	512, 524	524
POPs	522	522	-
SAICM ICCM3	521	511	-
SAICM RMs	521	-	-
EDCs	522	513	-
Bio-MEAs Synergies	414	414	-
CW Finance I	-	-	-
CW Finance II	-	414	-
MEA Focal points	414, 415, 423, 425	414	-
InforMEA	421	422	422

Annex I: Analysis of SCA results framework and reconstructed Theory of Change

1. The **general objective** of the SCA was to contribute to global environmental sustainability and in particular to achieve the Millennium Development Goals and be instrumental to the implementation of the Rio 2012 outcomes including sustainable development by promoting:
    a. Global environmental sustainability knowledge, tools and capacity-building, including on halting the loss of biodiversity, fostering greener growth, protecting human health and the environment from hazardous substances as well as transparency and efficiency of natural resource management
    b. Strong international environmental governance, through a support to the work of UN Environment and the MEAs

2. The **specific objectives** of the SCA are to:
    a. Develop methodological and governance tools appropriate to developing countries
    b. Support the preparation and the follow-up of major international environmental processes to which UN Environment contributes
    c. Support the coordination among MEAs and promote better implementation of and compliance with MEAs for which UN Environment administers the secretariat (Addendum 2)

3. The **expected results** of the SCA are:
    a. Expected result 1: Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes.
    b. Expected result 2: Enhanced implementation of and compliance with MEAs.
    c. Expected result 3: Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes.
    d. Expected result 4: Enhanced global and regional environmental monitoring and assessment for policymaking.
    e. Expected result 5: Enhanced visibility and coherence of European Commission and UN Environment cooperation in the field of global environment protection.

4. The logframe identifies the following assumptions at the results level:
    - No major crisis affects global efforts towards sustainable development
    - No major environmental/climate crisis is threatening to present trends

5. No outputs are defined in the SCA logframe; this is not surprising considering the global, multi-thematic, multi-project and strategy nature of the SCA.

6. While no activities are specified in the logframe, the narrative of the SCA identifies the following, which are derived from the UN Environment mandates and can be viewed as **expected main activities**:
   - Catalysing and promoting international cooperation and action
   - Providing early warning and policy advice based on sound science
   - Facilitating the development, implementation and evolution of norms and standards
   - Supporting the development of international policy and law as well as methodological tools for developing countries
   - Developing coherent interlinkages among international environmental conventions
   - Delivering technology support and capacity-building services in line with developing countries' priorities

7. The logframe identifies the following assumptions at the activity level:
   - Climate change and environment become a priority for partners, both at country and regional levels
   - International environmental negotiations move forwards
   - Environment and climate change become a national, regional and global priority for action
   - No major socio-economic, political or military crisis is affecting public and private sector possible efforts to a more sustainable development
   - Rio +20 is fostering a positive and accelerated dynamic and interest toward sustainable development
   - UN Environment experiences strong support at global level
   - UN Environment benefits from a strong support from EU institutions at global, regional and country levels for strengthened coordination

8. The 2015 mid-term evaluation (MTE) of the two EU-UN Environment SCAs established a reconstructed Theory of Change (ToC) for SCA. The MTE identified the following inconsistencies in the SCA logframe, which the terminal evaluation team concurs with:
   - The logical framework includes many repetitions across its different levels
   - Some expected results are in reality at the outcome-level
   - One expected result is in reality at the activity-level
   - Some expected results are in reality at the intermediate state level
   - There are no outputs or activities defined in the logical framework (but envisaged main activities are presented in the narrative)
   - The expected result "*enhanced visibility and coherence of EC and UNEP cooperation in the field of environmental protection*" appears to have no direct

connection to higher level results in the logical framework; it rather relates to an SCA management priority.

- The indicators of the logical framework are mostly inadequate (unspecific, irrelevant) and lack baselines and targets.

9. The logframe objectives and expected results revolve around international environmental governance, especially the MEAs. It is easy to link the thematic areas of ecosystem management and chemicals and waste to the logframe as there are clear links with MEAs. However, the link between resource efficiency and the intended results appears less clear, as there are no MEAs linked to this area; the main formal international process to which resource efficiency can be linked appears to be Rio+20.

10. The reconstructed ToC presented in the MTE is coherent and consistent and an adapted was also used for this evaluation, with the addition of the six activities identified for information purposes, given the absence of stated outputs in the SCA logframe (see ToC figure below). Outputs are difficult to establish given the global, multi-thematic and multi-project and strategy nature of the SCA. The table below depicts how the logframe has been reconstructed into a coherent ToC.

11. Only two assumptions are identified at the outcome level of the SCA logframe, whereas a number of assumptions are identified at the activity level. Considering the global, multi-thematic and multi-project and nature of the SCA it is difficult to identify assumptions that are applicable globally and for all actions under the SCA; it is thus not surprising that a number of the assumptions will be more relevant in some areas than others.

12. The logframe identifies the above-mentioned assumptions at the results level. The MTE reconstructed ToC pegged the first of these (no major crisis affects global efforts towards sustainable development) between the intermediate state and added one assumption: Developing countries translate policies and laws into practice. The second assumption was not included in the MTE reconstructed ToC, as it is not entirely appropriate; an environmental crisis would increase rather than decrease the commitment to implement MEAs. The activity-level assumptions are not applied in the reconstructed ToC.

13. In addition, the reconstructed MTE ToC introduced three new assumptions between the outcome-level and intermediate state:
- Methodological and governance tools are effectively used.
- Resources (financial, human) are available to implement actions and measures resulting from the processes.
- Institutional environment conducive for action and measures for change.

14. No drivers (i.e. assumptions over which the UN Environment and/or the MEA secretariats have some control) were identified in the SCA's logframe nor in the MTE's reconstructed ToC. Again, with the multi-facetted nature of the SCA, it is difficult to identify broadly applicable drivers, not least since global environmental governance and MEA decision-making processes are political with decisions made by the Parties (signatory countries).

15. Nonetheless, this evaluation has identified two broadly applicable drivers between the outcome-level and intermediate state:
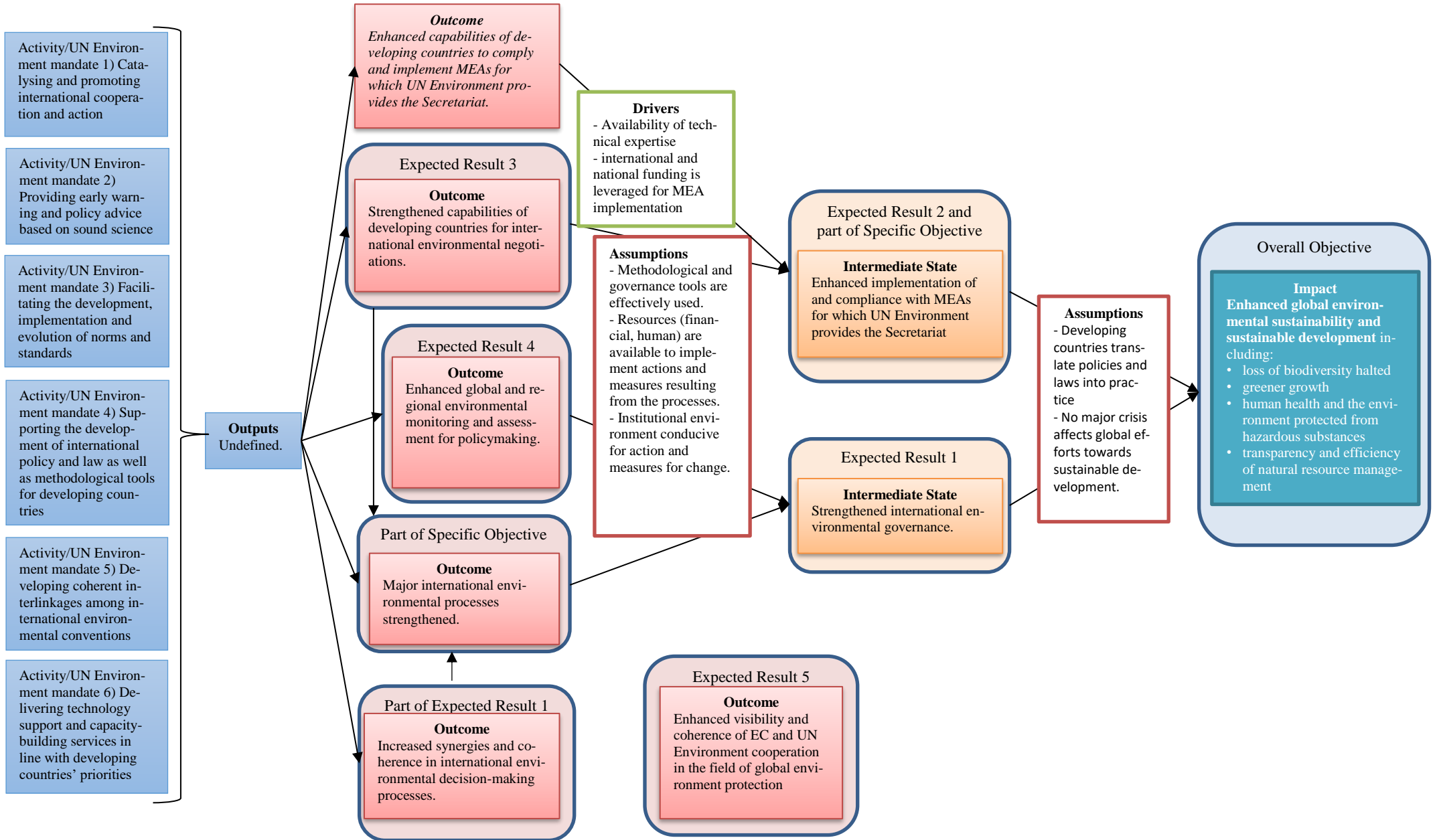   - Availability of technical expertise
    - International and national funding is leveraged for MEA implementation

Comparison of logframe and reconstructed ToC		
	Faithful *(SCA + addendum 2)*	**Reconstructed ToC**
Impact	**General objective**: To contribute to global environmental sustainability and in particular to achieve the Millennium Development Goals and be instrumental to the implementation of the Rio 2012 outcomes including sustainable development by promoting: a) Global environmental sustainability knowledge, tools and capacity-building, including on halting the loss of biodiversity, fostering greener growth, protecting human health and the environment from hazardous substances as well as transparency and efficiency of natural resource management;	Enhanced global environmental sustainability and sustainable development including: • loss of biodiversity halted • greener growth • human health and the environment protected from hazardous substances • transparency and efficiency of natural resource management
	b) Strong international environmental governance, through a support to the work of UNEP and the MEAs.	
Intermediate state	**Specific objective**: a) Develop methodological and governance tools appropriate to developing countries	Enhanced implementation of and compliance with MEAs for which UN Environment provides the Secretariat
	Specific objective: b) Support the preparation and the follow-up of major international environmental processes to which UNEP contributes	Strengthened international environmental governance.
	Specific objective: c) Support the coordination among MEAs and promote better implementation of and compliance with MEAs for which UNEP administers the secretariat (Addendum 2)	
Outcomes	**Result 1**: Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes.	Enhanced capabilities of developing countries to comply and implement MEAs for which UN Environment provides the Secretariat.
	Result 2: Enhanced implementation of and compliance with MEAs.	Strengthened capabilities of developing countries for international environmental negotiations.

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	Comparison of logframe and reconstructed ToC	
	Result 3: Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes.	Enhanced global and regional environmental monitoring and assessment for policymaking.
	Result 4: Enhanced global and regional environmental monitoring and assessment for policy-making.	Major international environmental processes strengthened.
	Result 5: Enhanced visibility and coherence of European Commission and UNEP cooperation in the field of global environment protection.	Increased synergies and coherence in international environmental decision-making processes.
		Enhanced visibility and coherence of EC and UN Environment cooperation in the field of global environment protection *(unlinked to the intermediate state and impact)*
	Black: Unchanged Green: SCA logframe and addendum 2 only Blue: Reconstructed only Red: Movement from faithful to reconstructed Purple: Not included in the MTE's ToC	

Reconstructed Theory of Change (adapted from the 2015 SCA MTE)

Activity/UN Environment mandate 1) Catalysing and promoting international cooperation and action

Activity/UN Environment mandate 2) Providing early warning and policy advice based on sound science

Activity/UN Environment mandate 3) Facilitating the development, implementation and evolution of norms and standards

Activity/UN Environment mandate 4) Supporting the development of international policy and law as well as methodological tools for developing countries

Activity/UN Environment mandate 5) Developing coherent interlinkages among international environmental conventions

Activity/UN Environment mandate 6) Delivering technology support and capacity-building services in line with developing countries' priorities

Outputs
Undefined.

Outcome
Enhanced capabilities of developing countries to comply and implement MEAs for which UN Environment provides the Secretariat.

Drivers
- Availability of technical expertise
- international and national funding is leveraged for MEA implementation

Expected Result 3

Outcome
Strengthened capabilities of developing countries for international environmental negotiations.

Assumptions
- Methodological and governance tools are effectively used.
- Resources (financial, human) are available to implement actions and measures resulting from the processes.
- Institutional environment conducive for action and measures for change.

Expected Result 4

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

Expected Result 2 and part of Specific Objective

Intermediate State
Enhanced implementation of and compliance with MEAs for which UN Environment provides the Secretariat

Assumptions
- Developing countries translate policies and laws into practice
- No major crisis affects global efforts towards sustainable development.

Expected Result 1

Intermediate State
Strengthened international environmental governance.

Overall Objective

Impact
Enhanced global environmental sustainability and sustainable development including:
• loss of biodiversity halted
• greener growth
• human health and the environment protected from hazardous substances
• transparency and efficiency of natural resource management

Part of Specific Objective

Outcome
Major international environmental processes strengthened.

Part of Expected Result 1

Outcome
Increased synergies and coherence in international environmental decision-making processes.

Expected Result 5

Outcome
Enhanced visibility and coherence of EC and UN Environment cooperation in the field of global environment protection

Annex J: link between mid-term evaluation and final evaluation recommendations

Mid-term evaluation (MTE) recommendations	Relevance at end of SCA and link to final evaluation (FE) recommendations
Rec 1 (Project selection process): Recognize that the supported "projects" are mostly components of phases of larger programmes and processes that are steered and monitored in a professional manner by their own structures, notably UNEP QAS and MEA COPs and Secretariats. Placing the "projects" in their larger context and monitoring them as such is more meaningful and interesting thematically, also in view of long term cooperation and partnerships. Additionally, and importantly, such an approach would allow a reduction of the workload in drafting concept notes and project documents and progress reports, a good number of the required sections becoming redundant. For example, is it really necessary to embark on the full range of stakeholder analysis, risk analysis, partnership analysis, contribution to poverty alleviation, sustainability aspects, etc just for a programme component or a bridging phase? Project documents and progress reports could be highly simplified by focusing on the essential elements, e.g. an indication on how they fit in the larger programme/context, on how they are managed, monitored and evaluated by their own structures, and on what exactly will be done with the funds allocated to the "project" and what is expected to be achieved. Further, considering this broader context would also provide more opportunities to undertake something related to impact measuring, an aspect that is presently completely absent from the SCA operations.	MTE Rec 1 and Rec 1a are consistent with FE R1. FE R1 goes one step further as it proposes a new, more strategic and integrated approach to grants, moving away from project proposals to a more programmatic support, which is more integrated with UNEP sub-programmes and MEA PoWs.
Rec 1a (Project selection process): In the same vein, it would be meaningful to consider EC financial support for larger interventions, i.e., interventions at the scale of UNEP-entities, and not for components or smaller portions of UNEP / MEA programmes. This approach would yield the same efficiency benefits. In addition, EC visibility could be clearer for such larger programmes. Obviously,	

there will be a trade-off in number of different topics within the environmental sector that can be supported.	
Rec 2 (Project selection process): Increase transparency in project prioritisation and allocation of funding through the formulation and communication of selection criteria additional to strategic alignment e.g., to foster synergies and a "critical mass" of effort among projects) and through proper feedback and argumentation following selection.is	MTE Rec 2 is consistent with FE R1, which also seeks to address the somewhat informal project selection process and that the SCA did not yield the envisaged strategic benefits. FE R1 goes one step further and proposes to move away from a project proposal approach to a more programmatic approach.
Rec 3 (Communication and Visibility): Create more efficient and transparent channels for communication. A website or internet-based platform would be helpful in this respect.	MTE Rec 2 is consistent with FE R2. FE R2 focuses more broadly on strengthening governance and management at PSC and PMU levels, which would be conducive for coordination and internal communication.
Rec 4 (monitoring and reporting): According to SPOR2, covering the entire project portfolio, twenty four ongoing projects have been granted no cost extensions of between 3 and 48 months, in most cases as a result of delays experienced due to operational, implementation or external challenges. The flexibility offered by the SCA enabled the extension to be easily granted so that projects could fully implement their work. In order to ensure that operational and implementation delays which are under UNEP's control are minimised, specific and uniform guidance for the entire project portfolio should be available: e.g., level and sources of co-financing, budget and procedures for external evaluation (including coordination with the UNEP EO), exchange rates, formats for financial reporting, etc. For MEA-projects, the guidance should take into account any differences in operational procedures in order to ensure efficient project management within the framework of such an agreement and taking into account their status as UNEP-administered entities. This would be expected to increase the efficiency of the PMU (and, in turn, of project implementation), which would	MTE Rec 4 is consistent with FE R1 and FE R3. FE R1 goes one step further as it proposes moving away from projects to a more programmatic support, which would facilitate long-term planning and remove the need for individual project extensions. FE R3 proposes enhanced attention to M&E, including setting aside budgets for this at project level, and providing technical support for MEAs at the overall level.

move away from providing specific responses to queries to implementing a clear overall structure for implementation of projects.	
Rec 5 Allow the MEA implemented projects to be as separate as possible from UNEP Programme of Work project cycle management. Coordination and exchange on thematic areas should continue.	There is no link between MTE Rec 5 and the FE recommendations. The PSC/PMU pointed out that MEA projects were not responding to the UNEP PoW, but that UNEP had a responsibility to ensure MEA projects met EC-UNEP contractional obligations.
Rec 6 (Communication and Visibility): For communication and visibility: focus efforts on communication and outreach at technical level (preferably also in the broader context of programmes and processes, as explained above) and on visibility of EU-funding and discontinue efforts on promoting visibility of the SCAs/PCA.	There is no link between MTE Rec 6 and the FE recommendations. Communication and visibility improved over time, making MTE Rec 6 less pertinent at the end of the SCA.
Rec 7 (monitoring and reporting): Change monitoring and reporting systems in view of the need for timeliness and of effective use by the management of information gathered through the systems. Follow-up on agreed action points, on data provided through reporting and on recommendations from SPORs should be strengthened.	MTE Rec 7 is consistent with FE R3. FE R3 focuses on results (outcome and impact) monitoring, but not on reporting timeliness and information management. Follow-up on SPORs and reporting timeliness improved over time.
Rec 8 (Umbrella agreement design): Should the EC and UNEP agree to engage in further cooperation agreements to implement a strategy of cooperation, it is recommended that: - The formal objectives be clearly defined in a results framework - A coherent logframe with robust performance indicators be specified, and - budget allocations be made that are feasible in relation to the stated objectives.	MTE Rec 8 is partly consistent with FE R3. FE R3 focuses on results (outcome and impact) monitoring, but not on the SCA results framework. The SCA was followed by a PCA and a new framework agreement is under development, so overall logframe recommendations should emanate from and assessment of the PCA logframe and theory of change (which is outside the scope of the FE). Flexibility and responsiveness to MEA COP decisions, UNEP Medium-term Strategies and PoWs are essential, so objectives should not be overly specific.

Rec 9 Relevance of strategic cooperation: While recognizing that the determination of the broader strategic focus of the EC and UNEP cooperation were beyond the scope of this evaluation, in the implementation of any future agreements the EC and UNEP should reinforce the processes that aid the selection of initiatives that have strong alignment with mutually agreed strategic priorities. As a suggestion this may include: - Conducting a broader consultation process to identify common strategic priorities including a broader set of stakeholders that would include the UNEP Sub-Programme Coordinators and representatives from MEA Secretariats, - Making full use of available strategic planning documents such as the UNEP Programme Frameworks, developed for each of its seven thematic Sub-Programmes and any relevant programming documents from MEA Secretariats, to increase the coherence and potential synergies among supported initiatives.	MTE Rec 9 is partly consistent with FE R1. FE R1 goes one step further as it proposes a new, more strategic and integrated approach to grants, which is more integrated with UNEP sub-programmes and MEA PoWs. The FE found a good alignment of the SCA with EU, UNEP and MEA Secretariat objectives. Flexibility and responsiveness to MEA COP decisions, UNEP Medium-term Strategies and PoWs is essential, so objectives should not be overly specific.

Annex K: Assessment of assumptions and drivers

Assumption/driver	Source	Status	Implications for SCA
Assumptions: results level			
1. No major crisis affects global efforts towards sustainable development	SCA log-frame MTE ToC	Several crises happened, which affected the international discourse, including: a) Global financial crisis b) Political instability and terrorism in a number of countries and international military intervention c) Political leadership changes affected the level of priority given to environment in a number of countries (for the better or worse)	• *a) may have affected the availability of funding for the SCA as well as other funding for the SCA partners* • *c) has affected MEA negotiations and commitments, but the direct link to SCA implementation and results is difficult to establish*
2. No major environmental/climate crisis is threatening to present trends	SCA log-frame	a) Every IPCC climate forecast has led to more pessimistic scenarios than the previous b) The rate of greenhouse gas emissions, loss of biodiversity, pollution, and land degradation has continued to increase	a) and b) has brought the MEA discourse higher on the agenda, especially vis-à-vis climate change, resource efficiency, plastic pollution – thereby contributing to the enabling environment for SCA implementation
3. Developing countries translate policies and laws into practice	MTE ToC	Many countries have introduced new laws and policies or revised existing ones related to environment, and in particular climate change. However, their implementation is generally lagging due to several factors, including: financial constraints, institutional and individual capacity constraints, limited political priority given to environment (e.g. compared to economic	• The policy-implementation gap has contributed to enhancing the demand for, and interest in, the services delivered by SCA projects • The factors behind the gap are a constraint to the application of tools and capacities developed by the SCA projects

Assumption/driver	Source	Status	Implications for SCA
		growth), political economy and corruption	
Drivers: results level			
4. Availability of technical expertise	Final Evaluation ToC	a) International technical expertise was often available, both from individual experts and institutions b) Technical capacity constraints remain a challenge at national level	• SCA projects able to mobilise international technical experts and institutions, and thereby contribute to enhancing technical capacities of beneficiaries and providing knowledge and tools • *The actual application by countries of skills, knowledge and tools from SCA projects is unclear*
5. International and national funding is leveraged for MEA implementation		a) International donors provide funding for environmental implementation b) Financing is a major constraint at national level – and funding for environment is generally not a major priority compared to economic and social demands c) Funding for MEA implementation remains insufficient	There are a few examples of other donors funding the further use of outputs from the SCA projects
Assumptions: activity level			
6. Climate change and environment become a priority for partners, both at country and regional levels	SCA log-frame	a) There is a generally increased priority, but decreased in some countries, depending on changes in political leadership b) Environment and climate change action is still given less priority than economic growth in general – and action	• *The actual application by countries of skills, knowledge and tools from SCA projects is unclear*

Assumption/driver	Source	Status	Implications for SCA
		and investments do generally not commensurate with the policy commitments made	
7. International environmental negotiations move forwards		Progress has been made across several MEAs and vis-à-vis resource efficiency at the negotiation level	The progress provided new opportunities and demands for SCA projects (e.g. vis-à-vis marine species, resource efficiency)
8. Environment and climate change become a national, regional and global priority for action 9.		a) See no. 6 b) SDGs have stronger emphasis on environment and climate change than MDGs	See no. 6
10. No major socio-economic, political or military crisis is affecting public and private sector possible efforts to a more sustainable development		Conflict and insecurity have increased in a number of countries, negatively affecting governance and private sector engagement	This posed some limitations on which countries the SCA projects could operate in
11. Rio +20 is fostering a positive and accelerated dynamic and interest toward sustainable development		See no. 6 and 8	See no. 6
12. UN Environment experiences strong support at global level		UNEP is supported by donors, but funding has not increased substantially	*The direct link to SCA implementation and results is difficult to establish*
13. UN Environment benefits from a strong support from EU institutions at global, regional and country levels for strengthened coordination		a) UNEP is supported by the EU incl. DG ENV, but funding has not increased b) Coordination has not been strengthened significantly	Coordination between the SCA and the EU-UNEP high-level dialogue was limited

Annex L: Evaluation matrix

Evaluation questions	Indicators	Information sources
Strategic relevance		
1. Were SCA objectives and outcomes aligned with EC and UN Environment priorities?	• Alignment of the SCA with ENRTP priorities for environmental governance • Alignment of the SCA with UN Environment 2010-2013 and 2014-2017 Medium-Term Strategy objectives and expected accomplishments for relevant sub-programmes	• SCA and ENRTP documents • SCA and Medium-Term Strategies • Project manager survey
2. Were SCA objectives and outcomes aligned with global environmental challenges, including MEA priorities?	• Alignment of the SCA with MEA priorities (CBD, CITES, BRS) • Alignment of the SCA with SDGs	• SCA and MEA Secretariat work programme priorities • Project manager survey • SCA and SDG documents, portfolio analysis (reported alignment with SDGs in annual and project final reports, factsheets)
Design and structure		
3. Did the SCA design promote the achievement of higher-level results?	• Extent to which SCA provided strategic guidance and prioritisation for project selection and design (e.g. with a view of how different projects would complement each other) • Extent to which sample projects were designed and selected specifically to contribute to SCA objectives • Extent to which SCA sample projects were reinforcing/reinforced by other SCA projects	• SCA Assessment Report • Portfolio analysis (reported contribution to expected results), interviews to determine changes, minutes of PSC meetings, SCA Assessment Report. Review of sample project ILs/logframes • Sample project concept notes and see whether they have considered other projects and potential

Evaluation questions	Indicators	Information sources
		complementarities
4. Did the SCA provide enhanced predictability and continuity for UN Environment and MEA secretariats?	• Extent to which UN Environment and MEA secretariats could foresee EU support and plan longer-term engagements beyond the individual project lifespan (e.g. planned second phases and continuity ensured by different SCA projects)	• Interviews, portfolio analysis (project phasing), SCA Assessment Report • Project manager survey
Overall performance		
5. Were the intended results (effectiveness) achieved – across the four thematic clusters?	• Extent to which projects achieved their intended outcomes • Extent to which projects contributed to the achievement of the SCA outcomes/results (ToC outcomes) • Implementation timeliness and project extensions (and whether delays were caused by internal or external factors and whether they affected results)	• Existing evaluations, sample project annual and final reports Portfolio analysis (reported contribution to expected results), SPORs, existing evaluations, sample project annual and final reports • Minutes of PSC meetings, existing evaluations, sample project annual and final reports, interviews • Project manager survey
6. To what extent did the projects contribute to global environment protection and for sustainable development in developing countries – across the four thematic clusters?	• Extent to which projects contributed to enhanced MEA implementation and compliance • Extent to which projects contributed to improved environmental governance • Extent to which projects contributed to providing an enabling environment for sustainable development • Extent to which pilot projects delivered viable models for sustainable development • Extent to which measures for ensuring replication and up-scaling were implemented	• Interviews, existing evaluations, sample project final reports • Interviews, existing, evaluations, sample project and final re-

Evaluation questions	Indicators	Information sources
		ports, SCA Assessment Report, Minutes of PSC meetings, SPORs
7. To what extent are the results achieved sustainable – across the four thematic clusters?	• Extent to which contextual factors and conditions contributed to or constrained sustainability • Extent to which projects implemented present clear exit strategies	• Interviews, existing evaluations, sample project final reports • Interviews, existing evaluations, sample project concept notes and final reports
Human and financial resources administration and efficiency		
8. Were financial resources sufficient and available when needed?	• Timeliness of disbursements from the EC and down to project level • Overall expenditure rates for the SCA • Adequacy of the programme management budget • Mobilisation of UN Environment and MEA secretariat co-financing	• SPOR, SCA Assessment Report, interviews, minutes of PSC meetings • Project manager survey
9. Were financial resources well managed?	• Quality of financial monitoring and reporting and adherence to EU financial reporting requirements • Timeliness of financial reporting from UN Environment and MEA secretariats	• UN Environment pillar assessment, SCA Assessment • Financial report submission dates, Interviews, SPORs, minutes of PSC meetings
10. Were staff resources for SCA implementation sufficient?	• Number and roles of SCA PMU staff • Staff resources available for projects • Implications of staff turnover for SCA implementation	• SPOR, SCA Assessment Report, sample project financial reports, interviews
Factors affecting performance		
Organization, management and oversight		
11. Were the organisation, management and oversight arrangements for the SCA well-functioning?	• Clarity, transparency and conduciveness of SCA structures, rules, project selection process, and procedures • Adequacy and availability of PMU guidance and support to SCA projects	• SCA Assessment Report, minutes of PSC meetings, interviews

Evaluation questions	Indicators	Information sources
	• Degree of strategic guidance/oversight provided by the PSC	
Cooperation and partnerships		
12. Did SCA implementing bodies engage in partnerships?	• Degree of coordination and collaboration between UN Environment and MEA secretariats • Degree of stakeholder involvement in the design and implementation of projects • Degree of involvement of UN Environment Regional Offices in the design and implementation of projects • Extent to which projects achieved synergies with other interventions implemented by UN Environment and MEA secretariats (e.g. building on earlier projects or being a component of a larger intervention) • Extent to which projects achieved synergies with interventions of other entities	• Interviews, existing evaluations, sample project annual and final reports, SPORs
Monitoring and reporting		
13. How well were SCA activities and achievements monitored, reported and evaluated?	• Existence of functional and reliable outcome-oriented monitoring and data collection, and progress reporting at SCA and project level that captures outcomes (and contributions to impact) • Extent to which monitoring is used as a programme management tool for the SCA • Extent to which mid-term and end-of-project evaluations were carried out at project level • Extent to which budgets for projects had adequate provisions for monitoring and evaluations	• SPOR, existing evaluations, sample project annual and final reports • Minutes of PSC meetings, interviews • Portfolio analysis (evaluated projects/interventions) • Interviews, sample project financial reports and concept note

Evaluation questions	Indicators	Information sources
Human rights and gender		
14. To what extent were human rights and gender considered and addressed by the SCA?	• The extent to which the SCA and projects carried out gender and human rights analyses at design and implemented gender equality and human rights actions (in line with the UN Common Understanding on the human rights-based approach, the UN Declaration on the Rights of Indigenous People, and the UN Environment's Policy and Strategy for Gender Equality and the Environment) • The extent to which gender and human rights aspects were included in the results and monitoring frameworks	• SCA documents, existing evaluations, sample project concept notes and annual reports
Communication and visibility		
15. Was communication within the SCA management and implementation structures effective?	• The extent to which communication was effective between the PSC, PMU, units responsible for the implementation of the projects, and UN Environment and MEA secretariat management • The extent to which communication with partners was effective	• SCA assessment report, interviews, existing evaluations, sample project concept notes
16. Were results communicated externally to exert influence?	• The extent to which external communication and knowledge management activities were implemented to exert influence and support advocacy efforts (e.g. to disseminate information, concepts, approaches and tools generated by the SCA projects)	• SCA assessment report, interviews, existing evaluations, sample project concept notes
17. Was EU visibility effectively addressed?	• Extent to which measures were implemented to ensure EU visibility as a donor and as a partner to address international environmental challenges	• SCA assessment report, interviews, existing evaluations, sample project concept notes

Annex M: Survey questionnaires

Text in italics represents multiple choice options

Questions for DG Environment Task Managers

1. Introduction and About You

1. Your Name:
2. Your Title:
3. Please provide the title of the ENRTP SCA project, projects or project components that you were overseeing, with the dates you were involved (if you were not involved for the full duration of the project(s))

2. Relevance and Contribution to Priorities

4. How well aligned was the project to the ENRTP priorities?   *(Fully aligned /Partially aligned /Not aligned)*
5. How well aligned was the project to DG Environment and your Unit's strategic priorities?   *(Fully aligned /Partially aligned /Not aligned)*
6. To what extent was the project contribution to SCA results an important factor in project identification, development and approval?   (Very important /Somewhat important /Not very important)
7. Is the SCA project theme an ongoing priority for the Commission?   *(Yes /No)*
8. Please add any comments related to the above questions on project alignment to your priorities *(Optional)*

3. Working in the Framework of the SCA

9. Did the SCA modalities, procedures and processes facilitate management efficiency?

- Through streamlined identification and funding allocation
- Through streamlined contracting
- Through streamlined amendment and extensions
- Through standardised reporting linked to the calendar year
- Through a centralised monitoring process
- Through the meetings of the PSC
- Other - please expand

(Yes /Somewhat /No)

10. Did the SCA modalities, procedures and processes facilitate collaboration and synergies amongst projects?

- Through coordinated project identification and funding allocation
- Through the trust fund mechanism (flexible and responsive funding)
- Through the meetings of the PSC

(Yes /Somewhat /No)

11. How has the model of umbrella agreements with the EC contributed to improved predictability and continuity in funding? (Please select all that apply)

- The SCA approach resulted in longer term funding for the project / initiative
- The SCA model facilitated access to top-up funding
- The SCA model facilitated access to follow-on funding
- The SCA model facilitated longer term planning between the project implementer and the Commission
- There were no apparent benefits at the project level

12. Was the information on the SCA implementation made available to you through the joint PMU and Commission focal points adequate?

- Useful
- Timely
- Responsive
- Clear

(Yes/ Somewhat/No)

4. Project Design and Delivery

13. To what extent were UN Environment/ MEA Secretariats responsive to suggestions made by DG ENV regarding the project design? *(Very responsive /Somewhat responsive /No very responsive   /No suggestions made by DG ENV)*
14. How satisfied were you with the overall project delivery? • Quality of project outputs • Delivery of expected project results • Contribution to expected international policy outcomes • Overall timeliness • Cost effectiveness (Highly satisfied /Somewhat satisfied /Somewhat dissatisfied /Highly dissatisfied)
15. To what extent do you consider that project delivery was negatively affected by the following challenges: • Timeliness of UNEP / MEA Secretariat administrative processes (e.g. approval and extensions) • Timeliness of Commission administrative processes (e.g. approval and extensions) • Financial management • Human resources management • Participation of third parties including beneficiaries *(No negative effects/ Somewhat affected/ Highly affected)*
16. How satisfied were you with project monitoring and reporting? • Detail • Timeliness • Usefulness in steering the project and decision-making *(Highly satisfied /Somewhat satisfied /Somewhat dissatisfied /Highly dissatisfied)*

17. How satisfied were you with project efforts to disseminate information, concepts, approaches and tools generated by the SCA projects?

(Highly satisfied /Somewhat satisfied /Somewhat dissatisfied /Highly dissatisfied)

18. How satisfied were you with project efforts to ensure EU visibility as a donor and as a partner?

(Highly satisfied /Somewhat satisfied /Somewhat dissatisfied /Highly dissatisfied)

5. Wrapping Up

19. Are there any other issues that you would like to raise in the context of this evaluation?

Questions for UNEP and MEA Secretariat Project Managers

1. Introduction and About You

1. Your Name:

2. Your Title:

3. Please provide the title of the ENRTP SCA project, projects or project components that you were overseeing, with the dates you were involved (if you were not involved for the full duration of the project(s)): :

2. Relevance and Contribution to Priorities

. 4. How well was the final project aligned to your organization's work programme and priorities?

(Fully aligned/ Partially aligned/ Not aligned/ Not applicable)

5. To what extent where you required to adapt your original project idea to meet European Commission priorities?

(No change required/ Very little – our priorities were well aligned/ Somewhat/ Substantially)

6. Did the changes made in response to European Commission priorities affect the contribution to your organisation's priorities?

(Positively/ No effect/ Negatively)

3. Project Results

7. To what extent was your project able to deliver the planned project outputs (including any approved amendments)?

(Fully achieved (over 90%) / Substantially achieved (60-90%) / Partially achieved (less than 60%)

8. To what extent was your project able to deliver the planned project outcomes?

(Fully achieved (over 90%) / Substantially achieved (60-90%) / Partially achieved (less than 60%)

9. Have there been any longer-term outcomes or catalytic effects resulting from this project?

10. How did your project contribute to the SCA 'Expected Results' and 'Specific Outcomes' identified in the 'Description of the Action'?

- ER 1: Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes.
- ER 2: Enhanced implementation of and compliance with MEAs.

- ER 3: Strengthened capacities of developing countries for international environmental negotiations and improved access to information on progress in different international processes.
- ER 4: Enhanced global and regional environmental monitoring and assessment for policymaking.
- ER 5: Enhanced visibility and coherence of European Commission and UNEP cooperation in the field of global environment protection.
- SO 1: Develop methodological and governance tools appropriate for developing countries.
- SO 2: Support the preparation and the follow up of major international environmental processes to which UNEP contributes.
- SO 3: Promote better implementation and compliance with MEAs for which UNEP provides the secretariat.

(No contribution/ Minor contribution   Moderate contribution/ Major contribution)

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11. How did your project contribute to the following strategic outcomes?

- Improved capacities of developing countries to engage in and influence negotiations/MEA processes
- Improved national strategies/plans/policies for implementation of commitments under MEAs
- Strengthened national institutional frameworks for implementation of commitments under MEAs
- Enhanced national institutional and individual capacities vis-à-vis MEA implementation
- Improved national strategies/plans/policies for the promotion of resource efficiency
- Strengthened national institutional frameworks for the promotion of resource efficiency
- Enhanced national institutional and individual capacities vis-à-vis the promotion of resource
- Improved access to, and management of, knowledge and data

(No contribution/ Minor contribution   Moderate contribution/ Major contribution)

4. Continuity and Collaboration in the SCA Framework

12. Did your project or a policy initiative receive ENRTP funding prior to 2011?

(Yes /No)

13. Has your project or a related initiative received follow-on funding for a further project phase or related work through the ENRTP SCA or GPGC PCA?

(Yes /No)

14. Has the model of umbrella agreements with the EC contributed to improved predictability and continuity in funding? (Please select all that apply)

- The SCA approach resulted in longer term funding for the project / initiative
- The SCA model facilitated access to top-up funding
- The SCA model facilitated access to follow-on funding
- The SCA model facilitated longer term planning between the project implementer and the Commission
- There were no apparent benefits at the project level

15. Did the model of agreement contribute to better collaboration or synergies amongst projects and the SCA Partners (MEA Secretariats and UNEP)? (Please select all that apply)

- Yes, as a result of synchronisation of the application process
- Yes, as a result of contacts made/ knowledge shared through the Programme Steering Committee
- Yes, as a result of advice of the Programme Steering Committee (for example, merged projects)
- Yes, as a result of deliverables by other projects (facilities, knowledge products and so on)
- No, the collaboration and synergies would also have occurred outside the SCA framework
- No, we did not collaborate with other projects supported by the SCA

16. Did your project have an exit strategy or measures in place to ensure follow up? (Please select all that apply)

- The topic of the project remains a priority for my organisation (e.g. part of programme of work)
- The project had an immediate follow-on phase that has been funded by the European Commission
- The project had an immediate follow-on phase that was funded by other partners
- The initiative has been taken up by other actors
- There was no immediate need for follow-on activities

5. Financial Resources and Staffing

17. Where the financial resources available for your project sufficient?

– *More than sufficient – the project did not use of the funds available*
– *Sufficient*
– *Insufficient but complementary funds were raised from other sources*
– *Insufficient and we were not able to deliver all planned activities*

18. Were financial resources made available in a timely manner?

– All of the time
– Most of the time and delays did not significantly negatively affect planning and delivery
– Most of the time but delays had negative effects on planning and delivery
– Delays in financial resources seriously affected planning and delivery

19. Was information on available financial resources during the implementation period adequate and timely?

– *Information was adequate and timely*
– *Information was sufficient and did not affect project management*
– *Information was not sufficient, and this affected project management*

20. Were you able to mobilise anticipated cofinance in a timely manner?

– *Cofinance was mobilised and available as planned*
– *Cofinance was mobilised but with some delays*
– *Only part of the anticipated cofinance was mobilised*
– *Not applicable, we did not plan to mobilise any cofinance*

21. Please add any comments related to availability and management of financial resources

22. Was staffing adequate for delivery of the project?

(Yes/ Somewhat/ No)

23. Was project delivery affected by delays in recruitment (including after staff turnover)?

– *No*
– *Yes – at the start of the project*
– *Yes – as a result of staff turnover*
– *Not applicable – we did not hire additional staff or consultants for this project*

24. Please add any comments related to the above questions on staffing (e.g. how did you manage any shortfalls?)

6. SCA Coordination, monitoring and reporting

25. How was guidance related to concept submission and proposal development?
• Appropriateness
• Timeliness
• Clarity
(Not very satisfactory   /Somewhat satisfactory/Satisfactory)

26. How was guidance related to reporting?
• Timeliness
• Clarity
(Not very satisfactory   /Somewhat satisfactory/Satisfactory)

27. How was guidance related to project amendments and extensions?
• Timeliness
• Clarity
(Not very satisfactory   /Somewhat satisfactory/Satisfactory)

28. How responsive were the PMU and focal points to your queries and requests for information?
Timeliness
Clarity
(Not very satisfactory   /Somewhat satisfactory/Satisfactory)

29. Please add any comments related to guidance from and responsiveness of the PMU and focal points. (For example, did instructions and responsiveness improve over time?)

30. Were reporting and monitoring requirements proportionate and reasonable?

- Reporting level of detail
- Reporting Frequency
- Monitoring level of detail
- Monitoring Frequency

(Insufficient /About right /Excessive)

7. Communications and Visibility

31. Did your project develop a Communications and Visibility Plan?

(Yes/ No)

32. What measures did you take to disseminate information, concepts, approaches and tools generated by the SCA projects? (Please select all that apply)

- Technical papers, guidance notes and assessments
- Summaries for decision makers or other information notes
- Launches, presentations and side events at major environmental conferences
- Launches, presentations and side events at other international events
- Press releases
- E-modules and mass online open courses
- Webinars
- Organisation web site
- Dedicated website for the supported initiative (including clearing houses mechanisms and portals)
- Active engagement of appointed groups (e.g. committees, expert groups, nominated focal points)
- National level events
- Regional and International events

33. What measures did you take to ensure EU visibility as a donor and as a partner? (Please select all that apply)

- Acknowledgements in printed outputs
- Acknowledgments on website
- Acknowledgment at events (verbal or in related materials)
- Involvement of Commission staff in project governance (e.g. Steering Committee)

- Involvement of Commission staff in project activities
- Visible participation at Commission events (e.g. Green week, EU pavilions at events)
- Jointly organised events
- Other (please specify)

8. Wrapping Up

34. Are there any other issues that you would like to raise in the context of this evaluation?

Terminal Evaluation of the

EC DG Environment-UN Environment Strategic Cooperation Agreement

under the

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

Terms of Reference

Evaluation Office

November 2018

I.   Background

A.   The ENRTP

1. The European Union (EU), represented by the European Commission (EC), aims to address the needs of its Member States and the rest of the world and its activities are financed through seven-year Multiannual Financial Frameworks (MFFs). The external dimension of the EU's action, including its development cooperation, is implemented through a number of financial instruments operationalized through thematic and geographic programmes. The Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP) is one of these thematic programmes.

2. The ENRTP was established by the EU Regulation on a Development Cooperation Instrument (DCI)[58], which was adopted in January 2007. It sets aside an indicative amount of €804 million for the ENRTP for the period 2007-2013. The ENRTP **aims to support developing countries in ensuring environmental sustainability and meeting their obligations under multilateral agreements.** The programme covers all developing countries. Activities under the ENRTP focus on helping countries cope with climate change, supporting the sustainable management of natural resources and implement the international environmental dimension of the Europe 2020 Strategy[59]; they are clustered under three priority areas:

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

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

   - **Priority 3. Strengthening environment and climate governance, including mainstreaming:** The ENRTP is also a tool to promote the EU's environment and climate change objectives at a global level, with a view to: (1) Achieving EU leadership and effective implementation of external environment and climate policy; and (2) Mainstreaming environmental issues and promoting better governance and more transparency in the use of natural resources.

3. For the 2011-2013 period, the ENRTP had a budget of €517 million, distributed over Climate change and sustainable energy (46%), Environment for development (30%) and Strengthening environment and climate governance (24%).

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

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

4. The ENRTP is implemented through Annual Action Programmes based on the priorities identified in the Thematic Strategy Paper and Multi-Annual Indicative Programme MIP 2011-2013[60]. Annual Action Programmes include annexes describing the actions intended for EU support, as well as the beneficiaries in the case of targeted actions, In the case of actions to be implemented through calls for proposals, the guidelines for each call specify which entities are eligible for funding, depending on the objectives and geographic scope of the action. These entities/beneficiaries of EU funds are mainly international organisations, international NGOs, EU Member States' agencies; but also partner countries and regions, and their institutions; decentralised bodies in the partner countries (municipalities, provinces, departments and regions); joint bodies set up by the partner countries and regions with the Community.

B.   The UN Environment-EC partnership

1.   The Policy context

5. The European Commission and UN Environment entered into a more structured cooperation in September 2004 with the signature of a Memorandum of Understanding (MoU) whereby both parties agreed to consolidate, develop and intensify cooperation and increase its effectiveness to achieve goals and objectives in the field of environmental policy. A new MoU was signed in June 2014, and an Annex spelling out a range of concrete areas of common interest through to 2020 was agreed upon (27 April 2015).

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

7. Strategic Cooperation Agreements (SCAs) were signed between UN Environment and the EC in 2011 to support the work of UN Environment and UN Environment-administered Multilateral Environmental Agreements (€ 33,700,000 under the DG ENV SCA and € 33,000,000 under the DG DEVCO SCA). This cooperation is part of the EU ENRTP (2011-2013). A Programme Cooperation Agreement (PCA) between UN Environment and the EC was signed for the period of 2014-2020 under the Thematic Programme on Global Public Goods and Challenges (GPGC) (€ 37,140,000 under the DG ENV PCA). This evaluation focuses on the SCA with DG ENV.

2.   The programmatic cooperation under the ENRTP

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

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[60] https://ec.europa.eu/europeaid/sites/devco/files/enrtp-strategy-paper-2011-2013_en.pdf

9. In February 2011, the Commission and UN Environment issued a Joint Statement under the signed MoU reiterating their intention to develop a more strategic approach to collaboration. The statement identified potential areas for cooperation on the basis of institutional priorities namely, the EU's priorities on environment and sustainable development; UN Environment's priorities of work under its Medium-Term Strategy 2010-2013; and, the priorities of the MEAs for which UN Environment provides a Secretariat. The Statement envisaged development and signature of two Strategic Cooperation Agreements (SCAs) that would fully respect the respective priorities and decision-making authority of UN Environment and of each MEA for which UN Environment provides a Secretariat.

10. In December 2011, UN Environment signed one Strategic Cooperation Agreement (SCA) with the Commission's Directorate-General for Environment (DG ENV) and one with the Directorate-General for Development Cooperation (DG DEVCO). These were established to rationalise, simplify, and increase the policy coherence of the programmatic cooperation between the Commission, UN Environment and MEAs. The two SCAs were expected to be complementary:

    - The UN Environment-DG DEVCO SCA would support developing countries and regions in improving environmental protection and combating climate change while contributing to poverty alleviation.

    - The UN Environment-DG ENV SCA would support work at multilateral/global level (e.g. tools, guidelines, trainings, workshops) related to environmental governance within multilateral processes and agreements that benefit developing countries.

3. DG ENV-UN Environment SCA objectives and expected results

11. The general objective of the **DG ENV – UN Environment SCA** is "*To contribute to global environmental sustainability and in particular to achieve the Millennium Development Goals by promoting: (i) global environmental sustainability knowledge, tools and capacity building, including on halting the loss of biodiversity, fostering greener growth, protection of human health and the environment from hazardous substances as well as transparency and efficiency of natural resources management; and (ii) strong international environmental governance, through support to the work of UNEP and MEAs*" (Table 1).

12. The specific objectives of the DG ENV – UN Environment SCA under the ENRTP are to; (i) "Develop methodological and governance tools appropriate to developing countries"; (ii) "Support the preparation and the follow-up of major international environmental processes to which UNEP contributes"; and (iii) "Promote better implementation of and compliance with MEAs for which UNEP provides the secretariat".

13. The SCA is structured around five Expected Results (ERs), all five of which contribute to ENRTP Priority 3.1 (see paragraph 2 above):

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

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

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

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

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

Table 1. DG Environment – UN Environment SCA under ENRTP; provisional logical framework

	Intervention Logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall objective	To contribute to global environmental sustainability and in particular to achieving the Millennium Development Goals by promoting global environmental sustainability (incl. halting the loss of biodiversity, fostering greener growth, protecting human health and the environment from hazardous substances as well transparency and efficiency of natural resource management) and promoting strong international environmental governance, through a support to UNEP and MEAs work.			
Specific objective	To develop methodological and governance tools, support the major international environmental processes and promote better implementation of and compliance with MEAs for which UNEP provides the Secretariat.	- Nb of countries participating and implementing MEAs - Outputs of international negotiations and processes	UNEP narrative and financial reporting, knowledge products, national/regional strategies and capacities	
Expected results	1. Strengthened international environmental governance, including increased synergies and coherence in international decision-making processes related to global environment processes. 2. Enhanced implementation of and compliance with MEAs. 3. Strengthened capacities of developing	- Nb of knowledge products - Nb of capacity-building activities - Nb of knowledge products - Nb of countries participating to environmental negotiations - Nb of countries implementing MEAs	- UNEP and conventions annual reports - Project/programme report - Knowledge products/publications - Training material - International environmental negotiations outputs	- No major crisis affects global efforts towards sustainable development; - No major environmental/climate crisis is worsening the present trends;

	Intervention Logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
	countries for international environmental negotiations and improved access to information on progress in different international processes.			
	4. Enhanced global and regional environmental monitoring and assessment for policymaking.			
	5. Enhanced visibility and coherence of European Commission and UNEP cooperation in the field of global environment protection.			
Activities	*To be defined according to programme/projects selected.*	*Means* *To be defined according to programme/projects selected.*	*Costs* *Overall budget: 15.200.000 Euros See budget/trust fund template for details.*	- Climate change and environment becomes a priority for partners, both at country and regional levels - International environmental negotiations move forward a… (*text missing*) - Environment and climate change become a national, regional and global priority for action - No major socio-economic, political or military crisis is affecting public and private sector possible efforts to a more sustainable development - Rio+20 is fostering a positive and accelerated dynamic and interest towards sustainable development - UNEP experiences strong support at global level - UNEP benefits from a strong support from the EU institutions at global, regional and country levels, for strengthened coordination

Source: DG Environment – UN Environment SCA under ENRTP

4. Project Portfolio

14. The DG ENV - UN Environment SCA outlined the nature of the main activities UN Environment was expected to work on, including 1) catalysing and promoting international cooperation and action; 2) providing early warning and policy advice based on sound science; 3) facilitating the development, implementation and evolution of norms and standards; 4) supporting the development of international policy and law as well as methodological tools for developing countries; 5) developing coherent interlinkages among international environmental conventions; and 6) delivering technology support and capacity-building services in line with developing countries' priorities. The SCA also stated that "of paramount importance will be UNEP's work with the secretariats of the MEAs to help them support developing countries to better implement their related objectives and commitments" (See Annex II for a more detailed list of actions and Annex III for the list of projects).

15. Forty-six (46) projects were approved for funding under the SCA including 25 allocated to UN Environment (Table 2) and 21 to MEA Secretariats (Table 3)[61]. According to project status in October 2018, the total allocated amount to the project portfolio was EUR 33,424,703 and in addition, EUR 739,727 was allocated to programme management, evaluation and visibility costs, bringing the total allocated amount to EUR 34,164,428[62]. The average cost of the projects under the DG ENV - UN Environment SCA was EUR 0.73 million. UN Environment projects under this SCA were implemented by Ecosystems Division, Science Division, Economy Division and Law Division. Under the UN Environment Programme of Work, the projects belong in decreasing order of funding volume to the Resource Efficiency, Environmental Governance, Chemicals and Waste and Ecosystem Management Sub-programmes. MEA projects are implemented by the Secretariats of BRS, CBD, CITES, CMS, Cartagena, Minamata and Ozone Conventions and the MAP. If they were to be classified under the thematic areas that align with UN Environment Sub-programmes, they would belong to Ecosystem Management and Chemicals and Waste Sub-programmes in decreasing order of funding volume.

Table 2. Number of UN Environment implemented projects with total EC funding by UN Environment Sub-programme

UN Environment Sub-programme	Number of projects	Total EC funding (*EUR*)
Ecosystem Management	4	2,121,138
Resource Efficiency	8	10,455,000
Chemicals and Waste	5	2,300,001
Environmental Governance	6	3,500,000
Secretariat of the Governing Bodies	2	688,596

Table 3. Number of MEA Secretariat implemented projects with total EC funding

MEA	Number of projects	Total EC funding (*EUR*)
CMS	4	851,676
CITES	2	2,680,000
MAP	1	1,716,000
CBD	4	2,941,262

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[61] 43 original projects plus four projects funded from savings. Major part of unspent balance was reprogrammed in August 2018.

[62] This describes the allocated amounts only and includes some level of double-counting due to re-allocation of unspent balances.

MEA	Number of projects	Total EC funding (*EUR*)
Cartagena	1	88,855
Minamata Convention	1	1,000,000
Basel Convention	2	1,167,949
Rotterdam Convention	2	1,476,065
Stockholm Convention	2	1,674,863
Chemicals Synergies	2	751,894
Ozone Secretariat	1	200,000

5. Timing and finances

16. The implementation period for the DG ENV - UN Environment SCA is from 16 September 2011 to 31 December 2018[63]. The total envisaged cost of the action in 2011 was EUR 17,300,000 with an initial EU contribution of EUR 15,200,000 (Table 4). There have been two riders or addenda to the SCA, the first one signed in December 2012 for EUR 11,000,000 and the second in November 2013 for EUR 7,500,000, increasing the EU contribution to EUR 33,700,000 and the total cost of the Action to EUR 38,735,632. The second addendum also included a revised description of the action.

17. The SCA falls under the EU's Multiannual Financial Framework for 2007-2013, whereby funding is released over a maximum of three consecutive years (between 2011 and 2013). The ENRTP under the SCA between DG ENV and UN Environment provided funding in three envelopes[64] or "commitments" (in 2011, 2012 and 2013).

Table 4. EU and UN Environment contributions to the SCA between DG Environment and UN Environment

	EU Contribution (EUR	UN Environment Contribution (EUR)	Total Cost (EUR)
Contracted amount 2011	15 200 000	2 060 485	17 260 485
Replenishment 2012 rider 1	11 000 000	1 587 267	12 587 267
Replenishment 2013 rider 2	7 500 000	1 387 880	8 887 880
DG Environment SCA Total	**33 700 000**	**5 035 632**	**38 735 632**

Source: Assessment of the model of cooperation under the ENRTP SCAs and PCA

6. Governance arrangements

18. The main governance and coordination structures of the DG ENV – UN Environment SCA are the **Programme Steering Committee (PSC)** and the **joint Programme Management Unit (PMU)**.

19. The PSC is responsible for overall guidance and the management of the SCA. It is co-chaired by the EC and UN Environment and expected to meet at least once a year. The co-chairs being the Head of Unit F.3 Multilateral Environmental Cooperation for EC Directorate General Environment

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

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

(ENV)[65]; Head of Unit C.2 Environment, Natural Resources and Water for EC Directorate General International Cooperation and Development (DEVCO), and the Director of Corporate Services Division[66] of UN Environment. The PSC is responsible for directing the SCA, project screening and selection and overseeing reporting and follow-up. During the three-month inception phase of the SCA it was also responsible for refining the SCA governance mechanisms.

20. The joint PMU serves as the coordination unit for the SCA and as Secretariat for the PSC. Its members first included a PMU Coordinator, a Resource Mobilization Programme Officer and a Financial Officer recruited by UN Environment as well as an EC Focal Points from DG ENV and DG DEVCO. The UN Environment side of the PMU was later adjusted to include the PMU Coordinator and Programme Officer in Brussels, and a Fund Management Officer and a Finance Assistant in Nairobi. The overall role of the joint PMU is to coordinate the establishment and the submission of lists of projects and projects concepts based on priorities jointly identified by the EC, UN Environment and the MEA Secretariats for selection by the PSC, and more generally to ensure the coordination, administration, visibility, reporting, and monitoring of the SCA and support to evaluation.

21. The SCA governance structure including rules and procedures for project preparation, selection and implementation was outlined in the SCA. The DG DEVCO – UN Environment SCA budget was to cover the costs of operations for the joint PMU and PSC for a period of nine years while the DG ENV – UN Environment SCA budget was to only cover four years.

7.   Main UN Environment Partners and Stakeholders

22. The DG ENV – UN Environment SCA under ENRTP states that "*UNEP will pursue the enhanced delivery of the actions under the ENRTP priorities thorough a number of processes and partnerships and by mobilizing a full range of stakeholders and partners, building on their respective resources, expertise and comparative advantages*". The identified stakeholder groups included;

- Governments and related public institutions;

- UN Agencies (such as UNDP, FAO, ILO, WMO, WHO, UNITAR and UNIDO) the European Environment Agency (EEA) as well as the World Bank, the Global Environment Facility (GEF) and bilateral aid agencies;

- Scientific communities, including research centres and academia;

- Private sector and civil society (including major groups and stakeholders).

II.   The Evaluation

A.   Scope and Objectives of the Evaluation

23. The Evaluation of the DG ENV - UN Environment Strategic Cooperation Agreement under the EU's ENRTP aims at assessing the relevance and overall performance of the project portfolio implemented by UN Environment and the MEAs for which UN Environment hosts the Secretariats up to the closure of the SCA, 31 December 2018. The Evaluation will assess standard evaluation criteria (relevance, efficiency, effectiveness, sustainability and impact). The evaluation has a dual purpose: i) providing a basis for accountability on UN Environment and MEA Secretariat performance

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[65] From October 2018, the cooperation is managed by Unit F.2. Bilateral and Regional Environmental Cooperation in DG ENV.

[66] Formerly the Chief of the Office of Operations

towards the EU Member States; and ii) drawing lessons from experience for project improvement and future cooperation between UN Environment and the EC. The scope of the Evaluation is defined by the portfolio of 46 projects that have been approved under the DG ENV SCA and will look at their performance up to 31 December 2018.

24. The Evaluation will attempt to answer the following key questions:

- Has the adoption of the Strategic Cooperation Agreement promoted the achievement of the environmental policy objectives shared by the EC, UN Environment and the Secretariats of UN Environment administered MEAs?

- To what extent has the SCA promoted a more strategic and stronger coordination and collaboration between UN Environment and the Secretariats of UN Environment administered MEAs?

- Has the process of identifying and selecting projects been optimal for the achievement of higher-level results and objectives of the EC, UN Environment and the Secretariats of UN Environment administered MEAs?

- To what extent have the activities selected and implemented at multilateral level been ultimately beneficial both for global environment protection and for sustainable development in developing countries?

- To what extent have UN Environment and the Secretariats of UN Environment administered MEAs been able to promote the visibility of the EU (as a donor), and of their partnership with the EC to address international environmental challenges?

- To what extent have the projects implemented by UN Environment and the Secretariats of UN Environment administered MEAs been in line with the financial and project management standards of the EC and UN Environment?

- To what extent has the EU contribution from the SCA helped UN Environment / MEAs leverage additional funds to support their agreed programme of work and sustain their activities?

B.   Evaluation Audience

25. The Evaluation is expected to help the EC, UN Environment and involved MEA Secretariats to identify key lessons that will provide a useful basis for improved cooperation and coordination between EC, UN Environment and the UN Environment administered MEAs for improved delivery against the jointly shared objectives.

26. The main users of the Evaluation include the European Commission, UN Environment Senior Management, MEA Secretariats, UN Environment Sub-programme Coordinators and all UN Environment / MEA units and staff involved in the DG ENV SCA projects.

C.   Evaluation approach and methods

27. The Evaluation will be an in-depth study using a participatory approach whereby the PSC, PMU, MEA Secretariats, Sub-Programme Coordinators, Division Directors, Regional Directors and other relevant staff are kept informed and regularly consulted throughout the process.

28. The Evaluation will remain an independent exercise. The Evaluation Team will benefit from the leadership and contribution of independent consultants, who will liaise with the Evaluation Office and the PMU on any logistic and/or methodological issue to properly conduct the assessment in an as independent way as possible, given the circumstances and resources provided.

29. Evaluation findings and judgments will be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (*i.e.* verified from different sources) to the greatest extent possible[67]. Analysis leading to evaluative judgments will be clearly spelled out.

30. Broadly, the Evaluation will follow three lines of inquiry to provide a holistic review combining both 'bottom-up' (*i.e.* aggregating project-level findings) and 'top-down' (*i.e.* analysing the evidence informing results reporting in Strategic Performance Overview Reports (SPOR), four-monthly Traffic Light System (QTLS) reports[68], project progress reports etc.) perspectives.

    1)   **Exploration of Theory of Change**: The Evaluation will attempt to reconstruct a Theory of Change of the SCA in order to explore how projects are expected to have a collective or aggregated effect to the jointly owned higher level results, at the level of the SCA and at the level Programme of Work (Expected Accomplishments and Programme of Work Outputs) and MEA results. This analysis will focus heavily on the effectiveness and sustainability of the efforts. Results reported in the SPOR, QTLS, UN Environment Programme Performance Reports, project progress reports, PIMS and other sources will be analysed and aggregated, supported by other information sources;

    2)   **Project case studies**: During the Inception Phase of the Evaluation, projects that either exemplify the SCA strategy or a group of projects that represent the different thematic areas funded, will be identified and assessed in greater detail as 'case studies' (if not covered by an ongoing/completed evaluation) against the standard evaluation criteria. These case studies will be used to draw common findings at the overall level of the SCA;

    3)   **Project evaluations/reviews:** A desk-based review of the evaluation/review findings of the projects funded under the SCA will be conducted. The review will provide findings against standard evaluation criteria and identify and discuss factors contributing to particularly high or low performance. It will include an assessment of the sample of project evaluations/reviews in terms of how they represent the SCA as a whole.

31. The Evaluation will use different methods and tools (Table 5) to assess the SCA, including: desk-based review of UN Environment, MEA and EC strategic documents; meta-analysis of previously evaluated projects; case studies of the selected SCA projects not evaluated previously and evaluation interviews and focus group discussions. Survey(s) may be used if appropriate.

Table 5. Description of evaluation methods

Type of Activity	Description
Desk based review	Thematic and strategic documents to situate the SCA and the project portfolio within global and sectoral contexts and to articulate the position and efforts of the EC, UN Environment and the concerned MEAs.
In-person and online Interviews / Surveys	Exploration and analysis of the performance of the SCA and its project portfolio. Assessment of factors affecting the delivery of the SCA and its projects.
Review of findings from project evaluations/reviews	Analysis of evaluation findings of SCA projects against the standard evaluation criteria used by the Evaluation Office. • Strategic Relevance • Achievement of Outputs • Effectiveness (Achievement of Project Objectives and Results) • Sustainability and Replication • Efficiency • Financial and human resources management

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[67] Individuals will not be mentioned by name if anonymity needs to be preserved.
[68] Were quarterly reports until 2015.

Type of Activity	Description
	• Factors Affecting Performance In-depth exploration of key criteria including: • Project Designs[69] • Gender Equality • Financial Management • Monitoring and Evaluation • Compliance with evaluation recommendations Analysis of this sample of project evaluations as a representation of the SCA itself (*i.e.* magnitude and nature of the evaluation coverage of the SCA).
Reconstructed Theory of Change and project case studies	Analysis of the coherence between the reconstructed Theory of Change of the SCA and the ToCs of the case study projects within the SCA. Analysis of the contribution made by the case study projects to the higher-level results described in the SCA. Analysis of the case study projects against the standard evaluation criteria.

32. The desk review will include:

- Relevant background documentation on the ENRTP, the EC-UN Environment ENRTP SCAs, UN Environment policies and strategies, the MEAs, the global environmental challenges addressed by the SCA expected results and EU policies and action plans such as the EU Wildlife Action Plan, the EU Circular Economy Action Plan, the Agenda for Change and the EU 7th Environment Action Programme;

- Background documentation on the strategy and engagement of UN Environment and MEAs in the SCA, including: relevant UN Environment Governing Council/UNEA resolutions, MTS 2010-2013, 2014-2017 and 2018-2021 and the respective PoW and Programme Framework documents, relevant resolutions and strategy documents of the MEAs, and project design documents;

- Background documentation on UN Environment partnerships with key actors delivering against the SCA;

- Documentation related to the key deliverables of the SCA;

- Minutes of PSC and co-chairs meetings; and

- SCA reports and monitoring data including: SPORs, QTLS reports, project progress and final reports, evaluation reports, financial reports, entries into PIMS, etc.

33. Interviews are expected to be held with members of the DG Environment, PSC members, staff at PMU, management at UN Environment and the MEAs and other staff involved in the planning and implementation of the SCA projects. In addition, interviews and, if appropriate, surveys will be conducted with key partners and stakeholders, including selected representatives of UN and other external partners.

34. Visits are expected to Brussels and Nairobi. Visits to other UN Environment offices and MEA Secretariats or other relevant institutions will be considered during the evaluation inception phase.

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[69] Using the Evaluation Office template for the Assessment of the Quality of Project Design, which is prepared during all project evaluations.

35. To the extent possible, the evaluation of the SCA will make use of evaluations conducted of projects under the SCA portfolio. Out of the 23 25 projects implemented by UN Environment, 12 projects have been evaluated either as a stand-alone evaluations or more commonly, as a component of a larger project entity. The inception phase of this DG ENV Evaluation will examine the extent to which the MEA implemented projects have been evaluated. Where possible, the review of previous evaluations of projects related to the SCA will be founded on the analysis contained within existing project evaluation reports. Evaluations by the UN Environment Evaluation Office but also by the independent evaluation functions of UN Environment partners (UN and non-UN) and donors will be considered.

D.   Evaluation Areas of Focus

1.   Strategic Relevance

36. The Evaluation will identify what the common priorities of the EC and UN Environment (including MEAs) are and whether these have been well defined. The Evaluation will assess the relevance of the SCA objectives and strategy in the context of the EC, UN Environment and MEA priorities, mandate of UN Environment and the global environmental challenges including the SDGs[70]. The analysis will address the main question of whether the SCA objectives and the project portfolio are relevant to, and aligned with: a) the global environmental challenges, b) global, regional and country needs, c) the international response and d) UN Environment's and MEA Secretariats' programme of work, evolving mandate and capacity in this area? The Evaluation will also consider the adequacy and appropriateness of the geographical scope of the SCA and the strategy behind this selection.

2.   Design and Structure

37. The Evaluation will assess the extent to which the overall performance of the SCA has been affected (in terms of effectiveness and efficiency) by the way it is designed and structured. The Evaluation will consider the internal coherence and logic between the SCA projects. The evaluation will consider whether the SCA has helped the EC, UN Environment and MEA Secretariats to better respond to their common priorities and to work in a coordinated manner and if the funded project portfolio has been conductive in this regard. With reference to the Theory of Change for the SCA the evaluation will attempt to assess the extent to which the intermediate states, drivers and assumptions underlying the SCA change process have been well thought through and articulated.

3.   Overall Performance

38. The Evaluation will, wherever possible, assess the effectiveness, likelihood of impact, sustainability of results, efficiency, and potential for large-scale effects of the SCA.

39. In terms of effectiveness, the Evaluation will assess the extent to which SCA projects have delivered the designed outputs, achieved the outcomes and contributed to the higher-level results identified by the SCA. The Evaluation will assess the likelihood that results achieved under the SCA either have, or will in the future, contribute to long-term impact on environmental benefits and sustainable development in particular for developing countries.

40. The Evaluation will also identify and assess key conditions and factors that have contributed to, or constrained, sustainability of results, *i.e.* the persistence of benefits resulting from the implementation of SCA activities. Some of these factors might have stemmed from the activities' design and/or been direct outcomes of the projects (*e.g.* stronger institutional capacities or better-

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[70] Acknowledging that the SDGs were adopted in 2016.

informed decision-making). Contextual circumstances or developments still relevant to the sustainability of outcomes will also be considered.

41. The Evaluation will assess efficiency in terms of cost-effectiveness and timeliness of delivery. It will describe any cost- or time-saving measures taken to bring the activities to a successful implementation within the programmed time and budget. The Evaluation will analyse how delays, if any, have affected the execution and the costs of activities. The Evaluation will give special attention to efforts to make use of pre-existing methods and data sources, as well as to exploit complementarities and synergies between related internal and external initiatives.

42. Particular attention will be given to the approach taken within the SCA project portfolio to replication, scaling-up and the achievement of catalytic effects. All of these relate to the maximisation of effectiveness (*i.e.* instances of positive results being multiplied). The Evaluation will consider the extent to which the work of UN Environment and MEA Secretariats has facilitated the creation of an enabling environment where key stakeholders are involved, and it has significantly invested in targeted communication/awareness for the reproduction of pilot and innovative activities. The Evaluation will look at different factors which facilitate replicability, up-scaling and catalytic effects.

43. The evaluation will assess the overall performance of the SCA through three main sources for evidence:

> a) An analysis of the Theory of Change and the results reported in the SPORs, Programme Performance Reports, project progress reports, PIMS and other sources;

> c) Analysis of the findings of the project-level evaluations undertaken during the evaluation period.

> b) Case studies of projects. Performance of the case study projects will be assessed based on document review, interviews and surveys as required.

4. *Human and Financial Resources Administration and Efficiency*

44. The Evaluation will consider the adequacy of human and financial resources available for the administration of the ENRTP SCA and for designing and implementing envisaged activities, the financial management and adherence to financial management standards, and the link between financial and project management and overall coordination of the SCA. The Evaluation will assess, among other things:

- *Financial Resources:* the distribution of funding for portfolio projects and the adequacy and stability of the funding base for the achievement of SCA objectives; adequacy of the programme management budget; mobilization of UN Environment co-financing to the SCA; allocation of funds and expenditure rate by the portfolio projects; coherence of the SCA funding modality and UN Environment and MEA Secretariat planning and implementation processes.

- *Financial Management and Administration:* the quality, transparency, effectiveness and efficiency of the systems and processes used for financial management and reporting, including for the programme management costs; the link between financial and programme management and the degree of financial responsibility of staff and any other administrative processes facilitating or inhibiting the fluid execution of SCA activities, including the use of project extensions and the promotion of synergies.

- *Human Resources*: the adequacy in terms of number and competencies of staff managing the SCA and the projects; personnel turn-over rates and the balance between continuity and new staff; the ability of managers to plan, coordinate and delegate work, communicate effectively,

motivate and reward staff; factors influencing the morale of staff and the degree of satisfaction in the management of their daily activities and working in teams with colleagues from other functional units in UN Environment and with partners;

5. Factors Affecting Performance

a) Organization, Management and Oversight

45. The Evaluation will look at the efficiency and effectiveness of the organization, management and oversight arrangements of the SCA and project portfolio. The Evaluation will consider the clarity of SCA structures, rules and procedures. The Evaluation will consider the extent to which these structures, rules and procedures, such as programmatic and funding cycles, project identification, selection and extension processes, management and supervision arrangements for the projects etc., are conductive towards the achievement of the planned results. The Evaluation will consider whether lessons can be derived from the experiences of different individuals involved.

b) Cooperation and Partnerships

46. The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation within the SCA project portfolio and with other UN Environment and MEA programmes, projects external stakeholders and partners. The Evaluation will explore the role of stakeholders and partners in project planning and delivery, collaboration between different functional units of UN Environment, MEA Secretariats and partners, the level of involvement of UN Environment Regional Offices in the planning and implementation of projects, and complementarities with other UN Environment and MEA initiatives. Positive examples of collaboration and the resulting benefits will be recorded where possible.

c) Monitoring and Reporting

47. The Evaluation will assess how well SCA activities and achievements have been monitored, reported and evaluated. This will include a review of whether there is a clear definition of roles and responsibilities for data collection, analysis and information-sharing as well as adequate resources to support these functions.

- *Monitoring:* The evaluation will consider whether an effective monitoring system is in place that ensures that monitoring data are captured at appropriate levels and used to enhance SCA project portfolio performance.

- *Reporting:* The arrangements for reporting, both at SCA and project levels, in ways that support the accurate and reliable reporting of results will be reviewed. With regard to projects within the SCA portfolio the evaluation will consider how well results are captured and aggregated. The quality, comprehensiveness and regularity of reporting on outputs, outcomes and impact will be assessed as well as whether quality assurance processes are in place to ensure the reliability and accuracy of reporting at the higher results levels.

- *Evaluation:* The extent to which activities are structured in a way that facilitates evaluation and have been independently evaluated will be examined. The evaluation will also assess whether adequate resources are routinely allocated to this purpose and secured until the end of the evaluation process.

d) Human Rights and Gender

48. The evaluation will ascertain to what extent the SCA and project portfolio has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the SCA and project portfolio adheres to UN Environment's Policy and Strategy for

Gender Equality and the Environment, including the incorporation of gender-related issues into the design and delivery of outputs. The evaluation should present the extent to which the SCA and its projects, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equity and Human Rights are adequately taken into account.

e) *Communication and visibility*

49. The evaluation will assess the adequacy of the communication plan and resources and priority afforded to its implementation. The evaluation will assess the effectiveness of communication between the PSC, PMU, units responsible for the implementation of the project portfolio, and UN Environment and MEA Secretariat management. It will also assess the extent to which clear communication was established with partners and donors, with a view to assessing the extent to which communication has been contributing to the effective implementation of the SCA, establishment of synergies and limitation of duplication of efforts. For example, the evaluation may consider whether activities related to communication and knowledge management are planned and whether adequate effort has been given to follow-up and dissemination of information, concepts, approaches and tools generated by the SCA projects. The evaluation will also consider efforts to communicate with external audiences as part of an outreach strategy in order to exert influence and support advocacy efforts in the relevant sectors.

E.   Evaluation Deliverables

50. An **Inception Report** will be prepared by the Evaluation Team before it engages in external interviews, surveys and possible project visits. The Inception Report will include: (i) most of the background desk review; (ii) a draft Theory of Change of the SCA (iii) a detailed description of the methods and analytical tools that the Evaluation will use; (iv) an annotated table of contents for the evaluation report; and (v) distribution of roles and responsibilities related to data collection and analysis and reporting among the Evaluation Team members. The Inception Report will be shared first with the Evaluation Office for review. Once Evaluation Office comments have been addressed in a satisfactory manner, the Inception Report will then be shared by the Evaluation Office with the PMU for comments.

51. Following completion of majority of interviews, surveys and possible visits, **Preliminary Findings** will be prepared in PowerPoint and presented to the key stakeholders through a video conference.

52. The **Main Evaluation Report** will present synthesised findings from the Evaluation. Detailed material arising from the case studies will be annexed. It will be relatively brief (approximately 50 pages – excluding the executive summary and annexes), to the point and written in plain English. It must explain the purpose of the Evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings covering all the evaluation criteria, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible.

53. The draft report shall be submitted to the Evaluation Manager who will share the draft with the Director of the Evaluation Office. The Evaluation Office will review the report for clarity and comprehensiveness. When found acceptable, the Director of the Evaluation Office will share the report with the PMU, who will review the report and provide feedback on any factual errors. Once these have been addressed by the Evaluation Team, the report will be circulated to PSC members, UN Environment Division Directors, MEA Executive Secretaries and key individuals interviewed for the evaluation for review and consultation. They may provide feedback on any errors of fact and highlight the significance of such errors in any conclusions. The Evaluation Office will then collate all review comments and provide them to the Evaluation Team for consideration in preparing the

final version of the report. The Evaluation Team will draft a response to any comments that contradict its own findings and could therefore not be accommodated in the final report. This response will be shared by the Evaluation Office with the interested stakeholders to ensure full transparency.

54. The final report shall be submitted to the Director of the Evaluation Office. The final evaluation report will be widely shared with partners and stakeholders. Innovative ways of disseminating evaluation findings and recommendations (*e.g.* the organization of a workshop where the Evaluation Team illustrates the content of its analysis to UN Environment target audience) will be sought to reach as wide a range of stakeholders as possible. The final evaluation report will be published on the UN Environment web-site www.unenvironment.org and may be printed in hard copy.

55. Consistent with standard Quality Assurance processes, the Evaluation Office will prepare quality assessments of the draft and final reports, which are tools for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report will be assessed by the Evaluation Office and rated against UN Environment criteria.

F. Evaluation Recommendations

56. The UN Environment PMU, assisted by the Evaluation Office, will facilitate the preparation of a Recommendations Implementation Plan in consultation with DG Environment and relevant offices and functional units in UN Environment and MEA Secretariats as required. The plan should specify the level of priority of the recommendations and actions to be undertaken to implement them. It should also indicate who would be responsible for implementing the recommendations and what the schedule for their implementation would be. The PMU will then be responsible for reporting through the Evaluation Office to the PSC on the status of implementations of evaluation recommendations on a six-monthly basis, until the latest deadline in the implementation schedule has been reached.

G. Management Arrangements of the Evaluation

57. The Evaluation will be managed by the Evaluation Office of UN Environment. The Evaluation Manager at the Evaluation Office will provide guidance on the overall evaluation approach and quality assure the evaluation deliverables. (S)he will ensure coordination and liaison with all concerned units and other key agencies and stakeholders. The Evaluation Office will be ultimately responsible for the final evaluation report and for its formal presentation to the UN Environment audience.

58. The Evaluation will remain an independent exercise. The Evaluation Team will consist of three external Evaluation Consultants. The Evaluation Team will be responsible for the development, research, drafting and finalization of the Evaluation Report, in close consultation with the Evaluation Manager. The Evaluation Consultants will jointly prepare the evaluation approach, draft the Inception Report and draft the Main Evaluation Report. Detailed roles and responsibilities related to data collection and analysis and reporting will be agreed upon within the Team and specified in the Inception Report. Broadly, the main roles will be as follows:

Responsibilities for Team Leader: The Team Leader will be responsible, in close consultation with the Evaluation Manager, for overall management of the evaluation and timely delivery of its outputs, described above in Section *Evaluation Deliverables*.

Responsibilities for the Supporting Consultants: The Supporting Consultants will make substantive and high quality contributions to the evaluation process and outputs. The Supporting Consultants will, together with the Team Leader, ensure that all evaluation criteria and questions are adequately covered.

The Evaluation Team will jointly undertake the following duties:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews;
- draft the reconstructed Theory of Change of the SCA;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with stakeholders as broadly defined in these ToR;
- (where appropriate and agreed) conduct an evaluation mission(s) to selected locations. Ensure independence of the evaluation and confidentiality of evaluation interviews.
- Prepare case studies of selected projects;
- Review and summarize findings from completed evaluations;
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the PMU informed of the evaluation progress and engage the key stakeholders in discussions on emerging findings throughout the evaluation process.
- Present preliminary findings to key stakeholders.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager;
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultants and indicating the reason for the rejection; and
- prepare a summary of the key evaluation findings and lessons;
- Present evaluation findings to key stakeholders.

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

59. The Lead Evaluation Consultant will have a minimum of 15 years of relevant work experience in the field of environment and evaluation, and an in-depth understanding of, and familiarity with, evaluation methods and techniques and documented experience in conducting high-level evaluations of large environment-related multi-partner programmes. She/he will possess excellent writing skills in English and ability to coordinate and manage the work of a team. She/he will have advanced knowledge and experience in the following fields:

- The UN system, in particular UN Environment and the MEAs for which UN Environment hosts the Secretariats;
- Programme and project design and management;
- Partnerships development and knowledge management;
- Evaluation of EU funded projects and programmes.

60. The Supporting Evaluation Consultants will have a minimum of 10 years of relevant work experience in the field of environment and evaluation, and an in-depth understanding of, and familiarity with, evaluation methods and techniques and documented experience in conducting high-level evaluations of large environment-related multi-partner programmes. They will possess excellent writing skills in English. They will combine advanced knowledge and experience in the following fields:

- The UN system, in particular UN Environment and the MEAs for which UN Environment hosts the Secretariats;
- Programme and project design and management;
- Partnerships development and knowledge management;
- Previous experience of evaluating EU funded projects and programmes would be an asset.

61. The Evaluation will be conducted during the period November 2018 – August 2019. The Evaluation Office will present a first draft evaluation report tentatively by the end of June 2019 to the PMU. In August 2019 (tentative date) a completion workshop will be held to discuss evaluation findings and recommendations with key stakeholders. Publication of the final evaluation report is also expected by August 2019. The report will be discussed with the PSC, UN Environment's Senior Management Team and MEA Secretariats. The tentative schedule for the Evaluation is presented in Annex I.

62. The Evaluation Team Leader will be hired for the period 1 January 31 August 2019. The first Supporting Consultant will be hired for the period 1 January 30 June 2019, and the second Supporting Consultant will be hired for the period 1 February 31 August. All consultant contracts will be individual Special Service Agreements (SSA) on a fee-only basis. Air tickets will be purchased by UN Environment and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Office and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion. By signing the service contract with UN Environment/UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

63. **Payment schedule**: The Evaluation Consultants will receive 30% of their agreed fee upon Evaluation Office acceptance of the Inception Report; 40% upon Evaluation Office acceptance of a draft main report; and 30% upon satisfactory completion of the work.

64. In case the consultants are not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UN Environment Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UN Environment's quality standards. The Team Leader will advise the Evaluation Office whether the Supporting Consultant has provided satisfactory inputs in the evaluation.

65. If the consultants fail to submit satisfactory products in a timely manner, the Evaluation Office reserves the right to employ additional human resources to finalize their products on schedule, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

ANNEX I TENTATIVE SCHEDULE OF THE EVALUATION

Phase	Milestone/deliverable	Timeframe
Inception	Evaluation Terms of Reference finalized	November 2018
	Evaluation Team contracted	January 2019
	Inception Workshop (Brussels)	February 2019
	Inception Report completed	March 2019
Data collection & analysis	Further desk review of documents	March-May 2019
	Telephone interviews	March-May 2019
	Evaluation visits	March-May 2019
	Surveys	March-May 2019
	Preparation of case studies	March-May 2019
Reporting Phase	Draft Evaluation Report delivered to Evaluation Office	June 2019
	Draft Report shared with the Evaluation Reference Group	June 2019
	Draft Report shared with partners	July 2019
	Completion Workshop (Brussels)	July 2019
	Final Report delivered to the Evaluation Office	August 2019
	Final report published	August 2019
	Recommendation implementation plan shared	August 2019

ANNEX II SCA ENVISAGED TYPES OF ACTIONS/PROJECTS TO BE FUNDED

The following types of individual actions/projects were envisaged in the SCA

- Encourage synergies between both UNEP and MEAs for which it provides the secretariat and between related MEAs with a special focus on chemicals/waste (Basel. Rotterdam, Stockholm Conventions, Montreal Protocol) and biodiversity clusters (CBD and CITES Conventions, CMS/AEWA);

- Support the preparation and follow-up of the UN Conference on Sustainable Development (in 2012) at policy and institutional level. UNEP is expected to play a significant role in providing analytical contributions and follow-up on topics related to green economy, resource efficiency and international environmental governance in the context of Institutional Governance for Sustainable Development for the conference (e.g. UNEP International Resource Panel, support to the 10 Years Framework of Programmes on Sustainable Consumption and Production, support to the creation of markets for eco-innovation);

- Strengthen the science-policy interface for biodiversity through support to the work of the intergovernmental science-policy Platform on Biodiversity and Ecosystem Services (IPBES);

- Support to policy and analytical work related to Green Economy;

- Support to implementation, policy and analytical work related to the sound management of chemicals and waste within a life cycle approach, through inter alia: capacity building, data collection and harmonization, mainstreaming chemical management into development agendas, implementation of agreed international chemicals and waste management regimes, examination of potential of broader international legal instruments and structures beyond 2020;

- Fund developing countries' (in particular the least developed and small island States) and countries with economies in transition participation in MEAs meetings and international negotiations processes;

- Support MEAs' agreed work programmes (by COP Decisions) funded under their voluntary budgets (e.g. CITES, CBD, Basel, Rotterdam and Stockholm Conventions, CME-AEWA, Technology and Economic Assessment Panel under the Montreal Protocol);

- Support UNEP/MAP in implementing the ecosystem approach in the Mediterranean in line with the Barcelona Convention COP Decisions and the requirements of the EU Marine Strategy Framework Directive;

- Support, where appropriate, negotiating processes for new international instruments:

- Strengthen capacity of developing countries for implementation of measures agreed within MEAs (e.g. the Mediterranean Action Plan), including the development of methodological tools (e.g. Biodiversity Indicator Partnership);

- Support UNEP and the secretariats of MEAs to mainstream their work in other programmes outside the UN system;

- Ensure the visibility and coherence of EC/UMEP cooperation in the above mentioned fields of activities.

Source: EC DG Environment – UN Environment SCA under ENRTP

ANNEX III DG ENVIRONMENT SCA PROJECT PORTFOLIO

Sub-pro-gramme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
EM	Intergovernmental science-policy platform for biodiversity and ecosystem Services	Strengthening the science-policy interface on biodiversity and ecosystem services (*PIMS: 01284*)	600,000	01/02/2012	31/12/2012	Africa Asia Pacific Europe Latin America Caribbean North America West Asia
EM	Enhance regional and national capacity in the selection, development and use of biodiversity and related indicators to measure progress towards the CBD 2020 targets	Biodiversity and ecosystem functioning 32-P4 (*PIMS: 00818*)	1,021,138	01/01/2012	31/12/2013	Africa (Sub Saharan Africa) Asia Pacific (ASEAN and South Asia) Europe Pan-Europe, (including CEE and Central Asia) Latin America
EM	Building capacities of member states for the World Oceans Assessment (Global Seas Assessment)	Integrated marine and coastal environment and resource management for human well-being 32-P3 (*PIMS: 00820*)	200,000	31/07/2013	30/06/2014	22 Member States of the Abidjan Convention + Uruguay, Brazil, Argentina
EM	Strengthening MEA synergies, reporting and indicators in NBSAPs for the pan-European region	Supporting countries in Pan Europe to implement NBSAPs and SDGs through strengthened information systems, indicators and institutional mechanism 335.2B (*PIMS: 01989*)	300,000	01/04/2014	30/03/2017	Eastern Europe (Belarus, Ukraine, Moldova and Russia), Southern Caucasus (Armenia, Azerbaijan, Georgia), Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, Uzbekistan)
RE	Scientific assessments and reports on resource flows: The International Resource Panel and the global dimensions of EU's Thematic Strategy on the Sustainable Use of Natural Resources	Science-policy Interface in support of resource efficiency: The International Resource Panel 611.1 (*PIMS 01943*)	2,000,000	16/09/2011	31/03/2015	Africa Asia Pacific Europe Latin America Caribbean North America West Asia
RE	Resource efficiency and eco-innovation in developing and transition economies	Building SME network and technical sup-	2,725,000	01/06/2012	30/09/2017	All 47 countries in which RECP service providers are located

Sub-pro-gramme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
		port for scaling up investment in resource efficient, cleaner and safer production 62-P3 (*PIMS 00704*)				
RE	Phase I: Global Platform for Action on Sustainable Consumption and Production	2012-2013: Policies in the Regions - Developing a recognized framework and piloting new policy and management approaches through the Marrakech Process" 61-P6 (*PIMS: 00699*)	900,000	01/08/2012	30/09/2016	Africa Asia Pacific Europe Latin America Caribbean North America West Asia
RE	Phase II: 10 Year Framework Programme on Sustainable Consumption and Production	2014-2015: Secretariat services and functions for the 10YFP implementation 613.1 (*PIMS 01730*)	1,300,000			
RE	Phase I: Green economy and trade – assessing risks and opportunities- submitted as a contribution to PAGE	Policy, macro-economic assessments and instruments to empower governments and business to advance resource efficiency and move towards a Green Economy 61-P3 (*PIMS 00688*)	250,000	01/03/2012	31/12/2012	Africa Asia Pacific Europe Latin America Caribbean West Asia
RE	Phase II: Green economy and trade – national level strategies for harnessing trade opportunities	Policy, macro-economic assessments and instruments to empower governments and business to	500,000	01/04/2013	30/04/2016	Africa Asia Latin America Caribbean Ghana, Peru, Vietnam

Sub-pro-gramme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
		advance re-source effi-ciency and move towards a Green Econ-omy 61-P3 (*PIMS 00688*)				
RE	Integrating resource effi-ciency in international supply chains - enabling companies and consumers to benefit from information on life-cycle environmental performance of products	Internation-ally recog-nised infor-mation tools - standards, la-bels, reporting - to enable in-dividual and institutional consumers to make in-formed choices 63-P2 (*PIMS 00722*)	1,530,000	01/04/2012	31/12/2015	Brazil, China, In-dia, Indonesia, Malaysia, Mexico, Russia, Thailand, Turkey, Chile, Egypt, Morocco, Peru, and the Philippines, South Africa
RE	Indicators for measuring the green economy transition	Policy, macro-economic as-sessments and instru-ments to em-power govern-ments and business to advance re-source effi-ciency and move towards a Green Econ-omy 61-P3 (*PIMS 00688*)	750,000	01/04/2012	30/10/2014	Global, Ghana, Uruguay, Mauri-tius, Mozambique
RE	Support to Partnership for Action on Green Economy (PAGE)	Partnership for Action on Green Econ-omy (PAGE) (*PIMS 01659*)	500,000	01/09/2014	30/06/2016	
HSHW	Mercury knowledge and infor-mation to assist negotiations + Expert meeting on mercury finance pre INC4	UNEP Global Mercury Pro-gramme 53-P1 (*PIMS 01031*)	950,000	28/02/2012	31/12/2017	Africa Asia Pa-cific Europe Latin America Carib-bean North Amer-ica West Asia
HSHW	Worldwide interlaboratory comparison study for POPs	Schemes for reporting of progress in sound man-agement of harmful sub-stances and hazardous waste and tools for mon-	300,001	01/12/2012	30/06/2014	Global

Sub-programme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
		itoring and assessment 52-P5 (*PIMS 00677*)				
HSHW	Supporting the strategic approach to international chemicals management	Strategic Approach to International Chemicals Management Secretariat (SAICM) 52-P1 (*PIMS 00127*)	500,000	01/03/2012	30/11/2013	Global
HSHW	Support to SAICM Regional Meetings 2013-2014	Strategic Approach to International Chemicals Management Secretariat (SAICM) 52-P1 (*PIMS 00127*)	250,000	01/08/2013	30/04/2014	Global
HSHW	International cooperative project on endocrine disrupting chemicals to build awareness and understanding and promote actions	Approaches and methodologies for risk assessment and management of harmful substances and hazardous waste 52-P3 (*PIMS 00671*)	300,000	01/03/2012	31/12/2015	
EG	Improving the effectiveness of and cooperation among biodiversity-related conventions and exploring opportunities for further synergies (*previous: Synergies within the cluster of biodiversity-related MEAs + Support to NBSAPs Forum*)	Improving the effectiveness of and cooperation among biodiversity-related conventions and exploring opportunities for further synergies (*PIMS 02678*)	900,000	18/09/2013	31/12/2015	
EG	Consultative process on financing options for chemicals and wastes (first expert meeting Oct.2011 and second expert meetings Aug. 2012)		100,000	16/09/2011	31/12/2012	Global
EG	Follow-up to consultative process on financing options for chemicals and waste (3rd		200,000	01/08/2013	30/06/2014	Africa Asia

Sub-pro-gramme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
	meeting, August 2013) + Synergies Meeting (Nov. 2013)					
EG	Support for implementation of the biodiversity and eco-systems and the chemicals and waste clusters of multi-lateral environmental agreements (Regional MEAs Focal Points)	Support for implementation of the bi-odiversity and ecosystems and the chem-icals and waste clus-ters of multi-lateral envi-ronmental agreements (*PIMS 01543*)	1,500,000	01/01/2012	31/12/2015	
EG	InforMEA and the MEA Infor-mation and Knowledge Man-agement Initiative -a compre-hensive approach to infor-mation and knowledge Man-agement across MEAs, UNEP and key NGOs	Law and Envi-ronmental Outlook (LEO) web-tools to-wards the im-plementation and enforce-ment of inter-national envi-ronmental law and interna-tionally agreed goals and targets (*PIMS 01651*)	800,000	27/08/2013	30/06/2016	
CMS	Effective implementation of CMS and its instruments (CMS Family) across the Afri-can region through capacity building Effective implementation of CMS, AEWA and other CMS-family instruments across various regions and lan-guages through capacity building	n/a	500,000 + 50,000	13/02/2012	31/12/2015	Global Regional (Africa and Latin America)
CMS	Development of sharks con-servation measures in the context of the CMS Memo-randum of Understanding (MoU) on the Conservation of Migratory Sharks	n/a	224,000	13/02/2012	30/04/2014	Global
CMS	Saker Falcon Global Action Plan	n/a	77,676	01/01/2013	31/12/2013	Regions: Europe, Africa, West Asia and Asia Pacific Countries: Breed-ing Range States: Afghanistan, Ar-menia, Austria,

Sub-pro-gramme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
						Bulgaria, China, Croatia, Czech Republic, Georgia, Hungary, Iran, Iraq, Kazakhstan, Kyrgyzstan, Moldova, Mongolia, Romania, Russian Federation, Serbia, Slovakia, Tajikistan, Turkey, Turkmenistan, Ukraine, Uzbekistan, and possibly India (Ladakh). Winter or passage Range States: Albania, Algeria, Azerbaijan, Bahrain, Bangladesh, Belarus, Bhutan, Bosnia and Herzegovina, Burundi, Cameroon, Chad, Cyprus, Denmark, Djibouti, Egypt, Eritrea, Ethiopia, Finland, France, Germany, Greece, India, Israel, Italy, Jordan, Kenya, Korea Republic of, Kuwait, Lebanon, Libya, Macedonia the FYR of, Mali, Malta, Mauritania, Montenegro, Morocco, Nepal, Niger, Oman, Pakistan, Palestine, Poland, Qatar, Saudi Arabia, Senegal, Somalia, South Sudan, Spain, Sudan, Sweden, Syria, Tanzania United Republic of, Tunisia, Uganda, United Arab Emirates, Yemen
CITES	Strengthening capacity in developing countries for sustainable wildlife management and enhanced implementation of CITES wildlife trade regulations, with particular	n/a	1,980,000	13/08/2013	31/03/2017	

Sub-pro-gramme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
	focus on commercially-ex-ploited aquatic species and production systems					
CITES	Implementation of Decisions adopted by the 16th meeting of the Conference of the Par-ties to CITES (CoP16) through the work of the CITES Secretariat and sup-port to the CITES Sponsored Delegates Project	n/a	700,000	13/08/2013	31/03/2017	
CBD	Implementation of the eco-system approach in the Medi-terranean by the Contracting Parties in the context of the Barcelona Convention for the protection of the marine envi-ronment and the coastal re-gion of the Mediterranean and its Protocols + Marine lit-ter	n/a	1,716,000	01/06/2012	30/09/2015	
CBD	Supporting intercessional ac-tivities prior to COP11	n/a	788,000	26/03/2012	31/12/2014	
CBD	Support to the implementa-tion and capacity building ac-tivities relating to CoP11 out-comes (SCBD 2013+2014) Activities in support of Deci-sions of the 11th meeting of the Conference of Parties to the Convention on Biological Diversity and the Strategic Plan for Biodiversity	n/a	1,000,001	17/07/2013	31/12/2016	Global
CBD	Further Support to CBD CoP11 (SCBD 2014) Addi-tional activities in support of Decisions of the 11th meet-ing of the Conference of Par-ties to the Convention on Bio-logical Diversity and the Stra-tegic Plan for Biodiversity	n/a	453,261	01/01/2014	31/12/2016	
CBD	Activities in support of Ac-cess and Benefit-sharing 2012-2014	n/a	700,000	01/01/2012	31/12/2016	
Cartagena Convention	"Risk assessment and risk management" and "Infor-mation sharing" under the Cartagena Protocol on Bi-osafety	n/a	88,855	08/04/2014	31/12/2015	

Sub-programme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
Minamata Convention	Secretariat support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury (previously Support to Minamata Convention on Mercury / Support transitional period before entry into force of Mercury Convention)	n/a	1,000,000	03/06/2014	02/06/2015	
Basel Convention	Implementation of activities approved by the 10th Meeting of the Conference of the Parties to the Basel Convention	n/a	997,775	01/04/2012	31/12/2016	
Basel Convention	Basel Convention - Work Programme of the Implementation and Compliance Committee and coordination and provision of support to parties in follow up to the country-led initiative on environmentally sound management and further legal clarity	n/a	170,174	01/01/2014	31/12/2016	
Rotterdam Convention	Implementation of activities approved by the 5th Meeting of the Conference of the Parties to the Rotterdam Convention	n/a	1,226,220	01/01/2012	31/05/2015	
Rotterdam Convention	Rotterdam Convention - Orientation workshop for members of the Chemical Review Committee and workshops to develop key elements of National Action Plans (NAP) on the implementation of the Rotterdam Convention and follow up	n/a	249,845	01/01/2014	31/05/2015	Global (Africa, Europe, Asia Pacific, Latin America and the Caribbean, West Asia)
Stockholm Convention	Implementation of activities approved by the 5th meeting of the Conference of the Parties to the Stockholm Convention	n/a	1,453,863	05/01/2012	31/05/2015	
Stockholm Convention	Stockholm Convention - Global monitoring plan for effectiveness evaluation	n/a	221,000	21/01/2014	31/12/2015	
Chemicals Synergies Project	Implementation of synergy activities approved by the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions	n/a	292,913	11/07/2012	31/05/2015	
Chemicals Synergies Project	Synergy - Integrated assessment of technical assistance needs and electronic tools: modules	n/a	458,981	08/01/2014	31/12/2015	
Ozone Secretariat	Support to the Montreal Protocol Technology and Economic Assessment Panel (TEAP) and Methyl Bromide	n/a	200,000	01/01/2013	31/12/2014	

Sub-pro-gramme or MEA	Title	POW project	Total EC funding	Start date	End date	Geographical scope
	Technical Options Committee (MBTOC) Co-chairs					
Secretariat of the Governing Bodies	Support to UNEA III	n/a	438,596	01/08/2017	31/12/2017	
Secretariat of the Governing Bodies	Support to UNEA 4 preparations	n/a	250,000	21/08/2018	31/12/2018	
EG	Global Pact for the Environment		500000	03/08/2018	31/12/2018	
RE	International Resource Panel		34,530		31/12/2018	