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Evaluation Office

EVALUATION OF THE UNEP ENVIRONMENTAL GOVERNANCE SUBPROGRAMME

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CONTENTS

ABBREVIATIONS

ABCs	Atmospheric Brown Clouds
ACP	African, Caribbean and Pacific (
AGEDI	Abu Dhabi Global Environmental Data Initiative
BSP	Bali Strategic Plan
CBD	UN Convention on Biological Diversity
CC	Climate Change (Sub-programme)
CCA	Common Country Assessment
CDM	Clean Development Mechanism
CEB	UN Chief Executives Board for Coordination
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
COBSEA	Coordination Body on the Seas of East Asia
COP	Conference of Parties
CPR	Committee of Permanent Representatives
CSD	Commission on Sustainable Development
CSO	Civil Society Organisations
DaO	Delivering as One UN
D&C	Disasters and Conflicts (Sub-programme)
DCPI	Division of Communications and Public Information
DEC	[former] Division of Environmental Conventions
DELC	Division of Environmental Law and Conventions
DEPI	Division of Environmental Policy Implementation
DEWA	Division of Early Warning and Assessment
DPDL	[former] Division of Policy Development and Law
DRC	Division of Regional Cooperation
DRR	Disaster Risk Reduction
DTIE	Division of Technology, Industry and Economics
EA	Expected Accomplishment
EAC	East African Community
ECOSOC	Economic and Social Council
EG	Environmental Governance
EGSP	Environmental Governance Sub-programme
EM	Ecosystem Management (Sub-programme)
EMG	Environment Management Group
ES	Environmental Sustainability
FAO	Food and Agricultural Organization of the UN
GA	United Nations General Assembly
GC	UNEP Governing Council
GEF	Global Environment Facility
GEO	Global Environment Outlook
GHG	Greenhouse gas
GMEF	Global Ministerial Environment Forum
HLCP	High-level Committee on Programmes (of the UN)
HS & HW	Hazardous Substances and Hazardouse Waste (Sub-programme)
HQ	Headquarters
IEG	International Environmental Governance
IFSD	International Framework for Sustainable Development
IMDIS	Integrated Monitoring and Documentation Information System
IMIS	Integrated Management Information System
INTOSAI	International Organisation of Supreme Audit Institutions
IPBES	Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services
IPCC	Intergovernmental Panel on Climate Change
KNOSSOS	Knowledge from Science to Societies
MDGs	Millennium Development Goald
MEAs	Multilateral Environmental Agreements
MTS	Medium-Term Strategy

NES	National Environmental Summaries
NGO	Non-Governmental Organisation
OARE	Online Access to Research in the Environment
OCHA	Office for the Coordination of Humanitarian Affairs
OIOS	United Nations Office for Internal Oversight Services
PADELIA	Partnership for the Development of Environmental Law and Institutions in Africa
PEI	Poverty and Environment Initiative
PIMS	Programme Information Management System
POPs	Persistent Organic Pollutants
PoW	Programme of Work and Budget
PPR	Programme Performance Report
PRC	Project Review Committee
QAS	Quality Assurance Section
RBM	Results Based Management
RC	Resident Coordinator
RE	Resource Efficiency (Sub-programme)
REDD	Reducing Emissions from Deforestation and Forest Degradation
ROA	Regional Office of Asia
ROAP	Regional Office of the Asia Pacific
ROE	Regional Office for Europe
ROLAC	Regional Office of Latin America and the Caribbean
RONA	Regional Office for North America
SDG	Sustainable Development Goals
SIDS	Small Island Developing States
SLCFs	Short-Lived Climate Forcers
SLCP	Short-lived Climate Pollutants
SP	Sub-programme
SPM	Summary for Policymakers
ToC	Theory of Change
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNCSD	UN Conference on Sustainable Development
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UNEA	United Nations Environment Assembly (of UNEP)
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNGA	United Nations General Assembly
UNSSC	United Nations System Staff College
WB	World Bank
WCMC	World Conservation Monitoring Centre (
WHO	World Health Organization
WMO	World Meteorological Organization
WTO	World Trade Organisation

MAIN FINDINGS AND RECOMMENDATIONS

The thematic subprogramme modality is emblematic of UNEP's organizational change process and provides the structural framework for implementing its Medium Term Strategy (MTS). Although the modality remains a "work in progress" for the Enivirnmental Governance (EG) Sub-programme, it is a central element of UNEP's institutional architecture. A clearly articulated set of subprogramme results frameworks allow, in principle, for a more coordinated and effective approach to the achievement of UNEP's desired results. Results frameworks that reflect a clear strategic intent are critical to the ongoing transition from an organization with an input-driven focus towards an organization driven by an outcome-oriented 'culture' where institutional values and operational procedures that focus on ultimate impacts are promoted.

Environmental governance (EG) as defined in the Environmental Governance Draft Strategy (2008), encompasses "…*the process and institutions that guide and restrain the collective action of Governments, organizations, major groups and civil society to address collective environmental issues at all levels, from local to national, sub-regional, regional and global.*" The Sub-programme's relevance to organizational mandates and the needs of member States is clear and has been highlighted at the Global Ministerial Environmental Forum and consultative processes of the UN General Assembly. The Expected Accomplishments (EAs) support core UNEP functions that are established by Governing Council Decision 19/1 and endorsed by UN General Assembly Resolution 19/2. In this respect, the Environmental Governance Sub-programme (EGSP) supports a core dimension of UNEP's work that cuts across all Divisions and has inherent links to the governance dimensions of other subprogrammes. This broadens opportunities for collaboration between Divisions that could contribute to better delivery and effectiveness, by providing a more comprehensive and integrated response. UNEP's Executive Director has stated that "the Environmental Governance Sub-programme represents the hope for UNEP to do things together." This is no small challenge for a subprogramme to assume.

Vision and understanding of Environmental Governance

For many (and this evaluation team) UNEP's most meaningful results are to influence national and local level action. Countries, being the key governance units of the world, are a main hub of governance activity, but also key to progress in dealing with global and regional environmental challenges. This is reflected in the stated goals and objectives of the sub-programme. While the vision and mandated space of UNEP is broad, the UNEP mandate / role vis-a-vis country support remains somewhat unclear. The central role of countries is part of the UNEP vision, yet it is not clearly outlined and reflected in the UNEP subprogramme design and implementation arrangements. This reflects both an evolving mandate and changing perceptions of priority that are moving towards greater country-level engagement as evidenced in the Rio +20 outcome document where UNEP's

mandate in this regard was re-enforced. Global and regional level actions are critical, but, in many respects, only a means towards 'on the ground' impact from country level actions.

Clear acknowledgement of the following distinction will be important for future strategic planning of UNEP's work on Environmental Governance:

> *Environmental Governance*: concept, policy and practice: comprising legal and regulatory frameworks; institutions and institutional mechanisms; data, information and knowledge sharing systems <u>at the country, regional and global level</u> to address agreed environmental priorities.

> *International Environmental Governance (IEG):* the international environment regime (including UNEP and MEAs) within an international governance system. How the UN system is set up and organized to work towards environmental sustainability.

UNEP's vision for environmental governance needs to be reflected in a focused strategy (rather than an exhaustive list of mandates) that can guide the Sub-programme. UNEP has recognized comparative advantages that support its role as a global player in environmental governance and IEG in particular. It's vision for environmental governance and associated country level outcomes, a lucid recognition of MEA fragmentation, duplication and other related problems in the current IEG, as well as a renewed sustainability perspective, are good starting points for defining a robust, post-Rio+20, UNEP strategy for environmental governance. Successful assessments, a part of the subprogramme only until the end of the 2010-13 MTS period, focused on well-defined problems, analyze the socio-economic implications, and identifed actions to address problems. Similarly, an effective strategy needs to start with clear identification of problems and an outline of the strategic change approaches needed to address them.

Recommendations

1. The Environmental Governance sub-programme should agree on and adopt a formal definition for "environmental governance" that can underpin future strategy development.
2. The EG sub-programme strategy needs to be improved and reflect the Rio +20 outcome and specify its intervention strategies at national regional and global levels. The strategy must be driven by external realities, should have a clear problem focus and should articulate UNEP's strategic niche and unique identity. The development of a new strategy should be undertaken in consultative manner with a process designed to foster staff ownership.

Sub-programme structure and design

The EG Strategy provides a quite detailed narrative on the focus on UNEP's activities under each Expected Accomplishment and lists key intervention areas corresponding to PoW Outputs. However,

the causal logic linking activities, PoW Outputs and EAs is only loosely discussed. As highlighted in the formative evaluation, the Expected Accomplishments do not provide a fully coherent results framework for the Sub-programme.

Expected Accomplishments are ambitious and are pitched beyond UNEP's direct control. They are not 'immediate outcomes' as per the UN Secretariat definition and 'out of reach' of UNEP working alone. The gap between UNEP's contribution and the high level defined for expected accomplishments limits the utility of the EG subprogram results framework for both monitoring and evaluation of UNEP's performance. There is an inherent assumption embedded in the results framework indicators regarding environmental agreements that 'more is better' without reference to quality and substantive targeted results. This logic runs against a key observation, well understood within DELC and promoted to external audiences, that chaotic proliferation of environmental agreements and institutional arrangements has created obstacles to implementation with, among other issues, multiple reporting required of countries.

EA(A) seeks synergistic improvements within the UN System processes, **and** within and among MEAs. Expected Accomplishments should capture sets of closely related project-level outcomes. Since the substantive work to achieve "improvements in UN system processes" is likely quite distinct from the work needed to achieve "synergistic improvements within and among MEAs", future EAs for the EG sub-programme might better split this single EA into two: one promoting synergies and coherence within the UN system, and the other among MEAs. EA(D) about "improved access to sound science" is a general approach that is better integrated across all UNEP interventions, although the work encompassed by EA(D) will move to the new subprogramme on 'environment under review' in the 2014-17 MTS period.

The next major opportunity to re-articulate Expected Accomplishments and to present a revised results framework for the EG Sub-programme will be for the 2018-21 MTS period. Due to the rather lengthy preparation/approvals processes, this will require that concrete proposals are in-hand by early 2015.

Recommendation

3. The evaluation recommends that the Sub-programme develop a new results framework (EAs and PoW outputs) that better reflects the intended causality of UNEP work for the 2018-21 MTS as a part of the strategy development process suggested above.

Corporate service functions within a thematic results framework - undermining results-based planning

As a transitional measure in moving from the 'old' Divisional Sub-programmes to the thematic Sub-programmes, it was agreed that, if a project/activity fell into more than one thematic area, it would be

included under the EGSP. In addition to thematic work of direct relevance to environmental governance, the EG SP included corporate functions that lacked a strong and direct linkage to the results framework. This has led to a common perception among UNEP staff that the Environmental Governance SP had been used as a 'parking lot' for activities or functions that did not readily fit in other SPs. Prominent examples include 'corporate' work in communication (DCPI) and the regional representation function and implementation support at the regional level (DRC) both of which benefit the entire organisation. DRC's work was included for the most part under EA(C) given its relations to UN country offices, yet this represented a small portion of its actual range of activity.

Projects are a useful modality to plan discrete problem-focused interventions that are intended to deliver against higher level programmatic results. It is relatively straightforward to plan and manage "corporate support activities" in a project modality, however designing such projects to fit within the results framework of an existing thematically-oriented Sub-programme is not possible in meaningful way. The results that stem from such support activities do not relate specifically to the outcomes specified in the environmental governance Sub-programme. This practice creates accountability gaps for the significant portions of UNEP's work that are not captured under the thematic results frameworks of the PoW. The visibility of such corporate work both in terms of reporting performance and as a clear locus for resource allocations is also affected. Cross-cutting corporate support services should not reside within thematic sub-programmes.

A tendency persists for Divisions to frame or 'classify' projects under certain EAs more because they are managed by that same Division than because of there are causal linkages inherent to the intervention that link to the EA. This further undermines results-based design principles. For example, the DELC-managed ABC project was said to respond to 2010-11 PoW Outputs 411, 414 and 443. Yet, the connections with EA (A)'s PoW outputs was very indirect.

Recommendations:

4. Developing a 'corporate' communication project with a clear results framework as part of the Programme of Work perhaps with its costs spread across existing Sub-programmes.

5. A results framework for the work of Major Groups and Stakeholders Branch needs to be developed

Unapproved projects

The requirement to present all substantive interventions in the PoW in project form has been a major step forward in programme planning for UNEP. Previously, a large proportion of UNEP's work was presented only in 'costed workplans'. Whilst costed workplans afforded considerable flexibility, they lacked sufficient documentation to promote meaningful accountability. For example, there was often no analogue to the 'project document' detailing what would be done and what results would be

expected, making credible evaluation of the effectiveness / efficiency of costed workplans difficult, if not impossible.

Within the EG Programme Frameworks A and B, three projects for the 2010-13 MTS period- all managed by DELC - did not receive formal approval by the Project Review Committee: This means that *five out of the six PoW Outputs defined under EA(A), and four out of the five PoW Outputs under EA(B) of this Sub-programme, lacked a project document that had been formally approved by the organization.* The unapproved projects were:

- Global environmental agenda setting to strengthen international cooperation in the field of the environment (project 41-P1)
- Support for Multilateral Environmental Agreements (Project 41-P2)
- Enhancing States' capacity to strengthen and implement environmental law" (Project 42-P1)

For the other two Expected Accomplishments the picture was more positive in terms of project approvals: EA (C) had three of its four PoW outputs covered by an approved project document. All three PoW outputs under EA (D) were covered by an approved project document.

This raises accountability issues. Whilst the evaluation is not suggesting any impropriety in the use of UNEP resources, it is clear that considerable resources were being expended "outside" of the project modality that was used for the rest of the PoW - presumably in a 'costed workplan' modality. Work that proceeds outside the project modality has a number of negative consequences for the systematic tracking of progress, reporting of results at project, EA and SP levels and evaluation of results.

Recommendation

6. The Sub-programme should ensure that it is compliant with the UNEP requirement for all Environmental Governance work that forms part of the PoW to be undertaken through projects that have received formal UNEP PRC approval.

Clarifying Sub-programme linkage and promoting project synergy

Simply because UNEP has a Sub-programme entitled 'Environmental Governance' does not mean that all governance-related work should reside within it. For example within the HS & HW Sub-programme, the support to drafting an MEA on mercury, although not formally a part of the EGSP, was substantively supported by it. Such linkages, however, can lead to a lack of clarity on how to approach environmental governance in operational terms, as reflected by discussions between DELC, DEWA and DTIE over the lead role in black carbon activities. It can also lead to 'double counting' in reporting, where each subprogramme reports the same achievement. There is a clear need to better define roles and responsibilities for governance work where it overlaps with other thematically focused SPs (CC, EM, HS&HW, D&C and RE).

Most projects active within the Sub-programme during the 2010-13 MTS period were designed separately and implemented on a "stand-alone" basis with little consideration of the broader subpogramme context; many were inherited from previous programme cycles while others were underfunded. As a result, project alignment and overall cohesiveness of the EGSP portfolio was lacking, and potential links between projects and other SPs often remained unexplored.

Recommendation

7. The evaluation recommends that the causal logic at programme level be clearly articulated in a revised strategy to provide a framework to improve the design and alignment at project level.

Planning and accountability myths: – 'normative work is different'

A large proportion of the work of the EG Sub-programme is of a 'normative'[1] nature. Several stakeholders consulted during the evaluation espoused a view that "normative work" is somehow different to other more 'direct' forms of intervention and, as such, it is (a) difficult to 'projectise' and (b) cannot be captured in results frameworks. Defining results was said to be complicated by the fact that, in the end, it is "Governments' responsibility to deliver results".

By contrast, the evaluation notes that any outcome stemming from a UNEP intervention is, by definition, a change in an individual's, an organisation's or a system's behaviour and is not fully within the control of UNEP. Nevertheless, staff can be held accountable for undertaking all feasible activities necessary to maximize the likelihood that an outcome will be achieved. These observations hold true regardless of the type of outcome that is sought, and therefore whether an intervention is deemed to be 'normative' or not. Normative work can be organized in projects and the immediate outcomes of such work can be captured in results frameworks.

It is clear from many of the above findings and observations that UNEP staff need to receive more training and support in results planning and "Theory of Change" approaches in order that staff become familiar with this approach and be able to apply it to normative contexts.

Recommendation

8. The evaluation recommends that RBM / training for all UNEP professional staff be mandatory and encouraged for selected support staff.

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[1] *"Normative work in the United Nations is the support to the development of norms and standards in conventions, declarations, regulatory frameworks, agreements, guidelines, codes of practice and other standard setting instruments, at global, regional and national level. Normative work may also include support to the implementation of these instruments at the policy level, i.e. their integration into legislation, policies and development plans.* (United Nations Evaluation Group, 2012)

Improving regional perspectives in programmatic design

Regional perspectives were not sufficiently considered in the design of subprogrammes and PoW priorities, which were driven by UNEP Headquarters. This has been a systemic constraint that is not limited to the EGSP. The articulation of regional priorities has been inconsistent and either lacking or poorly reflected in planning documents. However, the evaluation notes that regional offices are being increasingly engaged in HQ planning processes and welcomes this development.

Performance overview

A <u>very</u> brief overview is presented here, a comprehensive summary of performance by Expected Accomplishment can be found in the sections of the main evaluation report below.

The EG Sub-programme evaluation focuses on the work defined in the 2010-13 MTS. Many of the initiatives that feature in the current Sub-programme began prior to the introduction of the thematic planning and management arrangements in 2010. While there are considerable difficulties in comprehensively assessing EGSP performance as a subprogramme on the basis of the available information, the Evaluation notes important progress towards the four Expected Accomplishments that are attributable to specific initiatives.

<u>Efforts made through the EG subprogramme had a marked influence on the global agenda for Rio +20</u>. This achievement was facilitated by a clear engagement strategy, a wise use of environmental review outputs, dedicated persistence of the UNEP DELC IEG team[2]. These advances are considered examples of positive programmatic performance as they are the result of strategically assembling outputs of various divisions and working effectively within the formal and informal processes. Overall, the DELC/IEG work in this area has contributed to a strengthening of UNEPs role in IEG. This positive influence on the Rio+20 agenda is the cumulative result of shared analysis and advocacy on long standing gaps noted by UNEP. There were also significant advances in harmonizing international environmental agreements on chemicals and bringing emergent issues - the green economy, black carbon and short-lived climate forcers- SLCFs, environment and human rights among others - to the attention of the international community. Environmental priorities are being integrated into UN Development Assistance Frameworks (UNDAFs) and country programme budgets in an increasing number of cases.

There were successful efforts to integrate environmental legislation at the regional and country levels, and incorporate environmental priorities into national development policies. Capacity building activities are strengthening the environmental awareness and enforcement capabilities of judicial systems in Africa and elsewhere. The publication of the Global Environmental Outlook (GEO-5) was

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[2] The evaluation also notes the good preliminary work of the IEG interdivisional working group

designed to exert greater influence on policymaking than previous versions, following changes in preparation processes, presentation, methods and the approach to engage intended users.

PROCESSES AND ISSUES AFFECTING SUB-PROGRAMME PERFORMANCE

Implementation and management processes

There is the general perception that communications are gradually improving between Divisions. However, these advances are the result of proactive efforts from Divisions and projects, rather than facilitation / management action at a sub-programme level. It is difficult to discern the effect (if any) the subprogramme modality has had on the performance of its constituent initiatives.

Sub-programme management (i.e.management processes that operate across the subprogramme) has been rather disjointed and has struggled to meet the needs of an inherently complex SP that has suffered from limited cohesiveness. The Lead Division, SP Coordinator and supporting staff have had limited influence over performance of the entire Sub-programme and accountabilities have been unclear. Basic management practices such as periodic group meetings, internal reviews, work plan revisions or forward planning exercises were, generally lacking at subprogramme level across the Divisional divide.   The channels linking DELC as Lead Division to the Coordinating Divisions that are responsible for EA implementation were not well established. Above all, the absence clear assignations of responsibility / operational guidelines that work at the subprogramme level are a significant deficiency that affects the coherence of EGSP management.   The situation contrasts markedly with Sub-programmes that were established in alignment with pre-existing management structures.

The absence of programme dynamics and unresolved tension with Division-managed functions lowered EGSP momentum and the motivation of some participants, who perceive the subprogramme as a burdensome overlay to core Divisional responsibilities. These factors have encouraged a "hands off" management approach and inhibited adaptive management practices from operating at subprogramme level limiting the subprogramme's evolution towards a more functional, user-friendly modality.

The continuing challenge is to foster the EGSP's development as a modality, in order to achieve levels of programmatic coherence, performance and synergies that have been lacking.

Organization and Management

The problems that arise from the EGSP's structural arrangements are reflected in the difficulty of the Lead Division to assume a true coordinating role for the Sub-programme. The lack of coherence of the full scope of activities that fell within the EG results framework led to a situation where the Lead Division faced considerable challenges in retaining an overview of the collective performance or

delivery of the Sub-programme. A difficulty that was subsequently also experienced by the Quality Assurance Section in organizational level monitoring processes.

Regional issues

Regional Offices provide administrative, logistical and, increasingly, programme support in addition to their political liaison and representational function. However, the bulk of regional office "brokerage work" receives little recognition in the PoW or budgets, hence becoming a "hidden corporate function".

Human and Financial Resources

The Integrated Management Information System (IMIS) does not allow break down of individual staff time among SPs. A single staff member's time must be wholly allocated to a single subprogramme in the financial system. Since staff time is often a large proportion of total resources and many staff work across SPs, the true allocation of resources by subprogramme could not be determined with any degree of accuracy. The Divisional allocations among UNEP Sub-programmes and within the EG SP do not necessarily reflect the actual work that they are performing. For example, while almost all of DEWA's work for the 2010-2013 fell within the Environmental Governance EA (D), up to 50% of staff time was included under other SPs. In turn, many representation and coordination activities undertaken by DRC through its Regional Offices' network (serving the entire PoW) were, for the most part, budgeted in terms of staff time within the EGSP. In the absence of guidelines or criteria for allocating funds to EAs / programme frameworks, funding decisions continue to be Division-driven rather than programme-based.

The Evaluation could not find any evidence of monitoring of allocations and expenditures by EAs or PoW outputs, making it impossible to use such allocations as a proxy for assessing SP priorities, and to assess progress in PoW implementation against trends in expenditure. Assessment of cost-effectiveness at higher programmatic levels is severely constrained by this. Initiatives by QAS to associate all subprogram staff costs with approved projects within the PoW will help clarify actual resource allocations; Sub-programme workplans should be routinely triangulated with Divisional workplans.

Recommendation

9. The evaluation recommends that divisional workplans, or other programming documents, be prepared to show how staff costs and project budgets relate to PoW outputs and Expected Accomplishments.

As Lead Division, DELC was accountable for a wide range of activities and projects that were implemented by other Divisions, and that it had little knowledge of or control over. The SP Coordinator lacked any managerial authority and was unable to revise work plans or budgets. DELC

did not receive a budget allocation for managing the SP and Lead Division status was internally considered more of a burden than advantage.

The evaluators believe that the Sub-programme Coordinator *should also have reporting lines to a senior manager other than involved Division Directors.* Sub-programme Coordinators should be responsible for the coordination of design processes and monitoring of implementation progress at Sub-programme, Programme Framework and project levels. SP Coordinators also have little involvement in discussions with UNEP's large donors or in resource allocation decisions. The end result has been a supply-side dynamic to budgeting that was largely *ad hoc* and dependent on the availability of funds for Division-implemented projects, rather than fostering of a shared strategic vision well aligned with SP priorities.

The Evaluation could not find any evidence of financial data (allocation and expenditures) collected and tracked at SP or EA level.

Monitoring and reporting.

Reporting responsibility for the Sub-programme ultimately rests with the SP Coordinator, who has the challenge of putting together progress information from different Divisions. Since the SP Coordinator has no responsibility for, or authority over, work done in other Divisions he/she has to accept the both the timing, and to a large extent the quality, of the reporting information provided. The current monitoring system remains a self-assessment. Internal quality assurance processes to check the validity of data are limited. QAS does not have the capacity to assure validity and, like the SP coordinator, has limited authority / independence to verify, question or challenge reported progress.

Overall, the current reporting system does not fully reflect the work for which UNEP is accountable and the level of achievement of results, because of a number of inter-related factors. IMDIS and PPRs are acknowledged to have particular limitations in the amount of information that can be captured in them, which force staff to be selective in choosing which activities to include when reporting. This *ad hoc* selectivity, where a different set of activities may be reflected from one reporting period to the next, adds to inconsistencies in reporting progress.

Staff often did not see the results of their work reflected in a PoW Output/EA managed by their Division, which further promotes perceptions that reporting is a formal requirement that poorly reflects the real achievement of results. Consequently, UNEP staff in the Divisions did not entirely perceive the utility of this reporting for decision-making and they expressed frustration about the process.

Many staff members appreciate the introduction of PIMS as an accountability tool at project level. However, the high potential value of the system for reporting was constrained by the formulation of project milestones which, in the vast majority of cases in the 2010-13 period, track implementation

progress only as far as project outputs, leaving a performance measurement gap between project outputs and performance at PoW/EA level trough project outcomes. Reporting at SP level is not based on any systematic collection of data, limiting the reporting system's reliability and utility for gauging progress in implementation at levels 'beyond' project outputs. The PIMS system is set to be of far greater utility for reporting progress in subprgramme implementation when project milestones are formulated in project designs to capture progress along the intended causal pathways towards the desired <u>outcomes</u>. This will enable PIMS to track the completion of activities, delivery of outputs, and progress beyond them towards the achievement of Expected Accomplishments.

The Evaluation makes various recommendations to ameliorate these problems.

10. Resource allocation practices should clearly link to the SP strategy and be more transparent. Criteria that guide resource allocation decisions should be clearly articulated.

11. Operational guidelines for the EGSP, and subprogramme modality in general, are needed to ensure that design, budgeting, coordination, monitoring and reporting practices are compatible with SP frameworks to the extent possible.

MAIN EVALUATION REPORT

OBJECTIVES SCOPE AND APPROACH OF THE EVALUATION

1. The Evaluation aims to assess the relevance and overall performance of UNEP work related to Environmental Governance (labeled as the "EG Sub-programme" hereafter)[3] from PoW 2006 – 2012) according to standard evaluation criteria (relevance, efficiency, effectiveness, sustainability and impact). The Evaluation considers whether, in the period under consideration, the UNEP Programme of Work – and subsequent adjustments to it – answered the call for a strengthened role of UNEP in the context of International Environmental Governance and whether the results achieved have been ultimately conducive to the enhancement of environmental cooperation and governance at all levels.

2. The Evaluation examines the relevance of UNEP EG strategy and its delivery performance across its four main areas: a) International cooperation; b) International policy setting and technical assistance; c) National development planning, and; d) Sound science for decision-making. The contribution of selected EG-related flagship activities to the achievement of PoW outputs and Expected Accomplishments will be considered.

3. The Evaluation also examines the effectiveness of management arrangements among UNEP Divisions for effective delivery of the EAs and PoW Outputs defined for the Sub-programme. Collaborative arrangements with other UN bodies, Inter-Governmental Organizations and institutions (including MEAs), regional bodies, National Governments, NGOs, scientific and environmental centers, and private sector organizations will also be reviewed.

4. The Evaluation aims to be a catalyst for learning process, whereby lessons learnt and recommendations for Sub-programme future design and management are formulated for a better delivery against UNEP mandate. Lessons learnt will focus on key areas, such as: Sub-programme design and planning (including logical flow from Expected Accomplishment, PoW outputs and project outputs); Sub-programme management and internal coordination; Partnerships; Human and financial resources management; Communication and knowledge management.

5. The Evaluation aims to answer the following key questions:

    *   Has UNEP achieved its objectives in the area of Environmental Governance?
    *   Have projects and activities been efficiently implemented and produced tangible results as expected? Have human and financial resources been optimally deployed to achieve its objectives?

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[3] For the purpose of this Evaluation, the term "EG Sub-programme" will denote EG-related activities carried by UNEP.

- Have Sub-programme objectives, projects and activities reflected both EG priorities defined at global/regional/country level and UNEP comparative advantages, including its convening power, advisory role and sound science data provider?
- Has the Sub-programme design responded to the international call for a strengthened role of UNEP in Environmental Governance? Has the move to the new Sub-programme structure in the PoW 2010-11 facilitated coordination of efforts among UNEP divisions and ultimately helped both collegiality and accountability in decision-making and project management in the area of Environmental Governance?

6.   For the full Terms of Reference refer to Annex 4.

2. THE INTERNATIONAL ENVIRONMENTAL GOVERNANCE CONTEXT

7. This chapter sets the scene in relation to international environmental governance, it provides the context against which the strategic positioning of UNEP's EG Sub-programme can be considered.

2.1 IEG: An Evolving Concept

8. International environmental governance (IEG) is the process by which cross-border environmental issues are governed. IEG involves the set of international institutions -United Nations Organizations and their partners; the framework of international law and treaties- mainly multilateral environmental agreements (MEAs) and the related financing mechanisms (e.g, the Environment Fund; Global Environmental Facility (GEF), Multilateral Fund). [4]

9. Governance processes are beyond the exclusive remit of government public service and state controls, involving networks of civil society, private corporations, community organizations and market mechanisms. Progressive countries show leadership in contributing to resolving issues beyond their own borders and work closely with civil society, enabling these partners to actively participate in governance. Governance is "the constellation of authoritative rules, institutions and practices by means of which any collectivity manages its affairs" (Ruggie 2004). Principles of good governance are openness, participation, accountability, effectiveness and coherence.

10. Improving international environmental governance has been an issue of dynamic debate in academic and policy-making circles ever since environmental issues entered the international agenda in the 1970s. In this debate, global environmental issues are equated with international resolve and frequently encompass regional issues and actions. Environmental problems within national borders having potential global consequences are also often considered part of the IEG puzzle. A fundamental premise of IEG is that environmental issues can rarely be resolved by one country alone and require international cooperation. IEG is both an evolving concept and process in pursuit of a coherent institutional framework and effective system to protect and improve the global environment.

11. Key landmarks over the previous four-decades include the creation of UNEP in 1972 and the reaffirmation of environment as a key pillar of sustainable development in the 1992 Rio Earth Summit. The Rio Declaration on Environment and Development and Agenda 21 set the fundamental principles and policies to address environmental issues. These were reaffirmed and in some cases deepened in related global fora and implementation reviews such as the 2002 Johannesburg World Summit on Sustainable Development and the resulting Joint Plan of Implementation, and, most recently in the Rio +20 UN Conference on Sustainable Development.

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[4] World Resource Institute. World Resources 2002-2004 Decisions for the Earth: balance voice and power p 138

12. The United Nations Environment Program is considered the principal body of the UN in the field of environment that "sets the global environment agenda, promotes the coherent implementation of the environmental dimension of sustainable development within the United Nations system and serves as an authoritative advocate for the global environment."[5] UNEP has been the main facilitator of the IEG debate and setting the IEG agenda has formed a large part of UNEP's role, some equating IEG and UNEP. UNEP works with a number of actors, namely UN system organizations and coordinating mechanisms (including the Chief Executive Board – (CEB), Environment Management Group (EMG), and the UN Development Group - UNDG), MEA Secretariats; regional level organizations and bodies as well as governments and country level partners.

13. The "who, what and how" of an effective IEG regime have been broadly outlined in various international fora, but without much depth. Most of the specific means to address obstacles remain an undefined 'work in progress'. The current IEG landscape is fragmented and comprises of more than 1000 international treaties and/or agreements[6], 45 of global geographical scope and at least 44 UN organizations actively engaged in environmental activities. Yet, many critics would argue that much of the IEG process remains a 'paper and talk' exercise.

14. However, the debate has been renewed in the last couple of years, in preparation for, and following, the 2012 Rio+20 UN Conference on Sustainable Development (UNCSD). The context from 2012 and beyond is one of pressing and increased needs for change and improvements, against a backdrop of global economic and financial difficulties that have acted to sap political will. The IEG regime has so far evolved with multiple thematic responses, but limited concrete success in dealing with environmental issues, in spite of periodic reform attempts.

15. While environmental threats and international responses to them have increased in their number and complexity, reviews, metrics and assessments invariably point to the very limited positive results in environmental protection and improvements.[7] The past decades have been ones of unprecedented environmental change, mostly bad news, having significant economic and social consequences. Yet there have been successes; the Montreal Protocol, on substances that deplete the ozone layer and its Multilateral Fund, is recognized as the single most successful international agreement. With participation of 195 countries (2012) the treaty resulted in phasing out over 93% the production and consumption of substances responsible for ozone depletion, since 1992 and promising recovery of the ozone hole over the Antarctic. In addition,

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[5] Nairobi Declaration 1997
[6] International Environmental Agreements Database Project, http://iea.uoregon.edu/page.php?file=home.htm&query=static
[7] ISSD global assessment

the very large climate-related benefits that stem from the elimination of some ozone depleting substances are only now beginning to receive global attention.

16. In the current context of salient problems, IEG is fragmented complex, messy, open, yet hopeful. 2012 being a benchmark anniversary in environment policy making, with the Rio+20 UNCSD, there are potential new spaces opening up for IEG reform: increased political recognition of environmental risks and consequences of climate change and value of ecosystems; new markets for trade in emissions and ecosystem services and information and communication technology and networks connecting people and institutions allowing innovative consortia.[8]

17. The IEG challenge is a daunting moving target, with problems emerging at all scales, in a flux of contrasting globalization and decentralization. The UN system has known better financial times and is in continual reflection on what is the best mode of global public action to address environment and other pressing economic and social development issues.

2.2   IEG Gaps and Reform Pathways

18. Stronger system-wide coherence on environment and sustainable development was called for in the turn of the century UN reforms. Recurring themes have been the need for a) an authoritative and responsive advocate for the environment b) a strong and coherent science base; c) a strengthened and predictable financial base for UN environmental activities and programs; d) coherence within the United Nations conventions and agencies dealing with the environment, especially the MEAs e) influence on the economy: trade, investment rules and new and emerging markets f) a more responsive and cohesive approach to country needs to building capacity and technology support to enhance implementation.[9] These pathways were reiterated in the UNEP IEG Cartagena Package of 2002 and echoed in the 2005 World Summit Outcome.

19. The premise of UN reviews is that in any IEG reforms, 'form should follow function' and focus on the main action pathways. Yet, reform pathways appear to have been mostly fixated with mandates and organizational structures with lesser attention paid to substantive functions.

20. Noteworthy actions (following the adoption of the GA resolution 53/242 in 1999) include the establishment of the Environment Management Group (EMG) to coordinate and facilitate interagency processes, the creation of the Global Ministerial Environment Forum (GMEF), and some support to enhancing linkages among environmental and related conventions.

21. More recently, in 2009, the Consultative Group of Ministers or High Level Representatives on IEG established by and reporting to the UNEP Governing Council (GC)[10] identified five options to further advance International Environmental Governance[11]:

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[8] UNEP/GC.26/info/23
[9] UNEP/GC25/16/add1
[10] UNEP Governing council February 2010
[11] Belgrade process

- Enhancing UNEP
- Establishing a new umbrella organization for sustainable development
- Establishing a specialized agency such as a World Environment Organization
- Reforming the United Nations Economic and Social Council and the United Nations Commission on Sustainable Development

22. Enhancing institutional reforms and streamlining existing structures. Further discussions on these options in 2010 and the resulting outcome - referred to as the Nairobi- Helsinki Outcome identified six potential system-wide responses to advance the current IEG system:

> *With the increasing number of treaties and institutions responsible for their administration, coherence and coordination of overlapping efforts has emerged as a central challenge for international environmental governance.*
>
> *UNEP DELC issues brief 3*

- Strengthen the Science-policy interface: facilitate cooperation, analysis and national level use of environmental information; further develop internationally agreed indicators and improve the Global Environmental Outlook process.
- Develop a system wide UN strategy for the environment: improve effectiveness, efficiency and coherence of environment policy and practice for sustainable development. Clarifying who does what among UN organizations and partners, namely, national governments and civil society.
- Realize synergies between MEAs: such as joint delivery of services by secretariats so as to better support national level implementation.
- Link policy implementation to financing: bridge financing gaps with pooling of funds, tracking of donor contributions and strategy for private sector involvement.

> *'While much has been achieved, it is also recognized that the international community has taken a piecemeal approach to environmental issues, responding to them as they emerge and in isolation from one another"*
>
> *- UNEP DELC issues brief 2*

- Develop a system-wide capacity development framework for environmental sustainability: Building on the Bali plan[12], strengthen national capacities to implement MEAs and other agreed international environment objectives.
- Strengthen strategic engagement at regional level: Improve UNEP response to country environmental needs and participation in UN country teams.[13]

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[12] Bali Strategic Plan for technology support and capacity building
[13] UNEP.2010 Report of the second meeting of the Consultative group of Ministers or High-level representatives on IEG. 23 November 2010

23. These responses in turn echo the recommendations identified in the "Management review of environmental governance within the UN system" (JIU, 2008). Recognizing a huge implementation gap, the recommended reforms to the institutional setting mainly focused on coherence and division of labour among different UN stakeholders in EG, the strategic role of UNEP, support and coordination among MEA secretariats, delegation of authority and coordination at country level. They outlined actions to be taken by the two-dozen UN funds and programmes and specialized agencies.

24. In their analysis, the JIU noted that coherence and coordination gaps are mainly due to absence of a) common mechanism to resolve contradictions among MEAs b) a United Nation system wide planning document on environmental assistance and c) a framework for common administrative, financial and technical support services to promote synergies between UN agencies and MEAs. The gaps represent important 'strategic niches' for the work of UNEP's EG Sub-programme .

2.3   Key Issues

25. The growing challenge of an effective IEG regime is often summed up as implementation gaps to the MEAs. The IEG reforms have not progressed much in the last two decades. The basic functions and architecture are essentially the same. Meanwhile, MEA Conference of Parties (COP) negotiations, decisions and meetings have continued to multiply.

26. The following persistent governance issues have remained largely unresolved, while environmental degradation has significantly worsened.

Fragmentation- a barrier to effective coordination of country level governance

27. The ultimate success or failure of the international efforts to protect the global environment rests largely with countries - the governance units of the world. Integrating the *multilateral* environmental agreements (MEAs) in national socio-economic development plans is essential to global progress on sustainable development. In principle, IEG is to address issues that countries cannot effectively address alone. It connects countries, empowering smaller countries for effective global responses to common problems. The proliferation of MEAs and fragmentation of the IEG regime appears to have had a disempowering effect on countries and has limitied the collective effectiveness of MEAs.

28. Multilateral Environmental Agreements form the core of the IEG regime, yet there are serious implementation gaps to what seems to be a disconnected disjointed decision processes, with some contradictory outcomes. The potential for collaboration in consolidating the MEA is huge, yet the examples of effective cooperation too few.

29. Most of the major MEAs have gained wide acceptance and have been willingly ratified by countries. Most countries have signed at least nine out of the 14 major MEAs and 60 have

signed all of them. [14] With some 1000 MEAs adopted, it is often described as a proliferation of legal and institutional arrangements with little progress on their implementation. From a global governance perspective, this is often referred to as a compliance gap."[15]

30. The divide between the policy, practice and financing has created issues of inefficient use of resources. Numerous secretariats, multiplying agendas and meetings are considered to be a drain even on the most resourceful countries.[16][17] Given the multiple often-fragmented responses, the international community has become increasingly concerned about ensuring that the limited resources available are deployed in the best possible manner.

Insufficient coordination and cooperation in international responses

31. The over 44 UN agencies involved in environmental issues is a positive sign that environment is increasingly integrated in socioeconomic development. However, the lack of cooperation and coordination among international organizations is a concern and the growing numbers of players has further exacerbated the problem. Fragmentation of efforts and some unhealthy competition over limited resources makes coordination an almost impossible task.

> ''First, the concept of delivering as one should be both the starting point of discussions. Second strengthening the mechanisms for system-wide coherence should be utilized to support this aim"
>
> - International Peace Institute and Nordic Council of Ministers ''Strengthening IEG: Exploring system-Wide Responses" IPI Meeting summary (Dec 2011)

32. "Coordination" of UN agencies is hampered by the high number of agencies and programs in the UN that are involved in environmental protection and lack of resources and political capital to adequately fulfill this role. Over several decades, the GEF - financing mechanism, the various MEA secretariats, and the Commission on Sustainable Development (CSD) have acted to limit UNEP's authority and led to fractious turf wars and inter-agency politics. A climate of inter-agency distrust, uneven resource endowments and unclear (and sometimes contradictory) mandates from the Member States has not been conducive to either institutional cooperation or coordination.[18]

33. UNEP has been one of many 'backfield players' in a game with many unclear rules, and moving goal posts. The role of facilitator is no longer played by UNEP alone. Effectiveness of the international environmental governance system ultimately depends on how well the UN and other players work together and work with countries. Partnership and cooperation are essential - yet examples of successful partnerships and cooperation within the UN and outside are too few.

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[14] UNEP 2011 Keeping track of our changing environment.

[15] UNEP DELC issues brief 3

[16] UNEP DELC issues brief2.

[18] Najam, Adil -2006 Global Environmental Governance- cited in UNEP DELC issues briefs #2 International Environmental Governance : Demands and outputs of selected MEAs between 1992-2007.

34. While states are the primary actors in IEG, it is widely recognized that the systematic involvement of civil society improves environmental governance. Weak mechanisms for meaningful involvement of key stakeholders in governance have been highlighted and the full potential for CSO contributions remains untapped. IEG reforms are needed to allow opportunities for civil society to better observe, inform, shape policy and engage in IEG processes, and consequently improve the legitimacy, quality and sustainability of IEG decisions.[19] The parties to the Aarhus Convention on access to information, public participation in Decision making and access to justice have guidance on implementation of Rio Principle 10 on transparency, participation and accountability.

2.4   Outlook from Rio+20 outcomes regarding IEG

35. Prior to Rio +20 the EU had 'advocated for some years for a strengthened international environmental governance i.e. the upgrading UNEP into a specialized UN agency for the environment, in order to streamline UN operations in this field".*[20]*. The Rio + 20 UN Conference on Sustainable Development of June 2012, was a watershed moment for International Environmental Governance. The outcomes and related UNGA decisions set the IEG context for future UNEP strategic programming.

36. The IEG discussions in Rio + 20 reflected on what would be the most effective international framework for sustainable development (IFSD), looking at System-wide issues and responses. IFSD was one of two main themes at the Rio +20 summit. The other main theme was the 'green economy'. While a green economy is a pathway to sustainable development and the IFSD the regime to support this pathway, in many discussions so far, the two themes are treated as distinct topics.

37. The issues brought to the table at Rio +20 were not new, and whilst the popular opinion of the agreement reached focused on the 'opportunities lost' rather than the gains secured, longtime observers[21] highlight the following positive elements of the current wave of IEG debate: 1) a larger body of practice and analysis; 2) government champions; and 3) more active involvement of civil society in the global process.

38. The following basic points on IEG were agreed in the Rio+20 UNCSD outcome document:

- IEG within IFSD is considered essential to promote a balanced integration of the economic, social and environmental dimensions of sustainable development.

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[19] Werksman J. and J. Foti 2012. Improving public participation in International Environmental Governance. UNEP perspectives issues I Discussion paper.
[20] EU march 2012 council briefing note
[21] Ivanova M. 2010. Global governance in the 21st Century: Rethinking the Environmental Pillar. Report of stakeholder forum

- The need to strengthen environmental capacity and UNEP was widely recognised. The Rio +20 outcome document[22] supported strengthening of UNEP by establishing universal membership in its Governing Council and significantly increasing its financial base.

- Regular science base review of the state of the planet and a strengthened science-policy interface.

- Enhanced coordination and cooperation among the MEAs, to address policy fragmentation, overlaps and duplications, following example of the chemical and waste cluster.

- At the UN level, the central role of the General Assembly UNGA is reaffirmed and strengthening the Economic and Social Council (ECOSOC) to promote the integration of sustainable development in UN agencies and programmes.

- For sustainable development governance, the decision was to "establish a universal intergovernmental high level political forum" that builds on the strengths, experiences, resources and inclusive participation modalities of the Commission on Sustainable Development, that subsequently replaces it.

- Strengthen regional sustainable development governance to facilitate country capacities development and

- Re-establish or re-invigorate national sustainable development plans, strategies and priorities.

39. One major disappointment was the failure of the process to reach a new global agreement on sustainable development targets.

40. In sum, the IEG context post Rio +20 still retains many uncertainties, yet also expresses a clear need, and presents a key opportunity for UNEP to better assume a leadership role in International Environmental Governance.

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[22] United Nations 2012. The future we want.

3. SUB-PROGRAMME OBJECTIVES AND STRATEGY

3.1 UNEP's Role in Environmental Governance and Key Objectives

The UNEP vision and understanding of environmental governance

41. UNEP describes environmental governance as the global, regional, national and local responses to manage environmental threats. Effective governance is considered critical for finding solutions to trans-boundary challenges such as air pollution and biodiversity loss. The UNEP vision of environmental governance is a world where:

   - States can craft environmental policies based on up to date, accurate information on emerging issues and the state of the global environment,
   - Environmental sustainability is an integral part of all national development planning, helping to reduce poverty and increase long term security for vulnerable populations,
   - States cooperate effectively on the global stage, developing international agreements that move us closer to a sustainable future, and,
   - States enter into lasting and effective strategic alliances with major groups and stakeholders to achieve common goals and objectives.[23]

42. The UNEP objective for 2010-2013 was that environmental governance at country, regional and global level be strengthened to address agreed environmental priorities. The assumption being that this leads to strengthening and mainstreaming of the environment in all sectors, including the appropriation of adequate resources at all levels. [24]

43. UNEP offers four core services to help States meet the challenges of environmental governance:[25]

   - Access to sound science for decision-making: Global environmental assessment of state, trends and policy options; connecting scientific networks to policymakers; guidance to countries on environmental review.
   - International cooperation; Promoting cooperation on environmental policy; aligning international laws and standards with UN law, review goals, targets and commitments; setting the global environmental agenda through ministerial fora and the GC/GMEF.
   - International policy setting and technical assistance: helping governments further develop and strengthen judicial, political and legal systems; engaging stakeholders in strategic partnerships.

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[23] UNEP Environmental governance -2009 Factsheet brochure
[24] UNEP Draft strategy document for Environmental Governance June2008
[25] UNEP Environmental governance -2009 Factsheet brochure

- National Development Planning: develop and strengthen institutional arrangements for management of shared natural resources and trans-boundary environmental issues; technical and financial support to integrate environmental sustainability into national policy and budgeting (PEI); integrate principles of environmental sustainability across UN development assistance.

44. Environmental Governance was one of six crosscutting thematic priority areas of the UNEP Medium Term Strategy 2010-13. The stated objective "*To ensure that environmental governance at the country, regional and global levels is strengthened to address agreed environmental priorities*" has remained the same for both the 2010-11 and 2012-13 Programmes of Work.

45. The UNEP **working definition** of Environmental Governance (EG) remains "the processes and institutions that guide and restrain the collective action of Governments, organizations, major groups and civil society to address collective environmental issues at all levels, from local to national, sub-regional, regional and global".[26] 'Processes' refer to the flow of decision-making processes, both formal and informal. 'Institutions' broadly includes norms, principles, procedures, policy, economic or legal instruments and organizations. [27]

46. UNEPs vision, understanding and definition of environmental governance **_are a work in progress_**. Management and staff responses to the question "what is environmental governance?" vary considerably and there is little evidence of a shared vision of what this entails across the subprogramme. The perspectives vary from ''*Institutional arrangements to deal with a particular matter*" where the environment is a foundation of sustainable development to "*enabling, policy and law setting*". Environmental governance and International Environmental Governance are often used interchangeably within UNEP. The lack of a shared conceptual understanding and an agreed definition for environmental governance is surprising for an organization with a mandated role of leading normative work on the environment. It is to a certain extent symptomatic of the breadth of the scope, and the state of flux, globally, on what is effective, coherent environmental governance, but it also points to a need for a clear and coherent strategy to underpin the subprogramme.

47. Clear acknowledgement of the following distinction will be important for future strategic planning of UNEP's work on Environmental Governance:

> ***Environmental Governance*:** concept, policy and practice: comprising legal and regulatory frameworks; institutions and institutional mechanisms; data, information and knowledge sharing systems at the country, regional and global level to address agreed environmental priorities.

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[26] Draft strategy for sub-programme 4 of the 2010-2011 Programme of Work (June2008) and SP Evaluation TOR2010
[27] Draft strategy for sub-programme 4 of the 2010-2011 Programme of Work (June2008)

> ***International Environmental Governance (IEG):*** the international environment regime (including UNEP and MEAs) within an international governance system.[28] How the UN system is set up and organized to work towards environmental sustainability.

48. For many (and this evaluation team) UNEP's most meaningful results are to influence national and local level action. Countries, being the key governance units of the world, are a main hub of governance activity, but also key to progress in dealing with global and regional environmental challenges. This is reflected in the environmental governance vision statement above and the stated goals and objectives of the sub-programme. While the vision and mandated space of UNEP is broad, the UNEP mandate / role vis-a-vis country support remains unclear. The central role of countries is part of the UNEP vision, yet it is not clearly outlined and reflected in the UNEP subprogramme design and implementation arrangements. This reflects both an evolving mandate and changing perceptions of priority that are moving towards greater country-level engagement as evidenced in the Rio +20 outcome document where UNEP's mandate in this regard was re-enforced. Intended results for the environmental governance subprogram are also expressed as "*informed environmental decision making to enhance global and regional environmental cooperation and governance*"[29] . Global and regional level actions are critical, but, in many respect only a means towards 'on the ground' impact from country level actions.

49. Within the UN system, the overall sense is that UNEP is to collaborate more with others, engaging to mainstream, improving outreach communication and awareness and the quality of its assessments and relevance to policy makers within existing institutional structures: its own and those of partners.

50. The vision and strategy for UNEP's work on EG has not evolved much since 2006. However the UNEP internal framework for programming and the external environment has changed significantly.

51. *Recommentdation: EG sub-programme should agree on and adopt a formal definition for "environmental goverance" that can underpin future strategy development. The EG Sub-programme strategy needs to be improved and reflect the Rio +20 outcome and specify its intervention strtategies at national regional and global levels. The strategy must be driven by external realities, should have a clear problem focus (rather than an exhaustive list of mandates) and should articulate UNEP's strategic niche and unique identity.*

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[28] IEG Rio+ 20 and IEG BBppt by B. Chambers

[29] Extract from UNEP Evaluation Office formative evaluation

3.2   Sub-programme Structure and Design

52.   The introduction of six thematic Sub-programmes with a focus on results-based planning and management, in combination with all the associated past and on-going operational and administrative changes, is often within UNEP referred to as the "reform process".

53.   The PoW for the biennium 2010-2011 departed from its previous modality of programming according to UNEP's divisional structure, and elaborated a thematic approach to programme planning and implementation. This approach aimed *"to strengthen results-based management and increase management accountability for programme delivery and resource mobilization, while at the same time ensuring that relevant sector expertise benefits all Sub-programmes"*[30] in order *"to make better use of existing resources"*[31].The approach also aimed to improve coordination, lessen the perceived "silo" culture in UNEP, and reduce the duplication of efforts that was perceived to be inherent in the prior situation - where the organisation's divisional structure coincided with the responsibility for planning and delivery of separate Sub-programmes.

54.   Stemming from the MTS, PoWs 2010-11 and 2012-13 draw six thematic Sub-programmes, including Environmental Governance, that 'cut across' Divisions.

Figure 1: A diagrammatic representation of the previous and the revised PoW implementation modalities
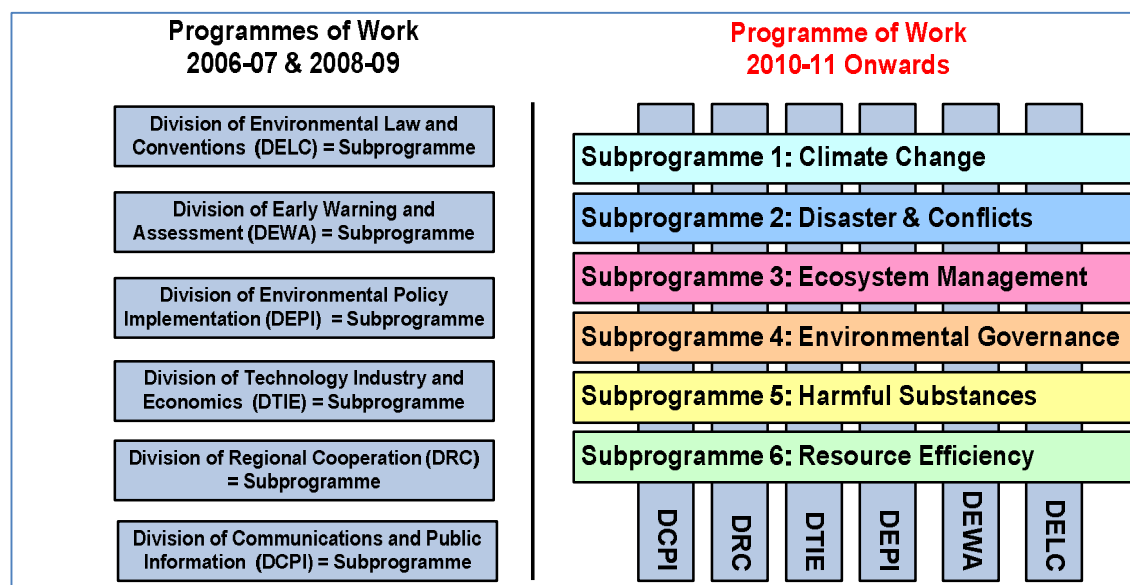
Source: Proposed biennial programme and support budgets 2010-2011 – UNEP Governing Council Document UNEP/GC.25/12

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[30] Proposed strategic framework for the period 2010-2011 – UN General Assembly Document A/63/6
31 Quote from Draft UNEP PoW 2012-2013.

55. The strategy for the EG Sub-programme[32] defines the scope of the Sub-programme, its objectives, issues at stake (needs and gaps), and articulates UNEP's perceived comparative advantages. The strategy highlights that UNEP work in this area is related to formal mandates as defined by the UN General Assembly and the UNEP Governing Council (Nairobi Declaration) and, in contrast to the other Sub-programmes, defines its scope and ambition very broadly: *"By the Sub-programme on Environmental Governance, the UNEP secretariat will ensure that all the core functions and responsibilities mandated by the General Assembly of the United Nations and the Governing Council of UNEP are carried out"*. In details, the EG Sub-programme has a two-fold objective of: i) ensuring *"that environmental governance at the country, regional and global levels is strengthened to address agreed environmental priorities"*, and ii) promoting *"informed environmental decision-making to enhance global and regional environmental cooperation and governance"*.

56. Benchmarked against the working definition of Environemental Governance, and its operationalization through EAs, all Divisional work-plans of previous biennia, including that of Executive Office, prove to have had, to differing degrees, EG-related EAs. A few examples are provided in Table 1, which shows how EG-related work – although very much aligned with DEWA, DELC and DRC competence areas – cannot be confined to those Divisions only. The evaluation is of the opinion that the results of EG-related functions performed by the ED's Office should also be captured in the EG SP results framework.

Table 1: Examples of EG-related Expected Accomplishments (2006-07 and 2008-09)

Office of the Executive Director [33]
Enhanced integration of environmental activities within the UN system and wider acceptance of environmental concerns in the broader sustainable development framework
Environmental Assessment and Early Warning – DEWA
Greater participation of partner institutions in UNEP-supported networks and improved exchange of available environmental data and information for assessment processes, early warning systems and decision-making
Enhanced institutional and technological capacity in developing countries and countries with economies in transition for data collection, research, analysis, monitoring, environmental assessment, early warning, networking and partnerships[34]
Environmental Law and Conventions – DELC[35]

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[32] UNEP (2008). Environmental Governance. Draft strategy for sub-programme 4 of the 2010-2011 Programme of Work. Unpublished internal discussion document.

[33] Mentioned only in the biennium 2008/09. The PoW 2008-09 also included two EAs assigned to the UN Scientific Committee on the Effects of Atomic Radiation: (a) Expanded and updated scientific assessments of exposures regionally and globally to ionizing radiation and of radiation risks for and effects on human health and the environment; (b) Increased awareness and use among decision makers, the scientific community and civil society of the scientific assessments of the Committee as a sound basis for radiation risk

[34] PoW 2006-07 explicitly mentioned increased participation to achieve the targets of the World Summit on Sustainable Development. PoW 2006/07 also included an additional EA(d) related to the development of capacities of international, regional and national institutions to analyse the biodiversity status.

Enhanced capacity of national Governments and other stakeholders for mainstreaming national environmental objectives into national sustainable development and poverty eradication strategies, including, where appropriate, in a synergistic and interlinked manner[36]
Enhanced environmental legal frameworks - strengthened capacity of Member States for enhancing implementation of, compliance with, and enforcement of environmental law, as well as strengthened capacity of relevant institutions and stakeholders to facilitate implementation of and compliance with environmental law
Enhanced collaboration and cooperation between UNEP and MEAs, their secretariats, scientific bodies and global, regional and national stakeholders, as well as enhanced support for collaboration and cooperation among their bodies, aimed at enhancing implementation of, compliance with and enforcement of the MEAs and improving synergies among them, and enhanced coordination within the UN system in undertaking environmental activities
Improved engagement of major groups in the development and implementation of environmental policy and law [37]
Policy Implementation – DEPI
Improved access by Governments and other stakeholders to relevant implementation tools (including dialogue forums) for integrated natural resources management and restoration of degraded ecosystems, including – among others – freshwater, coasts and oceans
Regional Cooperation and Representation - DRC
Strengthened policy dialogue and cooperation among and between countries and institutions in the regions in addressing environmental issues of common concerns and priority
Increased cooperation with Governments and intergovernmental, non-governmental and UN partners in the delivery of programmes and projects at the regional/sub-regional/national levels, addressing environmental priorities identified by UNEP Governing Council and regional institutions
Enhanced capacity of Member States to integrate environmental sustainability into national development processes including PRSPs and MDG implementation plans[38]
Enhanced mainstreaming, cooperation and liaison within the UN system in undertaking environmental activities[39]
Communications and Public Information - DCPI
Increased awareness of, and focus on, environmental issues and the work of UNEP among all sectors of society
Expanded partnerships between UNEP and children and youth organizations, sports associations, NGOs, Governments and the private sector in promoting environmentally friendly attitudes and actions, taking gender considerations into account
Technology, Industry and Economics – DTIE
No specific EA on EG - but contributing to EG through guidance on specific technical issues (including in areas covered by the Chemicals Branch, IETC, ETU and inputs to climate change assessments)

57.   In addition, the EG Strategy foresees a role for the Sub-programme that implies linkages with substantive governance work in the other five thematic subprogrammes. Figure 2 shows a diagrammatic representation of this; all thematic programmes having a strong link to national,

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[35] Combines work carried out by the Division of Policy Development and Law and the Division of Environmental Conventions in PoW 2006/07

[36] This could include activities under EA(e) in the PoW 2006-07 – "*Enhanced understanding by all partners of the need to incorporate the environmental dimension in efforts to meet internationally agreed development goals, including those contained in the Millennium Declaration and the Johannesburg Plan of Implementation*"

[37] Only in PoW 2008/09

[38] Very similar EA also under DELC Sub-programme

[39] Very smilar EA also under the Executive Director's area of accountability

regional and global governance processes. In this sense, the EG Sub-programme should be regarded as central to the Programme of Work of UNEP.

Figure 2. The relationship between EG and other UNEP thematic Sub-programmes in the 2010-13 MTS
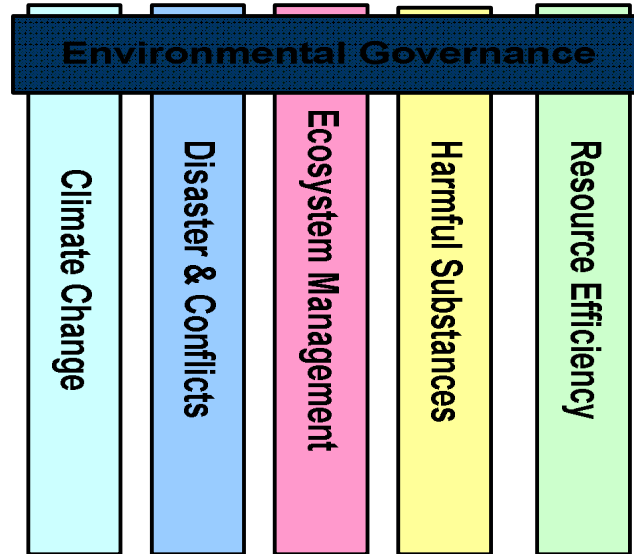
58. On one hand - given the centrality of UNEP work on EG in relation to the Organization's Mandate, and the certain linkages between the EG SP and other "more thematically focused" SPs - not everything that UNEP does on governance could, or should, be included within the EG SP. For example, the work by DTIE on the draft MEA on mercury was not formally considered as part of the EG SP, yet senior staff from within the subprogramme engaged actively in this governance work.

59. On the other hand, as a transitional measure in moving from the 'old' Divisional Sub-programmes to the 'new' thematic Sub-programmes, it was agreed that, if a project/activity fell into more than one thematic area, it would be included under the EGSP. In addition to thematic work of direct relevance to environmental governance (such as the GEO-5 initiative) the EG SP includes corporate functions that do not have a strong and direct linkage to the results framework defined for EG subprogramme, such as: regional representation; public information and communications; and engagement of civil society and major groups.

60. A clear definition for Environmental Governance itself is a pre-requisite for a well-formulated strategy and SP design. The lack of an agreed definition and the inclusion of corporate functions in the Sub-programme have blurred the strategic focus and compromised accountability for work that cannot readily be captured within the existing SP results framework. Staff working to provide such functions do not feel at ease in this structure and tend not feel a sense of ownership towards the Sub-programme.

61. Expected Accomplishments (EAs) are the next level of results 'below' Sub-programme objectives. The UN Secretariat, of which UNEP is a part, defines Expected Accomplishments as 'the expected direct outcomes for a Programme of Work'. UNEP has defined EAs as "the outcome results approved in the PoW under each Sub-programme to which UNEP has committed. This is the level at which indicators are measuring success" (UNEP SMT, 2009). Each EA has associated indicator(s) of achievement with defined baselines, targets and means of measurement.

62. The Formative Evaluation of the PoW 2010-11 presented a critique of the Expected Accomplishment result statements and indicators. Overall, the Formative Evaluation noted, , EAs are pitched at very high level, so much so that UNEP's contribution to them is difficult to establish. Performance indicators are also often poorly articulated and these two factors in combination mean that the results framework for the SP was not well-suited to monitor and measure performance in subprogramme implementation. A more detailed critique of EGSP EAs can be found later in this section, as well as in section on "Design and Structure" of the present report.

63. The EG SP 2010-13 was articulated around four pillars, and four Expected Accomplishments for; i) international cooperation, ii) strengthened national laws and institutions, iii) international policy setting and technical assistance and, iv) access to sound science for decision-making. With the exception of EA(A) which is broader in scope, the way EAs are formulated still recalls a Divisional separation of work, with DELC, DRC, and DEWA each responsible for the achievement of one EA.

Table 2. Environmental Governance Expected Accomplishments

Goal	Expected Accomplishments
International Cooperation To help States cooperate to achieve agreed environmental priorities, and support efforts to develop, implement and enforce new international environmental laws and standards	**PoW 2010-11 and 2012-13:** The United Nations system, respecting the mandates of other entities, progressively achieves synergies and demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements. **PoW 2014-15:** The United Nations system and multilateral environmental agreements bodies, respecting the mandate of each entity, demonstrate increasing coherence and synergy of actions on environmental issues
Strengthened national laws and institutions To work with States and other stakeholders to strengthen their laws and institutions, helping them achieve environmental goals, targets and objectives	**PoW 2010-11 and 2012-13:** The capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions is enhanced **PoW 2014-15:** 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
International policy setting and technical assistance To promote the integration of environmental sustainability into regional and national development policies, and help States understand the benefits of this approach. UNEP also supports the establishment and strengthening of institutional arrangements to manage transboundary natural resources	**PoW 2010-11:** National development processes and UN common country programming processes increasingly mainstream environmental sustainability **PoW 2012-13:** National developmentprocesses and United Nations common country programming processes increasingly mainstream environmental sustainability into the implementation of their programmes of work **PoW 2014-15:** Countries increasingly mainstream environmental sustainability in national and regional development policies and plans
Access to sound science for policy-making To influence the international environmental agenda by reviewing global environmental trends and emerging issues, and bringing these scientific findings to policy forums	**PoW 2010-11 and 2012-13:** Improved access by national and international stakeholders to sound science and policy advice for decision making **PoW 2014-15:** No EA for this PoW- work moved to Sub-programme 7, 'Environment under Review'.

Environmental Governance Programme of Work Outputs

64.   Programme of Work Outputs are specified for each EA in the PoW. In a nutshell, the EGSP revolves around participation in, and facilitation of:

- UN system-wide inter-agency coordination processes at all levels, including the Chief Executive Board (CEB), the UN Development Group (UNDG), the Environment Management Group (EMG), and UN Country Teams (UNCTs);

- Global and regional intergovernmental processes for policy debate, negotiations and decision-making within and outside the UN system, including those of MEAs;

- Development of environmental law and regulatory frameworks at all levels, and support for their implementation, including aspects of compliance and enforcement;

- Global and regional initiatives for facilitating the engagement of major groups and civil society in policy debate and decision-making processes;

- Global, regional, sub-regional environmental assessments, state of environment reports and environmental information exchange, for science-based informed decision-making at relevant intergovernmental processes.

Sub-programme: Environmental Governance

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

Programme Framework

Expected Accomplishment (a)
The United Nations system, respecting the mandates of other entities, progressively achieves synergies and demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements.

POW Output 4a1 (DEWA)
Emerging environmental problems of broad international significance and existing gaps in environmental regimes will be identified by the Governing Council based upon environmental assessment and analytical inputs
PROJECT 1A

POW Output 4a2 (DELC)
Policy guidance to set the direction and improve the coordination of actions on issues identified by the Governing Council is considered in other intergovernmental deliberations (GA and 3 UN bodies or conferences of parties to multilateral environmental agreements)
PROJECT 1A – NO PRC

POW Output 4a3 (DELC)
UN entities and UN inter-agency bodies consider general policy guidance of the UNEP Governing Council and findings of major international environmental assessments in the design and delivery of their interventions through the Environment Management Group, the Chief Executives Board and the UNDG (3 UN entities and/or inter-agency bodies)
PROJECT 1A – NO PRC

POW Output 4a4 (DELC)
The needs and activities of multilateral environmental agreements and their secretariats are supported through advanced cooperative mechanisms (two arrangements)
PROJECT 2A – NO PRC

POW Output 4a5 (DELC)
Environmental priorities of multilateral environmental agreements are identified and mainstreamed to ensure coherence across the UN system (four thematic areas)
PROJECT 2A – NO PRC

POW Output 4a6 (DRC)
Effective policy exchange and development and priority setting by countries are supported through regional ministerial and other environmental forums (four forums)
PROJECT No. 3A

Programme Framework

Expected Accomplishment (b)
The capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions is enhanced

POW Output 4b1 (DELC)
National and international environmental law and institutions are strengthened through the implementation of the fourth Programme for the Development and Periodic Review of Environmental Law [five issue areas].
PROJECT No. 1B

POW Output 4b2 (DELC)
Legal and policy instruments are developed and applied to achieve synergy between national and international environment and development goals [six countries; one subregion].
PROJECT No. 1B

POW Output 4b3 DELC)
Countries' legislative and judicial capacity to implement their international environmental obligations is enhanced through implementation of policy tools [three regions, focusing on developing countries and countries with economies in transition].
PROJECT No. 1B

POW Output 4b4
Capacity of government officials and other stakeholders for effective participation in multilateral environmental negotiations is enhanced [three regions, focusing on developing countries and countries with economies in transition].
PROJECT No. 1B

POW Output 4b5 (DRC)
Inter-sectoral and inter-governmental forums for policy dialogue between major groups and multiple sectors of Governments on emerging environmental issues are facilitated [four forums].
PROJECT No. 2B

Programme Framework

Expected Accomplishment (c)
National development processes and UN common country programming processes increasingly mainstream environmental sustainability

POW Output 4c1 (DRC)
The capacity of UN country teams to integrate environmental sustainability into UNDAF and other national planning processes is strengthened through provision of environmental information and data (20 UN Country Teams in One-UN pilot and roll-out countries)
PROJECT 1C

POW Output 4c2 (DRC)
Environmental sustainability is fully integrated into UNDAF (5 countries)
PROJECT 1C

POW Output 4c3 (DRC)
Environmental sustainability is integrated into national and sectoral development planning processes (8 national processes)
PROJECT 2C

POW Output 4c4 (DRC)
Regional and subregional institutional arrangements are facilitated to address common interests in shared natural resources and transboundary environmental issues in accordance with priorities and strategies identified by the relevant regional or sub-regional intergovernmental bodies and forums, or by the countries concerned
PROJECT 3C

Programme Framework

Expected Accomplishment (d)
Improved access by national and international stakeholders to sound science and policy advice for decision making

POW Output 4d1 (DEWA)
Global, regional, sub-regional and thematic environmental assessments, outlooks, indicator reports, and alerts produced, communicated and used by decision makers and relevant stakeholders in decision making in national and international policy processes
PROJECTS 1D – 2D – 4D

POW Output 4d2 (DEWA)
Multi-disciplinary scientific networks more strategically connected to policy makers and development practitioners to integrate environment into development processes (six networks)
PROJECT 3D

POW Output 4d3 (DEWA)
Institutional and technical capacities of Governmental and partner institutions in environmental monitoring, assessment and early warning demonstrated to support national decision-making (twenty countries)
PROJECT 5D

3.3   Sub-programme Design Issues

65.   The Evaluation observes the following:

a)   The EG Strategy provides a quite detailed narrative on the focus on UNEP's activities under each Expected Accomplishment and lists key intervention areas corresponding to PoW Outputs. However, the causal logic linking activities, PoW Outputs and EAs is only loosely discussed.

b)   The current Expected Accomplishments do not provide a coherent results framework for the sub-programme. For example, the EA(A) seeks synergistic improvements within the UN System processes, **and** within and among MEAs. Expected Accomplishments should capture sets of closely related project outcomes. Given this guidance, and since the substantive work to achieve "improvments in UN system processes" is likely quite distinct from the work needed to achieve "synergistic improvements within and among MEAs", future EAs for the EG sub-programme might better split this single EA into two: one promoting synergies and coherence with the UN system, and the other among MEAs.

c)   EA(D) about "improved access to sound science" is a general approach that is better integrated across all UNEP interventions, rather than setting this as an outcome that is restricted to the EG sub-programme. Improved access to 'sound science' to inform decision-making should also result from initiatives in all sub-programmes. The decision taken in 2011 to develop a seventh subprogramme "Environment under Review" that will come into being in the 2014-15 biennium may help address this issue. The subprogramme will have the objective "*To empower stakeholders in their policy and decision making by providing scientific information and knowledge and keeping the world environment under review*".

d)   The formulation of Expected Accomplishments does not always adequately reflect or capture the performance of the work carried out under the related PoW Outputs or the different contributions by Divisions. For example, EA(B) did not capture any capacity development work done with major groups; similarly, EA(C) considers national development processes only, excluding in its formulation the activities carried out to enhance institutional arrangements for the management of transboundary resources. Notably, there was a body of work within the current sub-programme aimed at improving regional environmental governance processes, but there were no corresponding EAs that capture such outcomes in the results framework. Different Divisions pointed out that the River Basin Organization and the

Regional Seas Programme are not receiving adequate attention, although they are an important platform on which many UNEP interventions are based.

e) Contrary to the general trend of having at least *"one project designed for each PoW output"* (UNEP SMT 2009), the EG Programme Frameworks for EA(A) and (B) developed **only two project concepts to cover nine PoW Outputs**. The evaluation considers that having too few projects covering a large array of programme level outputs carries a high risk that the project will lack coherence and will *de facto* be a an artificial collection of discrete sub-projects (i.e. an umbrella' project). Adopting this management modality creates further accountability and reporting difficulties because accountability at the level of project managers is obscured.

Project level planning and accountability myths: – 'normative work is different'

66. The requirement to present all substantive interventions in the PoW in project form is a major step forward in programme planning for UNEP. Previously, a large proportion of UNEP's work was presented only in 'costed workplans'. Whilst costed workplans afforded considerable flexibility, they lacked sufficient documentation to promote meaningful accountability. For example, there was often no analogue to the 'project document' detailing what would be done and why, making evaluation of costed workplans difficult, if not impossible.

67. A large proportion of the work of the EG Sub-programme is of a 'normative'[40] nature. Several stakeholders consulted during the evaluation process espoused a view that "normative work" is somehow different to other more 'direct' forms of intervention and, as such, it is (a) difficult to 'projectise' and (b) cannot be captured in results frameworks. Defining results was said to be complicated by the fact that, at the end, it is "Governments' responsibility to deliver results". This evaluation believes that any outcome stemming from a UNEP intervention is, by definition, a change in an individual's, an organisation's or a system's behaviour and is not <u>fully</u> within the control of UNEP. Nevertheless, staff can be held accountable for undertaking all feasible activities necessary to maximize the likelihood that an outcome will be achieved. At the organizational level, it becomes reasonable to pitch expected performance (i.e. accountability) at the the outcome level. These observations hold true regardless of the type of outcome that is sought, and therefore whether an intervention is deemed to be 'normative' or not.

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[40] *"Normative work in the United Nations is the support to the development of norms and standards in conventions, declarations, regulatory frameworks, agreements, guidelines, codes of practice and other standard setting instruments, at global, regional and national level. Normative work may also include support to the implementation of these instruments at the policy level, i.e. their integration into legislation, policies and development plans.* (United Nations Evaluation Group, 2012)

68. To illustrate the similarities and differences between normative work and more direct forms of intervention that yield environmental benefits, consider the following generic example. Imagine that the desired results from an intervention are defined in terms of quantifiable changes to some specific measure of environmental status. It is clear that an intervention that <u>directly</u> affects that environmental status is likely to be more readily planned, monitored and evaluated. An intervention that aims to achieve the same change in environmental status but does so more <u>indirectly</u> via, say, a policy change process, followed by regulation and some form of enforcement, is more challenging to plan, monitor, and eventually evaluate. However, both interventions can be "projectised". The number of steps in the causal pathways between the initial interventions and the desired end result would, however, be quite different. It is imperative, therefore, that the, often indirect, causal pathways that involve normative processes for EG interventions are clearly articulated at both project and programmatic levels. A direct intervention may be more limited in the scope of the effects, whilst more normative work may leverage larger 'systemic' effects even though they may be achieved more indirectly.

Unapproved projects

69. Within the EG Programme Frameworks A and B, considered by the evaluation, <u>three</u> projects - all managed by DELC - did not receive formal approval by the Project Review Committee: This means that *five out of the six PoW Outputs defined under EA(A), and four out of the five PoW Outputs under EA(B) of this Sub-programme, lacked a project document that was been formally approved by the organization.* The unapproved projects were:

  - Global environmental agenda setting to strengthen international cooperation in the field of the environment (project 41-P1)
  - Support for Multilateral Environmental Agreements (Project 41-P2)
  - Enhancing States' capacity to strengthen and implement environmental law" (Project 42-P1)

70. For the other two Expected accomplishments there was a more positive picture in terms of project approvals: EA (C) had three of its four PoW outputs covered by an approved project document (the fourth being linked to the Poverty and Environment Initiative, on whose inclusion within UNEP 2010-11 PoW there was some confusion), and all three PoW outputs under EA (D) are covered by an approved project document.

71. The reasons given by the Project Review Committee (PRC), and supported by this Evaluation, for the lack of approval of the three projects relate to a lack of coherence in project design, which is described as a mélange of activities, with separate contributions from different Divisions and unclear arrangements for coordination. The Sub-

programme was requested to re-submit re-worked versions of these projects. However, the Evaluation found no evidence that this was ever done. The work encompassed by the unapproved project documents, according to DELC staff, proceeded nevertheless. The level of resources expended by the organization that are associated with these unapproved projects is uncertain. The budgets presented in the three original unapproved project documents totaled more than $31 million. Anecdotal reports indicate that 20-30% of these resources were actually secured and expended during the 2010-11 biennium, suggesting that between $6 and 9 million were managed through some 'parallel' process outside of formally approved projects.

72. Clearly this raises accountability issues. Whilst the evaluation is not suggesting any impropriety in the use of UNEP resources, it is clear that considerable resources were being expended "outside" of the project modality that is used for the rest of the PoW. In addition, and as presented in later sections of this evaluation, non-approval of projects had a number of negative consequences for the systematic tracking of progress and reporting of results at project, EA and SP levels.

Undermining the principle of results-based planning – corporate service functions within a thematic results framework

73. The EG SP differs from the others, in that it encompasses several UNEP 'core' functions as mandated by the General Assembly. A common perception among UNEP staff is that the Environmental Governance SP had been used as a 'parking lot' for activities or functions that did not readily fit in other SPs. Prominent examples include 'corporate' work in communication (DCPI) and the regional representation function (DRC).

74. Projects are a useful modality to plan discrete problem-focussed interventions that are intended to deliver against higher level programmatic results. However, whilst it is possible to plan and manage "corporate support activities" in a project modality, designing such projects to fit within the results framework of an existing thematically-oriented sub-programme is not possible in meaningful way. The results that stem from such functions do not relate specifically to the outcomes specified in the environmental governance subprogramme. This creates accountability gaps for the significant portions of UNEP's work that are not captured under PoW's thematic results frameworks. Cross-cutting corporate support services should not reside within thematic sub-programmes since their performance measures are incompatible.

75. The Evaluation recommends:

- Developing a 'Corporate' communication project with a clear results framework as part of the Programme of Work perhaps with it costs spread across existing subprogrammes.

- Developing a corporate project and acomprensive results framework for the work of major groups and stakeholders

- Including Regional Representation under Executive Direction and Management

4. SUBPROGRAMME IMPLEMENTATION

4.1 General Findings

76. The EG Sub-programme evaluation focuses on the work defined in the 2010-13 MTS. Many of the initiatives that feature in the current SP began prior to the introduction of the thematic planning and management arrangements in 2010.

77. This section provides an overview of the implementation of the work within the EG Sub-programme since 2006 and the advances/results achieved during this period. However, the analysis and findings must be viewed in their proper context: The evaluation team did not systematically consult external project recipients or clients (excepting those within the UN system), and the analysis is largely based on; project progress reports, substantive publications, interviews of UNEP staff and other internal documents. Due to time and budget limitations, the evaluation team did not consider the full EGSP portfolio, and chose to focus on a sample of representative projects under each EA. The analysis focuses on the implementation process and related influencing factors, through assessment of the progress and performance of the sampled projects, more than on the comprehensive evaluation of the achievement of results at Sub-programme level.

78. UNEP is a non-resident agency that works frequently with (or through) Ministries of Environment. While this arrangement offers access to environmental government policy and decision-making levels, it carries the "opportunity cost" of limiting opportunities to fully engage with non-government stakeholders or address needs that don't coincide with government agendas.

79. Core resources are limited, and projects largely depend on extra-budgetary funds that must be mobilized from external sources. The technical and financial support that reaches the country level is usually modest in scale. UNEP's (and the EGSP's) scale of intervention represent a small portion of the total global effort involving governments, donors, and other institutions. In most cases, UNEP is not solely responsible for (i.e. it makes contributions to) the achievement of programmatic outcomes (Expected Accomplishments) which have been specified at quite 'high' levels.

80. In terms of institutional ownership, 'Sub-programme dynamics' are lacking and there is no indication of an emergent "Sub-programme identity" linking participants from the various participating Divisions. EGSP projects are entirely managed by implementing

Divisions and many of the projects within the EGSP portfolio were carried over from earlier programme cycles. Hence, it is not clear to what extent, if any, the SP modality offers added value or has made a difference to individual project performance for this subrpgramme. The general perception of participants is that the EGSP, as a planning and management framework, has had little positive influence on the management, performance or impact of its constituent projects and activities.

81. Several respondents note that UNEP's recognized strengths are in documenting environmental trends, providing scientific/technical advice and raising emergent environmental issues within the international community; approving and implementing policies or legislation are ultimately the responsibility of governments. Moreover, programme timeframes are clearly insufficient in relation to the level of EAs. As noted in the Formative Evaluation, "…changes in EA performance indicators that relate to recent UNEP initiatives are very unlikely to materialize within the biennium, are difficult to attribute to the organization and unlikely to yield information of use to managers in terms of providing feedback on progress with PoW implementation." [41]

82. The following sections give an overview of EGSP implementation and the advances of each programme framework. The progress achieved in supporting MEAs, developing environmental legislation, producing reliable scientific data or "mainstreaming" environmental issues within development plans – as well as improved synergies with the UN system - are reviewed under their respective EAs.

83. While the subprograme, as a modality, currently seems to have little effect or influence on constituent project formulation, implementation and eventual 'impact', some advantages were identified by participants. The Sub-programme modality has enabled more communication between Divisions and has the potential to improve coordination and delivery (a potential that remains largely unrealized - with some exceptions). There is better communication between DELC, DEWA and DRC, although this has not led to joint programming exercises or resource sharing through the EGSP. The DRC values its presence in the EGSP as a means for reaching partner divisions at Headquarters level.

84. Three elements are said to constitute the heart of the EG SP: the international environmental platform (GC/GMEF – [now 'UN Environment Assembly of UNEP] for the environment agenda), the evolving body of international environmental law, and the Montevideo Process. All these elements currently fall under EA(A) and (B). To strengthen good governance, UNEP needs to strengthen capacities at all levels of orthodox and unorthodox players in the formulation of law and the development of

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[41] Extracts from the Formative Evaluation, p. 4 (EOU, 2011)

frameworks for accountability and implementation. However, as already noted, a number of projects contributing to EA(A) and (B) were not approved by the PRC, because they were too broad in scope and lacking coherence. The EGSP (DELC) decided to go ahead and implement sub-projects for which funds had been identified (e.g. the ABC project).

4.2   Findings by Expected Accomplishments

4.2.1   EA (A) - International cooperation

85. UNEP's EGSP Expected Accomplishment "A" is defined as: the United Nation System progressively achieve synergies and demonstrates increasing coherence in international decision making related to the environment, including those under multilateral environmental agreements .

86. The program implementation vehicles are two main projects and "stand-alone" convening activities of regional ministerial and intergovernmental fora. The first project is essentially to inform the UNEP Governing Council decision-making process and the second project to work with MEAs on improving policy and program coherence. Curiously, neither project has been formally approved by the Project Review Committee (PRC), yet activities have gone ahead.

Observations on Design and Structure:

87. A first observation on the results frame is that the Expected Accomplishment (A), as well its related the program outputs are beyond UNEP's direct control and are not 'immediate outcomes' as per the UN Secretariat definition. As is the case in all four expected accomplishments of the Sub-programme, results are clearly 'out of reach' of UNEP working alone. Taken to the letter, EA (A) is overly ambitious given the complexity of the UN system. Some of the PoW outputs are aspirational outcomes that require effective partnership and cooperation to make headway e.g. "environmental priorities of MEAs are identified and mainstreamed to ensure coherence across the UN system". The EA and outputs would benefit from being reframed and redefined in-line with the UN Secretariat definition as 'immediate outcomes' that UNEP can more readily achieve and be more accountable for. The gap between UNEP's contribution and the high level defined for expected accomplishments limits the utility of the EG subprogram results framework for both monitoring and and evaluation of UNEP's performance. There is an inherent assumption in the results framework (indicators) regarding environmental agreements' that 'more is 'better' without reference to quality and substantive targeted results. This logic runs against a key observation, well understood and acknowledged within DELC, that chaotic proliferation of

environmental agreements and institutional arrangements has created obstacles to implementation with, among other issues, multiple reporting required of countries.

88. While there is an overall sharing of responsibilities among divisions, it remains unclear to what extent UNEP DELC, as lead division, is responsible for strategically linking and ensuring effective progress towards these results for example coordination with other SPs / Divisions on issues to be presented to / discussed by the GC.

Observations on Performance and Achievement of Results:

89. The problematic design of the EG results framework and the lack of formally approved PoW project documents undermined the comprehensiveness and reliability of overall UNEP Progress Performance reporting.

90. Neither in the PPR nor in the framework document is there any reference to what these agreements results will contribute to the governance system and expected country level impact, nor on the partnerships and coordination arrangements and respective responsibilities between UNEP and partners, undermining the usefulness of this performance tracking. There is a lack of specifics in the strategy documents, programming frameworks and project documents on what UNEP actually planned to achieve with this work. The rationale as to how a specifically targeted result (e.g. a greater number of partnerships or joint projects) would meaningfully contribute to synergies and increased coherence in international decision-making processes is essentially absent. The deficiency of specifics on UNEP outputs and their contribution to the UN decision making processes makes the evaluation of performance an impractical endeavor. While there have been notable UNEP efforts towards the expected accomplishment, highlighted in the next section, the overall level performance remains difficult to gauge.

91. The evaluation findings indicate that UNEP has been active in coordination initiatives involving the UN system and MEAs yet, planning and reporting documents do not communicate a clear sense of priority and strategic focus among the very many activities. The momentum of these initiatives are largely driven by One UN and Delivering as One policies, the Rio +20 preparatory and follow-up processes and opportunities facilitated by political awareness and donor financing such as climate change financing for adaptation.

92. The evaluation of the UNEP EG subprogram achievements for EA (A) has focused on selected UNEP actions that have facilitated debate and progress on an international environmental governance system. The key complementary work streams and corresponding outputs are:

- Advances on IEG and IFSD (outputs 1&2)

- Engagement in UN interagency coordination: EMG and UN partners (output 3)
- Facilitation of MEA synergies (outputs 4&5)

Advances on IEG and IFSD: highlights of achievements and milestones:

93. The preparations for the UNCSD Rio+20 and the outcomes of negotiations have had, and will continue to have, important implications for UN system reform, MEA implementation and UNEP's mandate in particular. <u>UNEP had a marked influence on the global agenda for Rio +20</u>. This achievement was facilitated by a clear engagement strategy, a wise use of environmental review outputs, dedicated persistence of the UNEP DELC IEG team[42]. These advances are considered examples of positive programmatic performance as they are the result of strategically assembling outputs of various divisions and working effectively within the formal and informal processes.

94. Overall, the DELC/IEG work in this area has contributed to a strengthening of UNEPs role in IEG. This positive influence on the Rio+20 agenda is the cumulative result of shared analysis and advocacy on long standing gaps noted by UNEP.

95. UNEP has effectively made use of informal regional consultation processes with country representatives to make its case on gaps in IEG and ways forward to reinforce UNEP institutional framework. This effect is apparent in the country contributions in regional preparatory meetings for UNCSD and the Rio +20 outcome document supporting UNEP strengthening. A helpful analysis of practice and proposals to improve the engagement of civil society in IEG are made in the discussion Paper: Improving Public Participation in International Environmental Governance, published in the UNEP Major Group series publication ''Perspective''.[43]

96. UNEP supported the Governing Council GC and the Global Ministerial Environment Forum – a key decision node in the IEG regime- with substantive analysis, mainly in the form of reports of the Executive Director.

97. The UNEP documented analysis and published materials on IEG and IFSD, and the related consultations in preparation for Rio +20 UNCSD include the UNEP report on Environment in the UN system (UNEP/GC/INF/23), support to the GMEF with documented analysis of options for broader UN reform, DELC (four) issues briefs and UNEPs input to the compilation document for the UNCSD. Assessments such as GEO5 and other reports by DEWA were also influential and highlight connections among EG Expected Accomplishments and the "service role" played by UNEP's assessment work.

98. The adequacy of the current IEG system and proposed reforms were discussed at GC/GMEF and IEG Consultative Group of high-level government officials, informed

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[42] The evaluation also notes the good preliminary work of the IEG interdivisional working group

[43] Werksman J and J.Foti 2012 Improving Public Participation in International Environmental Governance, published in UNEP Major Group series publication ''Perspective''.

by the DELC/IEG work. The UNEP activity on IEG reform agenda falls mainly in the latter period covered by this evaluation. The DELC materials informed the GC/GMEF 24th,25th, 26th and 27th sessions, the IEG Consultative meetings held during the same period (2009 to 2011) as well as related UNEP representation in the process of preparation for the Rio+20 UNCSD. The analytical and political awareness-raising, known as the Nairobi-Helsinki process, were conveyed to the Preparatory Committee for the UNCSD and were an integral part of the agenda for the Rio+20 UNCSD, where IFSD was one of the main conference themes.

99. The DELC/IEG analysis outlined the core objectives for the IEG system helping to reaffirm the objectives and needed functions to fulfill IEG gaps, summarized in Chapter 2 and recapitulated in the following table:

Table **3. IEG Gaps and Actions to Address**

Gaps	Options
Strong, credible and accessible science base and policy interface	
Lack of developing country capacity and representation; need for better inter-operability and availability of data; inadequate overall governance of the science-policy interface	Create a multi-scaled and multi-thematic global information network of national, international and independent scientific expertise for keeping the impact of environmental change on human well-being under review and issue early warnings. Web-based facility for sharing of live information with the support from an interagency cooperation arrangement
Global authoritative, responsive voice for environmental sustainability	
Alarming gap between commitment and action; gap in developing country capacity; inadequate environment-development integration; a tight field of intergovernmental setting bodies but no clear champion	Establish a global policy organization with universal membership to set, coordinate, and monitor the global environmental agenda (only partially addressed by the Rio +20 outcome)
Effectiveness, efficiency and coherence within the UN	
Inadequate policy and programme coordination; lack of systematic review of effectiveness; no overall approach to administration of MEAs	Clustering secretariat functions and common service – establish a mechanism for global, overall coordination among existing MEAs Establish a UN system-wide medium-term strategy for the environment, coordinating all environmental activities for the UN
Sufficient, predictable and coherent funding	
No overall financial tracking system; weak links between governance of commitments and governance of funds; inadequate overall governance of funding system	Widen the donor base (establish mechanism for receipt of private/philanthropic donations) Establish a joint management mechanism for all major trust funds for the environment Link global environmental policy making with global environmental financing
Responsive and cohesive approach to meeting country needs	
Level of support does not match needs of developing countries; inadequate integration into development assistance; inadequate overall governance of support system	Establish environment-development country teams and/or desk in existing intergovernmental offices in developing countries around the world Develop an overarching framework for capacity building and technical assistance for the operational activities of MEAs, UN agencies and IFIs

100. The evaluation notes a positive influence from the documented analysis of DELC/IEG and its process of promotion, consultation and discussion with stakeholders, within

formal and informal fora. Strengthening UNEP, MEA clustering and universal representation in the UNEP Governing Council were issues of the global agenda for negotiation on a reformed IFSD. The compilation document of submissions and the UNCSD outcome document itself are evidence that the issues and elements of solutions brought forth by UNEP were an integral part of the discussions, preparatory work and final negotiations on a renewed IFSD that were agreed at the UNCSD. The UNEP analysis has clearly contributed to shape the global picture.

101. The set of issues put forth in the outcome document for discussion in preparation for UNCSD -The Future We Want and the fact that upgrading UNEP to a Specialized Agency such as a World Environment Organization were on the UNCSD agenda of discussion and negotiations is considered an indication of substantive EG SP achievement. Of course, the decisions made at the UNCSD were beyond UNEP's control. Nevertheless, there was wide support to strengthening UNEP-with over 100 countries voicing this need in their input to the UNCSD. The achievement of this 'influence' is result of dedicated lobbying/awareness-raising by UNEP spearheaded by the DELC / IEG team. UNEP DELC work clearly contributed to make a difference.

102. UNEP in its contribution to the Rio+ 20 compilation document emphasized the need to focus on inter-linkages in responses to global challenges and for a 'reconfigured governance structures to bring about a greater integration of social, environmental and economic objectives in policy making to move beyond sector-specific responses', and the need for a renewed IFSD to a) "achieve integrated policies and planning for the social, environmental and economic dimensions of sustainable development, coherence across local, national, regional and global levels and maximize synergies among objectives and processes"; b) chart pathways and put in place implementation c) monitor implementation, assess and report of progress and accountability d) exercise oversight and e)keep under review the adequacy of arrangement and ensure they are working to purpose.

103. An important assumption in the DELC analysis was that an upgrading UNEP would be a major step to enhance progress towards EA (A). The advantages sought included: secure and more predictable funding, the possibility of a single authority (political and legal power to assert advisory role for MEA; influence over funding mechanisms), and a stronger platform to balance the economic and social, with possibilities to negotiate treaties and to create bodies when necessary. Related gaps in the IEG architecture highlighted by the IEG coordinator included the absence of a subsidiary body to bridge the science-policy divide in environmental sustainability. This body would consolidate research area findings similar to the IPCC and the nascent IPBES, but cover issues beyond those of climate change and biodiversity. The lack of national presence to

support environmental sustainability and stronger regional body to bridge global and national policy making and implementation is also a recurring point.

104. The evaluation team considers that, despite its obvious success, the effectiveness of the work would have benefitted from having been designed and structured in a results-based framework. This would have allowed an evaluation of performance with respect to set target results and milestones linked to specific steps or events in the political process. More importantly, the evaluation team considers that a more structured approach to this work, with the specific mapping of basic and predictable analytical work and decisions points within the political fora would have allowed DELC/IEG to make an even stronger point and, for example, prepare and contribute in a timely manner, the essential in-depth analysis of financial, legal and structural implications of respective options for strengthening the IEG regime.

105. A key point supporting a structured planning of this work is that most of the ideas for IEG reforms are not new ones. The IEG agenda of 2008 included the thirteen measures for full implementation of the Cartagena package of 2002. These included enhancing the roles of the GC/GMEF as the UN high level policy forum; make full use of the EMG for interagency coordination; UNEP working more within the UN system, promoting greater coherence between UNEP and UNEP administered MEAs, develop the UNEP capacity to deliver the Bali strategic plan, engaging in the IEG discussions and other related measures to improve overall UNEP performance (UNEP/GC/25/16)

106. International treaties are most effective when they a) state precise goals, criteria and benchmarks for assessing progress, b) are designed to be flexible and adaptable to changes in the problem and context, c) have formal procedures to ensure new scientific information is taken up quickly and d) systematically collect information about the effectiveness of the treaty and review this information regularly.[44]   The same applies for the design of the EG subprogramme itself.

107. In sum, the advances on the IEG and IFSD agendas are an example of a good contribution towards improving UN system coherence.   The DELC/IEG team has played a crucial role in advancing options within the Nairobi-Helsinki process then transmitted to UNEP GC and UNGA. UNEP has been able to mature different options for global EG, and succeeded in putting IEG at the centre of the IFSD debate. Regional fora facilitated dialogue among countries, which had the chance to express their opinions on IEG and the future of UNEP.

108. The UNEP program of work in this area has contributed to a strengthening of UNEPs role and credibility in IEG.

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[44] Rio+ policy brief # 3. Transforming governance and institutions for a planet under pressure. Revitalizing the institutional framework for global sustainability: Key insights from social science research.

109. The interagency coordination work of the Environmental Management Group (EMG) is a critical piece of the IEG puzzle, - "an organizational instrument of environmental policy integration"[45]. Considered to be the main coordinating body for environmental issues within the UN, the EMG is chaired by the Deputy Secretary-General, and the Executive Director of UNEP. EMG members are essentially UN entities: agencies, funds, programmes and MEAs including the relatively autonomous UNFCC and UNCCD. UNEP hosts and funds the EMG.

110. The EMG has been mandated to coordinate the inter-agency aspects of international environmental governance processes. The EMG contribution to EA "A" outputs included the gathering of views from members on the options considered in the informal consultations on environmental activities in the United Nations. This included a stock-taking of collaborative initiatives and actions within the United Nations system in the field of the environment[46]. This work contributed to the Nairobi-Helsinki process on IEG and is captured in the outcome.

111. On related work, the EMG facilitated the inventory of emissions for 49 UN agencies funds and programs and coordinates the move towards a climate neutral UN and drawing collective plans for sustainable management practices in the UN more broadly and the preparation of environmental and social safeguards. EMG also coordinated interagency collaboration on the green economy report.

112. UNEP's participation within the EMG contributed to the development of joint initiatives for assisting country transitions towards green economies, as well to the design of a post-2010 biodiversity agenda. The Biodiversity Report prepared by the EMG and tabled at the CBD COP 10, commits UN agencies to contribute to the post 2010 international biodiversity agenda, and identify opportunities for mainstreaming biodiversity into their respective mandates.

113. The EMG member composition and focus on concrete outputs serving the UN system has been instrumental in successful achievements towards coordinated and coherent approaches within the UN system. As such the series of interagency environmental management papers and guidance produced under the EMG have made a contribution to improve coordination and coherence in IEG, particularly in UN governance. However, they have not addressed the core substantive issues to be addressed in IEG reform. The fact that the EMG is not a member of the UN High Level Committee on Program (HLCP), raises questions on the future of this coordination mechanism. Decisions at the 2012 GC requested full reporting of EMG activities and results and to

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[45] UNEP 2010 Yearbook
[46] UNEP 2011 Environment in the UN Report GC26/INF/23

defer budget approvals to strengthen the EMG. UNEP and the EMG face 'image' / perception issue that needs to be actively managed. The EMG is sometimes perceived by other UN stakeholders as a UNEP mechanism rather than a UN coordination mechanism.

114. Effectively engaging with UN partners and processes is a fundamental role and UNEP needs to greatly increase its efforts to be part of, and substantively influence, the global discussion and contribute to the UN processes. The current landscape of international cooperation is complex and stakeholders are numerous. A first level, are the UN agencies and processes. Despite its limited presence in New York up to 2012, UNEP was been active in UN coordination mechanisms. There was a strong sense by mission representatives and other UN partners that the UNEP liaison office needed to be significantly strengthened. As part of its strengthening, the liaison office needs to be better supported in translating the Nairobi technical outputs into relevant form for UN policy processes. To effectively engage in high-level UN processes, UNEP needs sufficient staff and of sufficient seniority based in the New York Office; recent staffing decisions have improved the situation.

115. In terms of UN Development Group (UNDG) engagement at global level, UNEP has been active in the since 2001 and it was the first organization to appoint a dedicated UNDG person, since 2007. UNEP has been highly involved in UNDG work: participated in all the task teams, led (together with UNDP and UNDESA) the Task Team on Environment and Climate Change, and co-chaired the one on Disaster Risk Management. The interagency work at global level is focused on approaches that improve country support to UNCT, the Expected accomplishment C, on international policy setting and technical assistance. A next level would be for mechanisms to better ensure the country level experience in environmental governance informs the global policy making efforts.

116. UNEP collaborated with UN-DESA to engage major groups and stakeholders in preparation for the Rio+20 process. Institutional rapport has been important for moving this process forward, and the relationship between UNEP and DESA has improved since 2007 with the designation of a new DESA director that has an environmental background. However, according to one respondent there were tensions with "…each agency trying to work on the other's agenda."

117. In key related processes, UNEP has participated in the CSD discussions, especially where the discussion revolved around Sustainable Consumption and Production (SCP). Mechanisms to institutionalize the connection between the intergovernmental bodies of the two agencies have recently been set-up.

118. UNEP participates in all sessions of the HLCP. However, UNEP's participation in the HLCP is considered less proactive, in part because agendas are determined by the UN Secretariat in consultation with members; UNEP brought few issues to the attention of the HLCP for discussion aside from biodiversity (no discussion followed, it was only forwarded to CEB) and the Green Economy; UNEP focal points have changed on several occasions and communications are inconsistent.

119. Collaboration with UNDP is another example of efforts towards UN collaboration for coherence in UN support to countries. A noteworthy achievement in 2008 is the MOU between UNEP and UNDP regarding cooperation in areas of common interest, including on Climate Change, the PEI and environmental endeavors related to the implementation of Johannesburg Plan of Implementation, the Bali Strategic Plan, Multilateral Environmental Agreements and other intergovernmental agreements in order to assist countries achieve the MDGs based on their own national priorities and the UNDAF. Under this agreement UNDP is responsible to provide administrative and reimbursable support services to UNEP, as and when required.

120. Overall, while there is effort in partnership, UNEP is considered by some to have worked alone too much. A UN system perspective is neither about the environment *per se*, nor about a single agency but about the contribution of environment to sustainable development and within the UN system. System wide responses are considered the way forward (within and outside UN) as they help to overcome difficulties. New partnership opportunities will continue to emerge from discussions on IEG and IFSD reforms.

121. UNEPs effectiveness towards achievement of expected results would benefit from improvements in working within the UN system. More proactive work with HLCP would help, as would one UNEP senior reference point in constant dialogue with HLCP Secretariat and ensuring coordination with UNEP leadership and divisions.

Facilitation of MEA synergies

122. Multilateral Environmental Agreements (MEAs) are a core piece of the IEG regime. Overall, UNEP actions seek to address inter-linkages among MEAs in order to provide an opportunity for more effective implementation. EG PoW outputs aim at enhancing coherence in the MEA implementation with enhanced cooperation between UNEP and MEAs and aligning the policies of governments and UN agencies. The targeted result of UNEP work with MEAs over the period under review is, however, ambitious and vague. The MEA landscape is chaotic and UNEP work in support of MEAs is filled with many differing perspectives and interests and potentially conflicting outcomes.

123. The UNEP approach needs to ensure it does not exacerbate fragmentation of the policy space in international environmental governance. Illustratively, in a DELC schematic

description of the International Governance system the international environmental (IEG)[47] regime is depicted as UNEP and MEAs and as distinct to the international development (Bretton Woods, WHO, UNDP) and trade (WTO) regimes. A successful IFSD will require bridges to be built among the various actors and tradeoffs dealt with openly. From a UN system perspective, in terms of decision processes, UNEP has an opportunity to make much strategic use of the fact that decisions by the reformed UNEP Governing Council, with universal membership carry a very high level of legitimacy with respect to the UNGA and, therefore, can be much more influential in the UN as a whole. An issue that a revised EG strategy should fully take into account.

124. UNEP has been instrumental in the design and set up of MEAs, the rapport with MEAs has evolved towards servicing meetings and administrative support and to a lesser extent on the substantive policy and implementation agendas. The administrative support functions are a significant source of financing for UNEP. The major proportion of support efforts and a large proportion of funding are for convening and servicing intergovernmental meetings. Between 2007 and 2011, some 30 workshops/ meetings were held, 2-3 every month. Typical preparatory meeting costs are from 100k to 350k- 80% of funding is extra budgetary. This part of EG Sub-programme is where the bulk of the planned budget is (15 of 23.3 million). Yet, evidence of progress towards "synergies and implementation" is modest. Funds appear to be mainly used to service the preparation and conduct of meetings and to support MEA focal points; this is understandable.

125. The MEA regime of over 1000 agreements[48] reflects a very complex agenda of "things for countries to do". In contrast, the documented needs for support from UNEP expressed by the MEA Secretariats and specified within the EG subprogramme in 2010-2011 and 2012-13 PoWs are relatively modest. The Coordination Body on the Seas of East Asia (COBSEA) requests help from UNEP to increase the number of countries considering ratification/accession to coastal and marine related MEAs, related country implementation programs and associated training; The Cartagena Convention CAR requests support in increasing the number of countries having ratified/acceded to the Cartagena Convention and the three protocols.[49] The same two MEAs expressed needs to the Ecosystem Management (Sub-programme SP 3) on the related work of integrating these same issues in national development plans. In addition to contrasting

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[47][47] IEG/IFSD leader B. Chambers Brown Bag lunch presentation

[48] International Environmental Agreements Database Project, http://iea.uoregon.edu/page.php?file=home.htm&query=static

[49] MEA needs and gaps The UNEP supported Multilateral Environmental Agreements: Priorities to which UNEP is requested to respond. Summary of the priority needs Programme of Work 2010-2011.

expressed needs to an ambitious output target, this also highlights overlaps in the scope of work between different Sub-programmes that needs careful management.[50]

126. Overall, UNEP has been active in supporting MEAs - updating assessments and indicators, providing technical advice and capacity building for MEA implementation at the country level, and helping Secretariats to prepare meeting agendas. This has helped to ensure that key issues identified by UNEP are reflected in MEA work programmes, and to raise UNEP's profile at COP meetings.

> Examples of activities to promote MEA synergies:
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> - Workshops on National Biodiversity Strategies and Action Plans (NBSAPs), specific for African countries, where about 50 CBD focal points or people working on indicators participated;
> - Workshops on climate change in preparation for the Bali COP: UNEP provided significant assistance between 2007 and 2010 on a number of contentious issues and facilitate the formulation of regional positions;

UNEP support to MEAs is managed by two DELC units: One in Nairobi that assists MEA implementation supporting the parties (mostly developing countries) by financing participation to negotiations, and mostly through capacity development (training and workshops) and advisory services for compliance to decisions; the other is based in Geneva and deals with the administration of the Conventions. Regional focal points for biodiversity and chemicals/waste-related MEAs were appointed to UNEP Regional Offices in 2010 to improve responsiveness to the needs of MEA Parties at the regional level, and assist MEA Secretariats in undertaking regional activities. Interviewee responses on UNEP support to MEAs were mixed. Some complained about UNEP engagement in MEAs having dropped, others felt that the MEAs were unnecessarily overwhelming the UNEP work programme.

127. The extent this support has contributed to improve synergies in MEA policy and practice is uncertain. Promoting synergies among MEAs is a complex process that is influenced by external factors beyond UNEP's control. Efforts to promote synergies within MEAs, develop shared information and knowledge sharing platforms, synchronize events and harmonize reporting formats have had limited success against the disproportionately larger scope of needs and the strong sense of autonomy of the Secretariats. The cluster of eight biodiversity conventions rejected proposals to integrate reporting. There is apparently limited interest among government parties, which paradoxically stand to benefit the most from improved synergies. Likewise, the issue of harmonizing reporting schedules and formats is considered too small to qualify as an agenda item at the COPs. Achieving synergies within the more complex and

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[50] The UNEP supported Multilateral Environmental Agreements: Priorities to which UNEP is requested to respond. .Summary of the priority needs Programme of Work 2010-2011.

politically sensitive MEAs (such as the CBD) has been particularly challenging. An important development in this direction is the launching of "InfoMEA", an information portal on treaty decisions that was created to facilitate collaboration within MEAs, namely the biodiversity, chemicals and waste and climate change clusters. MEA Secretariat representatives and NGOs consider the info portal a good step forward with better chance of success then previous information consolidation and sharing efforts. Further engagement of civil society stakeholders is a good way forward to help catalyze IEG reforms and greater MEA synergies.

128. The resistance to change within the IEG system is strong. There is an overwhelming sense that the IEG and MEAs in particular have been painfully achieved in spite of strong opposition. It has been suggested that UNEP issue a position paper on the pro's and cons of synergies among MEAs, in order to draw greater attention from the Secretariats and Parties. *The evaluation believes that there is an important strategic niche for UNEP to provide substantive technical analysis that promotes coherence across MEAs, and recommends that this be more fully articulated in future UNEP strategy documents.*

129. A significant UNEP-led success was the consolidation of MEAs on chemicals and hazardous waste under one Executive Secretary. A step towards greater synergies was the simultaneous extraordinary Conference of the Parties to the Stockholm, Rotterdam and Basel conventions held in February 2010 which adopted a decision on joint services, joint activities, synchronization of the budget cycle, joint managerial functions and review arrangements[51]. While program coordination and joint decision-making has not yet been instituted, the hope is that it will follow the administrative joining of these three conventions. In collaboration with the chemicals-related MEAs, UNEP has coordinated an informal inter-governmental process to identify financing options for the Chemicals and Wastes agenda. The initiative is an example of cross divisional work between DELC and the Harmful Substances & Hazardous Waste subprogramme, although the respective responsibilities on technical and policy making facilitation are unclear. It is a good example of collaboration between DELC and DTIE. This initiative in consolidation of the chemical MEA cluster has set a precedent and "way forward" that hopefully will be applicable to other MEA clusters.

130. There is also a clearly expressed need for an effective synergies and coordination in country support for implementation of MEAs. A country support system that respects the Rio principle of subsidiarity and does not infringe on country sovereignty and UN mandates yet bridges the growing gap between the global treaties and the country

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[51] UN SG report. Objectives and themes of the UNCSD A/CONF.216/PC/7

realities is a key issue for discussion in the ongoing UNCSD Rio+20 process. Given the GEF mandate, there is also clearly a need to engage the GEF stakeholders. While UNEP has made efforts in synergies, they should, in future be afforded higher priority within the UNEP agenda. Having MEA focal points in the regions is a good step forward, but clearly insufficient. Strengthening UNEP and clarifying its specific normative role in the MEA puzzle would greatly improve international environmental governance.

131. Overall, UNEP is perceived as not being sufficiently well linked to development issues. Some UN observers remark that UNEP has a tendency to both "work alone" and "tell others what to do" within the UN system. Environmental thematic issues are discussed in depth within UN thematic interagency groups (e.g. UN Water, UN Oceans, UN Energy) and in breadth across the global policy system. There is need for UNEP to assume more of a leadership role in working with the development sphere in general as well as with economic sectors such as agriculture, energy, transport and others. The governance work under EA A work program was limited in this regard, with a perspective on environment that was all-encompassing yet almost exclusively focused on Ministries of Environment.

Short-lived Climate Forcers (including Black Carbon)

132. Atmospheric Brown Clouds (ABCs) are regional scale plumes of air pollution that include aerosols such as black carbon, tropospheric ozone (and its precursors), and aerosol precursors. UNEP has long acknowledged the widespread nature of ABCs and their adverse effects on climate, ecosystems, agriculture crop yields and human health, as well as the need to support integrated policy measures that address the combined impacts of Green House Gases (GHGs) and air pollution. As far back as 1999, at a GC meeting, UNEP highlighted the implications that air pollution, and not just GHGs, has on climate change. The GC asked for additional science to understand the source, and prove the role, of aerosols in the interaction between air pollution and climate change. In 2002, UNEP started the "Aerosol Observatory Program in Karakoram and Himalaya mountain regions" (ABC Phase I), which established a network of ABC observatories in Asia and contributed to the enhancement of science and awareness on Short-Lived Climate Forcers (SLCFs). The project produced a report in 2008, showing the influence of both black and white particles on climate change.

133. In the last few years, various calls have been made to address the issue of black carbon in particular, including at: the India-EU High Level Dialogue (2009), the Joint Session of the Antarctic Treaty Consultative Meeting and the Arctic Council (2009), and the G-8 Leaders Declaration (2009). Responding to renewed interest in the subject, UNEP has

worked (and published in late 2011) a study on "Near-Term Climate Protection and Clean Air Benefits: Actions for Controlling Short-lived Climate Forcers". The publication was coordinated by the Stockholm Environment Institute, York University, DELC, under the overall guidance of the Chief Scientist. Building on the Integrated Assessment of Black Carbon and Tropospheric Ozone (UNEP and WMO)[52], the report intended to bridge new scientific knowledge justifying action on SLCFs and practical measures that countries can take to reduce the burden of air pollution and climate change on their sustainable development. It identifies priority areas for action and the main fora where fast action could occur, e.g. regional and national air quality agreements. The publication was included as output of the project document "Global environmental agenda setting to strengthen international cooperation in the field of the environment" (responding to PoW Output 411), which was however not formally approved by the PRC[53].

134. At the same time, UNEP started the second phase of the ABC project (within the EG SP), which aims at "increasing the number of Governments taking appropriate measures to address ABC issues based on sound scientific knowledge". The project aimed to achieve this objective by: i) increasing monitoring capacity and strengthening networking for studying the emerging and important issues of ABCs such as black carbon and other related substances; ii) developing and communicating knowledge and tools concerning mitigation measures; and iii) developing and communicating to policy makers options for policy responses.

135. Through different initiatives, UNEP has in the last decade proved the need for an integrated approach for the atmosphere, which includes all the pollutants. UNEP raised this issue at the GC, provided scientific evidence in support, and then worked on the policy implications/options. UNEP contributed making this issue a priority in the scientific and political agenda of intergovernmental bodies (e.g. the UNFCCC) and of countries (e.g. USA, Scandinavian countries). The Convention on Long-Range Transboundary Air Pollution has incorporated SLCFs as part of their general air pollution issues.

136. The path the "Near-term Climate Protection and Clean Air Benefits" publication has followed is exemplary of how UNEP should work on bridging science and policy. The

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[52] The report was presented as info document to the GC 26th session in 2011 during the side event "Quick Action on Climate Change: The option of Reducing Short-lived Climate Forcers", together with the science-policy brief "Towards an action plan for Near-Term Climate Protection and Clean Air Benefits".

[53] Annex D of the revised project document (never approved by the PRC) mentions as specific PoW Output for this activity: "Recommendations or options for policy responses to emerging and important issues submitted to the GC/GMEF in support for decision-making processes, in particular through analytical reports and publications on policy responses, reports from expert groups and consultations, intergovernmental meetings and processes, and policy reports on emerging issues (such as black carbon, including development of policy responses for black carbon mitigation).

document has been discussed in two high-level meetings in Mexico and Bangladesh, was presented during the UN Climate talks in Durban and during a side event at the GC in 2012. On this occasion, UNEP discussed with countries the opportunity to set-up a formal partnership mechanism on the topic, with UNEP acting as Secretariat. In parallel, UNEP has facilitated the approval of regional inter-governmental agreements on air pollution, such as: the Lusaka Agreement (Southern Africa), the Abidjan Agreement (Central and Western Africa), the Eastern African Regional Framework, EANET (East and Southeast Asia), the Male' Declaration (South Asia), the Environmental treaty considering air pollution as a major issue (Central Asia), the Network of networks on atmospheric environmental issues (Asia and Pacific), and the Ministerial decision on air pollution by the 17th meeting of the Forum of the Ministers of the Environment (Latin America).[54]

137. Relevance is logically the basis for the success of any initiative. The SLCFs publication was released upon request by Governments, which need sound scientific evidence and policy options to face the urgency of the near-term climate situation and the potential threats of continued rapid temperature increase in the coming decades. The involvement of Governments' representatives in developing this report, and holding high-level policy dialogue in different regions, has been instrumental in the development of the policy agenda. Also importantly, the SLCFs report links the environment (environmental pollution) to public health.

138. The success of this initiative is also based on: i) long-term commitment by UNEP; ii) work at different level (global, regional and national); iii) combination of different type of support (in different phases): data collection, assessment, and policy options paper. It is now to be seen how UNEP will follow-up with supporting the implementation at country level and how it will link this work with activities aiming at strengthening regional air pollution networks.

4.2.2 EA (B) - Strengthened National Laws and Institutions

Observations on Design and Structure:

139. The Expected Accomplishment sought results that aimed to enhance the capacity of States to implement environmental priorities, through strengthened laws and institutions. Its design addressed the gap between commitment and implementation, to ensure that inter-governmentally agreed environmental policies were put into action at both national and international levels. DELC was the Coordinating Division for this programme framework, which had the following PoW outputs:

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[54] UNEP has also participated in the activities of LRTAP Convention in Europe and aimed at establishing partnerships between LRTAP Convention and developing country networks.

- Strengthened national and international laws, through the implementation of the Fourth Programme for the Development and Periodic Review of Environmental Law, encompassing five issue areas.

- Legal and policy instruments developed and applied to achieve synergies between national/international environment and development goals, in six countries and one sub-region.

- Enhanced country capacities for implementing international environmental obligations through the implementation of policy tools, in three regions targeting developing countries and countries with economies in transition.

- Enhanced capacities of government officials and other stakeholders for effective participation in multilateral environmental negotiations, in three regions targeting developing countries and countries with economies in transition.

- Facilitation of four inter-sectoral and intergovernmental forums for policy dialogue between major groups and multiple sectors of governments, on emerging environmental issues.

140. These outputs were to be achieved through two projects (which up to 2013 were not PRC approved): The "Fourth Montevideo Programme for the Development and Periodic Review of Environmental Law" (Montevideo IV) was adopted by the GC to guide UNEP's activities in international environmental law over the next decade. In design, Montevideo IV seeks to assist States in strengthening national environmental legislation and institutions, building government and stakeholder capacities in environmental law, and disseminating educational materials and other information. Montevideo IV is an essential component for the EA and is linked to four PoW outputs. The second project – "Engaging Major Groups in Policy Dialogue" - aimed to raise the level of engagement and dialogue between major groups of government and non-governmental stakeholders, by supporting platforms for policy dialogue on emergent issues. This would contribute to strengthened national and regional capabilities to implement international environmental obligations, while mainstreaming the perspectives of the different groups into environmental policies.

141. The programme framework for EA (B) is compatible with UNEP's expertise and comparative advantages for supporting the development of environmental legislation - a major pillar of its work since 2006 - and managing consultative processes with diverse stakeholder groups. The EA addresses a recognized priority that was highlighted by the first Global Ministerial Environment Forum (GC/GMEF) in 2000 in addition to subsequent sessions and other fora. In terms of design and linkages, the EA offers a

'downstream' complement to UNEP's global efforts for improving policy formulation and decision-making among intergovernmental bodies under EA "A".

142. Indicators of achievement include (i) the number of States implementing environmental goals and targets agreed at UN summits and conferences; (ii) increased numbers of COPs related to MEAs; and (iii) increased numbers of international organizations considering UNEP policy guidance (including the Bali Strategic Plan).

143. The programme framework's implementation approach benefitted from the cumulative experience of prior initiatives and consultations. In 2006, UNEP held two High-Level Meetings on Envisioning the Next Steps for Compliance with and Enforcement of MEAs. These brought together MEA Secretariats, government officials and technical experts to discuss compliance/enforcement issues and explore legal and institutional options to improve MEA implementation. Another strand of work is the *Montevideo Programme for the Development and Periodic Review of Environmental Law*, a persevering and highly adaptable initiative that is into its fourth phase (Montevideo IV) and follows sequential ten-year strategies to develop international/national environmental law in broad consultation with government representatives and other stakeholders.   The Montevideo Programme has played an important catalytic role over the years, serving as an incubator for identifying emerging environmental priorities and developing platforms. It has guided UNEP's strategic positioning on environmental law and much of DELC's work, leading to project and funding opportunities. The second project offers a logical complement to Montevideo IV by supporting policy dialogue between major groups, stakeholders and government sectors around such issues. These interactions contribute to a broader consensus on environmental priorities and are intended to lead to enhanced environmental policy-making, capacity-building and new partnerships.

144. A related project – the EU-funded *Capacity Building related to Multilateral Environmental Agreements (MEA) in African, Caribbean and Pacific (ACP) Countries,* aimed to create regional support "hubs" as vehicles to strengthen national MEA negotiation and implementation capacities, link key institutions and stakeholders, and manage project activities. In implementation approach and institutional arrangements, the ACP-MEA project builds on the experience of the *Partnership for the Development of Environmental Law and Institutions in Africa* (PADELIA), a ten-year initiative that contributed decisively to the adoption of environmental legislation frameworks in seven African countries, the development of environmental law curricula and information dissemination.   Seven years after the termination of PADELIA's second phase, activities started by the project are continued in several countries (e.g. Mali) with government ownership and funding. This background suggests that key projects and

implementation arrangements within the programme framework were modelled on successful approaches that were validated in practice.

Observations on Performance and Achievement of Results:

145. Several factors, both internal to the programme framework as well as systemic to the organization, have affected performance and achievement levels. Funding constraints affected most projects; interviewed DELC staff consider that this was reinforced by the normative dimension of many activities, which are regarded as 'core' UNEP work by some donors making XB funding harder to secure. Additionaly, respondents suggested that a greater emphasis was placed on supporting MEA Secretariats (in relation to country or regional-level assistance) following the earlier institutional reform that merged DPDL and DEC into DELC. Several projects that are essential to PoW outputs to EA "B" were either not approved or were approved with partial funding; Various externally funded projects have not been registered in the PIMS and therefore their progress is not monitored under UNEP's internal system. The monitoring information documented in the EGSP performance reports has been limited in scope and depth; in some cases, the reporting seems anecdotal. *Under these circumstances, a comprehensive assessment of overall performance or achievement is not feasible, even though the PoW output indicators were reportedly met and in several cases exceeded.*

146. Recent contributions to environmental law at the national level encompass capacity development for MEA implementation in different domains (chemicals and wastes, ecosystems); work on environment and human rights (25% of Member States have the right to an healthy environment in their Constitution); and developing the capacities of judges and auditors on environmental law compliance and enforcement. As of 2011, 22 governments had drafted policy and legislative proposals with UNEP support, significantly exceeding the 2010 baseline level and surpassing the cumulative 2011 target of 16. Ten countries had taken measures to develop new legislation, strengthen existing laws or incorporate environmental aspects to sector laws: Timor Leste had drafted a decree law on biodiversity conservation. Vietnam, Cambodia and Lao PDR were revising the legislation of seventeen sectors to include environmental governance provisions and improve national preparedness for climate change. The Maldives revised its framework environmental law and submitted a modified version for parliamentary approval. Mongolia was reviewing its own environmental legislation, and Indonesia had drafted permit regulations under the Environmental Protection and Management Act. [55]

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[55] UNEP Performance Progress Report for the 2010-2011 Biennium (January 2011)

147. An important contribution towards the EA was the integration of environmental legislation to facilitate MEA implementation at the country level. With the World Conservation Monitoring Centre (WCMC), DELC has promoted integrated MEA reporting by countries to rationalize institutional efforts, encourage better communication and improve knowledge management. These initiatives have provided a downstream complement to UNEP's efforts to strengthen MEA inter-linkages on a global level (under EA "A"), and are compatible with the PEI's efforts to integrate environmental priorities within national development plans.

148. Examples of DELC country-level assistance over the past years include the *Kingdom of Tonga*, where national consultations and the drafting of integrated hazardous waste and chemicals legislation have led to a better understanding of chemical and waste-related MEAs and related enforcement/compliance measures. A draft law that addresses a wide range of MEAs [56] was submitted to Parliament for approval; and DELC has plans to replicate this process in other countries of the region. A similar approach is being implemented around biodiversity MEAs with the Organization of Eastern Caribbean States (OECS). The goal was to develop an integrated law template that implements one regional and five global MEAs, and is suited to member States and SIDS in general. DELC assisted Liberia in revising its forestry legislation and drafting new legislation to harmonize forest-related provisions from various MEAs. The World Congress on Justice, Law and Environmental Sustainability, which followed-up on the 2002 symposium and contributed to Rio+20 was held in June 2012. The congress aimed to develop the capacities of unorthodox legal players such as auditors, chiefs of justice and parliamentarians; this in turn enabled more inclusive debate and informed parties to Rio+20. The importance of the rule of law in environmental matters was re-affirmed through the World Congress with over 250 of the world's Chief Justices, Attorneys General and Auditors General declaring that any diplomatic outcomes related to the environment and sustainable development, including from Rio+20, will remain unimplemented without adherence to the rule of law, and without open, just and dependable legal orders.

149. DELC's most important contribution to environmental governance, according to its Director, has been its "early warning" support in bringing emergent legal and policy issues to the attention of States and inter-governmental organizations. This has led to initiatives addressing human rights and environment, country negotiation capacities for

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[56] Including the Stockholm Convention on Persistent Organic Pollutants, the Basil Convention on the Control of Trans-boundary Movements of Hazardous Wastes and their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in Trade (PIC), and the Waigani Convention to Ban the Importation into Forum Island Countries of Hazardous and Radioactive Wastes and to Control the Transboundary Movement and Management of Hazardous Wastes within the South Pacific Region.

MEAs, training of the judicial sector, and national compliance/enforcement of environmental legislation and international environmental agreements. Within the programme framework, most of the activities implemented in these areas were articulated through the Montevideo IV and the ACP/MEA projects.

150. Much of DELC's support for national environmental legislation has been delivered regionally through workshops and consultative processes to reach more countries. Between 2007 and 2011 approximately 30 international workshops and meetings were held, reaching 2-3 per month during peak periods. In most cases, logistical and organizational support was provided through UNEP's regional offices. Few country-based workshops were implemented due to funding constraints, the exceptions being Zambia and Congo with events for national focal points. In 2010, DELC organized national and regional seminars on environmental legislation for water resources in Africa.

151. *The overall scale of events requires coordination with DRC and the regional office network in particular*. The assistance of the regional offices is essential in this regard and there were many positive examples of collaboration between DELC and DRC. In 2012, DELC had out-posted officers in all regions: Four work on biodiversity issues at ROLAC, ROAP, ROA, and ROWA; and two on chemicals at ROA and ROE.

152. The scale of regional consultations organized by DELC (both under this EA and the subprogramme in general) is broad and could be focused towards a more selective – and committed – audience; this might provide a more cost-effective means to streamline implementation. However, DELC has argued that regional fora on the scale applied are a political necessity mandated by UNEP's Governing Council, and a necessary vehicle to shape platforms - and legitimize decisions - on priority issues. The dispersion of meetings is also reinforced by the parallel actions of MEAs and their lack of synergy. Nevertheless, there is room for improving the relation between inclusiveness, "political correctness" and cost-effectiveness.

The Montevideo Programme for the Development and Periodic Review of Environmental Law (Montevideo IV)

153. The fourth phase of the Montevideo Programme was designed in consultation with a wide range of government officials and experts on environmental law. A proposal was formulated to addressing various thematic areas through initiatives that include the strengthening of country negotiating capacities, among others. Its formulation was planned to coincide with the design of the MTS; however, aligning a 10-year recurrent initiative within a biennial programme cycle has proven to be difficult.

154. During past years, the technical assistance and platforms supported by the Montevideo Programme have led to a new international treaty on mercury, legal work on freshwater resources that has guided regional inter-governmental organizations in managing trans-boundary water basins, and improved negotiation capacities for parties to the UNFCCC; these advances have supported the work done by other SPs in ecosystems management, hazardous substances and climate change. In March 2010, the programme's sections on implementation, compliance and enforcement, internationally agreed environmental objectives and goals had been updated through intergovernmental consultations. This was intended to assist governments in implementing commitments under the Bali Strategic Plan.

155. As of 2012, Montevideo IV had worked on 14 thematic areas, several of which are crosscutting.   The programme has supported MEA awareness and implementation under the Information Technology area of work.   Initiatives to improve the effectiveness of environmental law were reflected in training programmes for judges on environmental law enforcement, subsequently expanded to include legal prosecutors and INTERPOL. In partnership with the International Organization of Supreme Audit Institutions (INTOSAI), manuals were produced for auditors that explain the content of MEAs and their role of in implementing them.   Likewise, Montevideo IV played an important role in the UNEP Governing Council's adoption of Guidelines for Compensation Liability and Public Participation and Access to Justice.   Studies conducted through Montevideo IV also led to the adoption of UNEP guidelines for drafting national environmental legislation. [57]   The programme has recommended a number of actions to governments and MEA Secretariats; the extent to which they have been implemented or had impact is not documented.

156. The programme's momentum seems have declined in recent years. Implementation has been weakened by recurrent staff and funding limitations. UNEP's Governing Council had indicated that Montevideo IV should not depend exclusively on UNEP.   Concern has also been expressed regarding possible overlaps with the mandates of MEA Secretariats in supporting country negotiations on international agreements.

Capacity Building related to Multilateral Environmental Agreements (MEA) in African, Caribbean and Pacific (ACP) Countries

157. The ACP/MEA project was designed in 2009 and intended to run until 2013. With financial support from the EU, the project seeks to strengthen the capacity of ACP

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

countries to implement and comply with MEAs through three sub-components - Clean Development Mechanisms (CDM), Combating Desertification and Sound Management of Chemicals and Pesticides - that were determined through needs assessment workshops and desk studies. Mid-term evaluations for participating regions indicate consistent progress in establishing Regional Hubs under the management of existing bodies (i.e. AUC in Africa; SPREP for the Pacific region) to deliver outreach services and training support to countries. Topics include MEA implementation and their mainstreaming into national legislation and policy.

158. Through its information and awareness-raising activities, the project has raised regional capacities for MEA coverage across Pacific SIDS by training journalists and introducing a media award. In Africa, the project completed a needs assessment/prioritization process that was endorsed by participating countries. Within the Africa region, 43 countries and 3 Regional Economic Commissions had nominated ACP-MEA focal points to work with the project. Improved negotiation skills have been reported in the participation and contributions of African delegates to the UNFCCC COP15 that was held in Copenhagen, as well as the Mercury INC 3 and UNCCD COP10. The mid-term review concludes that the project has contributed to increased ratifications of targeted MEAs and related regional agreements such as the Maputo Convention; and built momentum towards convening the first COP to the Bamako Convention, adopting a Protocol on Land-based Sources of Pollution to the Abidjan Convention, and developing enabling legislation and regulatory frameworks for persistent organic pollutants (POPs). The East African Community (EAC) was supported in updating a draft billon trans-boundary ecosystems management.

159. Funding is an essential driver of progress for projects. "Innovative" ways of leveraging additional funds to implement MEA activities were highlighted as a project accomplishment for Africa. On the other hand, critical funding constraints are faced in the Caribbean and there are concerns that available resources are insufficient to complete the project as designed. Delays in implementation and recruitment, combined with low commitment levels by Member states, have also undermined progress in the Caribbean region. Efforts were made to mobilize support from the Caribbean Development Bank and other regional organizations, in addition to ROLAC and the GEF IWCAM project. In Africa, extended delays in commencing project activities had postponed the implementation of negotiation training workshops, the development of legislation, and support to national focal point networks. According to the evaluation report, the "…rush in covering up for lost time could affect the project outcomes, especially in the area of capacity building where tangible results are not evident….[and] affect the monitoring and evaluation of progress as well, leading to

gaps in the best practices learnt and a weak sustainability foundation." [58] The staff responsible for coordinating the African Hub were unable to devote adequate attention to substantive activities due to the project's considerable administrative demands; the interim solution of hiring external consultants to undertake administrative and reporting tasks (with help from DELC and ROA) risks the longer term sustainability.

4.2.3   EA (C) - National development processes and UN common country programming processes increasingly mainstream environmental sustainability

Observations on Design and Structure:

160. The adverse effects of climate change have, in the last two decades, significantly affected the environment and the countries' social & economic development. The growing economy is also placing increasing demands on natural resources and energy, with potentially serious adverse consequences on the environment. Environmental challenges are increasingly perceived as development issues, affecting the well-being of the population.

161. As several United Nations Development Assistance Framework (UNDAF) documents acknowledge, poor environment protection and management at country level are affected by a multiplicity of factors, including: low priority accorded to the environment, especially within decentralized structures, and inadequate investments in environment conservation activities; weak enforcement of MEAs and national environmental laws; and, overall, inadequate capacities to plan, implement and monitor environmental projects. The cost of environmental degradation is not yet appropriately incorporated into development analyses and decision-making. Integrated and participatory approaches for the management and monitoring of the environment are to be promoted. The importance of strengthening the country capacity to produce Environmental Impact Assessments is widely acknowledged, to ultimately inform a nationally adopted state of environment, accepted by all donors and organizations working in the country. The UN has a strategic role to play in strengthening the policy environment through increased access to data and information, greater inclusion of stakeholders and supporting the linkage and integration of environment into governance mechanisms and the macro-economic policy and poverty reduction frameworks.

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[58] *Review of Capacity Building related to Multilateral Environmental Agreements (MEA) in African, Caribbean and Pacific (ACP) Countries – African Hub Component* (March 2012), pg. 6

162. UNEP's support to the work of UNCTs answers the UN General Assembly's call[59] for more coherence, effectiveness and relevance of UN work, and for the simplification and harmonization of business practices among UN agencies. The Report by the High-Level Panel on UN System-wide Coherence in the Areas of Development, Humanitarian Assistance and Environment requested UNEP to more actively participate in UNCTs and work through the Resident Coordinator (RC) System. Environmental sustainability (ES) is one of the five key principles for all UN assistance at country level. However, as it is a relatively new and complex theme and support in terms of UN system-wide guidance was provided only in 2009, UNCTs still often lack the capacities and knowledge to properly integrate ES issues into their work (ODI, 2006; JIU, 2008). The level of priority given to environment ends up being very different from country to country.

163. The Medium Term Strategy (MTS) 2010-13 of UNEP recognizes UNDAFs as an important basis for UNEP's engagement at country level, in accordance with the Bali Strategic Plan (BSP) and the principle of national ownership which should guide all UNEP's interventions at country level. The One UN process presents UNEP with a unique opportunity to work more effectively at country level as part of the UN family, in order to mainstream environment issues both in the work of UNCTs and the operations of national authorities. The UN support to country analyses, and the preparation of the draft UNDAF and its results matrices by the UNCT and its inter-agency thematic working groups, represent important entry points for UNEP in the UN common country programming process.

Description of activities

164. Recognizing the opportunities that engaging in Delivery as One could bring to UNEP the Executive Director asked, in 2007, for a strategy and implementation plan to be drawn up[60]. Formal commitment has helped strengthening the collaboration with other UN agencies and programmes at the country level, in the context of the UN reform and Delivering as One (DaO).

165. In the period considered, UNEP approved four projects:

- UNEP's Delivering as One (2007-09);

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[59] Triennial Comprehensive Policy Review 2007: http://www.un.org/esa/coordination/A-C.2-62-L.63.pdf

[60] The strategy was developed with the help of the Regional Directors and discussed by the UNEP Senior Management Team (SMT) in March 2007; the implementation plan was developed with inputs from all Divisions, reviewed and approved by the SMT in April 2007.

- Coordinated and harmonized UNEP engagement in the One UN pilots and priority CCA/UNDAF roll-out processes under the DaO framework (2008-09);

- Implementing the Bali Strategic Plan by Delivering as One (Phase I and II, 2008-11);

- Integrating environmental sustainability in the UNDAFs and UN common country programming processes (2010-11).

166. The project "UNEP Delivering as One" (July 2007- July 2009) – with a twice revised budget of USD 865,000 partly provided by the Dutch Government – aimed to ensure UNEP participation in One UN pilot countries and the 11 UNDAF roll-out countries for that biennium[61]. UNEP worked with the UNCTs on the development of One UN programme documents in all eight One UN pilot countries and UNDAFs in 7 out 11 roll-out countries. About 90 UNEP staff have been trained in "UN common country programming processes and methodologies including Human Rights Based Approach/Results Based Management (HRBA/RBM), coordinated by the Strategic Implementation Team and DRC. National staff was recruited in Rwanda and Mozambique (and Vietnam for one year). This was made possible by combining the support to the DaO process with functions related to the management of specific programmes (such as PEI in Mozambique or Post-conflict work in Rwanda). In all the other cases, support was provided through the Regional Offices.

167. The project "Implementing the BSP by DaO" (Phase I and II) – funded by UNEP and the European Community[62] – aimed at strengthening the environmental component of UN country plans in four countries (Botswana in Africa, Philippines in Asia, Ecuador and Guatemala[63] in Latin America) by training UNEP staff who then participated in the related UNDAF development processes.

168. The project also funded the development of a training module "ES approach to common country programming" for incorporation into RBM/HRBA training. About 100 UNEP staff members in Africa, Asia, Latin America and Europe were trained by the UN System Staff College. The project achieved two other important results, by carrying out a long-demanded review of all current UNDAFs to look at their environmental component, and by piloting National Environmental Summaries (NES)

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[61] Angola, Kenya, Nigeria, Mauritania, Bhutan, Nepal, Kosovo/Serb Republic, Ecuador, Haiti, Lebanon, and Bahrain

[62] The EC-funded Thematic Programme for Environment and Sustainable Management of Natural Resources, including energy (ENRTP)

[63] The project initially aimed to support the preparation of UNDAFs in one country in each region (total of three). Regional Coordinators selected the priority countries which were commencing the CCA/UNDAF process in 2008. In addition, ROLAC decided to pilot the project in Ecuador too, given the considerable amount of UNEP activities in the country and expecting to influence the next UNDAF to be finalized in 2009.

describing the key national linkages between the environment and development[64] to guide the UNDAF development processes. The planned website with the full set of training materials was never realized. In 2011, UNEP hired the Southeast Asia Start Regional Centre of Chulalongkorn University to establish a community of practice for DaO. It was intended as a social platform to share experiences and formulate recommendations for strengthening UNEP's capacity for engaging with UNCTs and integrating ES considerations in UN country programming processes. The platform was established on the UNDP's teamwork web page, but inefficiencies and technical problems forced the discussion towards a mailing list modality.

169. The project "Coordinated and harmonized UNEP engagement in the One UN pilots and priority Common Country Assessment (CCA) / UNDAF roll-out processes under the Delivering as One Framework (2008-09, then extended to the end of December 2010, due to the delayed recruitment of staff and the late start-up of project activities) was funded by the Norway Trust Fund for a total (revised) budget of USD 4 million. The project aimed at integrating ES issues into UNDAFs and promoting a coherent participation by UNEP in UNCTs in the DaO pilot countries and 18 UNDAF roll-out countries[65]. Funds provided allowed UNEP to significantly increase its presence in the region: a coordinating programme officer in the DRC, five programme officers, one in each UNEP Regional Office (RO), five national officers in DaO countries (Tanzania, Uruguay, Rwanda, Mozambique, and Vietnam)[66], and three others in the Philippines, Botswana and Haiti (in addition to the national officers based in Indonesia and Myanmar paid by UN-REDD and UN-Habitat respectively). The project provided training to UNEP staff on UN common country programming processes, but it never developed UNEP country programmes aligned to the national priorities articulated in the UNDAFs and other national development planning processes, due to the disagreement towards this proposal by the Strategic Implementation Team.

170. The project "Integrating environmental sustainability in the UNDAFs and UN common country programming processes" (2010-11, extended to June 2012) – with an approved budget of USD 8.697 million and a programmed one of USD 1.975 million – aims at strengthening the integration of ES into UNDAFs. The project document included the possibility of funding the implementation of few priority UNDAFs, when at their start-

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[64] National Environmental Summaries are intended to provide a critical analysis of gaps in national legislation and policies addressing environmental issues and their critical linkages to poverty reduction and development. NES are based on desk study and consultations, particularly with UNCTs and national environmental authorities.

[65] Afghanistan, Argentina, Armenia, Bosnia, Botswana, Burundi, Guatemala, Haiti, Iran, Kazakhstan, Macedonia, Montenegro, Philippines, Romania, Serbia, Tajikistan, Turkmenistan, and Uzbekistan

[66] In Pakistan UNEP was not able to provide any support for political reasons. Activities in Albania were directly managed by ROE.

up phase or wherever funds have been raised at country level.[67] The project's budget included a global ToT (for 32 UN staff, including 11 from UNEP regional offices and HQ), and five training sesssions for UNCTs at regional level on the UNDG guidance notes on ES and CC. The project management unit includes: two professional officers at ROA (plus a seconded officer from the Dutch Cooperation), One UN Coordinators in Regional Offices (paid by the Environment Fund), and 6 national officers[68].

171. UNEP is an active player in the work of the United Nations Development Group (UNDG). In addition to participating in all UNDG Task Teams' meetings, UNEP leads the Task Team on Environment and Climate Change, and co-chairs the one on Disaster Risk Reduction (DRR). In 2007, UNEP successfully advocated for the introduction of environmental sustainability as programming principle for UNDAFs. Through its Liaison Office in New York, UNEP guided the production (by external consultants, paid by UNEP and UNDP) of two UNDG guidance notes on integrating ES and CC principles in country analyses and UNDAFs[69]. The guidance documents highlight how to better mainstream ES issues at each of the 15 identified entry points during the CCA and country programme planning phases. The guidance documents contain reference to UNEP's manuals on compliance and enforcement with MEAs, and other publications on environmental law, as well as the State of the Environment reports, the GEO data portal, the rapid environmental assessments, and the training manual on Integrated Environmental Assessments as important sources of information. The guidance notes were disseminated electronically by the UNDG Secretariat to Resident Coordinators, and were translated in French, Spanish, and Arabic[70].

172. UNEP also produced a Guidance Note on Delivering as One at Country Level, which identified three main entry points in the national and UN country planning processes: the assessment of the country development context (e.g. the CCA, or), the formulation of the national development priorities and strategy, and the preparation of the UN response to those national priorities. Post-Conflict or Natural Disaster Assessment, as elements of UN transitional strategies, are also mentioned. The Guidance Note was, on

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[67] UNEP's contribution to the delivery of specific UNDAF outputs are rather intended to be captured in relevant projects falling under each of the thematic sub-programmes. The work by DEWA related to environmental assessments and capacity development at the country level is included in the EG sub-programme, but under EA(D).

[68] In Vietnam, Philippines (ended in October 2010), Rwanda, Tanzania, Botswana (contract ended in October 2010), and Uruguay. National officers in Mozambique, Indonesia, Myanmar and Haiti are paid under other programs.

[69] Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF (Oct. 2009) and Integrating Climate Change Considerations in the Country Analysis and the UNDAF (Apr. 2010). The Guidance notes were prepared by two consultants, one hired by UNEP and one by UNDP.

[70] UNDG Secretariat ran out of money for translations in 2011. UNEP Regional Offices in Panama, Nairobi and Manama helped finalizing the documents.

a number of occasions, included in the agenda of the UNEP Senior Management Team, but in the end never discussed.

Observations on Performance and Achievement of Results:

173. Starting from 2007, UNEP contributed to the work of UNCTs and has been able to bolster the environmental components of DaO programmes and UNDAFs. UNEP has distributed environmental data and information to inform CCAs, supported the formulation of planning documents (and related matrices of results), coordinated WG meetings, and provided training to UNCTs. UNEP's performance in the period under assessment has improved in terms of scope of its activities and effectiveness. The number of countries supported in each biennium has moved from 19 in 2006-07 to 30 in 2008-09 (also thanks to the EC funds) and 2010-11. The increased participation in country level programming processes has allowed UNEP to advocate for ES and CC adaptation, and to offer its expertise to staff in the UN system and others at local level. UNEP presence at country level has made a big difference: it allowed participation in all the key meetings, and to co-chair the Expanded Theme Groups (ETG) whenever formed. It influenced the articulation of objectives and generated valuable impact. However, while the number of countries that UNEP has supported has significantly increased, the number of staff dedicated has not. There is a risk that UNEP raises expectations which it does not have resources to satisfy.

174. UNEP's early contribution was particularly appreciated in Rwanda, where UNEP took the role of co-chair of the ETG, and in Albania, where UNEP was instrumental in the development of a fifth UNDAF outcome on the environment. In Tanzania, instead, UNEP faced some difficulties being a non-resident agency and not being prepared to engage in the mainstreaming of environment into the social and economic Joint Programmes. While UNEP was not able to provide any seed funding in the 2010-11 biennium for implementing specific environment outputs in completed priority UNDAFs, the project nonetheless leveraged a total of US$ 2,036,300 from the One UN coherence funds at country level (Pakistan[71], Uruguay, Bhutan[72], Tanzania, Cape Verde, Albania, Myanmar[73] and Iraq[74]), specifically to support the implementation of these outputs.

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[71] Using resources mobilized through the One UN fund, UNEP was able to scale up its programme of work activities, such as the Ozone Action Initiative and the Comprehensive Environment and Climate Change Outlook.
[72] UNEP supported the Bhutan National Environmental Commission in the preparation of an Environment Outlook and a comprehensive study on water resources.
[73] UNEP is working on a joint Environmental Outlook
[74] UNEP is implementing, jointly with UNDP, a programme on CC

175. Performance at PoW level also exceeded the expectations[75]: in the 2010-11 biennium, UNEP environmental assessments were mentioned in 30 cases (exceeding the target of 16, and bringing the overall number to 66 since 2007), and in all these cases environment issues were included into UNDAFs.

Table 4. Support to UNDAF Processes (2006-2011)

	Dec 07	Dec 09	Dec 11
No. of UNCCA/UNDAF referring to environmental assessments supported by UNEP	23	36 (+13)	66 (+30)
No. of UNDAFs incorporating environment in countries where UNEP has intervened	21	36 (+15)	66 (+30)

176. The evaluation analyzed the content of 94 UNDAFs (68% of the total) drafted in the period under assessment, and noted the following:

- Almost all UNDAFs aim to mainstream environmental considerations into national development policies. The number of UNDAFs incorporating environment increased from 36 in 2009 to 59 in 2010. On average, 80% of UNDAFs include an environment-related Country Programme Outcome. Attributing this result exclusively to UNEP would yet be unfair. UNEP involvement clearly helped significantly in this respect, but it has not been the only – and in some cases not the most active – promoter of mainstreaming environmental concerns.

- UNEP is on average mentioned in 65% of the cases, with a steady increase from 53% in the biennium 2007-08 to 75% in 2011-12. UNEP signed the UNDAFs in one fifth of the cases, with a steady increase from 4 in 2007 to 19 in 2011.

- UNEP environmental assessments are increasingly referred to. This represents a significant improvement compared to the situation in the past biennia. Previous assessments showed that UNEP's environmental analyses had not in the past been fully utilized in the CCA analyses. For example, despite the fact that 41% of African countries undertook national Environment Outlook Studies by 2008, findings stemming out from these documents were mentioned only in the case of Botswana. Whenever used, UNEP assessments have always proved to be useful. GEO regional reports were used in Latin America to have an overview of the main environmental themes of concerns in the region, and in Uruguay

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[75] Performance indicators for UNEP's engagement in UNCTs include: i) references to UNEP supported environmental assessments in development plans, including UN CCAs and UNDAFs; and ii) an increase in the percentage of UNDAFs that have environment as a main element in countries where UNEP has intervened.

specifically to inform the CCA. Findings from the National Environmental Summary of Indonesia provided the cue to convene an inter-agency meeting of environment focal points discussing potential interventions for inclusion in the UNDAFs. In Africa, post-conflict needs assessments for Liberia and Sudan helped strengthen the linkages between environment and conflict issues in the UNCT programming. Here again, UNEP's physical presence in the country has affected the extent to which data support was asked for/referenced.

- UNEP's support to UNDAFs varied across the regions. UNEP's contribution to UNDAFs appears to have been most prominent in Africa, East Asia, Eastern Europe and Central Asia. A number of success stories have been identified across the regions and summarized in the table 4 below.

- UNEP's contribution to the implementation of UNDAFs span across ES, CC and DRR. Water and energy feature as the most prominent technical areas. Links with food security (in Africa), green economic development (in Asia most prominently, but also elsewhere) and ecosystem management (in Europe) are acknowledged. UNEP's support is mostly valued in terms of: capacity development for the implementation of MEAs and of national legal frameworks for environmental management; provision of environmental data, State of the Environment reports, and – less consistently - policy development and monitoring, which are left more to UNDP and FAO. Yet, with few exceptions such as China, UNEP's interventions at country level are for the most part still managed outside the UNDAF's framework (e.g. support to Fora of Ministers, the majority of REDD projects).

Table 5: UNEP's support to UNDAFs – Success stories (2006-11)

Region	Country	Why a success
Africa	Botswana 2010	UNEP signed the UNDAF and received a total of USD 5 million (incl. 0.7 from the Economic Diversification and Poverty Reduction pillar). UNEP supports UNDP on mainstreaming environment and conservation into national development and poverty reduction framework. It also supports capacity development efforts in the area of water management and assessment of CC impact. UNEP efforts contributed to the establishment of the Environment WG
	Tanzania 2011	UNEP committed to provide TA to mainstream environment in all levels development planning processes; producing policy briefs and other awareness materials on the impact of CC; support CD in the area of environmental law. Uniquely, the One UN document mentions the UN REDD programme, and UNEP's support to it through the promotion of dialogue and awareness
Asia and Pacific	China 2011	UNDAF comprehensively maps out UNEP activities in the country (spanning from the Billion Tree campaign, to policy advice on mercury emissions'

		control to green economy initiatives)
	Mongolia 2007	Improved EG is a CP Outcome, and UNEP worked with UNDP on the preparation of a joint EG program (strengthening national capacities to implement and monitor policies and legislation; assessments of environmental degradation; and capacity development of NGOs to monitor environmental standards). Social, economic and ecological dimensions were linked together.
	Thailand 2007 and 2012	UNEP co-chaired (with UNDP and WB) the Working Group on "Capacity building on sustainable urbanization" and "Enhance knowledge/management of the environment and natural resources at local level". A joint partnership on CC was prepared by a team of Government agencies and UN agencies (led by UNEP). UNEP has extensively worked both on capacity development of community organizations and on the effective implementation of major MEAs.
Arab States	Iraq 2011	UNEP signed the UNDAF and received USD 3 million from the UNDAF Priority 3 on Environment. UNEP co-chairs (with UNDP) the WG on environment. State of the Environment reports are mentioned as importance sources of information to be integrated into City Master Plans. UNEP will provided advisory services on CC assessment and mitigation, pollution and DRR issues
Europe	Azerbaijan 2011	UNEP is allocated USD 30,000 and is asked to support relevant national policies, strengthen capacities to address environmental degradation, promote the green economy, reduce vulnerability to climate change, promote cooperation about conventions, and safeguard energy security. Budget seems low for the tasks UNEP is asked to support with.
	Bosnia and Herzegovina 2010	UNEP was allocated USD 985,700 to contribute to enhancing legal and institutional frameworks for EG, enhance capacities for the preparation of environmental indicators, taking action in the area of adaptation and mitigation of CC.
Latin America & Caribbean	MDG Funds	ROLAC actively participated and successfully executed a number of MDG Joint Programs in the Environment and Climate Change window in Nicaragua, Panama and Peru.
	Guatemala 2010	UNEP received funds for the implementation of projects covering different areas: formulation and implementation of international norms and standards; environmental education for DRR; water&sanitation; capacity development on CC adaptation; ozone depletion, The PEI initiative is mentioned, while a stronger involvement of UNEP (and FAO) in joining UNDP supporting energy policies is advocated.

177. UNEP's contribution and advocacy for the production of guidance documents on mainstreaming environmental issues into UNDAF is very positively acknowledged, and answered a need expressed by more than half the respondents to a survey in 2008. Compared to the first developed "ES module", these are inter-agency products endorsed by UNDG. Its content is more comprehensive than the on-line module and directly linked to the UNDAF steps as entry points. Training and Training of Trainers (ToT)

were carried out in the regions and involved about 90 UNEP staff and 15 from other UN agencies (e.g. UNESCO, UNDP, UNIDO, OHCHR, UNICEF) per biennium. The ToT covered all the UNDAF 2010-11 roll-out countries in Asia and Latin America, and 2011 roll-out countries in Africa. The UNDG workshops were attended by a good number of qualified participants, mostly from UNCTs (and within them, the great majority from UNDP) in Africa and Latin America which are expected to roll-out their UNDAF in the biennium 2011-12.

178. In the period under assessment, the regional workshops received high ratings for the way they were organized and proved to be useful. The use of case studies – especially MEAs' related, such as the CBD one in Botswana and Sudan and the UNFCCC one in the Maldives – was appreciated. The professionalism of resource persons (from UNEP and ISDR, plus some from OCHA), and the involvement of UNDG Regional Secretariats offering insights on regional issues, was highlighted. Participants declared that their capacities had been enhanced and that they were now able to mainstream DRR, ES and CC considerations in the UNDAF process. Some complaints were raised about the little time devoted to drafting sample action plans, which calls for enhanced follow-up by UNEP (or other trained staff). There is also some concern that training by itself – limited to one workshop – has a limited value: stressing the importance of environmental issues during UNCT meetings has proved more effective.

179. Yet, important challenges remain, as summarized in the table below. The report discusses them in greater detail in the following sections (factors affecting performance).

Table 6: Main Implementation Challenges and Key Success Factors

Challenges	Success factors
Lack of an interdivisional, global and regional, UNEP strategy and long-term vision for UNEP involvement in the country	Close collaboration with resident agencies, and particularly with UNDP[76]
Harmonization of UNEP's engagement in the country (One UNEP)	Close collaboration with the Government and alignment to country priorities
Insufficient resources (human and financial)	Physical presence in the country

Source: Survey to DaO Regional Coordinators and National Officers

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[76] Increased engagement with UNCT has brought significant and durable benefits in a number of countries. For example, in Asia UNEP was able to raise USD 400,000 to support the implementation of PoW activities at country level (in Bhutan and Pakistan, to be followed in 2012 by Vietnam and Indonesia). In Myanmar, UNHABITAT offered to create a post of national environment officer (fully funded, but with 30% of his time to support UNEP). The Resident Coordinator also requested UNEP to take the lead in drafting the country analysis chapters on MDG7;

4.2.4 EA "D" - Access to Sound Science for Decision-making

Observations on Design and Structure:

180. The Programme Framework for EA(D) recognizes the need to strengthen the science-policy interface at various levels, from global to national, and provide enhanced evidence for decision-making. The fourth pillar of the EG SP aims to "improve access by national and international stakeholders to sound science and policy advice for decision-making", through:

- Global, regional sub-regional and thematic environmental assessments, outlook indicator reports and alerts produced, communicated and used by relevant stakeholders in decision-making in national and international policy processes (10 publications planned);
- Multidisciplinary scientific networks more strategically connected to policy makers and development practitioners to integrate environment into development processes (5 expert networks originally targeted)
- Institutional and technical capacities of government and partner institutions in environmental monitoring, assessment and early warning demonstrated to support national policy making (10 training courses, seminars and workshops covering 20 countries planned);

181. Five projects were approved by the Project Review Committee and constituted the main implementation vehicle to deliver on these results:

- GEO-5 Integrated Environmental Assessment;
- Outlook Reports on the State of Marine Biodiversity in the Regional Seas;
- Regional, sub-regional, and thematic environmental assessments, outlook, alerts and indicator reports;
- Multidisciplinary networks to integrate environment into development processes;
- Regional and national level capacity building in the area of environmental monitoring, assessment and early warning to support decision-manking.

182. The estimated total budget for EA(D) in 2010-11 was USD 14 million, of which 4 million secured through the Environment Fund with the remaining 10 million of extra-budgetary resources to be mobilized.

183. The performance indicators selected to measure progress on the "access to sound science for decision-making", are: i) the percentage of UNEP-led or UNEP-supported environmental assessments that have undergone a multi-stakeholder peer review and

contain a summary for policy makers (target: 90%), and; ii) the increase in the number of visits to, and downloads of, UNEP-led or UNEP-supported environmental assessment reports on the UNEP website (target: 150,000 per month).

184. The evaluation observes that, while these process type indicators are helpful as measure of a certain scientific credibility and reach, they do not help assessing the perceived quality/relevance/usefulness of the outputs, nor are they indicative of the influence the assessments have exerted on decision-making and in changing institutional behavior. The indicators also do not capture, in any meaningful way, the role that networks and capacity development activities have played in enhancing access to sound science.

185. The use of Theory of Change in the design of the SP would have helped better identify the overall role of assessment in the EG framework, and then select indicators for the ultimate intended result of bridging science to identified policy gaps. This would be also in line with the UNEP-DEWA guidance to countries on Integrated Environmental Assessment (IEA).

Observations on Performance and Achievement of Results:

186. At PoW Output level, five assessments (the Africa Water Atlas, GEOLAC 3, a Report on Green Growth, Resources and Resilience in Asia and the Pacific, the Haiti Environment Outlook and a Vulnerability Assessment of Freshwater in West Asia) were finalized, against a target of 10 for the 2010-2011 biennium. The Eye on Earth Summit was organized in December 2011, in partnership with the Abu Dhabi Global Environmental Data Initiative (AGEDI) and under the patronage of the United Arab Emirates, against the five planned network initiatives. No other multi-disciplinary scientific network was made operational given the lack of financing. Through Online Access to Research in the Environment (OARE), access was provided to more than 3,400 scientific peer reviewed journals. The Knowledge from Science to Societies (KNOSSOS) initiative, funded by the European Commission to make scientific research more actionable for policy-makers and civil society, was launched in November 2011 and UNEP-live was created as a repository of reports, maps, data and indicators on the state of the environment. Finally, UNEP supported the preparation of state of the environment reports and atlases, together with associated capacity building, in over 20 countries, as well as countries supported by subregional activities in the Caribbean and the Pacific. It also prepared regional atlases such as the Latin America and Caribbean Atlas of Our Changing Environment. Over 2,000 institutions from 109 countries have registered for the OARE system.

187. The evaluation considers that information networks, explicitly linked to national data and information systems, would greatly enhance environmental governance. However,

as illustrated above, UNEP has not defined any indicator to measure the extent to which the reports and developed outputs have reached relevant stakeholders in decision-making processes. From a Sub-programme performance perspective, the process and indicators give no measure of the extent to which this work is contributing to address environmental sustainability issues, helping fulfill commitments to MEAs and enhancing synergies in implementation. On a positive note, the new Sub-programme 7 that will be initiated in the 2014-15 biennium, has more appropriate performance indicators that focus on the uptake and use of data and analyses produced.

188. In order to assess the contribution of UNEP to enhanced access to sound science, the Evaluation chose a sample of work for illustrative purposes: the *GEO 5 Outlook Summary for policy makers* (SPM), the statistics – based report *Keeping track of our changing environment* published in the fall of 2011, and the *Global Environment Outlook: Latin America and the Caribbean (GEOLAC 3)* published in 2010, as sample products.

GEO process highlights

189. The Global Environmental Outlook is a flagship output under Expected accomplishment D. Five reports have been published to date: GEO-1 in 1997; GEO-2, in 1999; GEO-3 in 2002; GEO-4 in 2007 and most recently GEO-5 in 2012. Reports are produced using a participatory and consultative approach. Inputs are solicited from a wide range of sources, including collaborating centers, networks, United Nations organizations, partner institutions and independent experts.

190. The GEO process offers great potential to connect science and policy, highlighting key issues for action, and showcasing successful case examples of solutions to shape international and national systems of environmental governance. The evaluation reviewed the process for GEO4 and GEO5, to assess whether the process has evolved to respond to the need of a stronger science base informing policy making.

191. GEO-4 had called for a two track approach to policy responses: expanding and adapting proven policy approaches to the more conventional environmental problems, and urgently finding workable solutions for the persistent environmental problems. Possible responses, as suggested in GEO-4,[77] include synergies and trade-offs within, and outside, the environmental policy domain. Solutions to persistent environmental problems (climate change, stratospheric ozone depletion, persistent organic pollutants and heavy metals, tropospheric ozone, acid rain, large scale fisheries depletion, extinction of species and invasive species) require expanding and adapting proven policy responses to lagging countries and regions, which have been unable to keep

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[77] UNEP 2007a, GEO4 Outlook chapter 8

pace, due to the lack of capacity, inadequate finances, neglect or socio-political circumstances. GEO 4 noted that further development of innovative solutions was needed for persistent, inter-related, globalized problems, with inherent social time lags.[78] Setting pecific goals and verifiable targets, adopting measurement tools, including economic valuation, and using a mix of complementary policies were all highlighted as measures to tackle the most challenging and complex environmental problems.

192. The 2009 review of the impact of the GEO-4[79] noted that the GEO 4 content was most commonly used as an an authoratative information source but its use in relation to global and national policy processes was largely restricted to identifying problems and helping to shape policy agendas, with lesser influence on policy formulation and almost no influence on downstream areas of the policy cycle. Development practitioners and private sector perceived the GEO-4 report as not resonating sufficiently with their practice and needs. Too little consideration was given to policy implementation, enforcement, evaluation and review. The summary for decision makers in particular was generally perceived as not meeting the standards of independence, and considered less reliable and authoritative than the main report. The review finally noted that the process could be significantly improved by paying greater attention to the clarity of roles, responsibilities, and target audiences. The assessment concluded that GEO needed to reposition itself to ensure appropriate and timely consideration by Governments and other stakeholders. Seven points were highlighted for consideration on global policy responses: Intensification of policies; efficient and equitable solutions; realizing the promise of technology; international cooperation; improved governance mechanisms and structures; making international production and consumption chains more sustainable, and overall policy coherence. These were considered good practices / starting points for GEO 5.
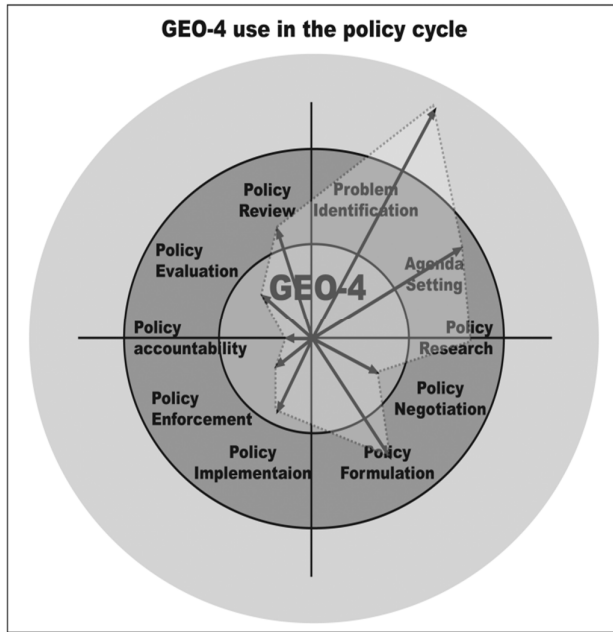
> *''Decision makers are now more intent on seeking solutions and proposals for concerted actions in which each actor can find their space."*
>
> *- GEO 4 evaluation*

Figure 3. Use of the GEO-4 Report in the Policy Cycle

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[78] UNEP 2007a,GEO4 Outlook chapter 10.
[79] Review of the initial impact of the GEO4 report 2009. Page iv

GEO-4 use in the policy cycle

Source: UNEP 2009 review of the initial impact of GEO 4

193. Acting upon the recommendations from the Influence Study of GEO-4, the Programme Framework document for the 2010-11 and 2012-13 biennia highlighted the need to enhance the GEO process, to make it more policy-oriented, including solutions that bridge environment and development, and with a stronger science base. To address this, DEWA also planned to set-up a 'UNEP-Live' interface providing data and "near real time" information for policymakers.[80] In response to the limited resources available, focus was placed on the GEO process components. The UNEP live interface was, however, developed and is operational, and provides reports, maps, data and indicators.

194. The 25th session of UNEP Governing Council also indicated that "*GEO-5 is to strengthen its policy relevance with a science-based analysis of appropriate policy options at appropriate levels and their indicative costs and benefits to speed up realization of the internationally agreed goals and targets*". This brings a dimension to GEO 5 that was less prominent in the previous GEO reports. The GC also requested stakeholder engagement to support and further strengthen their scientific credibility, policy relevance and legitimacy.[81] The evaluation concurs with these observations and considers that strengthened policy relevance was needed in GEO-5, so as to better contribute to the Expected Accomplishments of the EGSP. The policy, private sector and development aspects of GEO needed special attention and significant strengthening.

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[80] Programme framework document Environmental Governance sub-programme EAD improved access to science and policy advice for decision-making.
[81] GC decision 25/2/III

195. The evaluation noted a significant improvement in the process for GEO-5. The approach chosen by DEWA to ensuring relevance and sustainability of GEO is largely focused on multi-stakeholder processes engaging experts and Governments. A draft of the Summary for Policymakers (SPM) was adopted by the UNEP GC27, following negotiation and endorsement at an intergovernmental meeting held in January 2012. The report was published on-line in mid – May 2012, and then officially presented in June in Brazil for the World Environment Day, two weeks before the UNCSD Rio+20. The process was inclusive: all the draft assessments were peer reviewed; each Chapter had a principal scientific reviewer, and further 2 / 3 experts involved in the preparation. Involving countries in negotiation and endorsement of the SPM during the GC special meeting in February 2012 is a notable good step. UNEP rightly considered that, without an early buy-in by Governments, policy recommendations would have been less likely to be taken on board, and the policy impact would have been lower.

196. The involvement of the IEG team leader in the GEO process, and the use made of the IEG team report on globally agreed goals and targets, is also noteworthy, and reinforces the point made elsewhere in the document of the importance of bridging science / knowledge with the key policy coherence function within EA "A".

197. A new website design has improved the visibility for GEO–5, served as the main communication tools to the large global stakeholder audiences, and helped reducing the number of teleconferences. A significant volume of information was made publicly available on-line, including: the team composition, documents related to the meetings of GEO advisory panel, and process milestones. The high number of monthly downloads recorded is considered indicative of the GEO's value to the environmental community. The actual content has remained within GEO expert teams. Some type of public synthesis would further improve transparency of the process.

198. The evaluation notes a move towards policy analysis in the GEO process. Yet it considers that the GEO process should further strengthen the shift towards policy analysis and demonstration of effective responses to environmental problems required. Consultative processes *per se* are not sufficient to fully meet the objectives of rigor and scientific credibility of GEO. The substantive content needs to be supported by data, information and knowledge systems and the corresponding specialized expertise, and geared to policy-making processes.

199. The Summary for Policymakers (SPM) content is focused on findings and messages that environmental thresholds are close, or have been exceeded, citing example of increased average temperatures as well as frequency and severity of climatic events, such as floods and droughts. The SPM also reiterates that internationally agreed goals have partially been attained, and that there is continuing deterioration for most of the

global environmental issues reported on in GEO5: atmosphere, land, freshwater, oceans, biodiversity, chemical and waste. The SPM also announces regional assessments dedicated to policy responses, to speed up the achievements of internationally agreed goals[82]. It noted however the limited empirical evidence, most often insufficient to conclude on policy success and transferability.

200. The GEO-5 SPM highlights the need for more reliable data for evidence-based policy making. Apart from GEMS Water and the database on protected areas, UNEP does not have a mechanism to support data collection and analysis; it rather collects information and data from different sources, and packages them for policy-makers. The GEO portal is helpful, but actually duplicates what is also accessible on the UN or the World Resources Institute portals. A next level of integration to be achieved, within the GEO-5 process, is linking the GEO global assessment to integrated country level assessment, with guidance provided on standardized measurement and data. In this respect, the evaluation strongly supports the development of UNEP-Live as repository of reports and data sets.

201. Good practice policy responses are listed for each thematic area as well as for environmental governance: multilevel, multi-stakeholder participation; increased application of the principle of susbsidiarity; local level governance; policy synergy and removal of conflict; strategic environmental assessment; accounting systems that value natural capital and ecosystem services; improved access to information; public participation and environmental justice; capacity strengthening of all actors, and; improved goal setting and monitoring systems. However, these are often "potential" responses, rather than suggested actions rooted in and supported by documented evidence from practice.

202. Both GEO-4 and GEO-5 have too few specific examples and references to MEAs and global policy synergies. The GEO-5 SPM has only scratched the surface in answering the final question of GEO-4: "What new governance and institutional arrangements are needed to address global problems, including issues of policy instruments, implementation and enforcement; the economics of environmental policy; new alliances for international collaboration and policy integration?" Specific attention to MEA synergies and integration is needed to tackle implementation gaps and improve policy coherence. In addition, the GEO-5 SPM still focuses on the analysis of persistent

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[82] In its call for innovative responses based on cooperation tailored to regional needs, the SPM highlights four "strategic insights" for effective action at the "sub global level":1) A compelling vision of sustainability, building on goals and targets and informed by science; 2) Identifying and reversing unsustainable policies; 3) Applying leverage for transition to keep environmental pressures at acceptable levels, using different measures such as education and awareness raising, changing rules and incentives. 4) Adaptive management and governance with continuous monitoring learning and course correction.

problems, without mention of emerging issues, despite the UNEP Foresight report (where 21 emerging issues are mentioned) was launched the same day as the GEO.

203. The structure by thematic areas, and the team compositions of GEO-4 and -5 were similar. While there is a benefit from continuity and well-seasoned team work, future efforts should secure the policy expertise needed for GEO work to shift towards more policy relevant review and analysis.

204. The shift in policy called for in the GEO-5 SPM is one focused on root causes and underlying drivers of environmental changes, such as population growth, consumption and production, urbanization and globalization, rather than concentrating only on reducing environmental pressures or symptoms. The main concluding message from the SPM reiterates key IEG needs, stating that delivering results requires a combination of technology investment, governance measures, together with sustainable consumption and production patterns.

205. The evaluation noted the absence of any sector analysis and of any sign of reach out to sector constituencies, other than a general mention of the energy sector. Influencing sectors beyond environment is considered critical to impact. Addressing development sectors as opposed to traditional environmental component themes (atmosphere, land, water, and biodiversity) and make use of future scenario modeling with clear options for actions would represent major steps towards making GEO an action-enabling assessment.

206. Finally, the evaluation considers that the focus on regional policy scenarios is off target. Other than in Europe, there is no strong regional governance node in the world. While organizing knowledge sharing among countries and offering technical services is clearly most cost-effective through regional offices and services, there is a policy vacuum at regional level. The discourse on regional policy options is vague, unlikely to resonate with countries and contrary to the Rio principle of subsidiarity where countries are the policy and governance nodes of the world.

Keeping track of our changing environment

207. The report 'Keeping track of our changing environment', produced by DEWA within the GEO framework, and launched in October 2011, highlights major trends in global environmental, economic and social changes over the past 20 years. Essentially, a charted compilation of global data sets, the publication tells a compelling and succinct story of key issues including population, climate change, energy, resource efficiency, forests, food security and land use, drinking water. The report keeps track of a number of indicators, including the number of ISO 14001 certifications (which increased of over 1500% since 1999) in companies adopting environmental management systems,

the carbon market size (which increased of 1200% since 2005). With respect to advances in governance, the report tracks and maps the number and signatories of MEAs (most countries having signed at least 9 of the 14 major MEAs and 60 countries have signed all of them), and rightly points out that this is no indication that the related environmental problems have been solved. The report also shows that, although funding to support the environment has not kept up to increases in total aid, environmental governance (development and implementation of environmental policies) and energy initiatives have received the largest share of environment aid; other areas (such as biodiversity protection, land management, water resources and marine protection) received far smaller amounts.

208. The case is fittingly made for verifiable targets and robust science-based environmental monitoring system to track effectiveness of response actions at all levels. The value of monitoring and evaluation for institutional learning on innovative solutions to bottlenecks is also highlighted.

209. The report helped to draw attention to internationally agreed goals and the crucial role of measurement to track achievements and inform policy and decision-making processes. The publication explains clear and succints messages for policy makers and a wider audience, and it works towards the goal of having UNEP better communicating scientific findings for policy uptake.[83] The publication represents a good example of how scientific and technical content can be distilled in simple policy-relevant information for UN and other policy makers.

GEO Outlook Latin America and the Caribbean – GEO LAC 3

210. The GEO Outlook on Latin America and the Caribbean (GEOLAC 3) is a good example of a regional knowledge product that includes a synthesis of the key issues in the LAC region with respect to sustainability advances. The report provides a comprehensive assessment, and highlights the poor consideration given to the cost of environmental services and the failure to integrate environmental policies across development sectors as the main bottlenecks to change. The report also highlights the issue of data gaps, and the lack of up-to-date comparable data at all scales in the region.

211. Possible future scenarios are well outlined to illustrate the consequences of broad development and policy path, emphasizing the benefits of balanced integrated public

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[83] During the discussion on the International Platform for biodiversity (IPBES), the importance of communication to reach policy makers was highlighted. Messages need to be readily apparent to a non-scientist; clearly expressed; based on credible peer reviewed source and appropriate research evidence; appropriately communicated, responsive to identified needs of policy making bodies and decision-makers and timely for consideration by those developing policy and making decisions.

policies towards sustainability. Institutional and sociopolitical frameworks, population trends, economy and market dynamics and priorities, science and technology investments and respective value systems are outlined. The Evaluation concurs with the opinion, expressed in the same report that this regional study could serve as a starting point to prepare sub-regional, national and local scenarios on priority aspects. The LAC region benefits from good examples of effective payments for environmental goods and services, helping to preserve natural and social capital. An assessment of what made these policies and practices successful would add value to the process.

Way forward: UNEP Science strategy: a quality framework for GEO

212. UNEP Science strategy, adopted in February 2011, sets four goals: i) providing up-front timely information from alert service tracking and foresight exercises on emerging issues; ii) institutionalizing sustainability scenarios within UNEP work and in Member States decision-making processes; iii) identifying policy needs of countries through assessment work and involving in-country scientific and research communities; iv) increasing UNEP scientific competence. Key actions to reinforce the science-policy interface are identified, as well as respective roles of key UNEP divisions.

213. The evaluation considers the UNEP science strategy an excellent vehicle to enhance the role of UNEP in improving the science–policy interface. The strategy has not yet fully served the GEO process, as it was prepared and adopted during the development of GEO-5, and would greatly benefit the next iteration process. The Science Strategy could be used to improve the current guidelines for ensuring scientific credibility and policy relevance of the content of GEO, and in particular the development of a sustainability science. The emergence of a sustainability science called for in the UNEP science strategy would be a good step to address many of these issues.

214. Bridging the scientific knowledge related to the state of the environment and appropriate policy responses is a huge well-recognized challenge[84]. Sustainability goals and indicators called for in the GEO SPM and the Rio+20 outcome document places emphasis on bridging the environment-development gap, a critical step towards to sustainability and impact. Given the extent and the scope of the challenge, the evaluation team considers that this represents a huge challenge for future GEO assessments. The evolution towards solutions in UNEP's GEO work makes it a more valuable instrument for environmental governance. However, the use UNEP itself make of the report to inform the policy discussion is sub-optimal. GEO should have expectations beyond an advocacy type influence.

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[84] UNEP/GC.25/INF/feb2009. Preliminary analysis on strengthening the science-policy interface

215. UNEP's role in key global reviews (IPCC, IPBES, MA) is critical, yet it is considered to have been so far timid. The overall sense is that there is rich untapped knowledge that UNEP could bring to these networks. UNEP needs to play a leading role in key assessments and issue- based UN fora (UN oceans, UN water, UN energy and others), independently on where the lead is. Further UNEP engagement in UN knowledge policy processes would better contribute to bridging science and policy, as well as to better inform environmental governance systems.

5 PROCESSES AND ISSUES AFFECTING SUB-PROGRAMME PERFORMANCE

5.1. Design and Structure

216. EGSP performance is affected by design challenges that are both specific to the subprogramme as well as intrinsic to the broader UNEP Suprogramme modality. They are a consequence of UNEP's ongoing transition from a Division-based programming framework towards the thematic sub-programme modality and highlight the need to adapt and improve management mechanisms to help this modality function.

217. From the beginning, conceptual ambiguities have influenced the structure and programmatic content of the EGSP. Environmental governance is broad and crosscutting, bearing relation to practically all of UNEP's work. It is to be expected that there are thematic overlaps with other SPs addressing climate change, ecosystems management or resource efficiency. While connections and thematic linkages among SPs offer opportunities for collaboration and synergy across organizational structures, the

> *"…"environmental governance" means the processes and institutions that guide and restrain the collective action of Governments, organizations, major groups and civil society to address collective environmental issues at all levels, from local to national, sub-regional, regional and global."*
>
> *- Environmental Governance: Draft strategy for Sub-programme 4 of the 2010-2011 Programme of Work (June 2008)*

absence of clearly defined planning processes, guidelines and incentives to explicitly support such collaboration, restrain and sometimes undermine this potential.

218. The current draft strategy for the Sub-programme provides a list of broad mandates and within it the definition of environmental governance has yet to be agreed. The broad definition of EG and the wide mandated scope did not help the design of the Sub-programme to focus on key priority areas. To effectively position itself in the post Rio +20 context, UNEP needs to revisit its strategy in relation to Environmental Governance to clearly articulate priority governance problems and better identify intervention strategies, to tackle them. The strategy should convey a clear picture of
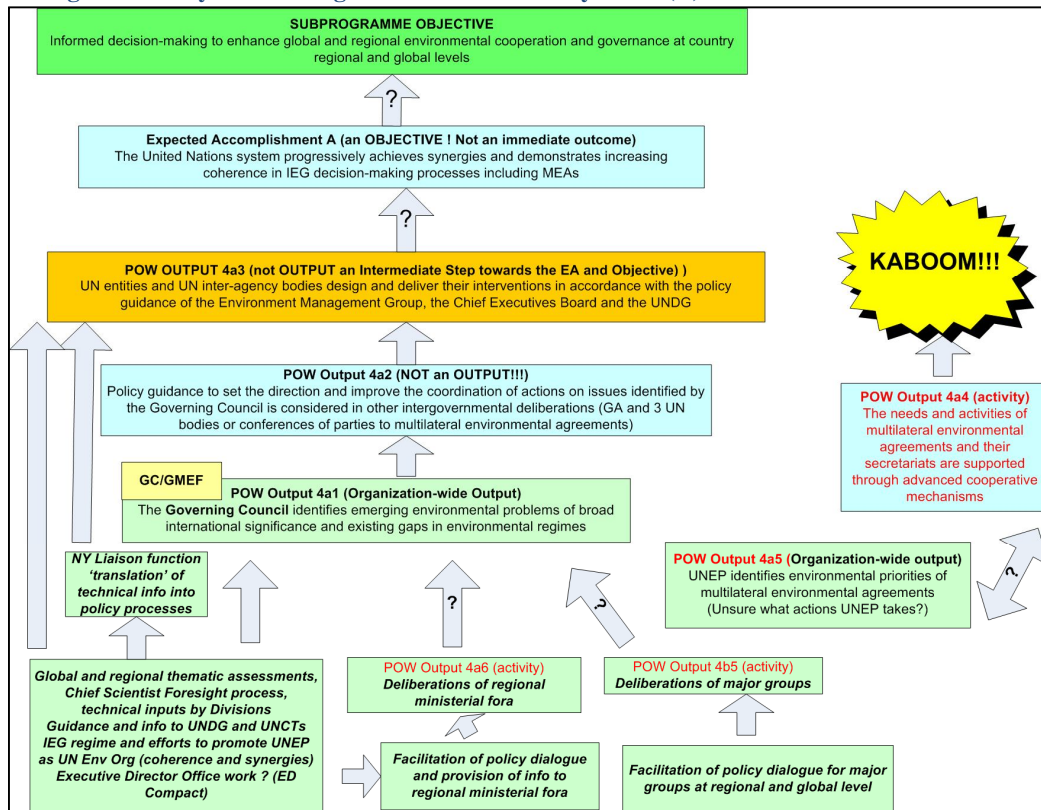
UNEP's comparative advantages for EG work at <u>international</u>, <u>regional</u> and <u>national</u> levels as well as within the emerging framework for sustainable development.

219. The current EGSP is often regarded as a "parking lot" for functions and initiatives that have been placed there by default, because they do not 'fit' anywhere else in UNEP's planning framework. The logic of including functions that provide across-the-board corporate services (such as DCPI and DRC) within the EGSP did not strengthen UNEP's response or delivery capabilities, and did not promote accountability for them within the EG results framework.

220. 'Cross-cutting' work, such as scientific assessments, found a logical place in the EGSP by providing analysis and evidence to support governance related decision-making. By contrast, 'corporate work' such as communications and implementation support at the regional level benefit the entire organization and, as such, their within the subprogramme needs to critically reconsidered. Clearly, the performance of such corporate work cannot be captured within the EG results framework. This affects the visibility of such corporate work both in terms of reporting performance and as a clear locus for resource allocations.

221. Not all of UNEP's work on governance is framed within the EG Sub-programme. For example, the Harmful Substances & Hazardous Waste Sub-programme includes two PoW outputs directly related to environmental governance. Within the HS & HW Sub-programme, the support to drafting an MEA on mercury, although not formally a part of the EGSP, was supported by it. Simply because UNEP has a Sub-programme entitled 'Environmental Governance' does not mean that all EG-related work should reside within it. Such linkages, however, can lead to a lack of clarity on how to approach environmental governance in operational terms, as reflected in discussions between DELC, DEWA and DTIE over the lead role in black carbon activities. There is a clear need to better define roles and responsibilities for governance work where it overlaps with other thematically focused SPs (CC, EM, HS&HW, D&C and RE).

222. A tendency persists for Divisions to frame or 'classify' projects under certain EAs more because they are managed by that same Division than because of there are causal linkages inherent to the intervention that link to the EA. For example, the DELC-managed ABC project in PoW 2010-11 was said to respond to PoW Outputs 411, 414 and 443. Yet, the connections with EA (A)'s outputs were very indirect. The project should have been more correctly framed into EA (D) only.

223. Ambitious - and at times over-optimistic - design has repercussions on EGSP performance, attribution and accountability. The Formative Evaluation presents a number of findings in this regard. The level of results contained in the four EGSP programme frameworks are ambitious and at times over-optimistic considering the

actual scale and depth of UNEP's work in environmental governance. Expected Accomplishments are pitched at a higher level than immediate outcomes, and their realization falls way beyond UNEP's direct control. The Formative Evaluation also noted the absence of clear links between PoW output targets and EA targets.

224. The EGSP project portfolio is heterogeneous and encompasses different levels of intervention. The broad scope and mandate articulated in the draft strategy and a desire from participating Divisions to retain work from previous biennia contributed to a results framework that lacks full logical coherence. In addition, some projects retained from earlier planning cycles were influenced more by donor priorities than by a need to align with the current SP results framework.

225. Overall, the Sub-programme design might have been better focused and streamlined through an early analysis of causal pathways and their linkages. The following figure illustrates some of the aforementioned design flaws as they apply to EGSP EA (A) in 2010-11. Attention is drawn to PoW Output 4a4 which stands alone and appears disconnected from the programme framework it is supposed to assist (marked "kaboom!").

Figure 4. Analysis of Linkages and Causal Pathways - EA (A)

SUBPROGRAMME OBJECTIVE
Informed decision-making to enhance global and regional environmental cooperation and governance at country regional and global levels

Expected Accomplishment A (an OBJECTIVE ! Not an immediate outcome)
The United Nations system progressively achieves synergies and demonstrates increasing coherence in IEG decision-making processes including MEAs

POW OUTPUT 4a3 (not OUTPUT an Intermediate Step towards the EA and Objective))
UN entities and UN inter-agency bodies design and deliver their interventions in accordance with the policy guidance of the Environment Management Group, the Chief Executives Board and the UNDG

KABOOM!!!

POW Output 4a2 (NOT an OUTPUT!!!)
Policy guidance to set the direction and improve the coordination of actions on issues identified by the Governing Council is considered in other intergovernmental deliberations (GA and 3 UN bodies or conferences of parties to multilateral environmental agreements)

POW Output 4a4 (activity)
The needs and activities of multilateral environmental agreements and their secretariats are supported through advanced cooperative mechanisms

GC/GMEF

POW Output 4a1 (Organization-wide Output)
The **Governing Council** identifies emerging environmental problems of broad international significance and existing gaps in environmental regimes

POW Output 4a5 (Organization-wide output)
UNEP identifies environmental priorities of multilateral environmental agreements (Unsure what actions UNEP takes?)

NY Liaison function 'translation' of technical info into policy processes

Global and regional thematic assessments, Chief Scientist Foresight process, technical inputs by Divisions Guidance and info to UNDG and UNCTs IEG regime and efforts to promote UNEP as UN Env Org (coherence and synergies) Executive Director Office work ? (ED Compact)

POW Output 4a6 (activity)
Deliberations of regional ministerial fora

POW Output 4b5 (activity)
Deliberations of major groups

Facilitation of policy dialogue and provision of info to regional ministerial fora

Facilitation of policy dialogue for major groups at regional and global level

226. Connections are evident among programme frameworks as well, but not articulated in the results' design. For example, under EA (A), the project output "Special synthesis assessment and emerging issues reports prepared and delivered for the UN bodies, UNDG and through its UNCTs" (under PoW Output 413) contribute to PoW Output 431 and 432 (under EA C). The latter, in turn, contribute to EA (A) "The UN system […] progressively achieve synergies and demonstrates increasing coherence in international decision-making processes related to the environment". It is the opinion of the evaluators that UNEP's support to mainstreaming environment across UN agencies, whether done at national, regional or global level, should be framed together and / or proper linkages established.

> *"There has been a sort of obsessive quest to fit everything into the PoW framework. The [EGSP] is a mix of different levels and approaches that range from IEG to the GEO5. The delivery mechanisms of the [environmental governance] sub-programme are not clear to external audiences."*
>
> *"As long as people keep giving Divisions money to do things, they will continue to do it."*
>
> *- Interview quotes from Division staff*

227. UNEP staff have difficulty in developing results frameworks for normative interventions. Whereas UNEP's role is often centered on facilitation and advisory support, the desired outcomes may depend and actions taken by governments. It is undoubtedly more challenging to develop results frameworks based on causal logic, process-driven initiatives that support consultation and consensus-building and advocacy platforms, than it is for interventions that take more direct action 'on the ground'. Nevertheless, it can and should be done.

228. The "projectization" of normative activities is a critical design issue that has repercussions on SP monitoring and accountability. Much of the normative work performed by DELC was not structured / captured in a project format, leading to difficulties in monitoring progress (and expenditure) against tangible benchmarks. This situation has prompted debate on the merits of project modalities for normative work. DELC respondents consider that projectizing normative processes into more structured 'blocks' is technically feasible, yet question the desirability of such for on-going support activities. The evaluation believes that UNEP should retain the project modality across the entire Programme of Work. Since much of UNEP's work is of a normative nature this cannot be regarded as an exception[85]. This speaks to the need for UNEP staff to receive more training and support in results planning and "Theory of

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[85] Applied policy oriented research can be regarded as normative work. The CGIAR, which undertakes a large amount of such research, requires Theory of Change approaches to underpin all its results frameworks at project, cross-cutting theme, centre and CG system levels.

Change" approaches in order that staff become familiar with this approach and are able to apply it to normative contexts.

229. *Regional perspectives were not sufficiently considered in the design of subprogrammes and PoW priorities, which were driven by UNEP Headquarters.* This is a systemic constraint that is not limited to the EGSP. This constraint undermined the substantive input and "reality checks" to be gained from the regional office network. Regional Offices provide administrative, logistical and, increasingly, programme support in

> *"The voice of Regional Offices has not been heard...Projects are signed at Headquarters without informing ROAP"*
>
> *"The PoW is Headquarters dominated."*
>
> *- Interviewed Regional Office staff*

addition to their political liaison and representational function. However, the bulk of regional office "brokerage work" receives little recognition in PoWs or budgets, hence becoming (according to a DRC representative) a "hidden corporate function". Interviewed ROLAC and ROAP staff have noted that subprogrammes are designed from a Headquarters perspective, with regional priorities being considered at a subsequent stage / level. The presence of regional priorities in PoWs and under EAs has been inconsistent and either lacking or poorly reflected in planning documents.

230. For the EGSP, Regional Office respondents consider that EA (A) is excessively global in focus and lacks a regional/country perspective in its design; whereas EA (B) incorporates this perspective and envisions a clearer role for regional offices. DRC's work was included for the most part under EA(C) given its relations to UN country offices, yet this represented a small portion of its actual range of activity. Although EA (C) incorporated some of the activities that are considered important by Regional Offices, funding difficulties were apparent. There are expectations that the engagement and feedback of regional offices will improve during future planning cycles; the preparation of regional profiles as inputs to their design is viewed as a positive step by Regional Office staff.

231. *Over-ambitious design and insufficient funding have clearly affected performance at the project level as well.* Indeed, most of the projects that were reviewed by the evaluators are unlikely to achieve planned outputs or outcomes within the approved timelines, there is however, an unwritten assumption that such project will be extended at a later date. A recent mid-term evaluation for the Pacific regional component of the MEA-ACP project has noted that key results addressing information management and MEA mainstreaming "...which form the core of this project are not likely to be

achieved as currently presented in the project log-frame…it was ambitious to imply in the log-frame that they would be achieved as worded within the project lifetime."[86]

232. Likewise, a number of initiatives implemented under the fourth phase of the *Montevideo Programme for the Development and Periodic Review of Environmental Law* (Montevideo IV) were found to be lacking in depth and scope due to funding limitations. Difficulties have also been faced in synchronizing UNEP's biennium planning cycle with the five-year UNDAF horizon. There are clear limits to the progress that can be expected from projects in achieving outputs and outcomes within two-year programme cycles; particularly when they may require the initial year (or more) to become fully operational. As subprogrammes mature and planning approaches improve, realisitic project durations should be set at project approval, thereby reducing the need for formal revision processes to extend project durations.

233. *The combination of factors makes it difficult to measure performance as one SP.* UNEP is unable to measure the aggregate effect of the EGSP or convey these to external audiences. The level of heterogeneity weakens the subprogramme's internal coherence, which in turn makes comprehensive assessment more difficult. As mentioned, many projects were retrofitted from previous cycles, several were never formally approved however their constituent activities were implemented through a parallel 'costed workplan' approach.

5.2. Organization and Management

234. The problems that arise from the EGSP's structural arrangements are reflected in the difficulty of the Lead Division to assume a true coordinating role for the Sub-programme. The lack of coherence of the full scope of activities that fall within the EG results framework leads to a situation where the Lead Division faces considerable challenges in retaining an overview of the collective performance or delivery of the Sub-programme. A difficulty that is, in turn, experienced by the Quality Assurance Section in organizational level monitoring processes.

> *"The simultaneous introduction of results-oriented programming to the development of thematic subprogrammes that cut across the Divisional structure of the organization added considerable complexity to work planning processes."*
>
> *- Formative Evaluation of UNEP's Programme of Work 2010-2011*

235. *Coordination practices and group dynamics at the Sub-programme level urgently need to be fostered.* This is essentially an issue of organization and management, yet bears on SP design and structure as well. Up to mid

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[86] *Capacity Building related to Multilateral Environmental Agreements (MEA) in African, Caribbean and Pacific (ACP) Countries - Pacific Hub Sub-component: Mid-term Review* (August 2011), pg. 6

2012 there was little evidence of the management practices that one would expect of a subprogramme such as periodic group meetings, review and forward planning sessions, or other forms of adaptive management. The difficulty Divisions had in arriving at a budget consensus according to EGSP programme priorities for the 2010-11 PoW highlighted a lack of internal cohesion, as well as the practical difficulties of coordinating diverse interests in a manner that encourages collective "buy-in" to the subprogramme. [87] In addition, the Lead Division has very limited authority beyond its own 'borders' and staff assigned to Sub-programme coordination roles are unable to devote sufficient time, and / or have insufficient budgetary provisions to support meaningful coordination efforts.

236. *UNEP's subprogramme modality is still in a developmental stage and the EGSP remains a "work in progress" that calls for renewed vision and momentum to continue evolving.* The 2010 audit of UN governance conducted by the Secretariat's Office of Internal Oversight Services (OIOS) found that there was need to clarify the assigning of authority, responsibility and accountability among Divisions and staff members involved in SP implementation. The same audit noted that reporting lines under the new 'matrix approach' were complex and that "…staff members are yet to learn how to implement a single programme cutting across six divisions."

237. Arrangements remain problematic. The Formative Evaluation of UNEP's Programmes of Work concluded that SP management arrangements did not reflect "…true matrix management, where an individual has two reporting superiors - one functional and one operational. Responsibility and authority is firmly vested in the Divisions. SP coordinators work across the Divisional structures but do not hold any authority over human or financial resources." While the SP modality in general, and the EGSP in particular, have the potential for more and better inter-divisional collaboration, this potential is far from being realized. The new corporate culture that is envisioned by UNEP's Senior Management and being sought through organizational reform remains elusive, especially where the Sub-programmes work across many Divisional boundaries.

238. *EGSP management practices are sporadic and inadequate for the needs of a sub-programme.* Coordinating many Divisions with different mandates and funding needs is significantly more challenging than managing SPs that are smaller and more focused. Programme dynamics are lacking and have proven difficult to introduce. Basic

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[87] According to the first EGSP Coordinator, the issue is more complex. Because the EF goes to pay for salaries and operating costs, they have usually been allocated to Divisions according to number of staff. This would have raised additional conflicts as the DELC (the Lead Divsision) would have captured more than half of the total budget on this basis. The decision to divide portions equally was a more equitable option that has benefitted the smaller Divisions.

management practices – for example, periodic group meetings for coordination, exchange, forward planning or internal review - are lacking. Sub-programme meetings are infrequent. Several EGSP members could not recall having attended any meetings related to environmental governance. Aside from initial activities related to PoW planning and budgeting, the momentum of the EGSP is low. On a

> *"Coordination is limited by the manner in which Divisions go about their business, and has to be assessed realistically."*
>
> *"The management problems of the EGSP are very different from [SPs] that are more focused thematically and involve fewer Divisions. The EGSP has three strong Divisions – DELC, DEWA, DRC – that have their own 'turf' and momentum."*
>
> *- Quoted from interviews with the EGSP Coordinator and DELC staff.*

positive note, several participants perceive improved inter-divisional communications since the SP commenced, although this has not influenced the level of collaboration (which is driven by other factors).

239. As Lead Division, DELC is presumably accountable for a wide range of activities and projects that are implemented by other Divisions, and that it has little knowledge of or control over. As noted earlier and in other evalautions, the SP Coordinator lacks any managerial authority and is unable to revise work plans or budgets. DELC did not receive a budget allocation for managing the SP, nor are there service charges or other cost-recovery mechanisms to compensate for its involvement. The Lead Division status is internally considered more of a burden than advantage. The evaluators believe that the Sub-programme Coordinator *should also have reporting lines to a senior manager other than involved Division Directors.* Sub-programme Coordinators should be responsible for the coordination of design processes and monitoring of implementation progress at Sub-programme, Programme Framework and project levels.

240. *Division respondents emphasize the need for more collegial – and if possible, integrated - approaches to project planning, budgeting and management.* This underscores the fundamental need for clear "rules of the game" and operational guidelines that are specific to the SP modality. In the case of the EGSP, it is clear that engrained Division and project practices (and attitudes) override the changes that the thematic Sub-programme was intended to promote. The evaluation observes that where a Sub-programme's thematic scope 'maps' directly 'onto' existing Divisional structures (e.g. HS & HW, D&C, RE, and to a lesser degree EM, and CC) the 'identity', coherence and group dynamics of a sub-programme are more apparent. *The absence of adaptive management practices at subprogramme level* is a symptom of this situation.

Linkages and Synergies between Expected Accomplishments and Sub-programmes

241. International environmental governance covers broad parameters, and the EGSP has intrinsic links to most other SPs, as well as greater need to work across Divisions and thematic areas. The Environmental Governance Strategy document states that "…In order to define the programmatic relationships between the subprogramme on environmental governance and the other SPs, appropriate cross references will be made to the relevant outputs in the respective subprogrammes specifying the programmatic arrangements and the responsibilities of the relevant offices." However, these references are absent in programme framework documents and are most often not considered in practice.

242. Within the EGSP there are complementarities between global efforts to strengthen MEA synergies under Expected Accomplishment "A", and the development/ integration of national environmental legislation in EA "B", which aims to facilitate MEA implementation at the country level. The EA "C" objective of mainstreaming environmental sustainability into national development processes and UN country programming reinforces MEA implementation at the country level (EA "B") and synergies inside the UN system (EA "A").

243. There is an EG dimension to the many activities that are implemented through other subprogrammes such as Ecosystems Management, Resource Efficiency and Climate Change. As a result, there are intrinsic EGSP linkages to these SPs as well. The work of the Montevideo Programme over the years has generated spin-off effects contributing to international agreements on mercury and the management of trans-boundary freshwater resources (relevant to subprogramme work on harmful substances and ecosystems management) in addition to training programmes that include improved negotiation skills of Parties to the UNFCCC (supporting climate change agreements). The assessments produced by DEWA have informed other Divisions and SPs. ROLAC and DEWA are working together to improve national BD MEA implementation in the Caribbean with integrated assessment and implementation frameworks.

244. UNEP's support to the work of UNCTs and Delivery as One evidently cuts across subprogrammes, as it is more of a work modality than a specific SP objective. Different PoW Outputs across SPs refer to the engagement in UNCTs' work. The Resource Efficiency Sub-programme includes a PoW Output (615) on mainstreaming "Resource efficiency and cleaner and safer production into national economic and development planning through UNDAFs and national action plans". The Disaster & Conflicts Sub-programme aims to develop and deliver to UN agencies "early warning and risk assessments, policy toolkits and education modules demonstrating best practices in reducing risks from natural hazards and human-made disasters" (PoW Output 211 and

212). In parallel, referring to post-conflict countries, PoW Output 222 and 235 aims at "Field-based environmental assessments being conducted […] and integrated into national recovery plans and appeals, and UN recovery activities in post-conflict countries" and "Environmental considerations being integrated into UN peace-building and recovery activities in post-crisis countries and regions".

245. An analysis of causal pathways linking PoW outputs and activities under EA (A) identifies a web of potential linkages that are not taken advantage of when projects are implemented separately.   The pathways of connected outputs and activities show options for streamlined and more integrated (and possibly more cost-effective) implementation.   This modifies the design and institutional arrangements of the programme framework considerably from its current version.

Figure 5. Linkages and Causal Pathways between EGSP Expected Accomplishments, PoW Outputs and Projects for the 2010-11 PoW.
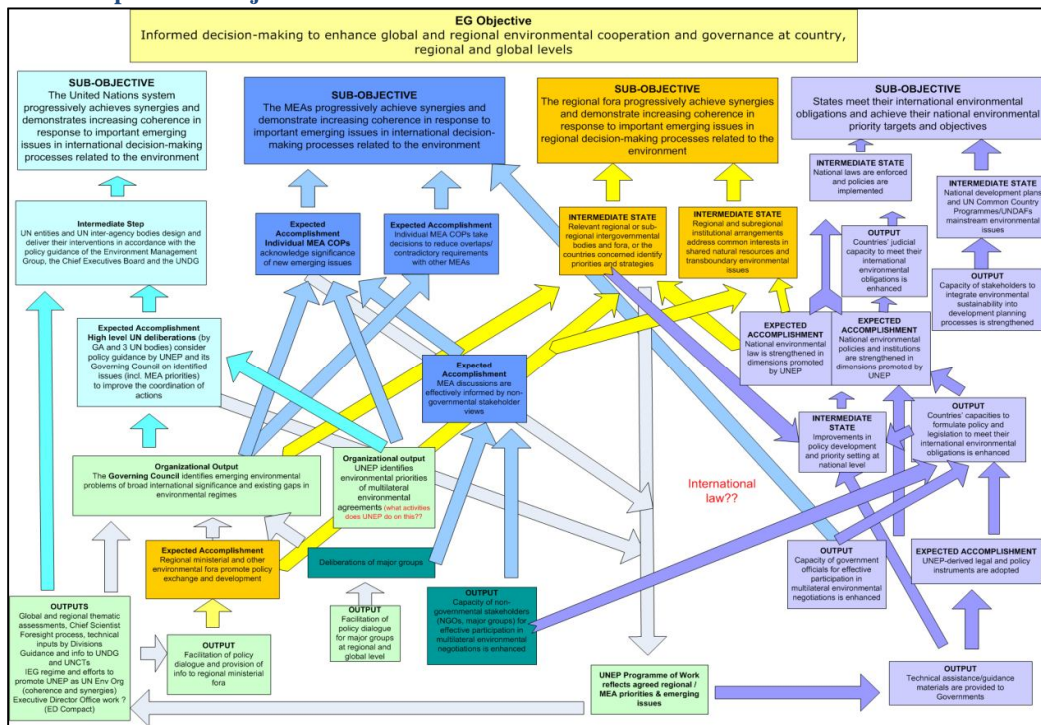
246. Opportunities for synergy are not adequately exploited between initiatives, subprogrammes and Divisions, partially because the design and coordination mechanisms for enabling and fostering this are lacking. Most of the environmental problems addressed by the SPs are multifaceted, and attempts to address themes would benefit from synergies across EAs and Sub-programmes. Collaboration between initiatives, subprogrammes and Divisions is generally *ad hoc* and tied to specific interests and project/funding opportunities. Where they occur, they cannot be attributed

to a systematic approach or changes in group behavior brought forward by management that reflects a subprogramme perspective.

247. The Environmental Governance Strategy document describes key intervention areas and UNEP activities for each Expected Accomplishment, but doesn't look at causal links or the relationship of EAs to PoW outputs. Likewise, there is no cross-referencing to outputs from other subprogrammes, nor are opportunities for collaboration with other SPs mentioned. Greater clarity in the strategic focus and its translation into a well-organised results framework will lead to improvements in operational terms. Time needs to set aside to develop a Sub-programme strategy that has

> *"We will assign people to work with the QAS [UNEP's Quality Assurance Section] to figure out what is meant by EAs and SPs, but it has no bearing whatsoever on our work as a Division."*
>
> *- Interviewed DELC respondent*

staff "buy in" and options that build and improve the management arrangements for the Sub-programme need to be activel explored.

248. The EGSP includes a heterogeneous mix of Divisions whose functions range from implementation of thematically focussed work (DEPI, DELC, DTIE) and cross-cutting assessments and early warning (DEWA) to support/corporate services including information management / communications (DCPI), and regional representation and implementation support (DRC). Finding common ground and synchronizing activities was admittedly difficult to achieve under these circumstances, especially when compared to other subprogrammes that are thematically more focused and have fewer players.

249. Project appraisals conducted by QAS do not specifically assess collaboration opportunities between projects, PoWs or subprogrammes. Each project is assessed individually; it is assumed that projects put forward for approval have been screened in this regard by the SPC and relevant Lead Division Director. It is mainly at the concept stage and during the development of programme frameworks that there is an opportunity to thoroughly examine the potential for synergy among projects.

250. Synergies between projects that share EAs or PoW outputs are not exploited in most cases, and are seldom reciprocal when they do occur. Project design continues to be led by Divisions and all project activities require advance approval; *hence there is little incentive to consider cross-programme linkages at the design stage, or modify design to partner with other projects during implementation* – a key potential role for SPCs. The connections of projects to EAs and PoW outputs are identified in the subprogramme documents but are not addressed in (most) project documents or work-plans. The limited level of coordination both within the EGSP and with other subprogrammes, is another disabling factor, and provisions for periodic interaction between staff working

on related EAs or SPs are lacking. Inter-divisional meetings are infrequent and few seem to be devoted to environmental governance.

251. The resulting tendency is towards disaggregation and management of separate interventions rather than convergence. The EGSP has limited influence in shaping governance-related activities that are implemented by other SPs. The cases of Division and project cooperation that were brought to the attention of the evaluators were not brokered or otherwise facilitated by the EGSP, and are attributable to other factors.

Human and Financial Resources

252. The absence of effective management of human and financial resources at SP level significantly hampers effective Sub-programme implementation. The design of arrangements for SP implementation do not afford the Coordinator any authority over resources allocated to the subprogramme or directly over its implementation. The Divisions are the locus of all management decisions and actions. The relationship between Divisions and thematic subprogrammes can be characterized as a "matrix without matrix management".

253. Once resources were allocated to the EG SP, they were in fact split among Divisions that decide autonomously how to use them. Although the absence of resource management at SP level remains, to some extent, a systemic issue common to all SPs, it was far more problematic in the case of the Environemental Governance Supprogramme as it included the core work of four Divisions (DELC, DRC, DEWA, and DCPI). In the absence of guidelines or criteria for allocating funds to EAs / programme frameworks, funding decisions continue to be Division-driven rather than programme-based. In the EGSP, this situation precipitated competitive tensions between Divisions, and led to long discussions, none of them being ready to give up on their own priorities. The decision to allocate EG extra-budgetary 'partnership' funds (mainly Swedish and Norwegian funds) equally among DRC, DELC and DEWA (DCPI got a 5% share) was the *de facto* solution. The difficulties experienced in achieving a consensus on funding allocations underscores the broader issue of resource allocation processes that have been highlighted by other evaluations including MOPAN. As UNEP moves forward to a new arrangement under the 2014-15 PoW, and DEWA's work is mainly captured in a seventh Sub-programme, some of the tensions and difficulties may subside.

254. The Evaluation could not find any evidence of monitoring of allocations and expenditures by EAs or PoW outputs, making it impossible to use such allocations as a proxy for assessing SP priorities, and to assess progress in PoW implementation against trends in expenditure.

255. The EGSP total budget for the biennium 2010-11 amounted to USD 79.95 million, divided as follows: EF 47.6%; trust funds and earmarked contributions 46%; regular budget 4.4%, and; programme support costs 2%. In absolute terms, allocations of EF resources are declining and are said to be barely sufficient to cover Division salaries and operating costs; hence the implementation of the PoW (and the EG SP in it) depends substantially on extra-budgetary funding for specific projects. For example, 80% of the costs for MEA's preparatory meetings (each costs between USD 100,000 and 350,000) have been covered through extra-budgetary funds.

256. In the biennium 2010-11, the EGSP received more resources than any other SP, and about the same level of resources as the Climate Change SP. The latter however was funded for the most part (64%) through trust funds and earmarked contributions, which may also be indicative of the difficulty the EGSP had in attracting external funds for core activities. It is a frequently held opinion of the main donors to UNEP that core activities should be funded by core funds. Yet, the EG SP had the second highest level in terms of earmarked contributions received in the last biennium (after CC SP), and it received the relative majority of funds from both SIDA (from 30% in 2010 to 40% in 2011 to 44% planned for 2013) and Norway (23%, excluding 10% available for emerging policy issues and priorities).

Figure 6. UNEP Budget 2010-11 by Sub-programmme and Source of Funding
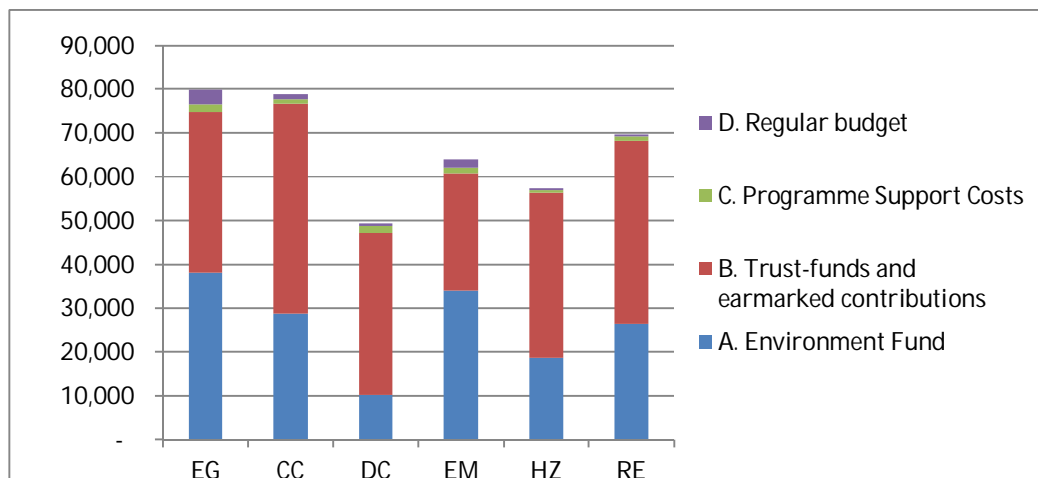
257. The Evaluation analyzed the allocation of PoW resources by SP and Division, and noted the following:

258. DRC is the major beneficiary (63%) of the EG SP resources (including staff money), followed by DELC (20%) and DEWA (10%). DCPI receives 3% of the EG SP resources (in line with what it gets from other SPs).

<u>Sub-programme Financial Resources allocation by Division</u>

	DEWA	DELC	DEPI	DTIE	DRC	DCPI
CC	11%	2%	11%	**59%**	12%	4%
DC	10%	0%	**69%**	6%	13%	2%
EM	17%	5%	**47%**	7%	21%	3%
EG	10%	20%	1%	3%	**63%**	3%
HZ	4%	3%	1%	**83%**	8%	1%
RE	4%	1%	1%	**82%**	9%	2%

259. The EG SP represents the main channel through which DELC (68%) and DRC (55%) receives resources, while DEWA receives funds more across the SPs (21% from the EG SP).

260. DCPI depends to a significant extent (22%) from the EG SP resources for core activities (while it receives 32% from CC and 18% from RE for specific projects).

Table 7: Divisional Financial Resources by Sub-programme

	DEWA	DELC	DEPI	DTIE	DRC	DCPI
CC	24%	9%	11%	29%	10%	32%
DC	13%	0%	46%	2%	8%	8%
EM	28%	13%	39%	3%	15%	18%
EG	21%	**68%**	1%	1%	**55%**	22%
HZ	6%	7%	1%	30%	5%	6%
RE	8%	4%	1%	35%	7%	13%

261. DTIE, DRC, and DEPI appeared to benefit most from the move to the thmeatic Sub-programme structure in terms of resources allocated to Divisions in 2010-11. DEWA, DELC and DCPI (core functions to the Organization's work and whose activities are included for the most part within the EGSP, see tables above) have instead 'lost ground' in terms of resource allocation. The projections for the biennium 2012-2013 confirm these trends.

Figure7: Resource allocations by Division (2006-11)
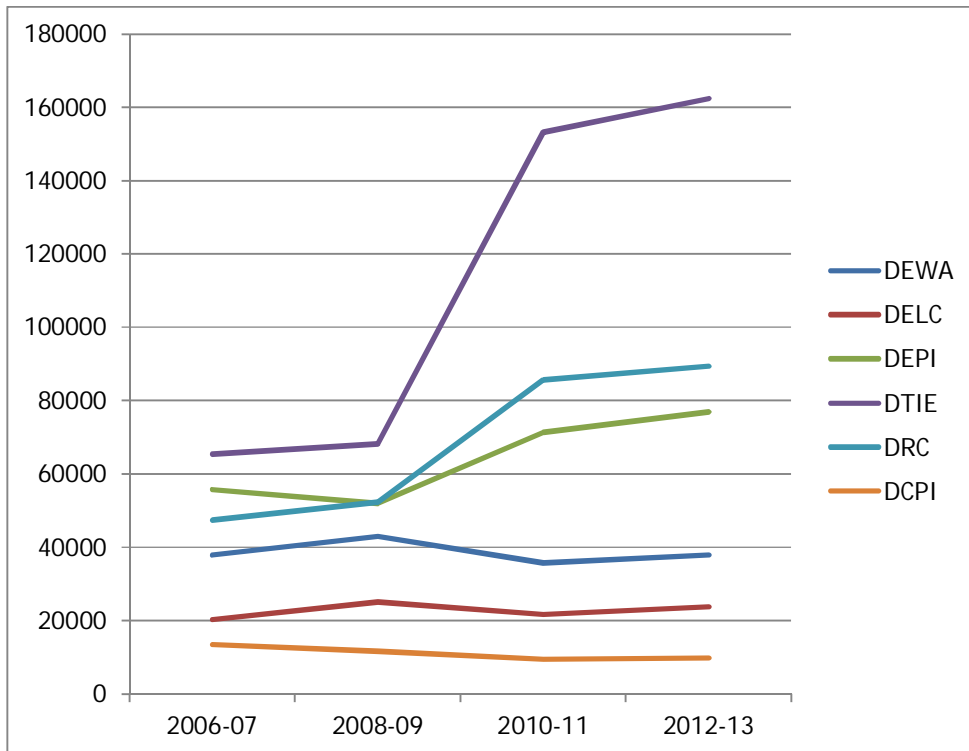
262. However, the Integrated Management Information System (IMIS) does not allow break down of individual staff time among SPs. A single staff member's time must be wholly allocated to a single subprogramme in the financial system. Since staff time is often a large proportion of total resources and many staff work across SPs, **the true allocation of resources by subprogramme cannot be determined with any degree of accuracy**. The Divisional allocations among SPs and within the EG SP do not necessarily reflect the actual work that they are performing. For example, while almost all of DEWA's work falls within EG SP EA (D), up to 50% of staff time is included under other SPs. In turn, many representation and coordination activities undertaken by DRC through its Regional Offices' network (serving the entire PoW and not included in, or covered by, its results framework) are, for the most part, budgeted in terms of staff time within the EGSP.

Table 8: SP Human Resources allocation by Division

POSTS	DEWA	DELC	DEPI	DTIE	DRC	DCPI	TOTAL
CC	14	6	9	**19**	**17**	8	73
DC	8	0	**13**	4	5	4	34
EM	17	9	**41**	2	23	6	98
EG	20	27	1	0	**74**	9	**131**
HZ	7	6	1	**21**	9	3	47

RE	9	3	1	**32**	14	5	64

263. The evaluation calculated the financial/human resources ratio at SP level by Division, simply by dividing the total financial resources by the number of staff from figures presented in the approved PoW. Taking into account all the limitations (highlighted in the previous paragraphs), the Evaluation found that the EG SP has received comparatively lower financial resources per staff than the other SPs. The same analysis conducted for the biennium 2012-13 showed no large difference, except for an increase in the financial/HR ratio in the CC SP for DELC. The fact that DTIE receives resources from the EGSP without staff highlights the shortcomings of the current financial system in accounting for staff allocations. DCPI receives financial resources across the SPs but this allocation is almost entirely to cover staff costs.

Table 9: SP Financial/Human Resources Ratio by Division (2010-11)

	DEWA	DELC	DEPI	DTIE	DRC	DCPI
CC	606.29	**309.00**	893.78	**2,330.47**	528.94	385.75
DC	579.63	-	**2,544.46**	710.25	1,289.00	**202.00**
EM	592.35	**300.56**	678.15	**2,218.00**	543.61	**281.00**
EG	**383.15**	540.15	**1,065.00**	Resources with no staff	634.26	**235.67**
HZ	297.43	**253.83**	639.00	**2,165.81**	509.22	**198.00**
RE	318.33	**259.00**	706.00	**1,698.56**	442.64	**248.00**

264. Project budgeting was problematic. In preparation for the 2010-11 PoW, Project Managers were encouraged to be ambitious in drafting project proposals for donors. While the PRC would have preferred full budgeting as requisite for project approval, the Divisions convincingly argued that donor commitments were in the process of being developed. The 2010-11 PoW preparation process prompted the design of a large number of project documents, the majority of which required extra-budgetary funding that had yet to be secured. In the case of the EG SP, between 82% and 93% of resources by EA were unsecured at the moment of project approval. The EF allocation to the EGSP is minimal when divided among the four programme frameworks.

Table 10: EG Project Resources at the moment of Project Approval88

Project budget	Secured	Unsecured	Total	Share unsecured

[88] It includes two projects (one under EA(A) and one under EA(B)) approved after the PoW cycle begun and for which resources have been secured.

EA(A)	3,146,665	14,350,800	17,497,465	82%
EA(B)	2,691,739	23,531,963	26,223,702	90%
EA(C)	863,880	11,016,651	11,880,531	93%
EA(D)	4,999,038	32,671,524	37,670,562	87%

265. Most project budgets were revised and significantly reduced (by as much as 50% or more) after the PRC approval. For example, the very ambitious project plan to support UNCTs' work and participate in DaO processes reduced its budget from USD 8.7 to USD 1.9 million. However, when financial expectations were not fulfilled, there was no collegial reflection (across projects) on activities to be cut to match the workplan to the budget constraints. Budget reductions affected the scale and effectiveness of Division activities, including their ability to plan on a long-term basis. DRC, for example, could not deliver any training on UNCTs for MEA Secretariats as planned in this period, nor could it prepare additional training modules for UNCTs on specific issues (e.g. biodiversity, green economy). DEWA faced difficulties in completing the GEO-5 report – one of UNEP's most recognized flagship publications – following a USD 3 million budget reduction, and a cut on other publications (such as the Dinaric Arc and Balkans Environment Outlook and the Meso-American Forest Environmental Outlook), the set-up of some regional information networks, and training on Integrated Environmental Assessments at country level.

266. Again, DELC significantly cut capacity development activities and support to national development laws in the regions. The situation was aggravated by the fact that resource mobilization efforts were often focused towards ongoing projects from previous biennia. These circumstances obliged Divisions to devote considerable time to fundraising, leading to competition over finite resources, rather than concentrating on the substance of their project activities. Apart from Sweden and Norway (which signed UNEP Programme Cooperation Agreements, where funds are allocated by SP), donors and recipient countries are generally unaware of the SP modality and continue to view UNEP assistance through project modalities (e.g. the SLCFs publication was funded by a direct contribution from the Swedish Ministry of Environment to DELC). The same can be said for the European Union, where a Joint Committee selects individual projects for ad-hoc funding.

"The [EGSP] Divisions compete for money. They have to convince each other that their project or staff is more important. The lack of guidelines and transparency in budgeting forces us to behave as children."

- A Division Manager

> *"I have to find money for everyone, because my work includes other Divisions. It's good for linkages, but not if we're penalized by having to pay for it."*
>
> *"I'm not accountable for raising 100% of funds for my project when it serves other Divisions."*
>
> *"Environmental governance is amorphous, so it's difficult to follow what's taking place, even if you're the designated focal point. The fragmentation flows from planning to budgeting to monitoring and reporting."*
>
> *- Interviewed Division representatives*

267. As noted in the Formative Evaluation, SP Coordinators a little or no role in discussions with UNEP's large donors or in resource allocation decisions. The end result was a supply-side dynamic to budgeting that was largely ad hoc and dependent on the availability of funds for Division-implemented projects, rather than fostering of a shared strategic vision well aligned with SP priorities.

268. The evaluation could not find any evidence of financial data (allocation and expenditures) collected and tracked at SP or EA level. The Resource Mobilization Unit (now the Donor Partnerships and Contributions Unit) is seldom informed of resources managed by individual Divisions for specific projects. As resources are still managed by Division, a clearer picture of resources raised by SPs emerges in those cases where SP structure and management coincides with existing Divisional arrangements, and the FMO is able to collect information at SP level, which is not the case for the EG SP.

269. At country level, UNEP was able to mobilize a significant amount of funds through Joint Funds, as shown in Table 11 below. More than by finance, UNEP's capacity to fully engage in the UNDAF/DaO processes is hampered by its limited human resources to attend UNCTs' meetings and support virtual country teams. The hiring of Regional Coordinators and national staff in some countries - thanks to the Norwegian Partnership Agreement – has been the most important factor enhancing UNEP's engagement with UNCTs. In Thailand, where UNEP received only 5% of the resources allocated to environmental activities, UNEP's role as Co-Chair of the Asia Region UNDG working group on mainstreaming CC in UNDAFs was very much appreciated. The Evaluation strongly supports the management decision of putting together funds from different sources to support national staff - as happened with UN-REDD in Indonesia, UN-HABITAT in Myanmar, or post-conflict activities in Rwanda - to support work within UNCTs.

Table 11: Main Allotments of Joint Funds (top three for each region, July 2010)

Region	Country	Amount mobilized	Sub-allotments to Divisions	SP
Africa	Senegal	1,436,864	DEPI	CC
	Mozambique	1,338,527	DEPI (98%) and ROA (2%)	CC

	Egypt	824,581	DTIE	CC
Asia	China	1,278,650	DEWA	CC
	Philippines	1,223,200	ROAP	CC
	APFED	524,584	ROAP	EG
LAC	Panama	1,533,417	ROLAC (47%), DEWA (29%) and DELC (25%)	CC
	Peru	539,280	DEWA (50%). ROLAC (37%) and DELC (13%)	CC
	Uruguay	301,740	ROLAC	EG (73%), RE(14%), CC (13%)
Europe	Bosnia & Herzegovina	905,001	ROE	EG
	Turkey	697,100	DELC (41%), DGEF (31%), and DEPI (27%)	CC
	Serbia	333,709	ROE	RE
West Asia	Iraq	96,000	ROWA	DC&EG

Cooperation and Partnerships

270. The broad scope of environmental governance is reflected in the EGSP's partnership arrangements. The range of institutions and stakeholders included in the subprogramme frameworks is formidable, and the EGSP has probably devoted greater effort to managing its partner networks than other SPs. The achievement of the EAs

> "*EG SP will also serve as formal interface between MEAs and UNEP to establish and maintain cooperation in the areas of common interest, providing the linkages between the specific thematic issues…*"
>
> *- Environmental Governance: Draft strategy for Sub-programme 4 of the 2010-2011 Programme of Work (June 2008)*

and PoW outputs requires the involvement of an extensive list of government institutions, MEA Secretariats, development organizations and other participants, both national and international. In particular, the designated "key actors" under EA (A) engages a universe of institutional stakeholders including governments in addition to most of the UN system. For example, UNEP work on SLCFs extensively relied and benefited from partnerships with research centers (the Stockholm Environment Institute and the University of York as coordinators of the publication, plus the International Institute for Applied Systems Analysis, the National Institute of Ecology in Mexico, and MIT, among others).

271. There is a general perception that communications between Divisions have improved as a result of the PoW planning process, and that Divisions are working together more frequently. This is one of positive findings emerging from the evaluation. However, participants feel that the EGSP has not played a significant role in brokering links or

synergies, collaboration is perceived to be driven in most cases by specific project/funding opportunities between donors and Divisions.

272. There are positive examples of inter-divisional collaboration and synergies, yet these are largely driven by factors that are outside the EGSP framework rather than active management championing a subprogramme perspective. They include the Rio+20 preparatory process, UNDAF and Delivering as One (DaO) processes, climate change adaptation, and support to the integration of MEAs. Divisional collaboration has contributed to the consolidation of MEAs on chemicals and hazardous waste under one Executive Secretary, as well as the drafting of a MEA on mercury; both are considered important DELC achievements. Other examples of effective collaboration involving members include the work of DELC's MEA branch with DEPI and DTIE on climate change legislation and ecosystems management (implemented by other SPs). The Short-Lived Climate Forcers process and SLCFs publication offer good case studies of in-house cooperation (among DELC, the CC Coordinator, and the Chief Scientist), albeit unrelated to the EGSP and reportedly affected by inter-divisional tensions over the ownership of the process (and housing of the Secretariat)), which confirmed the difficulties of having a Division collaborating with SPs which are coordinated by others. The new corporate culture that is envisioned by UNEP's chief executives and being sought through organizational reform remains elusive. There were encouraging levels of Divisional cooperation towards the preparation of the fifth Global Environment Outlook (GEO-5) report. The assessment work benefitted from the work of DTIE on climate change and DELC in assessing global progress towards internationally agreed goals. There was cooperation with the Major Groups Branch and DELC in drafting of the report, followed by technical support from IEG experts and financing from the Swiss-funded "Global Environmental Goals" project. These developments reflected the gradual shift of the GEO and its by-products from being DEWA-centered activities towards becoming UNEP corporate products. DEWA has also given funds to DCPI to assist in disseminating environmental assessments. DEWA attempted to assign specific chapters of report to other Divisions without success, yet the opportunity remains for future versions; at present the GEO remains a DEWA product.

273. Under EA "C", UNDAF processes are another driver of inter-Divisional cooperation at the country level. In a number of cases, UNEP's involvement in UNDAF processes has combined inputs from different Divisions and, indirectly, cut across SPs through parallel (if not coordinated) initiatives that aim to mainstream resource efficiency, clean production, and early warning and risk assessment toolkits. UNEP's participation in UNDAFs at the country level has strengthened the organization's presence and strategic

positioning at the country level, leading to project and funding opportunities as well. The creation of Environment Thematic Groups (ETGs) participating in the formulation of UNDAFs under the UN Country Teams (UNCTs) has facilitated the incorporation of environment-related country outputs. UNEP is the designated implementing agency for approximately half of the UNDAF environment outputs that were adopted by African UNDAF "rolling out" countries through the UNCTs and ETGs. It is the opinion of the evaluators that UNEP support to UNCTs and its contribution to UNDAFs, although more of a work modality, can still be framed under the EG SP. Yet, in order not to diminish the efficiency of interventions and contribute to country results in a verifiable way, the contribution by projects sitting in other SPs should be acknowledged.

274. Collaboration between Divisions is hampered by disabling factors that are systemic to the organization. There are successful case studies of cooperation between Divisions such as those described below, but they are more the exception than the rule. The enabling environment needed to encourage higher levels of inter-Divisional cooperation and joint implementation is lacking. For example, DEPI was not consulted on revisions to projects led by other Divisions to which it was a partner. Crosscutting services such as those of DCPI appear in several subprogrammes as "stand alone" projects that aren't integrated into the SP results framework; a similar case occurs with some of the assessments prepared by DEWA. Divisions have little incentive to channel technical or financial resources (which they probably had to raise) to projects that are managed by other Divisions, particularly when this isn't recognized in performance monitoring systems or otherwise compensated. Budget and fundraising practices reinforce this tendency.

275. Core EF resource allocations are modest and absorbed by staff and operational costs; project implementation is highly dependent on extra-budgetary funding; fundraising efforts are often built around single (sub)projects (instead of SPs or PoWs); and there is competitive behavior in fundraising. There are also external incentives for collaboration; donors have encouraged inter-institutional cooperation within UN REDD and the Poverty & Environment Initiative (PEI) among others, sometimes as a condition for funding.

276. Collaboration between Divisions and SPs is weaker and more difficult to manage at the country level. The regional office network is a key internal driver of coordination in this regard. The situation is understandable given the absence of UNEP country representation, the limited scale of activity and distance factors that weaken coordination. A positive example of country-level cooperation was PEI's work with DEWA for a national report on environment and human well being in Malawi, as well

as the PEI's involvement in UNDAF processes (described below). DELC and the PEI do not coordinate activities, yet both work in parallel at the global/regional and country

levels - many of DELC's activities revolve around MEAs, while those of the PEI start from national policy priorities. Both have intrinsic synergies that are likely to indirectly reinforce each other's performance.

277. DRC and the regional office network play a critical role in enabling the implementation of Division activities at the country level. Regional offices are to a large extent the brokers of operational, "on the ground" collaboration between Divisions and, indirectly, SPs as well. Through its service and support functions, the regional office network is UNEP's strongest internal mechanism for cooperation and has strong potential for brokering operational linkages between projects involving different Divisions or EAs at the regional and country levels. This can be "significantly frustrating" in the words of a ROA respondent, as Divisions tend to seek regional office support on short notice, to resolve bottlenecks that in many cases could have been avoided through prior communication. ROAP often does not know when missions from UNEP Headquarters are deployed to countries; other regional offices are likely to face similar situations.

278. There are positive signals that suggest improved coordination of Division project activities through UNEP's Regional Offices. The regional office for Latin America and the Caribbean (ROLAC) has jointly programmed activities in the region with DEWA and DELC focal points, yet has not done so with DEPI (despite the staff support provided to DEPI projects). ROLAC has highlighted its effective coordination with DELC under UN REDD on legal aspects linking carbon sequestration to land tenure and property rights. A joint ROLAC/DELC team intends to replicate UN REDD experiences from Panama to Ecuador and Paraguay. ROLAC has also worked with DELC in organizing a regional RAMSAR meeting that was held in Jamaica in preparation for Rio+20. In the Caribbean, MEA implementation was reportedly strengthened through ROLAC's collaboration with DEWA in applying integrated environmental frameworks on biodiversity. Within the EGSP, ROLAC and DEWA have also collaborated in developing Environmental Agendas and indicators for National Environmental Summaries (linked to ILAC environmental indicators) which have offered inputs to the design of UNDAFs as well. The regional office has had good working relations with Headquarters-based Divisions on UNDAFs under EA "C", leading to the adoption of environmental outcomes in Panama.

279. DELC out-posted six MEA focal points to the regional offices (1-2 per region); four of these work on biodiversity issues and two on chemicals. They have worked with

regional office staff in holding large numbers of workshops and meetings (reaching 2-3 events/month during peak periods). ROA has a Law and Enforcement Branch that is supported by a DELC staff member. DTIE worked with ROA to deliver advisory support to countries on environmentally friendly technologies, provide advice on clean production and resource efficiency policy, and engage business and industry representatives in global forums. DEWA assessments were used by DRC as an input in planning regional capacity building activities.

280. While most of these examples are unrelated to the EGSP, they did raise the value of the subprogramme as a conduit for DRC communications with partner Divisions. Despite the shortcomings, the EGSP was the only mechanism available for DRC to "peg its work" and interact with other Divisions, measure the aggregate value of its performance, and make a case for better resource allocations.

281. The UNEP-UNDP Poverty and Environment Initiative (PEI) is a recognized "best practice" of inter-agency collaboration in terms of joint budgeting reporting and country-level implementation. The financial framework designed to fund the PEI involves a Joint Management Fund that pools UNEP and UNDP contributions under the ATLAS accounting system. As stated in its 2010 annual progress report, "…The PEI is arguably the most comprehensive partnership between UNDP and UNEP with joint decision-making, joint programming, and a unique UNDP-UNEP financial management arrangement through pooled funds and 50% staffing from each organization." The depth of this partnership is reflected in the programme's oversight by a joint UNDP-UNEP PEI Management Board; a global joint UNDP-UNEP Poverty-Environment Facility in Nairobi which manages and supports implementation through provision of knowledge management, technical advisory services and donor relations; four joint UNDP-UNEP regional teams that support the implementation of country poverty-environment mainstreaming programmes and regional communities of practice; and joint government and UN Country Teams that also support these initiatives.

282. Collaboration between UNDP and UNEP towards the PEI began in 2007 with a pilot phase encompassing 7 countries in Africa and Vietnam. In 2008, a four-year scale-up phase was approved, and a new phase for the 2013-2016 period has been approved. The scale-up phase set an initial target of expanding the PEI to 25–30 countries (up from 8 in the pilot phase) with an expected budget of approximately $33 million over five years. The PEI has established direct relations with a diverse set of donors – Belgium, Spain, UK, Norway, Denmark and the United States, among others – that ensures a certain level of momentum and continuity in the midst of present funding uncertainties.

A Technical Advisory Group and a Donor Steering Group provide further governance and advisory support to the programme.

283. This arrangement contributed to PEI's performance under Expected Achievement "C" and may have replication value for UNDAF and DaO initiatives. PEI has played an important role in supporting UNDAF processes in many of its 18 countries, despite funding cutbacks. For example, in Botswana, a good division of labor and coordination allowed UNEP to play a leading role (as NRA) as co-chair of the ETG together with UNDP. In Rwanda and Tanzania, PEI and the Africa Environment Information Network (by DEWA) coordinated their activities, combining national stakeholder meetings, and planning to work through one single project document. In Mozambique, UNEP's direct engagement in the PARPA (Poverty Reduction Strategy Paper) development and review has been mostly through PEI staff based in Maputo. It seems that the EG SP set-up has not contributed to enhance collaboration in any more systematic way. In Malawi, PEI helped to integrate poverty and environment issues into the 2012-2016 UNDAF and draft Country Programme; it is an important component of UNDP's Environment, Climate Change & Energy Cluster programme. In Kyrgyzstan, PEI influenced the UNCT's decision to combine poverty reduction and environment under the same pillar for the upcoming UNDAF.

284. The PEI country programme in Nepal is mentioned among national UNDAF outcomes; PEI support involves joint delivery mechanisms with UNDP's Poverty & Governance and Environment, Energy & Climate Change units, as well as the UNCDF. In Burkina Faso, the PEI has worked with key international donors – the European Commission and Japan, in addition to UN Habitat and the UNDP Africa Adaptation Programme - on promoting climate change-poverty-environment mainstreaming. Case studies from Nepal, Lao PDR and Mauritania offer examples of PEI cooperation with with GTZ, SIDA, DANIDA, DFID, CIDA, ADB and IFAD.

285. As a programme within DEPI (and previously DRC) the PEI has been an important driver of collaboration between UNEP Divisions at the country level. PEI Malawi and DEWA jointly supported the production of a report analyzing linkages between the environment and human well-being, and cooperated with Malawi's Environmental Affairs Department in preparing the 2010 "State of the Environment and Outlook Report". PEI has received requests for technical support from DEPI on IWRM and sustainable land management, and economic impact analysis for climate change assessments. Further support requests were received from DTIE (to draft guidelines for applying Green Economy principles at the country level), DELC (developing legal guidelines for sustainable natural resource management), and DEWA (drafting terms of reference and providing data for in-country assessments). Such examples underscore

the importance of PEI's country presence as a catalyst of inter-Division collaboration for programme implementation.

286. Cooperation with external partners is a central aspect of the EGSP's design and a key determinant of performance as well.   Environment is considered as a crosscutting issue that necessarily requires cooperation with partners outside UNEP.   Several agencies claim an environment-related mandate, and – in particular - EG figures out as the focus area where the greatest number of UN agencies is involved.   As an example, in terms of assessment phase only, the World Bank, European Community and regional banks produce country environment profiles. Funding considerations - UNEP Environment Fund budget only covers around 20% of project implementation costs and mostly goes to staff salaries - also steer UNEP towards external donors.

287. UNEP increasing gravitation towards project implementation over the past years has become a mandate for most Divisions (and a financial necessity as well) to raise extra-budgetary funds.   This has led to fruitful relationships with a number of bilateral and multilateral donors – as well as with the Global Environment Fund (GEF) and, increasingly, UNDP and other UN agencies – that have expanded over the years. Within the EGSP, initiatives such as the PEI and the MEA/ACP project leverage funding and technical support from a wide range of donors – although the SP modality bears little influence on this.

288. UNDP is by far the most important partner of UNEP at country level. In December 2008, UNEP and UNDP signed a Memorandum of Understanding (MoU) to strengthen UNEP-UNDP collaboration by making it more strategic, effective and systematic. The MoU covers issues of common interest such as: Climate Change, the Poverty and Environment Initiative, and "environmental endeavors related to the implementation of Johannesburg Plan of Implementation, the Bali Strategic Plan, MEAs and other intergovernmental agreements in order to assist countries achieve the MDGs based on their own national priorities and the UNDAF". While the MoU has remained largely unknown to many in both Organizations , and its implementation has so far been limited and did not filter down to the lower level managers, there are some examples beyond PEI that are worth mentioning. The two sets of UN guidance notes on mainstreaming ES and CC considerations in the country analyses and UNDAFs developed by the UNDG Task Team on ES and CC (which is co-chaired by UNDP and UNEP) is an example of such efforts. UNDP and UNEP have also effectively worked together to organize the ToT training course of 2010, in collaboration with the UNSSC and UNITAR. UNEP and UNDP also collaborate in the UN Energy Access Facility launched, together with UNIDO during the MDG Summit in September 2010.

289. As part of the UN Secretariat, UNEP is required to enter project performance data (activities) into the Integrated Monitoring and Documentation Information System (IMDIS). With the adoption of the new thematic Programme of Work, UNEP has introduced an additional reporting requirement in the form of six-month Programme Performance Reports (PPRs), which highlight key achievements in UNEP's performance against (indicators for) EAs, and – through the use of a 'traffic light' system based on project milestones – provide a visual representation of results achieved and progress made towards the achievement of PoW Outputs. Starting from mid-2011, the attainment of project milestones (as well as other information, including financial data) is also registered in the on-line Programme Information and Management System (PIMS). Ideally, information from PIMS should flow into IMDIS and PPRs, in 2010-11 these three reporting processes still work largely in parallel. By the end of 2011-12, PIMS was providing the data for the bulk of the PPR.

290. The work captured in UNEP's Programme of Work, and more specifically in the EGSP, represents a set of strategic activities that are intended to span several biennia. As highlighted in the Formative Evaluation of the UNEP Programme of Work 2010-11, the current two-year PoW time-frame in many cases presents a challenge for reporting on results at Expected Accomplishment level, for many activities in UNEP's workplan, it can take a number of years to show results at a higher level. Where performance at Expected Accomplishment level is shown, it is most commonly as a result of initiatives that have been ongoing for some time and that were initiated well before the current MTS period. The Formative Evaluation also noted that a number of deficiencies in the PoW design in defining results levels (both within and across SPs) affect the ability of measure results at different levels. These findings gained broad acceptance within the organization and were confirmed in interviews with UNEP staff involved in the management of the EG SP.

Programme design weaknesses that have had implications for monitoring and reporting:

291. Attribution issues curtail the validity of most of the indicators used in the Programme of Work. UNEP Expected Accomplishments in the PoW are often set at a too high level, well beyond UNEP's control and far beyond its means. UNEP may not always be the only, or indeed the main, actor behind the formulation of international and national environmental policies and laws, in particular considering the organization's technical-normative role and modest level of engagement at the country level. Ultimately, most project results become manifest at the country level and depend on the policy decisions and actions of governments. In addition, determining whether UNEP support has

caused or substantially influenced, Governments to draft policies and legislative proposals can only be established through an evaluative approach. Performance measures that can only be determined through evaluation are clearly not appropriate for regular SP monitoring purposes.

292. PoW Output performance indicators are only defined within project documents and, since projects were largely designed separately, several indicators may exist for a given PoW Output. Capturing the aggregate performance of all projects contributing to a PoW Output is therefore difficult. Furthermore, discrete milestones – which in project designs are set at, or very commonly below, project output level - are unsuitable for use in indicating progress towards higher level results. Thus, however well the achievement of milestones is recorded and reviewed, it can only yield information up to output level.

293. Most of the Indicators of Achievement (IoAs) at all levels are quantitative measures of performance and refer to an "increased number of" some variable. The qualitative dimensions of the results of UNEP's work for example, the relevance, utility, quality, timeliness or coherence are seldom captured in performance indicators. As such, monitoring tends to focus on 'counting' rather than on more substantive aspects of performance. Design weaknesses in relation to the EG SP PoW indicators are shown in Table 12 below.

294. As the level of available resources was uncertain during programme and project planning processes, targets were defined approximately, and the capacity required to reach them was largely based on 'guesswork'.

Table 12: EGSP Indicators of Achievement and Performance Measures 2010-11 & 2012-13 Programme of Work

Indicators of achievement EA(A)	**Performance Measure**
2010-11 (i) The number of common environmental policies agreed upon and decided by the UNEP Governing Council/Global Ministerial Environment Forum, the governing bodies of other United Nations entities, the conferences of parties to multilateral environmental agreements and their secretariats increases. 2012-13 (i) Increased number of coordinated approaches to environmental issues targeted by UNEP that are addressed in a complementary manner by other United Nations entities and multilateral environmental agreements	2010-11 & 2012-13. Number of environmental policy issues targeted by UNEP that are addressed in a complementary manner by other United Nations agencies and Multilateral Environmental Agreements
Remarks. The unit of measure includes a tacit assumption that policy issues addressed in a complementary manner are simply due to UNEP targeting them. In certain cases, some UN agencies or MEAs might be the 'prime movers' in achieving policy coherence. In any case, what constitutes 'a complementary manner' needs to be defined. Which common environmental policy issues and which UN agencies (the most relevant) should be specified.	

2010-11 (ii) The number of inter-agency partnerships and joint initiatives in the field of environment increases.	2010-11 Number of agreements between UNEP and other agencies that tackle issues of common interest in a transversal and complementary manner
2012-13 (ii) Increased number of inter-agency partnerships and joint initiatives between UNEP and other United Nations entities to tackle complementary environmental issues	2012-13 Number of inter-agency partnerships and joint initiatives between UNEP and other United Nations entities working together on selected environmental issues

Remarks. A larger number of partnerships and joint initiatives are considered better than a smaller number of the same. This may be true to a certain level, but very large numbers of different interagency partnerships / initiatives could also be indicative of a lack of coherence unless such partnerships and joint initiatives all work in a synergistic manner. The indicator could be improved if partnerships were tied to the EMG, which is a high level forum to help foster coherence across UN agencies on environment issues.

The unit of measure attempts to improve the indicator by placing emphasis on the role of UNEP in such joint initiatives. The Unit of Measure would need to specify defined substantive partnerships / initiatives planned in the PoW period.

2010-11 (iii) The number of environmental issues addressed under the Environment Management Group, the Chief Executives Board and the United Nations Development Group increases	2010-11 Number of issues addressed and decisions taken by the Environment Management Group, the Chief Executives Board and the United Nations Development Group to promote common actions that were proposed by UNEP, and implementing measures initiated by United Nations agencies
2012-13 (iii) Increased number of coordination activities concerning environmental issues addressed under the Environmental Management Group, the Chief Executives Board for Coordination and the United Nations Development Group that are being acted upon by partner United Nations entities	2012-13 Number of decisions taken by the Environment Management Group, the United Nations System Chief Executives Board for Coordination and the United Nations Development Group to promote common actions proposed by UNEP and implementing measures initiated by United Nations agencies

Remarks. The Unit of Measure are suitable for use as the indicator for the EA

2010-11 (iv) The number of coordination activities between multilateral environmental agreement secretariats and UNEP under the umbrella of UNEP increases.	2010-11 & 2012-13 Number of joint activities and projects
2012-13 (iv) Increased number of joint initiatives undertaken by multilateral environmental agreement secretariats and UNEP showing progress towards measurable environmental outcomes	

Remarks. The Unit of Measure should then become a list of five targeted joint activities and projects, the unit of measure does not capture whether progress towards measureable targets is being made.

Indicators of achievement EA(B)	**Performance Measure**

2010-11 (i) The number of States undertaking initiatives to strengthen laws and institutions for the implementation of priority environmental goals and targets as agreed at the relevant United Nations summits and conferences and the conferences of parties of multilateral environmental agreement increases. 2012-13 (i) Increased number of States implementing laws to improve compliance with environmental goals and targets as agreed at the relevant United Nations summits and conferences and the conferences of parties to multilateral environmental agreements with the assistance of UNEP	2010-11 Number of policies and legislative proposals drafted by Governments as a result of UNEP support 2012-13 Number of Governments implementing laws with the assistance of UNEP
Remarks. This indicator appears to measure country policy/legislative development and not UNEP's performance. It was revised in for 2012-13 to attempt to measure the influence of UNEP on strengthening national laws and institutions. If UNEP's role is assisting drafting of national laws then the indicator is measuring changes beyond immediate outcome – beyond the immediate influence of UNEP. The current Unit of Measure suggests UNEP is assisting with the implementation of national laws.	
2010-11 (ii) The number of international organizations that consider UNEP policy guidance in the area of the environment, including the principles of the Bali Strategic Plan, increases. 2012-13 (ii) Increased number of international organizations that demonstrate progress towards measurable environmental outcomes after applying UNEP policy advice in the area of the environment	Number of UNEP targeted international (subregional, regional or global) organizations applying UNEP guidance
Remarks. An attempt to improve the indicator for the 2012-13 biennium was made. The revised indicator needs to better specify the guidance that is to be adopted at each of the levels. The unit of measure does not address the issue of progress towards measurable environmental outcomes. There is a tacit assumption that adopting UNEP policy advice ensures this.	

Indicators of achievement EA(C)	**Performance Measure**
2010-11(i) The number of national development policies and other national policy instruments containing policy elements to address the environmental dimension of sustainable development increases 2012-13 (i) Increased number of United Nations country teams that successfully mainstream environmental sustainability into common country assessments and United Nations Development Assistance Frameworks	2010-11 Number of countries requesting support from UNEP with national development plans and strategies that include environmental sustainability. 2012-13 Number of countries with United Nations Development Assistance Frameworks that integrate environmental sustainability 2012-13 Number of national and sectoral development policies and other national and sectoral policy instruments containing objectives, targets and actions to integrate pro-poor environmental sustainability
Remarks. The indicator and performance measures were improved for the 2012-13 biennium. It seems reasonable to assume that environmental sustainability would be unlikely to feature prominenetly CCAs and UNDAFs without UNEP's involvement.	

2010-11 (ii) Reference to all UNEP-supported national and subnational environmental assessments in appropriate development plans, including United Nations common country assessment plans (UNCCA) and United Nations development assistance frameworks (UNDAF) increases. 2012-13 (ii) Increased percentage of United Nations Development Assistance Frameworks in countries where UNEP has intervened that present a coherent environment and development package.	2010-11 Percentage of UNCCA/UNDAF referring to environmental assessments supported by UNEP 2012-13 Countries with United Nations Development Assistance Frameworks that show how development goals can be supported through environmental interventions
Remarks. The indicator and performance measures were improved for the 2012-13 biennium.	
2010-11(iii) The percentage of United Nations development assistance frameworks in countries where UNEP has intervened incorporating environment as a key component increases.	Number of UNDAFs incorporating environment in countries where UNEP intervened
Remarks. Indicators revised in 2012-13. This indicator is considered in (ii) above	
(iv) The number of mechanisms to address competing interests in shared natural resources and transboundary environmental issues in countries targeted by UNEP increases.	Number of inter-sectoral policy dialogues convened by UNEP to discuss competing interests in natural resources
Remarks. Indicators revised in 2012-13. This indicator was removed.	
Indicators of achievement EA(D)	**Performance Measure**
2010-11 i) UNEP-led or UNEP-supported environmental assessments undergo a multi-stakeholder peer review and contain a summary for policymakers. 2012-13 (i) Increased number of UNEP-led or UNEP-supported environmental assessments cited in academic writings, leading newspapers and other relevant media	2010-11 Percentage of integrated environmental assessments peer reviewed by external multi-stakeholders 2012-13 Number of scientific publications or leading newspapers citing UNEP-supported assessment findings
Remarks. The revised indicator still has weaknesses. Citations in newspapers perhaps, indirectly, reflect public awareness but not necessarily – absolute numbers of citations in [peer reviewed] scientific publications (assuming they are 'positive' citations) may be a proxy for the scientific credibility of assessments. The two categories should not be 'lumped' and neither is it a measure of the availability of 'sound science' for decision-making. The EA would be better constructed around use of assessments in targeted decision processes , or among well specified policy audiences.	
(ii) The number of visits to and downloads of UNEP-led or UNEP-supported environmental assessment reports on the UNEP website increases. (ii) Increased participation of researchers and institutions from developing countries in UNEP-led or UNEP-supported environmental assessments	2010-11 Number of website visits to and downloads from users external to UNEP of integrated environmental assessments reports 2012-13 Percentage of researchers participating in UNEP environmental assessments who come from developing countries and countries with economies in transition

Remarks. The indicator focus on the process of doing its work rather than the results. Whilst participation of researchers and institutions from developing countries in UNEP-led or UNEP-supported environmental assessments is desirable, the indicator does not measure the results stemming from the assessments themselves.

295. The analysis of PPRs to mid 2012 revealed a lack of comprehensiveness and depth, partly linked to the design weaknesses identified above, many of which are common to all the SPs. The Evaluation Team noted a high degree of subjectivity in the selection of topics for reporting and in the "color of the traffic light" performance appraisal in reporting. Narrative in the progress reports did not always match the rating. The introduction of PIMS reporting led to a more objective analysis in the third progress report (January 2010-June 2011), which was considerably more critical and better aligned with the assessment of the UNEP Task Force and the findings of the Formative Evaluation. The sudden apparent improvement in the progress ratings for the last six months of the biennium, when the PPR was submitted for the attention of the GC, raises questions about the objectivity of this assessment of implementation progress.

296. The evaluation also observed some inconsistencies in PPRs where the EGSP recorded achievements that were planned and programmed in another SP. For example, DELC support to the chemical MEAs' synergy decision, which should, according to the structure of the PoW results framework, be reported within the HS&HW SP, is mentioned among EG achievements. In turn, project outputs that are included in the EG SP (e.g. the SLCFs publication within the non-PRC approved EG project "Global environmental agenda setting to strengthen international cooperation in the field of the environment") are reported under the CC SP. It is the opinion of the evaluators that the lack of clarity of reporting in these, and other similar cases, derives from i) EG SP EA (A) including all the organizational outputs submitted to the attention of the GC, thus including all the products by other SPs; ii) a strong tendency persists of to revert to a "proprietary" Divisional perspective rather than a Sub-programmatic perspective in designing activities, managing/coordinating implementation and reporting results For example, work 'traditionally' done by DELC tends to be presented and recorded under the EG SP, even when it should formally be reported under other SPs . Within the EG SP, project results are reported against EAs that do not necessarily reflect the higher-level goal of the project, but are coordinated by the same Division where project management sits projects (e.g. the ABC project).

297. Overall, there is lack of depth, consistency and comprehensiveness of the reporting system for the EGSP. This can be attributed to a number of inter-related issues none of which appear to be entirely unique to the subprogramme.

Difficulties in monitoring aggregate project performance – the absence of 'meta' level SP management:

298. Overall, the current reporting system does not fully reflect the work for which UNEP is accountable and the level of achievement of results, because of a number of inter-related factors.

299. MDIS and PPRs are acknowledged to have particular limitations in the amount of information that can be captured in them, which force staff to be selective in choosing which activities to include when reporting. This *ad hoc* selectivity, where a different set of activities may be reflected from one reporting period to the next, adds to inconsistencies in reporting progress. Staff often do not see the results of their work reflected in a PoW Output/EA managed by their Division, which further promotes perceptions that reporting is a formal requirement that poorly reflects the real achievement of results. Consequently, UNEP staff in the Divisions do not entirely perceive the utility of this reporting for decision-making and they expressed frustration about the process.

300. Many staff members appreciate the introduction of PIMS as an accountability tool at project level. However, the high potential value of the system for reporting in the 2010-13 MTS was constrained by the formulation of project milestones which, in the vast majority of cases, track implementation progress only as far as project outputs, leaving a performance measurement gap between project outputs and performance at PoW/EA level. Reporting at SP level is not based on any systematic collection of data, limiting the reporting system's reliability and utility for gauging progress in implementation at levels 'above' project outputs. The PIMS system will be of far greater utility for reporting progress in subprgramme implementation when project milestones are formulated in project designs to capture progress along the intended causal pathways towards the desired outcomes. This will enable PIMS to track the completion of activities, delivery of outputs, and progress beyond them towards the achievement of Expected Accomplishments.

301. Reconciling the actual achievements reported with the plan is difficult, since the EG SP activities implemented within projects not approved by PRC are not registered in PIMS (but are reported in IMDIS). This is of particular relevance because the three EG projects that are not-approved are the planned delivery modality for 5 of the 6 PoW Outputs under EA(A) and 4 of the 5 PoW Outputs under EA(B). As noted in the third progress report, "a key issue is therefore to increase the number of projects reporting progress in PIMS with sufficient data to monitor their performance and reduce the number of PoW outputs with no supporting projects" ;

302. Reporting achievements related to individual products that have been 'artificially' split across different projects under different SPs remains a challenge. A prominent example was the UNEP Year Book which features in 7 projects and all six SPs. The result is that there is no natural 'home' to report progress on such a high profile product and the *ad hoc* nature of the reporting process means that progress beyond that noted in IMDIS / PIMS may not be captured at all.

303. Reporting responsibility ultimately rests with the SP Coordinator, who has the challenge of putting together progress information from different Divisions. Since the SP Coordinator has no responsibility for, or authority over, work done in other Divisions he has to accept the reporting information provided to him. The current monitoring system remains a self-assessment. Internal quality assurance processes to check the validity of data are limited. QAS does not have the capacity to assure validity and has limited authority / independence to verify, question or challenge reported progress.

304. Reported progress in implementation at SP level is rarely, if ever, discussed collectively across the responsible Divisions at the SP level. There appears to be little group reflection on progress or common implementation challenges at a Sub-programmatic level, and reporting remains anecdotal. A Divisional mentality permeates monitoring and reporting practices, in detriment to more integrated programme dynamics that are lacking within the EGSP as well as among SPs. The 'traffic light' system does not seem to translate into adaptive management decisions at SP level.

ANNEXES

Annex 1 EGSP Overview: Scope of Activities and Responsibilities

UNEP's Medium Term Strategy 2010-13 indicates EG as one of the six priority areas for the organization. Moving away from a PoW planned by Division, the EG SP aims to "promote informed environmental decision-making to enhance global and regional environmental cooperation and governance at country, regional, and global level". Prior to this shift, UNEP's work related to EG was formally scattered in different divisional work plans. Starting from 2008-09, however, Divisional costed work-plans indicated whether any planned activity fell under a specific area (including EG), although the breakdown among areas was not always clear-cut.

UNEP Secretariat explicitly aimed to include within the EG SP all the core functions and responsibilities mandated by the General Assembly of the United Nations and the Governing Council of UNEP (Draft EG SP Strategy, 2008). The EG SP includes both substantive work on EG topics such as policy development, institutional development, and environmental law, and key "corporate" functions or services of the Organization, such as regional coordination and representation, and communication.[89] As a matter of fact, the work of Divisions such as DEWA, DRC and DCPI, which are supposed to support all the SPs, has been for the most part formally categorized under the EG Sub-programme.

The EG SP has identified four areas of work, each related to a major goal:

- International cooperation: to help States cooperate to achieve agreed environmental priorities, and support efforts to develop, implement and enforce new international environmental laws and standards

- Strengthening national policy and institutions: to work with States and other stakeholders to strengthen their laws and institutions, helping them achieve environmental goals, targets and objectives

- International policy setting and technical assistance: to promote the integration of environmental sustainability into regional and national development policies, including the establishment/strengthening of institutional arrangements to manage transboundary natural resources

- Access to sound science for policy decision-making: to influence the international environmental agenda by reviewing global environmental trends and emerging issues, and bringing these scientific findings to policy fora.

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[89] With the new cross-divisional structure, the bulk of DCPI work falls within the EG SP, as "stand alone activity on communication and branding". In addition, DCPI has been asked to draft projects (defined by the same Unit as packages of activities) to be inserted in the CC, EM and RE SPs.

Since all the work by UNEP could have possibly been included under one of these four headings, as a transitional measure in moving from the 'old' Divisional Sub-programmes to the 'new' thematic Sub-programmes, it was agreed to place all the EG work related to specific (technical) issues under the related SP to the extent relevant: e.g. UNEP support to UNFCCC falls under the CC SP; UNEP inputs to the Marrakech process on Sustainable Consumption and Production falls within the RE SP, etc. If a project/activity had fallen into more than one thematic area, it would have rather been included under the EG SP (e.g. GEO5, cross-cutting/corporate functions of the Organization).

The Evaluation used the current articulation of the EG SP in its four areas of work as a benchmark to set boundaries and define whether an activity/output that featured in the earlier Divisional costed work plans could be considered as EG-related and, as such, should be included in the scope of the evaluation. The EGSP's four EAs and their corresponding PoW outputs are described below:

> *Expected Accomplishment A*- The United Nations system, respecting the mandates of other entities, progressively achieve synergies and demonstrates increasing coherence in international decision making processes related to the environment, including those under Multilateral Environmental Agreements.

- *Pow Output 4a1: Emerging environmental problems of broad international significance and existing gaps in environmental regimes will be identified by the Governing Council based upon environmental assessment and analytical inputs*
- *PoW Output 4a2: Policy guidance to set the direction and improve the coordination of actions on issues identified by the Governing Council is considered in other intergovernmental deliberations (GA and 3 UN bodies or CoPs to MEAs)*
- *PoW Output 4a3: UN entities and UN inter-agency bodies consider general policy guidance of the UNEP Governing Council and findings of major international environmental assessments in the design and delivery of their interventions through the EMG, the CEB, and the UNDG*
- *PoW Output 4a4: The needs and activities of MEAs and their secretariats are supported through advanced cooperative mechanisms*
- *PoW Output 4a5: Environmental priorities of MEAs are identified and mainstreamed to ensure coherence across the UN system*
- *PoW Output 4a6: Effective policy exchange and development and priority setting by countries are supported through regional ministerial and other environmental forums*

Work carried out by UNEP in the area of "international cooperation" revolves around four major issues:

- UNEP Governing Council is able to identify emerging environmental problems of broad international significance and existing gaps in environments regimes, on the basis of environmental assessments and analytical inputs provided by UNEP technical divisions, Regional Offices as well as inputs from major groups[90]. Examples of activities carried out in the last three biennia include: substantive servicing of meetings and preparation of quarterly reports to the CPR and the GC/GMEF (ED Office); publications such as UNEP Year Books, Global Environment Outlook, and other assessment reports made available to GC/GMEF (DEWA); Reports and documents to facilitate policy dialogue and decision-making, including: black carbon policy, implementation of the Global Programme of Action on IWRM, inputs to the follow-up to the Millennium Declaration, etc. (DELC, DEPI and DTIE); Documents and reports to facilitate the full integration of regional priorities into GC/GMEF deliberations (DRC/Regional Offices); Organization of annual global and regional civil society forum in conjunction with the GC/GMEF (DELC and DRC).

- Environmental issues are mainstreamed and included in the deliberations of the UN General Assembly, the decisions by the UN Secretariat, as well as in the design of programmes by UN inter-agency bodies. Examples of activities carried out in the last three biennia include: Liaison with the GA, ECOSOC (and CSD), CEB, UNDG, UN Executive Committee on Economic and Social Affairs (New York Office); Engaging in the preparatory process towards the UN Conference on Sustainable Development (Rio+20) and various activities carried out to improve IEG modalities of cooperation (DELC); Specific assessment reports to main organs of the UN and its subsidiary bodies, such as MDG progress reports (DEWA); Participation in, and contribution to, inter-agency activities related to assessment and information management, including Earthwatch and the UN Geographic Information Working Group (DEWA); Participation in inter-agency processes on specific issues (e.g. UN Water and UN Oceans, UN Energy--various Divisions).

- Multilateral Environmental Agreements (MEAs) are supported and synergies achieved through cooperative mechanisms. UNEP support also includes ensuring that MEAs priorities are taken into consideration by UN inter-agency mechanisms for cooperation (see point immediately above). In the last three biennia, UNEP has supported numerous MEAs (such as the CBD, CITES, Convention on Wetlands, Ozone Secretariat; UNFCCC, UNCCD, UNEP-administered and non-administered Regional Seas Conventions; Basel,

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[90] However, UNEP's work with major groups currently falls under the EA(B)

Rotterdam and Stockholm Conventions; etc.), mostly (but not always, as with UNFCCC and chemicals-related Conventions) within the EG SP. In addition, UNEP planned to produce research on synergies and inter-linkages among MEAs to improve effectiveness in implementation, as well as develop a web-based database to raise awareness and advance the implementation of MEAs.

- Regional ministerial and other environmental fora are supported, by providing Secretariat functions and fostering collaboration, preparing technical inputs and participating in meetings, organizing workshops and training.

Box 1: Examples of support provided by UNEP to regional fora

> In the last three biennia, UNEP Regional Offices (and DEPI/New York Office for SIDs) have provided support to the following organizations and fora:

Africa: African Ministerial Conference on the Environment; African Union; Regional Economic Communities; African regional intergovernmental processes on water; New Partnership for Africa's Development (NEPAD); African Environment Facility; IGAD, SADC, Arab Maghreb Union, Congo Basin Forest Initiative, CGIAR, Regional Forum for African Women Ministers and Leaders for the Environment, African Convention on the Conservation of Nature and Natural Resources.

Asia and Pacific: Asia-Pacific Ministerial Conference on Environment and Development; Sub-regional Environmental Policy Dialogue; Interstate Sustainable Development Commission; South Asia Association of Regional Cooperation and South Asia Cooperative Environmental Programme; ADB; ASEAN; UN-ESCAP, Regional Forum of Asia and the Pacific Women Ministers and Leaders for the Environment.

Europe: Inter-governmental meetings, including: "Environment for Europe" Conference (2007) and Astana Ministerial Conference; Council of the Pan European Biological and Landscape Diversity Strategy; Steering Committees for the Mediterranean, Black Sea, Caspian Environment Programme, Carpathian Convention, Convention on the Protection of the Alps; Environment Security Initiative; EU, OECD, OSCE, Regional Environmental Centre for Central and Eastern Europe, Regional Forum of European Women Ministers and Leaders for the Environment.

Latin America and the Caribbean: Forum of Ministers of Environment of LAC; PARLATINO; Network of Authorities for the Global Atmospheric Pollution Forum, National Focal Point Group on ABS; MERCOSUR; Central America Commission on Environment and Development; CARICOM; Organization of Eastern Caribbean States; Andean Region; Amazonian Cooperation Treaty Organization; Regional Forum of LAC Women Ministers and Leaders for the Environment.

West Asia: Council of Arab Ministers Responsible for the Environment; Environment Committee of the Gulf Cooperation Council; League of Arab States; Regional Forum of West Asia Women Ministers and Leaders of the Environment.

North America: North American Commission for Environmental Cooperation and Organization of American States; IDB.

> ***Expected Accomplishment B*** – *The capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions is enhanced.*

- *PoW Output 4b1: National and international environmental law and institutions are strengthened through the implementation of the 4th Programme for the Development and Periodic Review of Environmental Law*

- *PoW Output 4b2: Legal and policy instruments are developed and applied to achieve synergy between national and international environment and development goals*

- *PoW Output 4b3: Countries' legislative and judicial capacity to implement their international environmental obligations is enhanced through implementation of policy tools*

- *PoW Output 4b4: Capacity of government officials and other stakeholders for effective participation in multilateral environmental negotiations is enhanced*

- *PoW Output 4b5: Inter-sectoral and inter-governmental forums for policy dialogue between major groups and multiple sectors of Governments on emerging environmental issues are facilitated*

Work carried out by UNEP in the area of "strengthening national policy and institutions[91]" revolves around three major issues:

- National and regional environmental management laws are promoted, through the implementation of the Programme for the Development and Periodic Review of Environmental Law (Montevideo Programme), the provision of technical assistance and guidance materials. Examples of activities undertaken by DELC (in cooperation with Regional Offices) in the last three biennia include: Studies in various thematic areas related to environmental laws; Guidelines and draft declaration on Human Rights and Environment; Provision of query-response services and web databases for access to environmental law documents and publications (including ECOLEX); Support to the

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[91] The work undertaken at regional level on the management and conservation of transboundary resources, which is currently placed under EA(B) and EA(C), is rationalized under EA(C) only. Support to regional fora is instead placed under EA(A).

development of legislative frameworks at country and regional level, including the Partnership for the Development of Environmental Laws and Institutions in Africa (PADELIA), the South Asia Sub-regional Environmental Treaty, the Greening the Gulf Strategy.

- Legal and policy instruments are developed at national level to achieve synergy with international environment and development goals (including those stemming from MEAs). The capacities of parliamentarians, judiciary, prosecutors and other legal practitioners, as well as army staff in/for the implementation of these tools and the integration of MEAs into national legislations are enhanced. Work in this area has included: Development of guidelines (and organization of workshops) on: governance of global commons, access to information, justice and public participation in environmental matters, liability for environmental damage, how to address trans-national crime; Identification and advocacy for best practice frameworks to protect, maintain or improve interfaces between land and ocean; Development of policy tools and awareness events on management of transboundary environmental issues and freshwater issues; Study and workshops on environmental norms and military activities; Regional training and workshops for judges on enforcement of environmental law; Global and regional training programmes on environmental law and policies. In addition, it has included: technical assistance to Governments to address fragmented or incomplete national legislation for implementation of MEAs and to integrate MEAs objectives into national sustainable development strategies; Production and dissemination of UNEP Guidelines and Manual on compliance with and enforcement of MEAs; Training and advisory services for Government officials, policy-makers, enforcement officials, judges, NGOs, local authorities, to enhance capacities for negotiations, implementation, compliance and enforcement of MEAs.

- The involvement of major groups (including NGOs, trade unions, and indigenous people) in decision-making on environmental matters is facilitated, by organizing capacity development workshops, producing guidelines and organizing roundtables. Examples of activities undertaken in the last three biennia (mostly by the Major Groups branch) include: Guide on Access to Information, Public participation in decision-making and Access to Justice in environmental matters; Global (and regional) Major Groups and Stakeholders' Fora; Workshops to harness workers and trade unions' participation in environmental decision-making; Support to Geneva Environment Network; Development of strategy and capacity development activities to strengthen the participation of indigenous peoples in environmental processes.

> ***Expected Accomplishment C*** – National development processes and UN common country programming processes increasingly mainstream environmental sustainability

- *PoW Output 4c1: The capacity of UNCTs to integrate environmental sustainability into UNDAF and other national planning processes is strengthened through provision of environmental information and data*
- *PoW Output 4c2: Environmental sustainability is fully integrated into UNDAFs*
- *PoW Output 4c3: Environmental sustainability is integrated into national and sectoral development planning processes*
- *PoW Output 4c4: Regional and sub-regional institutional arrangements are facilitated to address common interests in shared natural resources and transboundary environmental issues in accordance with priorities and strategies identified by the relevant regional or sub-regional intergovernmental bodies and forums, or by the countries concerned*

Work carried out by UNEP in the area of "international policy setting and technical assistance" revolves around three major issues:

- Environmental sustainability is mainstreamed into UN Development Assistance Frameworks, Common Country Programming and One UN documents, through various means of support, including: Production of national environmental summaries and light assessments for use by UN Country Teams; Provision of consolidated inputs on environmental sustainability to be included in Common Country Assessments, UNDAFs, and DaO documents; Delivery of training courses on environmental sustainability to UNCTs; Participation in UNCT strategic meetings and thematic working groups related to UNDAFs' preparation and review; Global training and ToT on the UNDG guidance note on the integration of environment in CCA/UNDAFs and on climate change.
- Mainstreaming poverty-environment linkages into national development planning documents is facilitated, through PEI initiative and other advisory services to Governments. Partnerships with other UN agencies on the "environment and development" nexus are enhanced and cooperative activities increased. Examples of activities carried out in the last three biennia by the PEI Unit, DRC and the Regional Offices include: financial and technical assistance to Governments to set up institutional and capacity strengthening programmes and carry out activities to address the particular poverty-environment context; Organization of inter-agency meetings (UNEP, UNDP, WB, WHO, FAO, European Union and bilateral donors) on environment and

development issues; Provision of advisory services and guidance to incorporate integrated water management into national development plans (by DEPI), workshops on integrating vulnerability and adaptation to climate change into national planning (by ROA).

- Institutional arrangements for the governance of shared natural resources and trans-boundary environmental issues are facilitated and strengthened:
    - ✓ *Africa:* Forest Commission of Central Africa, International Commission for the Congo–Oubangui–Sangha Basin, OMVS, LIMCOM, OKACOM, Eastern Africa Legislative Assembly, SADC, ECCAS
    - ✓ *Asia and Pacific:* Regional organizations for the development of transboundary strategies and plans
    - ✓ *Latin America and the Caribbean:* Preparation of the bi-national strategy for management of Lake Titicaca and for the Greater Mopan/Belize River Watershed
    - ✓ *Europe:* Carpathian Convention Protocol, Frameworks Convention for the Protection of the Marine Environment of the Caspian Sea, Teheran Convention, and inter-regional mountain partnerships (including Caucasus, Dinaric Arc and Balkans); integration of land water and water use in Danube/Black Sea Basins
    - ✓ *West Asia:* Regional Organization for the Protection of the Marine Environment, programme of activities for the Red Sea and Gulf of Aden
    - ✓ *North America:* Preparation of study on freshwater resources between USA and Canada

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Expected Accomplishment D – Improved access by national and international stakeholders to sound science and policy advice for decision making

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- *PoW Output 4d1: Global, regional, sub-regional and thematic environmental assessments, outlooks, indicator reports, and alerts produced, communicated and used by decision makers and relevant stakeholders in decision making in national and international policy processes*
- *PoW Output 4d2: Multi-disciplinary scientific networks more strategically connected to policy makers and development practitioners to integrate environment into development processes*
- *PoW Output 4d3: Institutional and technical capacities of Governmental and partner institutions in environmental monitoring, assessment and early warning demonstrated to support national decision-making*

Work carried out by UNEP in the area of "access to sound science for policy decision making" revolves around four major issues:

- Global, regional and thematic assessment, outlook, reports, and alerts are produced and distributed to relevant stakeholders and decision makers. Examples of reports produced (by DEWA in collaboration with Regional Offices) and related distribution/awareness activities in the last three years include: Global Environment Outlook (4 and 5), GEO Year Book; Reports on the State of the Marine Environment, outlook reports on regional marine biodiversity; Regional Environment Outlooks.

- Up-to-date information on the state of the environment are available on UNEP websites; Development and update of OARE, EDIP and KNOSSOS (DCPI);

- Global and regional multi-disciplinary scientific networks for environmental information are well-functioning: EIN, Regional Environmental Information Networks, Scientific network related to the marine and costal environment, etc.

- Government representatives, partner organizations, and other stakeholders (including university professors and journalists) are trained in assessment methodology, and supported in the production of atlases and Integrated Environmental Assessments. Examples of activities undertaken in the last three biennia include: Preparation of a training manual for national Governments to support the production of national and regional atlases; Development of a module on core data and indicators related to GEO portal; Organization of regional workshops on Integrated Environmental Assessment methodology, workshops on indicators, data collection, analysis and presentation; Workshops for journalists and social communicators on the assessment reports; Workshops for university professors to develop courses from assessment reports.

The PoW 2010-11 also includes "Communication and branding" as a stand-alone activity contributing to EA(D). It embraces corporate communication activities by DCPI (including organization of awareness and outreach events and publication of communication materials), communication support to the GC/GMEF and UNEP divisions, as well as meetings to explore partnership opportunities at regional level.

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Annex 3. List of Persons Interviewed

1. Ellik Adler, Coordinator, COBSEA
2. Sheila Aggarwal-Khan, Senior Programme Officer, QAS
3. Joseph Alcamo, Chief Scientist
4. Zehra Aydin, Programme Officer, UNEP Liaison Office in New York
5. Matthew Billott, Programme Officer, DEWA
6. Carl Bruch, Co-Director of International Programs, Environmental Law Institute
7. Michele Candotti, Chef de Cabinet, Executive Office
8. Juanita Castano, (Former) Director, UNEP Liaison Office in New York
9. Bradnee Chambers, Senior Programme Officer, DELC
10. Aslam Chaudry, Chief, Global Policy Branch, UN-DESA
11. Munyaradzi Chenye, Head of Policy Coordination and Inter-agency affairs, UNEP Liaison Office in New York
12. Thomas Chiramba, Programme Officer, DEPI
13. Carole Excell, Senior Associate, World Resources Institute
14. Alex Forbes, Programme Officer, PEI/UNDP
15. Amy Fraenkel, Regional Director, RONA
16. Hilary French, Programme Officer, RONA
17. Mariarosa Giannotti, Programme Officer, UNEP Resource Mobilization Unit
18. Jonathan Gilman, Delivery as One Coordinator, ROAP
19. Peter Gilruth, Director, DEWA
20. Tessa Goverse, Programme Officer, DEWA
21. Elisabeth Guilbaud-Cox, Senior Programme Officer, RONA
22. Thomas Hammond, Secretary, STAP
23. Ampai Harunarak, GEF Portfolio Task Manager, ROAP
24. Melanie Hutchinson, Delivery as One Coordinator, ROWA
25. Douglas Hykle, Senior Advisor, CMS
26. Mylvakanam Iyngararasan, Programme Officer, DELC
27. Tuti Irman, Representation of Indonesia at the UN in New York
28. Maria Ivanova, Environmental Governance Expert, University of Massachusetts
29. Bakary Kante, Director, DELC
30. Bob Kakuyo, Programme Officer, DRC
31. Sutharin Koonphol, Programme Officer, UNDP Thailand
32. Jorge Laguna, Representation of Mexico at the UN in New York
33. Alexander Juras, Chief Major Groups and Stakeholders Branch, DRC
34. Phillys Lee, Secretary, HLCP
35. Arkadiy Levintanus, Programme Officer, DELC
36. Victoria Luque, Programme Officer, PEI/UNEP
37. Monika MacDevette, Head Capacity Development Branch, DEWA
38. William Mansfield, Senior Advisor, RONA
39. Diego Martino, National Officer, UNEP Uruguay
40. Kristin McLaughlin, GEF Liaison Officer, RONA
41. Desta Mebratu, Programme Officer, ROA

42. David Mehdi Hamam, Chief Policy Analysis and Monitoring Unit, Office of the Special Adviser on Africa
43. Masahiro Nagai, SP Coordinator, DELC
44. Kakuko Nagatani, Policy and Enforcement Officer, ROAP
45. Fatoumata Ndoje, Programme Officer Major Groups and Stakeholders Branch, DRC
46. Tomoko Nishimoto, Director, DRC
47. Bruce Noronha, Programme Officer, DELC
48. Young-Woo Park, Regional Director, ROAP
49. Janos Pasztor, Executive Secretary, SG High-level Panel on Global Sustainability
50. Henrike Peichert, Knowledge Management Specialist, PEI/UNDP
51. Naomi Poulton, Deputy Director, DCPI
52. Ashbindu Singh, DEWA Regional Coordinator, RONA
53. Trym Sonstad, Representation of Norway at the UN in New York
54. Achim Steiner, Executive Director
55. Anne Marie Sloth Carlsen, Policy Advisor, UNDP
56. Anna Stabrawa, DEWA Regional Coordinator, ROAP
57. Jerker Tameslander, Programme Officer, ROAP
58. Chris Taylor, Senior Programme Officer, OfO Finance
59. Claudia TenHave, Programme Officer, DELC
60. Claire Thuaudet, Representation of France at the UN in New York
61. Sekou Toure, Conflict Resolution Commissioner, GEF Secretariat
62. Koen Toonen, Programme Officer, PEI/UNEP
63. Dechen Tsering, Deputy Regional Director, ROAP
64. Wanhua Yang, DELC Regional Coordinator, ROAP
65. Robert Wabunoha, Programme Officer, ROA
66. Michael Wilson, Programme Officer, DEWA
67. Kaveh Zahedi, (Former) CC SP Coordinator, DTIE
68. Max Zieren, GEF Portfolio Task Manager, ROAP
69. Jochem Zoetelief, Programme Officer, DRC
70. Cristina Zucca, Programme Officer, DELC

Annex 4 Evaluation Terms of Reference
Background

a. The debate on International Environmental Governance

1. The term 'governance' has been differently defined according to the scope and locus of decision-making power. As many governance functions influencing individual and collective behaviour have been increasingly performed beyond the exclusive remit of governments, the definition of governance has moved from "conducting the public's business" to "the constellation of authoritative rules, institutions and practices by means of which any collectivity manages its affairs" (Ruggie 2004). Along this same line, Environmental Governance (EG) is defined as "the processes and institutions that guide and restrain the collective action of Governments, organizations, major groups and civil society to address collective environmental issues at all levels, from local to national, sub-regional, regional and global" (Draft UNEP Sub-programme on Environmental Governance, 2009).

2. Over the past decade, the debate on International Environmental Governance (IEG) has focused on developing institutional responses to confront the increase of environmental threats faced by all countries and on the need of a more coherent and more effective IEG regime. The growing body of scientific evidence as to the seriousness of environmental degradation has led to a proliferation of legal and institutional arrangements for international cooperation on environmental issues. As a result, the international community has become increasingly concerned with not only establishing a strengthened framework for coordinated international action but also ensuring that the limited resources available are deployed in the best possible manner for optimal effect.

3. A stronger system-wide coherence has been called for in the context of the UN reform, in terms of enhanced coordination, improved policy advice and guidance, strengthened scientific knowledge, assessment and cooperation, better treaty compliance, and better integration of environmental activities in the broader sustainable development framework at the operational level, including through capacity development.

4. The establishment by the UN Secretary General of the Task Force on Environment and Human Settlements represented the first step in the set-up of the current system to attain "a sustainable equilibrium among economic growth, poverty reduction, social equity and the protection of Earth resources". Following the adoption of the GA resolution 53/242 (1999) a number of important institutional measures have been acted upon, including the establishment of the Environmental Management Group (EMG), the creation of the Global Ministerial Environment Forum (GMEF), and support provided to enhancing linkages among environmental and environment-related conventions.

5. Following the call for a strengthened UNEP by the Ministers of the Environment and Heads of delegation at the GMEF in Malmo (2000), the Decision SS VII/1 by UNEP Governing Council on IEG (Cartagena Package, 2002) demanded, among other things, a strengthening of the role, authority and financial situation of UNEP; a reinforcement of the science base of UNEP; improved coordination and effectiveness of Multilateral Environmental Agreements (MEAs); and enhanced coordination across the United Nations system, with an emphasis on the role of the Environmental Management Group. On that occasion, the Governing Council also adopted the report of the Open-ended Intergovernmental Group of Ministers or their Representatives on International Environmental Governance, where it was suggested that "strengthening international environmental governance should be evolutionary in nature and that preference be given to making better use of existing structures".[92]

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[92] The Report's section 4 stated that "while building on strengthening the present system, UNEP should be transformed into a central pillar of the environmental activities of the UN system by (inter alia) deciding on the issue of universal membership and the composition of relevant organs".

6. In 2007, the High-level Panel on UN System Wide Coherence also recommended to upgrade UNEP and to give it real authority as the UN environment-policy pillar. In this framework, the High-level Panel also recommended an independent assessment of the current UN system of IEG. The "Management review of environmental governance within the UN system" (JIU, 2008) contained twelve recommendations related to the institutional setting for the implementation of coherent environmental policies. The recommendations - addressed to the UN Secretary General and the General Assembly - mainly focused on coherence and division of labour among different stakeholders in EG, the strategic role of UNEP, support and coordination among MEA secretariats, delegation of authority and coordination at country level.

7. 2009 witnessed an acceleration of intergovernmental efforts to reform the UN's system of IEG. UNEP Governing Council established two Consultative Groups of Ministers or High-Level Representatives on IEG[93], which discussed the core objectives and corresponding functions of IEG in the context of the UN system to identify pathways for improving the complex and fragmented system of MEAs and environmental financing. The first Group presented a set of options for IEG to the GC/GMEF at its eleventh special session. Building up on this, the second Group convened twice in 2010 and has been working since then on options for broader reform of the current IEG system, with a view to present them at the Rio+20 Conference in support of the second theme "The institutional framework for Sustainable Development".

8. Numerous other developments in 2009 also underlined the potential of regional environmental governance to help meet global environmental goals. Delegates to several MEA meetings negotiated ways to decentralize environmental governance, for example in regard to chemicals and waste management (UNEP POPs 2009). Regional initiatives were also highlighted in the context of water governance and sustainable forest management.

b. UNEP role/activities on Environmental Governance

9. UNEP is the principal body of the UN in the field of the environment. UNEP's role is to be the leading global environmental authority. This includes setting the global environmental agenda, promoting the coherent implementation of the environmental dimension of sustainable development within the United Nations system and serving as an authoritative advocate for the global environment.

10. UNEP works with a number of actors to enhance Environmental Governance by bridging science and policies, catalyzing the development and implementation of environmental policies and instruments, and supporting efforts of Governments to implement agreed environmental goals and objectives. Relevant actors include: at the international level, UN system organizations and coordinating mechanisms (including the Chief Executive Board - CEB, Environment Management Group, and the UN Development Group - UNDG), as well the MEA Secretariats; at regional level, organizations and bodies which provide fora for policy development and implementation; at the national level, UN country teams and various UN agencies implementing environment-related policies. The scientific community also has a specific role to play in this context providing a basis for scientifically sound and informed decision-making.

11. UNEP activities on Environmental Governance revolve around the following issues:
   - UN system-wide inter-agency coordination processes at all levels, including CEB, EMG, UNDG and UNCTs under One UN;
   - Global and regional intergovernmental processes for policy debate, negotiations and decision-making within and outside the UN system, including those of MEAs;
   - Development of environmental law and regulatory frameworks at all levels, and support for their implementation, including aspects of compliance and enforcement;
   - Global and regional initiatives for facilitating the engagement of major groups and civil society in policy debate and decision-making processes;
   - Regional representation and coordination, including coordination of country-specific activities in a region;

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[93] GC decisions 25/4 and SSX1/1

- Global and regional institutional arrangements and processes concerning environmental assessments, state of environment reports and environmental information exchange, for science-based informed decision-making at relevant intergovernmental processes.

12. All UNEP Divisions have been to a varying extent involved in supporting and/or managing EG-related activities, which - using the PoW 2006/07 and 2008/09 as reference[94] - could be clustered around UNEP Expected Accomplishments as follows:

Table 1: Main EG-related Expected Accomplishments (PoW 2006/07 and 2008/09) by Division

PoW Sub-programmes/Units	Main EG-related Expected Accomplishments
Office of the Executive Director [95]	Enhanced integration of environmental activities within the UN system and wider acceptance of environmental concerns in the broader sustainable development framework
	Improved relevance of the work of UNEP to the needs of its Member States, including capacity building and technology support needs, with increased reflection of gender
Environmental Assessment and Early Warning – DEWA	Participatory, policy-relevant and scientifically credible environmental assessments
	Greater participation of partner institutions in UNEP-supported networks and improved exchange of available environmental data and information for assessment processes, early warning systems and decision-making
	Enhanced institutional and technological capacity in developing countries and countries with economies in transition for data collection, research, analysis, monitoring, environmental assessment, early warning, networking and partnerships[96]
Environmental law and conventions – DELC[97]	Increased support for enhanced capacity of national Governments and other stakeholders for mainstreaming of national environmental objectives

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[94] The Evaluation will cover the period 2006-2011 (See the "Objectives and scope" section of the ToR)

[95] Mentioned only in the biennium 2008/09. The PoW 2008-09 also included two EAs assigned to the UN Scientific Committee on the Effects of Atomic Radiation: (a) Expanded and updated scientific assessments of exposures regionally and globally to ionizing radiation and of radiation risks for and effects on human health and the environment; (b) Increased awareness and use among decision makers, the scientific community and civil society of the scientific assessments of the Committee as a sound basis for radiation risk

[96] PoW 2006-07 explicitly mentioned increased participation to achieve the targets of the World Summit on Sustainable Development. PoW 2006/07 also included an additional EA(d) related to the development of capacities of international, regional and national institutions to analyse the biodiversity status.

[97] Combines work carried out by the Division of Policy Development and Law and the Division of Environmental Conventions in PoW 2006/07

	into national sustainable development and poverty eradication strategies, including, where appropriate, in a synergistic and interlinked manner[98]
	Enhanced environmental legal frameworks - strengthened capacity of Member States for enhancing implementation of, compliance with, and enforcement of environmental law, as well as strengthened capacity of relevant institutions and stakeholders to facilitate implementation of and compliance with environmental law
	Enhanced collaboration and cooperation between UNEP and MEAs, their secretariats, scientific bodies and global, regional and national stakeholders, as well as enhanced support for collaboration and cooperation among their bodies, aimed at enhancing implementation of, compliance with and enforcement of the MEAs and improving synergies among them, and enhanced coordination within the UN system in undertaking environmental activities
	Improved engagement of major groups in the development and implementation of environmental policy and law [99]
Policy implementation – DEPI	Improved access by Governments and other stakeholders to relevant implementation tools (including dialogue forums) for integrated natural resources management and restoration of degraded ecosystems, including – among others – freshwater, coasts and oceans
Regional cooperation and representation - DRC	Strengthened policy dialogue and cooperation among and between countries and institutions in the regions in addressing environmental issues of common concerns and priority
	Increased cooperation with Governments and intergovernmental, non-governmental and UN partners in the delivery of programmes and projects at the regional/sub-regional/national levels, addressing environmental priorities identified by

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[98] This could include activities under EA(e) in the PoW 2006-07 – "*Enhanced understanding by all partners of the need to incorporate the environmental dimension in efforts to meet internationally agreed development goals, including those contained in the Millennium Declaration and the Johannesburg Plan of Implementation*"

[99] Only in PoW 2008/09

	UNEP Governing Council and regional institutions
	Enhanced capacity of Member States to integrate environmental sustainability into national development processes including PRSPs and MDG implementation plans[100]
	Enhanced mainstreaming, cooperation and liaison within the UN system in undertaking environmental activities[101]
Communications and public information - DCPI	Increased awareness of, and focus on, environmental issues and the work of UNEP among all sectors of society
	Expanded partnerships between UNEP and children and youth organizations, sports associations, NGOs, Governments and the private sector in promoting environmentally friendly attitudes and actions, taking gender considerations into account
Technology, Industry and Economics - DTIE	No specific EA on EG - but contributing to EG through guidance on specific technical issues (including in areas covered by the Chemicals Branch, IETC, ETU and inputs to climate change assessments)

13. Moving away from a PoW defined by Division, the UNEP Medium Term Strategy 2010-13 lists Environmental Governance as one (out of six) cross-cutting thematic priority areas. EG activities in the PoW 2010-11 are planned under the Environmental Governance Sub-programme "to promote informed environmental decision-making to enhance global and regional environmental cooperation and governance at country, regional and global level".

14. EG activities and projects are arranged into four Programme Frameworks, each one related to an Expected Accomplishment cutting across the work of UNEP Divisions.

Table 2: EG Sub-programme (PoW 2010-11) Expected Accomplishments

Goal	Description	EA
1. International cooperation	To help States cooperate to achieve agreed environmental priorities, and support efforts to develop, implement and enforce new international environmental laws and standards	(a) The United Nations system, respecting the mandates of other entities, progressively achieves synergies and demonstrates increasing coherence in international decision-making processes related to the environment, including those

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[100] Very similar EA also under DELC Sub-programme
[101] Very similar EA also under the Executive Director's area of accountability

		under multilateral environmental agreements
2. Strengthened national laws and institutions	To work with States and other stakeholders to strengthen their laws and institutions, helping them achieve environmental goals, targets and objectives	(b) The capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions is enhanced
3. **International policy setting and technical assistance**	To promote the integration of environmental sustainability into regional and national development policies, and help States understand the benefits of this approach. UNEP also supports the establishment and strengthening of institutional arrangements to manage transboundary natural resources	(c) National development processes and UN common country programming processes increasingly mainstream environmental sustainability
4. Access to sound science for decision-making	To influence the international environmental agenda by reviewing global environmental trends and emerging issues, and bringing these scientific findings to policy forums	(d) Improved access by national and international stakeholders to sound science and policy advice for decision making

15. EG Expected Accomplishments have been translated into eighteen outputs to be achieved within the biennium 2010-11 (See Annex A). EG-related activities were clustered in thirteen projects and one stand-alone activity on "corporate communications, outreach and branding", with an estimated total budget of USD 139.35 million (See Annex B).

The Evaluation

a. **Objectives and scope of the evaluation**

16. The Evaluation aims at assessing the relevance and overall performance of UNEP work related to Environmental Governance (labeled as the "EG Sub-programme" hereafter) [102] from PoW 2006 onwards according to standard evaluation criteria (relevance, efficiency, effectiveness, sustainability and impact). The Evaluation will consider whether, in the period under consideration, the UNEP Programme of Work – and subsequent adjustments to it – answered the call for a strengthened role of UNEP in the context of International

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[102] For the purpose of this Evaluation, the term "EG Sub-programme" will denote EG-related activities carried by UNEP independently of their inclusion into a dedicated programme framework (as in the PoW 2010-11).

Environmental Governance and whether the results achieved have been ultimately conducive to the enhancement of environmental cooperation and governance at all levels.

17. The Evaluation will examine the relevance of UNEP EG strategy and its delivery performance across its four main areas: a) International cooperation; b) International policy setting and technical assistance; c) National development planning, and; d) Sound science for decision-making. The contribution of selected EG-related flagship activities to the achievement of PoW outputs and Expected Accomplishments will be considered.

18. The Evaluation will also examine the effectiveness of management arrangements among UNEP Divisions for effective delivery of the EAs and PoW Outputs defined for the Sub-programme. Collaborative arrangements with other UN bodies, Inter-Governmental Organizations and institutions (including MEAs), regional bodies, National Governments, NGOs, scientific and environmental centers, and private sector organizations will also be reviewed.

19. The Evaluation will be a learning process, whereby lessons learnt and recommendations for Sub-programme future design and management are formulated for a better delivery against UNEP mandate. Lessons learnt will focus on key areas, such as: Sub-programme design and planning (including logical flow from Expected Accomplishment, PoW outputs and project outputs); Sub-programme management and internal coordination; Partnerships; Human and financial resources management; Communication and knowledge management.

20. The Evaluation will try to answer the following key questions:
    - Has UNEP achieved its objectives in the area of Environmental Governance?
    - Have projects and activities been efficiently implemented and produced tangible results as expected? Have human and financial resources been optimally deployed to achieve its objectives?
    - Have Sub-programme objectives, projects and activities reflected both EG priorities defined at global/regional/country level and UNEP comparative advantages, including its convening power, advisory role and sound science data provider?
    - Has the Sub-programme design responded to the international call for a strengthened role of UNEP in Environmental Governance? Has the move to the new Sub-programme structure in the PoW 2010-11 facilitated coordination of efforts among UNEP divisions and ultimately helped both collegiality and accountability in decision-making and project management in the area of Environmental Governance?

b. **Approach**

21. The Evaluation will be conducted under the overall responsibility of the UNEP Evaluation Office (EO). It will be an in-depth study using a participatory approach whereby the Sub-programme Coordinator, Division Directors, Programme Managers, the Office for Operations (OfO) and other relevant staff are kept informed and regularly consulted throughout the assessment.

22. 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 EO 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.

23. Evaluation findings and judgments should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible[103]. Analysis leading to evaluative judgments will be clearly spelled out.

c. **Evaluation focus areas**

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[103] Individuals should not be mentioned by name if anonymity needs to be preserved.

C1. Relevance and appropriateness of Sub-programme objectives and strategy

24. The Evaluation will assess the relevance of the Sub-programme objectives and strategy, in the context of the evolving IEG framework and keeping in consideration recent developments in the IEG strategic thinking related to the role UNEP is expected to play.

25. Key questions will include:
    - Have the Sub-programme objectives and strategy responded to and been consistent with UNEP's overall mandate and strategic objectives?
    - Does the Sub-programme have an up-to-date and well-reasoned strategy statement based on UNEP areas of comparative advantage? In particular, has the strategy:
        - Spelled out UNEP's aims and objectives in its four focal areas and provided a clear justification for them?
        - Taken into account the major changes occurring/expected to occur in UNEP's external environment?
        - Defined key priorities not only at global level, but also at regional level, based on priorities and needs identified by UNEP Regional Offices in consultation with partners and other significant stakeholders?
        - Taken into account UNEP's internal strengths and weaknesses and the financial constraints likely to be faced?
        - Designed and promoted cooperation and partnerships based on a thorough understanding of the IEG context, relevant activities of other key stakeholders, and the needs of UNEP's principal clients?
    - Has the EG strategy been adequately reflected in the design of projects and single activities?
    - Has UNEP analysed the operational implications of its EG strategy and allocated adequate human and financial resources to priority areas?

C2. Overall Sub-programme Performance

26. The Evaluation will assess the overall performance of the Sub-programme in the last three biennia according to standard evaluation criteria: efficiency, effectiveness, sustainability and impact.

27. The Evaluation will assess efficiency, cost-effectiveness and timeliness in the use of inputs to yield results. It will describe any cost- or time-saving measure 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 by the EG team to make use of pre-existing methods and data sources, as well as to make synergies with related initiatives.

28. The Evaluation will assess effectiveness in achieving EG expected results (EAs and PoW Outputs), taking into account the schedule of operations and the achievement indicators specified in the planning and project documents. The Evaluation will consider to what extent the Sub-programme performance has been affected by its organizational/management structure (see Section C3.B of this ToR) and whether major operational and/or administrative constraints have influenced the implementation of activities.

29. Given the wide scope of the UNEP EG Sub-programme, and the variety of activities falling within it, the Evaluation will conduct its analysis by focusing on a sample of selected activities across the Sub-programme focal areas. Within this cross-section, the Evaluation will look at the quality, timeliness and usefulness of activities and project outputs, including:
    - Guidance and support to inter-governmental and inter-sectoral policy dialogues and partnerships (e.g. GC/GMEF, MEAs and institutional arrangements to manage transboundary natural resources);

- Capacity development (mentoring, provision of policy tools, facilitation of fora and institutional set-up) of various stakeholders for enhancing national and international environmental laws, policies and institutions;
- Provision of environmental information, guidance and technical expertise to UNCTs;
- Reviews of the status of global environment, regional and thematic environmental assessments, outlooks, indicator reports and alerts;
- Capacity Development for data collection at national and sub-national levels;
- Reinforcement of the connection among multi-disciplinary scientific networks, policy makers and development practitioners.

30. 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 coming out from the implementation of Sub-programme activities. Some of these factors might have stemmed out from the activities' design and/or been direct outcomes of the projects (e.g. stronger institutional capacities or better informed decision-making). Contextual circumstances or developments still relevant to the sustainability of outcomes will also be considered.

31. In order to assess the replicability and impact of UNEP's EG activities, the Evaluation will consider the extent to which UNEP work 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 including:
   - Institutional change: To what extent have Sub-programme activities contributed to changing institutional behaviours? To what extent have they supported the creation of new institutional set-up, cooperation arrangements and partnership agreements?
   - Policy change: To what extent have Sub-programme activities – particularly those aiming at developing capacities - promoted a new way of thinking, whereby environmental concerns are mainstreamed into global, regional and national policies?
   - Catalytic financing: To what extent have Sub-programme activities contributed to sustained follow-on financing from Governments and/or other donors?
   - Incentives: To what extent have Sub-programme activities provided incentives (including market-based ones) contributing to catalyzing change in stakeholders' behaviours?
   - Champions: To what extent have the changes been catalyzed by particular individuals or groups of individuals, without whom results would have not been achieved as much?

C3. Processes and Issues affecting Sub-programme performance

🞢 **Sub-programme Design and Structure**

32. The Evaluation will assess the extent to which the overall performance of the EG Sub-programme has been affected by the way it has been designed and structured. The Evaluation will look at whether the establishment of a dedicated Sub-programme on EG has answered the international call for a streamlined and strengthened UNEP and helped better define the role and objectives of the Programme in the context of IEG. The internal coherence among Expected Accomplishments, PoW outputs and activities/project outputs in the three biennia will be considered.

33. The Evaluation will seek to answer the following questions:
    - Has the design of Sub-programme activities in the period under consideration been conducive to the achievement of UNEP key goals in the area of EG? Has the causal logic chain linking activities and project outputs, PoW outputs and Expected Accomplishments in the three Programmes of Work well pondered, and intermediary states considered?
    - Have coordination arrangements (roles and responsibilities) in and across divisions been clearly defined, even when the PoW was configured around a divisional structure, towards the achievement of Expected Accomplishments in the area of EG?
    - Have key stakeholders and partners been identified and their involvement at critical stages of activities' implementation prearranged?
    - Have projects and activities related to communication and knowledge management thoroughly planned and adequate consideration given not just to the production of outputs but also to targeted distribution and follow-up/awareness activities?
    - To what extent has project design incorporated gender issues where relevant to the Sub-programme outcomes?

⬥ Sub-programme Organization and Management

34. The Evaluation will look at the Sub-programme organization and management arrangements to assess whether, and to what extent, the transition from a functional Division-based Sub-programme structure to the current thematic modality has affected UNEP's work on Environmental Governance and, in particular, whether it has facilitated team-work across divisions and the promotion of an "organizational culture" in line with the Sub-programme strategy and objectives.
35. The Evaluation will look at the effectiveness of organizational arrangements, management and supervision processes, with special concern for inter-divisional coordination towards the achievement of common goals, and at the quality of UNEP supervision and monitoring of activities implemented by external partners.
36. The level of involvement of staff from Regional, Liaison and Out-posted Offices in the planning, decision-making and implementation of activities will be considered, as the effectiveness of any information sharing mechanism for decision-making and coordination.

⬥ Sub-programme Human and Financial Resources Administration

37. The Evaluation will consider the adequacy of human and financial resources available for the planning and implementation of Sub-programme activities, as well as the cost-effectiveness of selected interventions.
38. The Evaluation will assess, among other things:
    - The adequacy in terms of number and competences of staff managing Sub-programme activities;
    - Personnel turn-over rates and the balance between continuity and new staff in the Sub-programme management;
    - 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/frustration in the management of their daily activities and working in team with colleagues from other divisions and partners;
    - The adequacy and stability of the Sub-programme funding base for the achievement of its objectives, and whether the significant proportion of

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earmarked extra-budgetary funds has distorted the allocation of resources towards some priority areas and away from others;

- The success of the Sub-programme in securing funds for its activities, and the timeliness in receiving project funds;
- The quality, transparency and effectiveness of the systems and processes used for financial management of HQ and field operations;
- The link between financial and programme management and the degree of financial responsibility that programme staff have.

🔸 Cooperation and Partnerships

39. The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP Sub-programmes, external stakeholders and partners.
40. The Evaluation will seek to answer, among others, the following questions:
    - To what extent has the EG Sub-programme engaged with other UNEP Sub-programmes, inasmuch as relevant? How effective has this cooperation been?
    - To what extent have target stakeholder groups and external partners been involved in the planning and implementation of Sub-programme activities? Which benefits stemmed from their involvement for Sub-programme performance, for UNEP and for the partners themselves?
    - To what extent has the Sub-programme been able to take up opportunities for joint activities and pooling of resources with other organizations and networks?
    - Is there any evidence of South-South Cooperation in the implementation of Sub-programme activities?

🔸 Monitoring & Evaluation

41. The Evaluation will examine arrangements for monitoring the Sub-programme performance and will assess:
    - The effectiveness of Sub-programme monitoring and internal review systems, including clear definition of roles and responsibilities for data collection, analysis and sharing;
    - The existence of any quality assurance process to ensure the reliability and accuracy of programme performance reports (IMDIS and PPR);
    - The existence of any loop-back mechanism to ensure that monitoring results were used to enhance Sub-programme and project performance;
    - The appropriateness of performance indicators to cover the delivery of the various components of the Sub-programme;
    - The appropriateness of performance indicators to measure the progress towards the achievement of PoW outputs and Expected Accomplishments;
    - The extent to which Sub-programme activities have been independently evaluated, and whether adequate resources have been allocated to this purpose.

d. **Methods**

42. The Evaluation will use different methods and tools to assess the strategic relevance and performance of the UNEP Sub-programme on Environmental Governance. Considering the scope of the assessment and the resources available to conduct it, the Evaluation Team will focus on a sample of activities falling under the EG Sub-programme to be thoroughly reviewed. The Team will use alternative methods – such as desk review of

project monitoring and completion reports and meta-analysis of previous EG-related evaluations – to integrate its core evidence base on EG Sub-programme's performance.

43. An Inception Report at the end of this phase will provide: a literature review on International Environmental Governance and background information on the concept of EG applied to UNEP; a thorough inventory of projects, activities and normative outputs produced under the EG SP in the three last biennia; a detailed description of the methodology and analytical tools the Evaluation will use, and; an annotated table of contents for the evaluation report.

44. Findings of the Evaluation will be based on the following:
   a. Desk Review:
      - Relevant background documentation on EG and IEG;
      - Programme documents, including: PoW documents (from 2006 onwards); EG Sub-programme 2010-11 Strategy, UNEP Medium Term Strategy 2010-13, relevant costed work plans, project design documents;
      - Meta-analysis of previous evaluations of projects related to EG;
      - SP-EG monitoring reports, including: Sub-programme performance reports, project progress and final reports, financial reports;
      - MEAs, internal and external partnership and cooperation agreements related to EG;
   b. Interviews with UNEP staff involved in the planning and implementation of the EG Sub-programme, including: Sub-programme Coordinator(s), Division Directors, project managers, staff from the OfO/Quality Assurance Section, UNEP Liaison Offices, and others as relevant;
   c. Interviews with selected UNEP Permanent Representatives;
   d. Visits to UNEP Regional Offices (Bangkok, Manama, Geneva, Panama, Washington) and New York Liaison Office;
   e. Interviews with key partners and stakeholders, including selected representatives of: UN system-wide inter-agency coordination mechanisms (CEB, EMG, UNDG, CSD, and UNCTs); other UN agencies operating on environmental issues and financing mechanisms (GEF); MEA Secretariats; regional bodies; Ministries of Environment; civil society and major groups such as NGOs, trade unions, local authorities, academia as well as the private sector;[104]
   f. Evaluations of selected flagship EG activities/projects[105];

45. Theory of Change (ToC) will be used to assess the quality of the causal links among Expected Accomplishments, PoW outputs and project/activities outputs, as well as the accuracy in the definition of performance indicators.

   e. **Evaluation reporting format**

46. The Evaluation report shall be brief (no longer than 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. Any dissident views in response to the evaluation findings will be appended in footnote or an annex as appropriate.

47. Drafting the Evaluation report will be a work-in-progress, where elements from three parallel working papers on "UNEP EG Strategy", "Sub-programme Performance" and "Sub-programme Processes" will be combined. The Lead Consultant will be tasked with

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[104] Questionnaire to stakeholders may be used as deemed necessary.
[105] Defined during the Evaluability assessment phase

collating evidence and analysis from the three papers to form a harmonious and cogent set of findings.

48. The draft report shall be submitted to the Head of the Evaluation Office. The Evaluation Office will review the report for clarity and comprehensiveness. When found acceptable, the Head of Evaluation will share the report with the Sub-programme Coordinator, Division Directors, the Office for Operations, senior managers, and key external stakeholders for initial review and consultation. They may provide feedback on any errors of fact and highlight the significance of such errors in any conclusions. The EO will then collate all review comments and provide them to the Evaluation Team for consideration in preparing the final version of the report. The 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.

49. The final report shall be submitted by email to:

     Segbedzi Norgbey, Head

     UNEP Evaluation Office

     P.O. Box 30552-00100

     Nairobi, Kenya

     Tel.: (+254-20) 762 3387

     Fax: (+254-20) 762 3158

     Email: segbedzi.norgbey@unep.org

50. The Evaluation report will then be widely shared with partners and stakeholders at its final stage. Innovative ways of disseminating evaluation findings and recommendations (e.g. the organization of a workshop where the Team illustrates the content of its analysis to UNEP target audience) will be sought to reach as wide a range of stakeholders as possible. The final Evaluation report will be published on the Evaluation Office web-site www.unep.org/eou and may be printed in hard copy.

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

    1.

    f.   **Management Arrangements and Schedule of the Evaluation**

52. The Evaluation will be managed by the Evaluation Office at UNEP, which will appoint an Evaluation Manager. The Evaluation Manager will provide backstopping support and ensure coordination and liaison with all concerned units and other key agencies and stakeholders. (S)he will determine the Evaluation Team composition, provide overall guidance and substantive supervision of all research.

53. The Evaluation Team will be responsible for the development, research, drafting and finalization of the evaluation, in close consultation with the Evaluation Manager and other relevant units within UNEP. UNEP Evaluation Office will be ultimately responsible for the final Evaluation Report and for its formal presentation to UNEP audience.

54. The Evaluation will be conducted during the period June - December 2011. The Evaluation Office will present a draft evaluation report tentatively by end-December 2011 to the Sub-programme Coordinator, relevant staff within the Organization and key stakeholders as illustrated above. Written comments on the draft report will be received

by end-January 2012 and will be integrated in the final report as deemed pertinent by the Evaluation Team. The final evaluation report is expected by the end of February 2012.
   2.

3.

g. Evaluation Team

55. The Evaluation will be carried out by a Team with advanced knowledge and experience in the following fields: environmental governance, environmental law and policies, UN systems administration, communication and knowledge management. The Team must also possess an in-depth understanding of, and familiarity with, evaluation methods and techniques and documented experience in conducting evaluations/reviews. The Team must be prepared to work in English, and possess excellent writing skills.

56. The core Evaluation Team will comprise two international consultants and two members of UNEP Evaluation Office. One of the international consultants will be designated as Lead Consultant and (s)he will provide intellectual leadership and direction to the review.

57. All Team Members will be responsible for drafting components of the report (in the form of working papers), while the Lead Consultant will be responsible for drafting the integrated final report and executive summary, in consultation with the Evaluation Manager. Roles and responsibilities related to drafting sections of the final report will be tentatively as follows:
   - Lead Consultant: assessment of relevance and appropriateness of EG strategy and objectives, and integrated final report;
   - Second consultant: assessment of the EG Sub-programme performance;
   - UNEP Evaluation Office Team Members: assessment of the EG Sub-programme processes (Structure, Organization and Management, Human and Financial Resources Management).
   4.

h. Quality Assurance Team

58. An internal Quality Assurance Team comprising designated Evaluation Office staff (but excluding the Evaluation Manager and the UNEP EO Team Member) and a staff member from QAS will be set up to ensure that quality standards pertaining to both the process and the evaluation outputs are adhered to.

5.

i. The Evaluation Audience

59. The Evaluation is expected to help UNEP identify key lessons on strategic positioning, management arrangements and day-to-day programme implementation that can provide a useful basis for improved programme design and delivery.

60. The users of the evaluations are key stakeholders, including: UNEP Governing Council/Global Ministerial Environmental Forum, the Committee of Permanent Representatives, UNEP senior management, Sub-programme coordinators and all EG Sub-programme staff, and the Office for Operations/Quality Assurance Section.

61. Interest in the Evaluation is likely to be shown by other stakeholders and partners, including: the UN Secretariat and other UN bodies working on environmental issues, Secretariats of Multilateral Environmental Agreements, NGOs and civil society groups, research centers and academia.

6. **Annex A: SP-EG PoW Outputs (2010-11)**

7.

POW Output 4a1

Emerging environmental problems of broad international significance and existing gaps in environmental regimes will be identified by the Governing Council based upon environmental assessment and analytical inputs

PROJECT 1A

POW Output 4a2

Policy guidance to set the direction and improve the coordination of actions on issues identified by the Governing Council is considered in other intergovernmental deliberations (GA and 3 UN bodies or conferences of parties to multilateral environmental agreements)

PROJECT 1A – NO PRC

POW Output 4a3

UN entities and UN inter-agency bodies consider general policy guidance of the UNEP Governing Council and findings of major international environmental assessments in the design and delivery of their interventions through the Environment Management Group, the Chief Executives Board and the UNDG (3 UN entities and/or inter-agency bodies)

PROJECT 1A – NO PRC

POW Output 4a4

The needs and activities of multilateral environmental agreements and their secretariats are supported through advanced cooperative mechanisms (two arrangements)

PROJECT 2A – NO PRC

POW Output 4a5

Environmental priorities of multilateral environmental agreements are identified and mainstreamed to ensure coherence across the UN system (four thematic areas)

PROJECT 2A – NO PRC

POW Output 4a6

Effective policy exchange and development and priority setting by countries are supported through regional ministerial and other environmental forums (four forums)

PROJECT No. 3A

POW Output 4b1

National and international environmental law and institutions are strengthened through the implementation of the fourth Programme for the Development and Periodic Review of Environmental Law [five issue areas].

PROJECT No. 1B

POW Output 4b2

Legal and policy instruments are developed and applied to achieve synergy between national and international environment and development goals [six countries; one subregion].

PROJECT No. 1B

POW Output 4b3

Countries' legislative and judicial capacity to implement their international environmental obligations is enhanced through implementation of policy tools [three regions, focusing on developing countries and countries with economies in transition].

PROJECT No. 1B

POW Output 4b4

Capacity of government officials and other stakeholders for effective participation in multilateral environmental negotiations is enhanced [three regions, focusing on developing countries and countries with economies in transition].

PROJECT No. 1B

POW Output 4b5

Inter-sectoral and inter-governmental forums for policy dialogue between major groups and multiple sectors of Governments on emerging environmental issues are facilitated [four forums].

PROJECT No. 2B

POW Output 4c1

The capacity of UN country teams to integrate environmental sustainability into UNDAF and other national planning processes is strengthened through provision of environmental information and data (20 UN Country Teams in One-UN pilot and roll-out countries)

PROJECT 1C

POW Output 4c2

Environmental sustainability is fully integrated into UNDAF (5 countries)

PROJECT 1C

POW Output 4c3

Environmental sustainability is integrated into national and sectoral development planning processes (8 national processes)

PROJECT 2C

POW Output 4c4

Regional and subregional institutional arrangements are facilitated to address common interests in shared natural resources and transboundary environmental issues in accordance with priorities and strategies identified by the relevant regional or sub-regional intergovernmental bodies and forums, or by the countries concerned (??)

PROJECT 3C

POW Output 4d1

Global, regional, sub-regional and thematic environmental assessments, outlooks, indicator reports, and alerts produced, communicated and used by decision makers and relevant stakeholders in decision making in national and international policy processes

PROJECTS 1D – 2D – 4D

POW Output 4d2

Multi-disciplinary scientific networks more strategically connected to policy makers and development practitioners to integrate environment into development processes (six networks)

PROJECT 3D

POW Output 4d3

Institutional and technical capacities of Governmental and partner institutions in environmental monitoring, assessment and early warning demonstrated to support national decision-making (twenty countries)

PROJECT 5D

Annex B: SP-EG Projects (PoW 2010-11)

EA	PoW Output	Project Title	Project Brief	Project Budget (USD, million)	Total budget per EA (USD million)
(a)	4a1 4a2 4a3	Global environmental agenda setting to strengthen international cooperation in the field of environment	Contributing to international cooperation on environmental policy among Governments, UN agencies and other inter-governmental bodies, through the global environmental agenda set by the GC/GMEF	3	23.3
	4a4 4a5	Support for Multilateral Environmental Agreements	Enhancing cooperation between UNEP and MEAs and aligning the policies of governments and UN agencies with the objectives of these agreements	15.3	
	4a6	Support to regional and sub-regional ministerial forums for policy exchange and priority setting on key environmental issues	Promoting increased coherence in international decision-making processes related to the environment by facilitating cooperation on priority environmental issues in the regions and linking regional and global environmental agenda	5	
(b)	4b1 4b2 4b3	Enhancing States' capacity to strengthen and implement	Ensuring international and national environmental laws and institutions are further developed, strengthened	31	39

	4b4	environmental law	and implemented for States to effectively govern emerging and important issues, and to achieve intergovernmentally agreed environmental objectives and goals		
	4b5	Engaging major groups for policy dialogue	Contributing to inter-sectoral and inter-governmental policy dialogues and partnerships between major groups and stakeholders and multiple sectors of Governments on emerging environmental issues to form priority goals, targets and objectives	8	
(c)	4c1 4c2	Integrating environmental sustainability issues into UNDAFs and UN Common Country Programming processes	Supporting the UNCTs with environmental information, guidance and technical expertise to integrate environmental sustainability into UNDAF and UNCCP processes	8.7	44.7
	4c3	Poverty Environment Initiative	Enhancing the capacities of programme country Governments and other stakeholders to integrate the environmental concerns of poor and vulnerable groups into policy, planning, and implementation processes for poverty reduction, pro-poor growth and achievement of the MDGs	33	

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	4c4	Institutional arrangements for the governance of shared natural resources and transboundary environmental issues	Establishing and strengthening institutional arrangements across the world to address the management of shared natural resources and transboundary environmental issues	3	
(d)	4d1	5th GEO integrated environmental assessment	Keeping the state of the global environment under review by delivering the 5th report in the GEO series in 2012	9.3	32.35
	4d1	Outlook reports on the State of Marine Biodiversity in the Regional Seas		0.25	
	4d1	Regional, sub-regional, and thematic environmental assessments, outlooks, alerts and indicator reports	Conducting regional, sub-regional and thematic environmental assessments, outlooks, indicator reports and alerts, and ensuring they are communicated and used by decision-makers and relevant stakeholders	4.9	
	4d2	Multidisciplinary networks to integrate environment into development processes	Ensuring that multidisciplinary scientific networks are more strategically connected to policymakers and development practitioners to integrate environment into development processes	10	
	4d3	Regional-level and national-level capacity building in the area of	Delivering a multi-scaled set of capacity building products and services to enable UNEP's clients to	7.9	

		environmental monitoring, assessment and early warning to support international decision-making	keep national and sub-national environmental situations continually under review		