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Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013)

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**Thematic evaluation of the EU support to environment and
climate change in third countries (2007-2013)**

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of the Directorate General for Development and Cooperation –
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The opinions expressed in this document represent the authors' points of view
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The author accepts sole responsibility for this report, drawn up on behalf of the Commission of the European Union. The report does not necessarily reflect the views of the Commission.

Thematic global evaluation of the EU support to environment and climate change in third countries (2007-2013)

Final Report

The report consists of 4 volumes:

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by Mette Hendrich Junkov and Rita Andrea Gutiérrez Agramont on field mission from 12-16 January 2015.

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List of Acronyms

ABT	Autoridad de Fiscalización y Control Social de Bosques y Tierras
ACTO	Amazon Cooperation Treaty Organization
ALBA	Bolivarian Alliance for the Peoples of Our America
ASPNC	Support for the implementation of the National Watershed Management Plan
BID	Banco Interamericano de Desarrollo
CBD	Convention Biodiversity
CC	Climate Change
CDM	Cleaner Development Mechanism
CELAC	Community of Latin American and Caribbean States
CEP	Country Environmental Profile
CIF	Climate Investment Funds
CIFOR	Center for International Forestry Research
CITES	Convention for International Trade of Endangered Species
CM	Concrete Measure
CNI	Bolivian National Chamber of Industry
COP	Conference of Parties
CPE	Constitution of Bolivia
CPS	Challenge Programmes
CPST	Centre for Promotion of Sustainable Technologies
CSP	Country Strategy Paper
DCI	Development Co-operation Instrument
DG	Directorate General
DG CLIMA	Directorate General Climate Action
DG DEVCO	Directorate General Development and Co-operation
DG ENER	Directorate General Energy
DG ENV	Environment
DOPA	Digital Observatory for Protected Areas
EaP	Eastern Partnership
EC	European Commission
ECHO	EU Humanitarian Aid
ECLAC	Economic Commission for Latin America and the Caribbean
ECR	European Coordinated Response
EDF	European Development Fund
EFIP	2008 Public Finance Evaluation
EIA	Environmental Impact Assessment
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Environment Natural Resources Thematic Programme
EQ	Evaluation question
EU	European Union
EUD	European Union Delegation
EUR	Euro
FAO	Food and Agriculture Organisation
FLEGT	Forest Law Enforcement, Governance and Trade
GDP	Gross Domestic Product
GEEREF	Global Energy Efficiency Renewable Energy Fund

GEF	Global Environment Facility
GOB	Government of Bolivia
GoB	Government of Bolivia
GRUS	Grupo Social de Desarrollo
GS	General Statement
IPCC	International Panel on Climate Change
JC	Judgment Criterion
JMA	Joint Mitigation and Adaptation Mechanism for Integrated and Sustainable Management of Forests
JRC	Joint Research Centre of Ispra
LA	Latin America
LAC	Latin America and Caribbean
LAIF	Latin American Investment Facility
LDC	Lesser Developed Countries
LEDS	Low Emission Development Strategies
LPG	Liquefied Petroleum Gas
MDG	Millennium Development Goal
MEA	Multilateral Environmental Agreement
MEW	Bolivian Ministry for Environment and Water
MIP	Multi-annual Indicative Programming
MMAyA	Bolivian Ministry of Environment and Water
MRV	Monitor, Verify and Report
NAMA	Nationally Appropriate Mitigating Action
NAP	National Action Plan
NAPA	National Adaptation Plan of Action
NBSAP	National Biodiversity Strategies and Action Plans
NGO	Non-Governmental Organisation
NIP	National Indicative Programme
PACSBIO	Plan for the National Protected Areas System in Bolivia
PASAP	Sector Plan for Rural Water Supply and Sanitation
PEFA	Public Expenditure and Financial Accountability
PMR	Programme for Market Readiness
PoWPA	Programme of Work in Protected Areas
PPP	Public-Private Partnership
RASIM	Environmental Regulations for the Manufacturing Sector
REDD	Reducing emissions from deforestation and forest degradation
REDD	Reducing emissions from deforestation and forest degradation
ROLAC	UNEP Regional Office for Latin America
SBS	Sector Budget Support
SCP	Sustainable Consumption and Production
SEA	Strategic Environmental Assessment
SENARI	National Irrigation Service
SERNAP	National Park Service
SIDS	Small Island Developing States
SIG	Geographical information system
SIMA	Environmental Monitoring System
SME	Small and Medium Enterprises

SNAP	National System of Protected Areas
SPSP	Sector Policy Support Programme
TEEB	The Economics of Ecosystems and Biodiversity
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Fund
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
VAPSB	Bolivian Vice-Ministry for Water and Sanitation
VMABCC	Bolivian Vice-Ministry for Environment, Biodiversity and Climate Change
VRHR	Bolivian Vice-Ministry for Water Resources and Irrigation

Note: The Evaluation uses the common acronym "EC" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

Relations between the EU and Bolivia are conducted both bilaterally and also in the framework of regional cooperation between the EU and the Andean Community. The EU's priorities in Bolivia are to accompany the political process of democratisation and to support the country in fostering economically sustainable development aimed at poverty reduction.

The EU-LAC Lima declaration of May 2008 recognized the need to address challenges of environmental degradation and climate change. As a follow up to the Lima Declaration several regional initiatives were adopted including EUROCLIMA programme¹ and EURO-SOLAR².

The country strategy paper and subsequent programming and formulation of support were consistent with the environmental objectives of Declaration.

Sustainable natural resources management is considered of great relevance to both the GoB and EU given its inter-linkage to the MDGs in respect to access to drinking water and sanitation; reduction of extreme poverty; food supply and climate change adaptation and mitigation. Although climate change is not a priority sector in EU cooperation with Bolivia, it affects most sectors of development as a cross-cutting issue. EUD has kept these issues high on the political and diplomatic agenda.

The creation of the new Ministry for Environment and Water (MEW) in 2009 which has the mandate to focus on integrated natural resources management including provision of water and sanitation gave EU an opportunity to further promote and support the mainstreaming of environment and climate change governance in accordance with EU policies and, in addition, brought about synergy and coherence between the various sector budget support programmes. At the same time this approach makes an effort to operationalize the GoB policies and the laws (Constitution; Law of the Rights of Mother Earth).

Of strategic importance has also been the modality of providing Sector Budget Support (SBS) to the environment sector transferring the financial resources to the National Treasury in support of the implementation of government sector policy and programmes. The financial resources received are part of the global national resources and are consequently used in accordance with the public financial management system in Bolivia released in accordance with the compliance of agreed indicators, targets, and performance criteria. This has allowed EU to enter into a dialogue to include qualitative and quantitative indicators for environment and climate change governance.

Geographic instruments using budget and project support as well as regional projects through the ENRTP have all contributed to increasing awareness and reacting to the new political prioritisation embedded in the official policies and strategies.

Lastly, of equal strategic importance, is that EU since 2013, head the European Coordinated Response (ECR) in Bolivia. The ECR establishes a cooperation framework for partner states willing to coordinate effectively their respective programming exercises consisting of EU member states: Belgium, Denmark, Germany, France, Italy, Sweden and Switzerland. The ECR represents the basis for a joint development cooperation dialogue with the Bolivian government. This coordinated approach will lead to a clearer division of labour, and improve complementarity between the interventions.

In conclusion:

EQ 1 – EU policy aims – EU policy aims on environment and climate change have been supported through the operations in Bolivia. The environment and climate change situation has worsened in absolute terms since 2007 and the prospects for slowing and reversing this trend are ambiguous due to the discrepancy between the GoB discourse backed by approved laws and actual development planning strategies..

EQ 2 – Low emission – EU support to low emission development is channelled through the ENRTP regional programme EUROCLIMA. EUROCLIMA project activities have been few and not well known in Bolivia. At the regional level a number of events have been organised to improve the knowledge of LA decision-makers and scientists regarding the problems, consequences of climate change; mitigation and adaptation measures in order to integrate them in sustainable development strategies. GoB has participated in these workshops and seminars organised by EUROCLIMA. The MEW is the focal point in country.

The GoB has opposed the REDD+ mechanism and suggested an alternative mechanism now included for the negotiations in Paris 2015. Bolivia has the knowledge and the capacity to develop a reference point for REDD+, however, a formal MRV system is not yet in place through government institu-

¹ Aims to improve understanding, raise policymakers' awareness, integrate climate change into sustainable development policies and build institutional capacity to do so.

² A regional project aimed at permitting those in the poorest rural areas without access to the national grid access electricity generated by sun and wind.

tions. Bolivia is not a partner in the EC-LEDS programme and no NAMAs have been prepared in Bolivia.

EQ 3 – Sustainable Energy – EU supports the development of sustainable energy through the regional programme EURO-SOLAR. The specific objective of the EURO-SOLAR Programme is to provide a source of renewable electric power for community use in rural communities with little or no access to the national power-supply grids. The support consists of providing the EURO-SOLAR kit³. EU has supported the installation of solar panel kits improving the living conditions of 300.000 people at regional level. In Bolivia support has been provided (EUR 2.9 million) to 59 communities through the Ministry of Hydrocarbons and Energy, Vice Ministry of Electricity.

EQ 4 – Biodiversity – EU has through a blending of instruments contributed greatly to reducing the loss of biodiversity in Bolivia. Through the SBS to the National System of Protected Areas (SNAP) the system has been able to operate and thus be maintained although under threat due to expansion of the agricultural frontier and other development activities. Capacity for protected areas management has been improved at sub-national levels including the development and testing of new approaches to conservation and management of biodiversity (e.g. payment for eco-system services; PPPs for sustainable tourist development; ecosystem approach) in selected areas. EU has also been instrumental in mainstreaming biodiversity into all water management activities at territorial level. The sector remains totally dependent on donor support.

EQ 5 – Green economy – Bolivia citizens are obliged to adopt production and consumption habits in harmony ('Living well' = 'Vivir Bien') with the Rights of Mother Earth (Law of the Rights of Mother Earth, enacted in 2012). The key institutions for implementation of 'Living Well' is the 'Plurinational Authority of Mother Earth' and the MEW. The latter is EU main cooperation partner. The Integrated Plan for Environment and Water developed by MEW with assistance from the EU addresses in an integrated manner sustainable production, waste management, efficient irrigation systems for production, consumption, use of sustainable energy sources, better practices in productive and industrial sectors, and reduction of emission in service and transport sectors in collaboration with the Ministry of Energy.

EQ6 – Environmental governance – Apart from the regional and sub-regional workshops on e.g. 'green economy', climate change, biodiversity financing, there has been limited direct support to Bolivia on implementation of MEAs over the period 2007-2013 from the MEA Secretariats and UNEP. Example include: UNEP has provided support to national activities towards the reduction of mercury use and its release from artisanal and small-scale gold mining activities; and capacity building for the sound management of HS & HW at national level. MEA requirements have been implemented with support provided by bilateral donors including EU as well as GEF/UNDP.

EQ7 – Climate governance – The support provided by UNFCCC and financed in part by the ENRTP/EUROCLIMA is highly appreciated and has led to a significant build-up of capacity in the region. Although Bolivia is in a position to developing a robust greenhouse gas inventory there is still a long way to go before a full monitoring, reporting and verification system is in place, mainly because the GoB's reluctance to do so. On own initiative⁴ the GoB hosted the 'Worlds People's Conference on Climate Change and Mother Earth' (2010) by which Bolivia gained support for their proposal to modify the REDD+ mechanism to include a non-market based approach called the Joint Mitigation and Adaptation Approach (JMA).

EQ8 – Mainstreaming approach – The EU policies, strategies and guidelines were found to be suitable. The delegation capacity for mainstreaming is high and all officers interviewed were highly knowledgeable and enthusiastic about environment and climate change. More information and studies of the value of biodiversity in development interventions were requested in order for the EUD to be able to place more emphasis on the matter in the dialogue with the government.

EQ9 – Mainstreaming practice – the focal sectors (water and sanitation; fight against illegal drugs) are the ones where mainstreaming is central to reaching sector objectives. Budget support, indicators and policy dialogue are the tools EU applies to promote mainstreaming of environment and climate change governance. Environment and climate change are considered in the transport sector (Latin American Investment Facility (LAIF) through the EIAs but also in the design phase.

EQ10 – Complementarity – All instruments available are in one way or the other used to realize EU goals of achieving a healthy environment, biodiversity conservation, sound natural resources management and climate change governance in Bolivia. Synergies and complementarities between the instruments are actively sought and duplications avoided. The instruments available have each their

³ The Kit consists of three systems: a) Power-generation (5m2 of photovoltaic panels and/or wind turbine); b) communications (lap-tops, soft-ware, internet); and c) health care (access to appropriate information through the internet, refrigerator for vaccine, serums and medicines, and better hygiene with water purifier)

⁴ It is not known if GoB received financial support from other sources than TGE.

advantages and can address the issues at different levels in accordance with the goals and are used accordingly.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The **mandate and scope** of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU's support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (ENRTP) and through the geographic instruments;
- To evaluate the support of the EU to strengthening global environment and climate governance, provided under ENRTP and channelled mainly through international organisations;
- To assess the EU support for mainstreaming environment and climate change issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically focus on outcome and impacts of the EU actions in environment and climate change. Furthermore, the evaluation should identify key lessons and best practice and produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of temporal scope, the evaluation covers aid implementation over the period 2007-2013. The geographical scope includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The purpose of the evaluation is to provide the EU and a wider public with an overall independent assessment on the EU action in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving outcomes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, were carried out. From a long list of 35 countries selected in the inception phase for a desk analysis, 11 were further selected for a more detailed analysis. Out of these, 8 countries were selected for the field phase. Bolivia was one of them.

The field visits have the following objectives:

- a) To complete the data collection in order to answer the agreed evaluation questions;
- b) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- c) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

2.3 Reasons for selecting this country as a case study country

Bolivia was selected because it is a major recipient of EU development assistance with focal sectors in water and sanitation including watershed management and biodiversity. This allows a thorough evaluation of the success of mainstreaming of environment and climate change. The cooperation in Bolivia is in addition one of the first attempts to provide sector budget support in assistance to implement national policies on water and sanitation, coca and protected areas. Bolivia is also involved in a number of relevant regional environmental and climate change projects.

3 Data collection methods used (including limits and possible constraints)

The country mission started with a review of the entire desk based information as well as a review of available responses to the survey questionnaire. A long list of relevant stakeholders in the public sector, private sector and civil society was drawn up and discussed with the EU delegation and national partners. Based on this a final list of stakeholders was drawn up. Almost without exception it was possible to meet all the stakeholders identified or in some instances others who also represented the relevant institution.

Both EU delegations officials and national partner officials working on the same operation were interviewed. The interviews were in some cases supplemented by telephone where further information was needed.

It was decided to meet with and survey all the major sectors supported by EU assistance including water and sanitation; watershed management and biodiversity (support to the National System of Protected Areas and support to the implementation of the national plan for integrated coca management). In addition to these projects and programmes, the regional FLEGT, EURO-SOLAR and EUROCLIMA programmes were also investigated in view of activities in Bolivia.

A structured list of questions was assembled tailored to the cooperation undertaken in Bolivia by the teams involved in the elaboration of each evaluation question. This list was supplemented by the list of hypotheses for each evaluation question and the list of missing information and data that was identified during the desk study that could be found at country level. These lists combined to provide the basis for a structured question list for each interview.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

Bolivia has experimented with important political, economic and social changes during the evaluation period (2007-2013). Reforms are embedded in the new Constitution of Bolivia (literally the Political Constitution of the State, CPE), approved in 2009. The 2009 Constitution defines Bolivia as a unitary plurinational, and secular state, formally known as the Plurinational State of Bolivia. It calls for a mixed economy of state, private, and communal ownership; restricts private land ownership to a maximum of 5,000 hectares (12,400 acres); and recognizes a variety of autonomies at the local and departmental level. It elevates the electoral authorities to become a fourth constitutional power; introduces the possibility of recall elections for all elected officials; and enlarges the Senate.

The CPE has sustained the decentralization process, an important step to improve efficiency in state structures, social services and benefits and the necessity to reinforce citizen participation and transparency of the public administration. However, this process has progressed slowly since problems of coordination between the ministries and political obstacles for an efficient vertical coordination with the sub-national governments persist.

Bolivia has moved from a low-income economy to a lower-middle-income economy in six years and has made progress towards achieving the Millennium Development Goals (MDG). Indicators reveal improvement of living conditions in the poorest segments of the population. According to recent World Bank data, life expectancy increased from 65 years (2007) to 67 years (2011), the rate of school enrolment from 86% (2007) to 100% in 2010 and improved water sources for rural population from 67% in 2007 to 71% in 2010.

At the same time, according to the Ministry for Economy and Finance, the incidence of moderate poverty in the country dropped from 64.8% (1996) to 51.3% (2009) and extreme poverty from 41.2% (1996) to 20.9% (2011). With internal funding increasing steadily in recent years, external aid is becoming proportionally less important. Currently, only 0.5% of GDP is development aid.

However, long-standing inequalities still exist and Bolivia remains the poorest country in South America. Despite recent progress, income distribution in Bolivia is still extremely unequal. The recent National Census reveals that 44% of households lack access to drinking water; it also shows that almost 36% of the population does not have electricity; and less than 10% of Bolivians have a connection to internet.

Although the macroeconomic situation on the basis of the performance of last six years is positive, the public accounts depend to a great extent on the income of nationalized sectors, hydrocarbons and mining. Nevertheless, Bolivia underwent an important increase of the tributary collections in terms of

the GDP that passed of 14.1% between 2000 and 2005 to 17% between 2006 and 2012, reaching a maximum participation of 27% of the GDP, which is the efficiency in the tributary collections and of measures to control the tax collecting organizations. There is still room for strengthening the policies and strategic planning, which would as well strengthen the productivity, the competition and better inclusion of the private sector.

4.1.1 ENV/CC situation in the country

The major environmental problem in Bolivia is the loss of biodiversity (flora and fauna) mainly because of the expansion of the agricultural frontier (such as unsustainable quinoa production in the highlands and unsustainable agricultural production in the lowland tropical dryland forests) and for other land uses such as mining and road building. The agricultural expansion is the main reason for deforestation which exposes fragile environments to higher levels of risks or in fact causes climate changes at localized levels. The rate of deforestation in Bolivia is 300.000 hectares per year. In terms of per capita the rate of deforestation is 20 times more than worldwide average (16 m²/person/year). And the Bolivian government promotes a further expansion by 2.5 % of agricultural land by 2025.

In addition, traditional extractive industries as mining and hydrocarbons realized with no environmental consideration have negative effects on the ecosystems in particular water and soils pollution that, in turn, affects the quality life of local communities.

Deficient environmental management in the urban areas results in pollution from domestic and industrial solid waste and waste water. In these cases, the population is facing problems with access to water to consume in zones that have other potentials for development like productive activities and the tourism. Most of the problems have their roots in poor control and monitoring of compliance with environmental norms and regulations.

Evidence of climate change is compelling in Bolivia and the country is subject to several climate-related risks. The most significant disaster risks are floods in the flat eastern regions and droughts in the western mountainous and semiarid part of the country. Changes in temperature and precipitation also affect water flows and agricultural conditions making a large portion of Bolivia's population extremely vulnerable to the effects of climate change.

Bolivia is vulnerable to climate change, particularly because of poverty, migration, chaotic occupation for the territory for housing, and weak institutions to respond to natural disasters. Recent studies agree that over the last ten years, floods and droughts have increased and become more intense, affecting extensive areas of the country. Especially affected is the 'lungs' of drinking water, the glaciers, which are melting at a noticeable speed.

4.1.2 ENV/CC national policies, legal framework

Following the Rio Conference on Environment and Development in 1992, Bolivia made significant progress in developing an institutional framework for natural resources management and environmental protection. Bolivia's early initiative to create a Ministry for Sustainable Development and Planning in 1992 received international recognition.

The general environmental law from 1992 was later complemented by more specific rules for environmental protection and sector specific environmental regulations (EIA regulations 1995) for key sectors such as hydrocarbons, mining and manufacturing. Provisions for sustainable use of natural resources were also included in laws governing land reform, forestry and water.

During the 1990ies Bolivia signed and ratified the major multilateral environmental agreements. The success in implementing this policy framework is generally considered as mixed. While considerable progress was made in terms of forestry management (especially concerning certified forestry and biodiversity conservation), progress in other areas was bleak.

The current administration has made several important changes in relation to the policy framework for environmental management developed in the 1990ies. Besides the National Development Plans⁵ the key parts of this framework consist of the new a) State Political Constitution (*Constitución Política del Estado CPE*), b) the law of Mother Earth (*Ley de la Madre Tierra y Desarrollo Integral para Vivir Bien* (Living well) (2012)) that defines collective public interest, establishing new concepts in human and ecosystems relation as a combined system and c) the autonomy and decentralization law (*Ley Marco de Autonomías Andres Ibañez* (2010)) that transfers the jurisdiction for natural resources management to sub-national governments and regions.

The law of the Rights of Mother Earth and the CPE establish the right to live in a clean environment as a fundamental right and contains several strong provisions for sustainable environment and natural

⁵ the National Development Plan (NDP) presented in June 2006, the subsequent Government Plan for 2011-2015 (MAS IPSP)

resources management as well as the right of the population to information and to participate in processes that can affect environmental quality. Importantly the new constitution frames basic services such as water, sanitation, health and education as human rights which the State has the obligation to fulfil.

The latest proposal – called a planning tool, the *Agenda Patriótica*⁶, on the other hand assign a very central role to the state in the management of natural resources and states that in 2025 all natural resources and strategic services should have been nationalized and managed by the state and attempts to achieve a 100% of coverage of potable water and basic sanitation. The relationship between the Agenda Patriótica and the autonomy and decentralization law still seems in need to be clarified.

Bolivia is a member of UNREDD (United Nations program on Reduction of Deforestation and Degradation of forests) which invests in forest governance under the UNFCCC. Many countries are in the process of preparing for REDD+. The aim of the mechanism is that developing countries will be paid (through a market mechanism or funds) for reducing greenhouse gas emissions from deforestation. The mechanism could potentially have great influence on forests in Bolivia.

Bolivia currently opposes a REDD+ mechanism arguing that forests ecosystems should not depend on market forces based on carbon, but rather they should be valued for their integrated functions that also consider people, cultures, ecosystems and other benefits. During the last two Conferences of the Parties to the United Nations Convention on Climate Change (UNFCCC) (Durban 2011 and Doha 2012), Bolivia presented an alternative approach to REDD+, the “Joint Mitigation and Adaptation Mechanism for Integrated and Sustainable Management of Forests” (JMA). This mechanism aims to support activities oriented to reducing emissions from deforestation and forest degradation in developing countries based on a non-market approach⁷ alternative to markets.

A high level mission from the UN-REDD program concluded in October 2012 that Bolivia cannot be eligible for UN-REDD funding under the conditions that Bolivia is putting forward. The UN-REDD organization was of the opinion that it did not have such a wide mandate and could not support actions that did not directly or indirectly had to do with carbon sequestration. However, an addendum to the UN-REDD agreement was agreed upon after high-level discussions with the UN-REDD Secretariat, which would enable the funds that originally were to be used for REDD+ to be used to implement the JMA. The proposal will be put forward in Paris 2015.

In contrast to the general rhetoric about respect for Mother Earth, there is, however, increasing evidence that the rapid industrial development in mining, gas, oil and agriculture experienced in Bolivia during the last years is associated with very high environmental costs in terms of pollution, deforestation and land degradation.

Also, the concept of ‘Mother Earth’ is not yet very clear to the population nor for the decision makers, because on one hand the Bolivian Government promotes the traditional indigenous exploitation of natural resources but with the other has announced its intention to increase the agricultural frontier in areas which in parts are declared national protected areas and inhabited by indigenous people.

The challenge for Bolivia remains to find and balance between nature conservation/sustainable use and economic growth, as promoted by the government.

4.1.3 ENV/CC institutional framework (who does what)

The environment sector has traditionally less political weight compared to development sectors such as mining, hydrocarbons and infrastructure.

The year 2006 marked an important change at institutional level in relation to environmental management with the creation of the Ministry of Water. In the wake of two popular uprisings against water

⁶ The *Agenda Patriótica* 2025 has been developed by the GoB in 2013 with the aim to have it approved as the National Development Plan, but it is controversial and has yet to be approved by the Assembly.

⁷ The joint mitigation and adaptation approach for the integral and sustainable management of forests (JMA), as an alternative policy approach, should be guided, inter alia, by the following methodological aspects:

- a) Development of joint mitigation and adaptation actions is based on the promotion and support to the integral and sustainable managements of forests, ecosystems and environmental functions taking into account the holistic views of indigenous peoples, local communities and local resource users about environment and Mother Earth, and the achievement of gender equality and empowerment of all women and girls.
- b) Identification of financial needs for joint mitigation and adaptation actions, as a non-market-based approach, including ex-ante financing, technological support and capacity building.
- c) Monitoring and evaluation carried out through the use of quantitative and qualitative information, as appropriate, for mitigation and adaptation according to national circumstances and capacities of countries and oriented towards building adaptive management and enabling learning. Identification of financial needs for action including ex-ante financing; use of qualitative and quantitative indicators in accordance with national circumstances and capacities.

privatization, the first in Cochabamba in April 2000 and the second in La Paz/EI Alto in January 2005, it became evident that the government institutional framework for regulating and managing water access, quality and the sustainable use of the resources was fragile and insufficient.

The new Ministry of Water was supported by the Vice-Ministry of Irrigation (before allocated under the Ministry of Rural Development), the Vice-ministry of Water and Sanitation (before under the Ministry of Public Works), and the Vice-ministry of River Basin and Water Resources management (before under the Ministry of Sustainable Development and Planning). The Environment sector was by then part of the Ministry for Rural Development and Environment including biodiversity (protected areas), forest and environmental management under a Vice-Ministry.

In 2009, as a result of the approval of the new Constitution (CPE), the institutional framework for environment was once again modified, with the creation of the present Ministry of Environment and Water (MMAyA), integrating the three Vice-ministries: Drinking water and sanitation; environment, biodiversity, forests (including protected areas management), water resources and irrigation management with a focus on addressing climate change. At the same time, about 13 new public de-concentrated and decentralised entities were created/modified as a part of MMAyA among those the *Autoridad de Fiscalización y Control Social de Bosques y Tierras* (ABT) merging the Agrarian and Forestry *Superintendencias* and the National Park Service (*Servicio Nacional de Áreas Protegidas*, SERNAP) which is mandated to manage the national parks of the country. The policy and strategic level concerning protected areas is taken care of by the *Dirección General de Biodiversidad y Áreas Protegidas*.

Table 1 Organigram of MEW

Ministry for Environment and Water (MEW)					
Vice-Ministry for Water and Sanitation (VAPSB)		Vice-Ministry for Water Resources and Irrigation (VRHR)		Vice-Ministry for Environment, Biodiversity and Climate Change (VMABCC)	
Directorate for Water and Sanitation	General Directorate for Integrated Solid Waste Management	General Directorate for River Basin and Water Resources Management	General Directorate for Irrigation	General Directorate for Biodiversity and Protected Areas (SNAP)	General Directorate for Environment, Climate Change and Forest Management
De-concentrated Units 3 units, including SERNAP,					
Decentralized Units 8 units, including ABT , FONABOSQUE, EMAGUA, SENASBA, etc.					
Autonym Units National Irrigation Service -SENARI					

Source: BID, MMAyA 2012

In spite of the traditional low priority assigned to the environment sector, the new institutional framework recognises to a much higher degree the need for mainstreaming environmental considerations in all development activities in particular water resources at territorial level.

In the attempt to operationalize the new national legal and institutional framework, the MMAyA has formulated of *Plan Integral de Medio Ambiente y Agua*, a strategic planning instrument for the entire sector mainstreaming the integrated and multisectorial approach for addressing irrigation, water supply and sanitation, and water (waste water and control of pollution; water use efficiency); forests; biodiversity and protected areas, mining pollution, climate change risk assessment and prevention; energy (renewable energy and energy efficiency); land resource management and development at territorial level.

On the other hand, there are signs that the environmental assessment system in Bolivia has been weakened during the present administration and that government related investment projects enjoy especially relaxed procedures for environmental permitting and monitoring (e.g. road building, mining and gas extractions).

There is also a more general weakening of the capacity for environmental management, mainly due to the rapid changes in legal framework and administrative structures and the constant large replacement of experienced staff from earlier administrations.

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

Relations between the EU and Bolivia are conducted both bilaterally and also in the framework of regional cooperation between the EU and the Andean Community. The EU's priorities in Bolivia are to accompany the political process of democratisation and to support the country in fostering economically sustainable development aimed at poverty reduction. These relations are governed by the regional Framework Cooperation Agreement of 1993. Since the Río de Janeiro Summit in 1999, EU-LAC have been working together to promote shared interests and values (Strategic Partnership), as demonstrated at the subsequent Summits of Madrid (2002), Guadalajara (2004), Vienna (2006), Lima (2008), Madrid (2010) and Santiago de Chile (2013). In 2010, the LAC side launched the Community of Latin American and Caribbean States (CELAC) which now is the EU's counterpart for the bi-regional partnership process.

The EU-LAC Lima declaration of May 2008 recognized the need to address challenges of environmental degradation and climate change. As a follow up to the Lima Declaration several regional initiatives were adopted including EUROCLIMA programme⁸ and EURO-SOLAR⁹.

The Country Strategy Paper (CSP) allocated a total of EUR 240 million from 2007-2013 to the following areas:

- the creation of economic opportunities through decent work,
- the fight against illicit drug production and trafficking (Bolivia is the world's third producer of coca leaf), and
- the preservation of the environment.

39% was invested in natural resources management and environment within three main areas:

- 1) river basins and water resources management (1st and 2nd phase), *ASPNC*;
- 2) protected areas and biodiversity, *PACSBIO*;
- 3) drinking water and sanitation in rural and urban areas (poor population in cities), *PASAP* and *PASAR*.

A programme to mitigate mining pollution in the watershed of Lake Poopo has also been supported.

In addition, through the thematic instruments, EU has supported projects concerning natural resources management in protected areas and climate change through the civil society (international and national NGOs) with the participation local actors.

These focal areas have been adjusted after the implementation of the NIP 1 (2007-2009) through a process of dialogue mainly with the Ministry of Planning and Development and the group of donors, in particular the EU member states but also involving the civil society, which stressed the need to work more in the field of integrated natural resources and water management and climate change.

Sustainable natural resources management is considered of great relevance to both the GoB and EU given its inter-linkage to the MDGs in respect to access to drinking water and sanitation; reduction of extreme poverty; food supply and climate change adaptation and mitigation. Although climate change is not a priority sector in EU cooperation with Bolivia it affects most sectors of development as a cross-cutting issue. EUD has kept these issues high on the political and diplomatic agenda.

Annex 6.3 shows all EU interventions according to modality of funding during 2007-2013.

The EU CPS (NIP2 2009-2013) was very much interlinked with the creation of the new Ministry for Environment and Water (MEW) in 2009, which now has the mandate to focus on integrated natural resources management in line with EU policy. This has brought about greater coherence between the EU various environmental support programmes.

Of strategic importance has also been the modality of providing Sector Budget Support (SBS) to the environment sector transferring the financial resources to the National Treasury in support of the implementation of government sector policy and programmes. The financial resources received are part of the global national resources and are consequently used in accordance with the public financial management system in Bolivia. The SBS operates on the bases of tranches: a) *fixed tranches*, which have a fixed value as specified in the Financial Agreement. Partial disbursement is not possible, b) *variable tranches*, which have a maximum value as specified. They are disbursed in full or in parts, with the amount disbursed based on completion of targets, performance criteria and indicators and provided that at the same time the general conditions are all met.

⁸ Aims to improve understanding, raise policymakers' awareness, integrate climate change into sustainable development policies and build institutional capacity to do so.

⁹ A regional project aimed at permitting those in the poorest rural areas without access to the national grid access electricity generated by sun and wind.

Since President Morales took office at the beginning of 2006, the EU has been the only International Cooperation Institution using SBS given that the donor community was reluctant to take any steps towards a new way of aid delivery. This reluctance was probably based on an unstable political environment towards the traditional donors¹⁰, fragile institutions and the lack of concrete actions and proposals.

By 2009 the GoB gave enough proof that macroeconomic management and important efforts had improved public finance management such as the 2008 Public Finance Evaluation (EFIP), its Action Plan and the PEFA¹¹ assessment (prepared with assistance of the World Bank) officially presented in 2009 which led the EUD to recommend this modality.

However, a recent assessment¹² of the five budget support principles concluded that the conditions for budget support were not fulfilled in Bolivia. The main challenges were lack of completion of the establishment of a sustainable institutional framework, the overall sector strategies and medium term expenditure frameworks especially in the natural resource and governance sectors. EUD produces one assessment every year (and most of the years indeed two, one with new action fiches and one with disbursement dossiers) which has concluded exactly the opposite, that Bolivia continues to fulfil the eligibility criteria for budget support otherwise EU would not disburse. The World Bank has just approved a 200 mill budget support operation, so also WB has also concluded that the conditions are fulfilled.

4.3 Overview of EU-funded interventions

The EU has worked with Bolivia for over 30 years. Bolivia is the biggest recipient of EU aid in Latin America, receiving approximately EUR 241 million from 2007-2013. The EU provides 50% of all foreign assistance to Bolivia.

EU funding contributes to three main areas of focus (CSP 2007-2013): generation economic opportunities, supporting fight against illegal drugs, supporting management of natural resources in particular integrated management of international river basins and sustainable management of water resources.

Fight against poverty and social exclusion: The specific objective of the support was to improve productivity and the quality of employment, in particular in small businesses EU targeted i) generation of economic opportunities for decent work and ii) improved access to and quality of basic social services for the most vulnerable population groups. Particular attention was given to implementation at decentralised levels (departments and municipalities) considering their increased competencies under the new constitution.

Fight against illicit drugs: The specific objective was to support the implementation of a wide-ranging national sector policy on comprehensive development through innovative approaches to the reduction of illicit coca production involving social control. Particular attention was paid to institutional strengthening, enhancing regional cooperation in anti-drugs policies and in the development of inter-institutional coordination mechanisms.

Sustainable management of water resources: The specific objective was to improve access to drinking water and sanitation through i) expansion of the water network and access to basic sanitation, ii) conservation and preservation of water, iii) increasing the government capacity for integrated management of water resources. The scope of actions was to include not only integrated water basin management but also other environment and water-related aspects. Environmental questions, particularly those related to climate change and energy, also received more attention. Dialogue and cooperation with local communities on water management were developed. Experience in research and coordination projects both in Bolivia and in neighbouring countries, was used.

Besides the geographical instruments, EU has through ENRTP Call for Proposals supported local projects concerned with natural resources management in protected areas and climate change with civil society (international and national NGOs) and local actors' participation.

For a detailed breakdown of specific projects, please see annex 6.3b.

¹⁰ USAID, Holland and recently Sweden have withdrawn their assistance to Bolivia. Others are preparing withdrawal such as the Swiss and Belgian cooperation.

¹¹ The Public Expenditure and Financial Accountability (PEFA) Program was founded in 2001 as a multi-donor partnership between seven donor agencies and international financial institutions to assess the condition of country public expenditure, procurement and financial accountability systems

¹² Ministry of Foreign Affairs, Denmark, Bolivia Country Programme, 2013

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context. Relations between the EU and Bolivia are conducted bilaterally and also in the framework of regional cooperation between the EU and the Andean Community. The relationship between EU and Bolivia are governed by the regional Framework Cooperation Agreement of 1993. This was updated and strengthened with the regional Political Dialogue and Cooperation Agreement, which was signed in December 2003. In 2006, the Heads of State and Governments of the EU and of Latin America and the Caribbean issued the Declaration of Vienna, which reiterates the commitment to expand and deepen EU-LAC cooperation,

leading to the EU-LAC Lima Declaration of May 2008 which recognized the need to address challenges of environmental degradation and climate change. As a follow up to the Lima Declaration several regional initiatives were initiated including EUROCLIMA programme and EURO-SOLAR.

The EU's priorities in Bolivia are to accompany the political process of democratisation and to support the country in fostering economically sustainable development aimed at poverty reduction in accordance with the MDG. The Country Strategy Paper 2007-2013 signalled a convergence of policy in environment especially in the context of the integrated natural resources and water management and a convergence of climate change policy directions. These priorities have been further strengthened in the subsequent MIP 2014-2016 in line with the EU cooperation policy in the water sector (*Promoting an integrated water resources management in developing countries – EU Water Initiative*) and on Biodiversity (*EU Biodiversity Strategy to 2020*).

<p>EQ 1 Achievement of EU policy aims</p> <p><i>To what extent has EU support to environment and climate change across different instruments contributed to the EU's overall environment and climate change policy aims?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • There has been a contribution in Bolivia towards the overall EU policy aim of improving environment, natural resources and water management and climate change resilience in third countries. Although there have been less significant physical improvements in the environmental situation in Bolivia, the EU support together with other factors have led to a stronger national focus of environment, integrated natural resources and water management and climate change. • Essential environmental and climate change related reforms especially in the water and environment sectors have been developed and are expected to be implemented such as the Plan for Integrated Environment and Water Resources– the EU support has been an important factor in triggering these reforms but equally important in providing technical support to ensure that key institutions in Bolivia are able to react and build on the momentum arising from a new political and civil demand for integrated natural resources and water management focusing on climate change at territorial level. • The EU is determined to achieve ambitious and binding international agreements on climate change and environmental protection which is shared by the GoB, however sometimes diverging views on how to approach it (e.g. Bolivia opposing the REDD+ market mechanism; the GoB official discourse in view of implementation of policies in practice). Nevertheless, the law of Mother Earth and an alternative climate change mechanism (not a carbon trade market) approach has captured international attention.
<p>JC 11 National partner prioritisation of environment and climate change</p> <p><i>EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU (as well as other donors) has no real influence on national policies and thus prioritization of environment and climate change as their contribution to the GDP are less significant, only 30% of the present GDP of the State. • The Ministry of Development and Planning has recognized that political dialogue with EU is positive. Furthermore, in 2013 EUD and representations of Belgium, Denmark, Germany, France, Italy, Spain, Sweden and Switzerland adopted the European Coordinated Response (ECR) which establishes a cooperation framework and represents the basis for a joint development cooperation dialogue with the Bolivian government with the aim to move towards full joint programming as of 2017 under the leadership of the EU. The ECR has been discussed and agreed with the GoB. This will further strengthen the dialogue and promoting EU and EU member states' policy aims on environment and climate change. • National authorities have recognized that EU Programmes have supported principal policies on natural resources and water management in a flexible manner in particular the Sector Budget Support has been appreciated because it promotes result management based on agreed indicators that helps the sectors to organize their work. Also, SBS allows the government to implement defined policies and priorities. • EU thus plays an active role in the political dialogue promoting result based

	<p>management in relation to SBS's including the promotion of indicators on environment as part of the agreements for providing SBS.</p> <ul style="list-style-type: none"> • The creation of the new Ministry of Environment and Water, whose competences include working with natural resources and provision of basic services in an integrated and sustainable manner has paved the way for EU to promote the dialogue and thus EU environmental and climate change policy. • EU has led a dialogue on technical issues for the promotion of integrated natural resources and water management including supporting the coordinated (vice-ministries, civil society and donors) development of the 'Plan for Integrated Environment and Water Management'¹³ which is to be (if finally approved) the future sector policy that promotes an integrated management of natural resources and water management (water, soil, biodiversity) focusing in climate change at territorial level. This Plan also includes a strategy for multi-sector coordination and implementation for the application of planning instruments. • The main issues addressed in the technical dialogue are: integrated watershed management including irrigation, water supply and sanitation, and water (waste water and control of pollution; water use efficiency); biodiversity and protected areas, mining pollution, climate change risk assessment and prevention; energy (renewable energy and energy efficiency); land resource management and development. • In view of the serious environmental threats and climate change, a response strategy was drawn up to mainstream environment and climate change in all EU interventions in the CSP 2007-2013. The Mid-term Review placed even more emphasis on the matter, which led to the SBS support to protected areas. The main factor influencing the choice of partner was the creation of a new Ministry for Environment and Water (MEW, Spanish: Ministerio de Medio Ambiente y Agua (MMAyA)) which combines the sectors of Water and Sanitation (VAPSB), Water Resources and Irrigation (VRHR) and Environment, Biodiversity and Climate Change (VMABCC) within the same Ministry in an attempt to address environment and natural resources management including effects of climate change in an integrated manner at territorial level. The EU fully supports this approach which is also in line with EU cooperation policy in the water sector (Promoting an integrated water resources management in developing countries – EU Water Initiative). • GoB, in part through support via ENRTP regional programmes, has strengthened its engagement and contribution to global environmental and climate change debate and governance. For example, Bolivia is taking the lead in global climate change debates including the G77 group + China promoting the respect for Mother Earth and an alternative mechanism for REDD+, the <i>Joint Mitigation and Adaptation Approach for the Integral and sustainable management of forests (JMA)</i>, which advocates a non-market based approach¹⁴ in addition to the agreed framework for REDD+ which seek to obtain and receive results based payments for results based actions, expressed in tons of carbon dioxide equivalent per year. Additionally, Bolivia presented the JMA proposal at COP 11 of the Convention on Biological Diversity (CBD), which is mandated to compile information about the potential of the REDD+ mechanism for the conservation of biological diversity, integrating the areas of climate change and biodiversity.
<p>JC 12 Use of instruments to enhance achievement of policy aims <i>The extent to which ENRTP and geographic</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The combination of programmatic project support, sector budget support, the use of regional and thematic instruments has had a mutually reinforcing effect. For example, EU has included climate change in all sector budget supports (water and sanitation; fight against illicit coca production, and biodiversity) and thus contributed to mainstreaming climate change into government policies. The

¹³ Plan Integral de Medio Ambiente y Agua

¹⁴The joint mitigation and adaptation approach for the integral and sustainable management of forests (JMA), as an alternative policy approach, should be guided, inter alia, by the following methodological aspects:

- a) Development of joint mitigation and adaptation actions is based on the promotion and support to the integral and sustainable managements of forests, ecosystems and environmental functions taking into account the holistic views of indigenous peoples, local communities and local resource users about environment and Mother Earth, and the achievement of gender equality and empowerment of all women and girls.
- b) Identification of financial needs for joint mitigation and adaptation actions, as a non-market-based approach, including ex-ante financing, technological support and capacity building.
- c) Monitoring and evaluation carried out through the use of quantitative and qualitative information, as appropriate, for mitigation and adaptation according to national circumstances and capacities of countries and oriented towards building adaptive management and enabling learning. Identification of financial needs for action including ex-ante financing; use of qualitative and quantitative indicators in accordance with national circumstances and capacities.

<p><i>instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<p>efforts to mainstream environment and climate change in the water sectors has further helped introduce green economy, alternative energy and SCP concepts because there has been clear examples of and entry points for application of such concepts in these sectors.</p> <ul style="list-style-type: none"> • During the design phase of the CSP (2007-2013) it could be argued that the EU support looked ahead of the then current Bolivian policies, priorities and practices on environment and climate change, in particular in the water and sanitation sector, which is a high priority for the GoB – even if the GoB place less priority in terms of budget allocation to the environment sector. To stimulate change a number of institutional reform related indicators aimed at strengthening sustainable service delivery have been introduced as part of budget support operations (e.g. number of permanent staff). However, the GoB has difficulties in fulfilling these indicators in terms of quantity as well as quality. EU therefore attempts also to include indicators in relation to quality. • The ENRTP has mainly financed regional programmes such as EUROCLIMA; EURO-SOLAR (implemented by EUD in Bolivia), EU FLEGT South America implemented through Traffic International and EU-FAO FLEGT implemented through FAO. Via the Call for proposals innovative pilot projects have been supported and implemented through NGOs. Such pilot projects are not necessarily GoB priority but serves to test alternative approaches to, as in the case of Bolivia, payment for environmental services with the participation of the local population groups. The regional programmes were initiated in response to the agreements reached at the EU-LAC Lima Declaration in 2008. • The support provided for environmental and climate governance through EU regional programmes and UNFCCC has assisted in strengthening the participation, engagement and commitment of Bolivia in the global climate change debate. The last example being the participation of the Bolivian delegation to the UNFCCC COP in Lima. Furthermore, EU also supported the participation of the Bolivian delegation for the Work Group on Protected Areas, realised in Australia last year (2014) • The combination of available instruments has enabled EU in Bolivia to strongly demonstrate the EU commitment to international agreements on environment and climate change by consistently demonstrating by actions and not just words, EU environmental and climate change policy.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
<p>The priority given by national partners to environment and climate change issues has gradually increased. (JC11)</p>	<p>The issues of climate change have received more priority mainly due to the impacts evidenced in Bolivia. Addressing the impacts has been translated into recent national and sectoral policies (E.g. Law of Mother Earth; Integrated Plan for Environment and Water, National Watershed Plan. GoB is keen to be recognised as an important player for the achievement of commitments to the UNFCCC. EU has by supporting the integrated natural resources and water management further contributed to mainstreaming of climate change in government strategies. In addition, according to the strategy paper for the future cooperation developed by ECR (European Coordinated Response), support to water resources management focusing in climate change will be provided in order to support the GoB in its achievement of stated commitments.</p>
<p>Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)</p>	<p>No strong evidence for the hypothesis. In Bolivia, a framework for donor coordination, GRUS, has been established as the main donor coordination body including 40-50 institutions as well as the Banks. Within GRUS policy dialogue is formalised through a number of sector working groups. EU is very active in GRUS and in particular the sub-group on watershed management. Informal contacts between EU member states and EU is now formalized through the ECR.</p>
<p>MEA processes have influenced national policy debates. (JC12)</p>	<p>In particular, the UNFCCC process has received attention as Bolivia takes a stand against the mechanisms of REDD+.</p>
<p>Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)</p>	<p>The main sector support within biodiversity, water and sanitation, fight against illicit drugs is well aligned to implementation of national policies and plans as stated in the CSPs but the support has also been flexible to adapt to changes in the political context.</p>

Overall desk hypotheses	Evidence from Bolivia's case study
<p>ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)</p>	<p>There are few ENRTP financed programmes (mainly the regional programmes) which have many activities and impact in Bolivia. However, the ENRTP allows for providing support to alternative and innovative approaches involving the civil society/NGOs. Through ENRTP Calls for Proposals a number of local interventions concerned with natural resources management including locally protected areas have taken place e.g. the Climate Change Mitigation and Adaptation through recognizing environmental services in Santa Cruz Department (EUR 0,9 million) which include extensive participation of the civil society.</p> <p>The project implementation at a local level provides feedback into the formulation of the strategies for cooperation that works at a political and institutional level- This is important in view of the reduced importance accorded to civil society, in particular NGO's participation in development activities and advocacy work by GoB. Through the thematic instrument of Calls for Proposals important regional synergies between ECHO (EU funds for humanitarian aid and disaster prevention) and EUD in Bolivia has been created. EUD Bolivia has been recognised as one of the most dynamic and innovative in creating complementarity between instruments e.g. the coordination with ECHO in LA.</p>
<p>Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)</p>	<p>Not assessed for the country mission.</p>

5.2 EQ 2: Low emission



Context - EU support to low emission in Bolivia is provided through the regional programme EUROCLIMA which facilitates the Climate Investment Fund (CIF) under the UNFCCC.

UNFCCC support is evaluated under EQ 7 (International climate change governance). MEW is the lead institution for low emission and the lead partner for EU support.

EQ 2 Low emission	Main findings
<p><i>To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i></p>	<ul style="list-style-type: none"> • EU support to low emission is provided through the regional programme EUROCLIMA financed through ENRTP/EuropeAid through partners such as ECLAC, IICA, UNEP, JRC. The programme aims to facilitate the integration of climate change mitigation and adaptation strategies and measures into Latin American public development policies and plans in order to reduce vulnerability to climate change and promote opportunities for green growth (interlinked with EQ5). EUROCLIMA activities have been few and are not well known in Bolivia. • The implementation of national policies to reduce deforestation and degradation and thus reduce emissions has low priority for the current Government. On the other hand, there are important experiences in the country based on the practice of REDD and MRV by NGOs. These experiences have been compiled in a Status Report on policy, information, achievements and needs for MRV¹⁵ elaborated by CIFOR Indonesia supported by Norway and also receiving funds from ENRTP. • The ENRTP has also been instrumental for the testing of alternative approaches to payment for environmental services via the national NGOs. • Bolivia has the knowledge and the capacity to develop a reference point for REDD+, by monitoring deforestation and carbon emissions through a network of stock-takers. This network includes not only governmental institutions (e.g. ABT¹⁶) but also to NGOs and research institutions such as the Forest Investigation Institute of Bolivia, which have much experience in MRV. Plenty of information is available that could allow the country to REDD + level 2 (Tier 2). However, a formal MRV system is not in place through government institutions.

¹⁵ Villegas, Z. y Mostacedo, B. 2011 Diagnóstico de la situación actual sobre políticas, información, avances y necesidades futuras sobre MRV en Bolivia. CIFOR, Bogor, Indonesia

¹⁶ Autoridad de Fiscalización y Control Social de Bosques y Tierras

	<ul style="list-style-type: none"> Bolivia is not a partner in the LECB programme and no NAMAs have been prepared in Bolivia.
JC 21 Monitoring, Reporting and Verification <i>Increased capacity to Monitor, Verify and Report (MRV)</i>	Findings <ul style="list-style-type: none"> Bolivia has the knowledge and the capacity to develop a reference point for REDD+, by monitoring deforestation and carbon emissions through a network of stock-takers. This network includes not only governmental institutions (e.g. ABT) but also to NGOs and research institutions such as the Forest Investigation Institute of Bolivia, which have much experience in MRV. Plenty of information is already available that could allow the country to REDD + level 2 (Tier 2). However, an official MRV system is not in place through government institutions. EU has as mentioned above supported MRV only indirectly via the study (compilation of available data) on MRV – REDD in Bolivia through CIFOR
JC 22 NAMAs and LEDS <i>Availability of strategies and actions that support a low emission development.</i>	Findings No LEDS and/or NAMAs have been developed
JC 23 Capacity for low emission development <i>Increase in knowledge on implementing low emission development.</i>	Findings <ul style="list-style-type: none"> The EUROCLIMA programme (ENRTP regional) includes a component on 'Exchange of experiences and information on climate change between Latin America and EU' to improve the knowledge of LA decision-makers and scientists regarding the problems, consequences of climate change in order to integrate them in sustainable development strategies. GoB has participated in workshops and seminars organised by EUROCLIMA. The MEW is the focal point in country. Information sharing and knowledge is available through the web-page. However, the team has not encountered any using it.

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
In-country coordination efforts work and would be likely to offer a good partial solution to the coordination effort;	MRV work is not coordinated with or within Bolivia.
NAMAs developed so far likely to be bankable or attract private sector finance;	N/A
The NAMANet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;	N/A
The PMR market readiness approach is attracting the private sector to be engaged;	N/A
The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;	N/A
The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.	In a sense this is true in Bolivia. It turns out that the GoB in spite of opposing REDD mechanisms is in process concerning establishing the requirements (MRV) in order to be able to benefit from the REDD mechanism.

5.3 EQ 3: Sustainable energy



Context: GEEREF has not been active in Bolivia. For this reason this evaluation question was not evaluated in Bolivia

The Andean Community is endowed with abundance of hydropower potential which is also used to a large extent. However, the abundance of non-renewable sources such as natural gas has influence on the willingness to invest in sustainable energy sources such as wind and solar energy. During the period under evaluation The EU supports sustainable energy through the regional programme EURO-SOLAR. The specific objective of the EURO- SOLAR Programme is to

provide a source of renewable electric power for community use in rural communities with little or no access to the national power-supply grids. The support consists of providing the EURO-SOLAR kit¹⁷.

¹⁷ The Kit consists of three systems: a) Power-generation (5m2 of photovoltaic panels and/or wind turbine); b) communications (lap-tops, soft-ware, internet); and c) health care (access to appropriate information through the internet, refrigerator for vaccine, serums and medicines, and better hygiene with water purifier)

EU has supported the installation of solar panel kits improving the living conditions of 300.000 people at regional level. In Bolivia support has been provided (EUR 2.9 million) to 59 communities through the Ministry of Hydrocarbons and Energy, Vice Ministry of Electricity.

5.4 EQ 4: Biodiversity



Context: EU support to the sector has gradually evolved over the time. With particular reference to the Sixth Community Environment Action Programme (6th EaP 2002-2011) the EU focused on efforts to encourage Bolivia to implement its international commitments under multilateral environmental agreements. In view of the inter-linkages between poverty and environment and the serious environmental threats facing Bolivia¹⁸ a response strategy was formulated not only for mainstreaming environmental concerns in the EU priority sectors¹⁹, but also the sustainable management of natural resources in particular through support for

the integrated management of river basins.

The Mid-term review of the CPS 2007-2013 in 2010 placed even more emphasis on mainstreaming climate change in water management sub-sectors to encompass: water supply and sanitation, mitigation of the effect of global warming on water resources as well as management of natural reserves. This led to the formulation and insertion of the SBS programme on conservation of biodiversity, PACSBIO, initiated in 2012 and thus modifying the CSP 2007-2013.

<p>EQ 4 Biodiversity</p> <p><i>To what extent has EU support (via the ENRTP and geographic instruments) helped improving the capacity of partner countries to prevent/reduce the loss of biodiversity?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU has through a blending of instruments contributed to reducing the loss of biodiversity in Bolivia. Through the SBS to the National System of Protected Areas (SNAP), the system has been able to operate and thus be maintained. However, biodiversity loss is high at a national level due to expansion of the agricultural frontier and other land based development activities. • Capacity for protected areas management has been improved at sub-national levels including the development and testing of new approaches to conservation and management of biodiversity (e.g. recognition of the value of eco-system services; PPPs for sustainable tourist development; ecosystem approach, departmental and municipal establishment and management of local protected areas). • EU has been instrumental for mainstreaming biodiversity into the sub-sectors concerned with water management at territorial levels as embedded in the proposed Integrated Plan for Environment and Water developed by the MEW. • Loss of biodiversity is still alarming in Bolivia. Control and implementation of environmental regulations and norms are lacking due to institutional weakness as well as lack of political will. Knowledge and tools that inform the GoB and the public on value of biodiversity in order to mainstream biodiversity in economy and development policy are needed. EU has supported the development of tools²⁰, however, they are not in widespread use in Bolivia.
<p>JC 41 Implementation of Commitments</p> <p><i>Enhanced capacity of partner countries to implement their commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Bolivia has delivered several of the obligations under Multilateral Environmental conventions and climate change agreements. For example: a comprehensive report on the endangered species in Bolivia in accordance with CITES. Besides registration of species and protection provided by the National Park Service (SERNAP) to the extent possible, within protected areas; • Illegal logging is one of the main treats to endangered plant species. The GoB has enacted a law (no 377, 2013), which require all landowners guilty of illegal logging prior to 2011 to reforest the cleared area, or ensure its use for productive agriculture, in exchange for reduced fines. • Bolivia is also a member of the Amazon Cooperation Treaty Organization (ACTO) and has worked with the other seven member countries to develop strategies aimed at curbing illegal logging in the Amazon. However, the GoB has passed the law 377, which gives

¹⁸ Climate change, deforestation, loss of biodiversity, contamination of soils and water, erosion and lack of capacity at national and local levels to implement effective environmental management

¹⁹ Fight against illegal drugs, generation of economic opportunities for decent work, water and sanitation

²⁰ TEEB (the Economics of Ecosystems and Biodiversity) financed by EU; BIOFIN (Integration of biodiversity in national budgets and sectoral plans financed through UNDP; WAVES (Wealth accounting and Valuation of Ecosystem Services), financed by WB.

	<p>permission for landowners to the illegal clearing already done for agricultural purposes thus contributing to the continuous loss of biodiversity.</p> <ul style="list-style-type: none"> • Bolivia has also submitted the IV National CBD Status Report (2014); and is in the process of revising the NBSAP in accordance with the CBD-post 2010 targets. • The national protected areas system (SNAP) is governed by a <i>Decreto Supremo</i> and a Strategic Institutional Development Plan (2009-2013). The EU SBS is provided for the implementation of this strategic plan. A draft law on SNAP has been developed but yet to be approved. The law would establish standards and norms for all types of protected areas, whether national, departmental or municipal. • In 2012 an Action Plan for the Implementation of the Protected Areas Work Programme in accordance with the requirements of the CBD was developed by SERNAP with assistance from EU (and Danida). • The proposed Joint Mitigation and Adaptation mechanism (JMA) integrates mitigation and adaptation, reinforces the environmental function of forests, recognizes the contribution of indigenous peoples to the conservation of forests ecosystems, supports indigenous peoples rights, promotes forest governance systems, strengthens sustainable use and access to forest resources, and would contribute to tackle the underlying causes of deforestation and forest degradation and promotes the enhancement of sustainable livelihoods of local peoples. The JMA thus attempts to operationalize one of the key Achi targets (CBD post 2010). • The proposed Integrated Plan for Environment and Water also includes Protected Areas and Biodiversity management as part of the proposed integrated approach to land-use planning and management at territorial levels. • The protected areas system (SNAP) receives almost 90 % of its operational costs from the donor community and would not be able to comply with MEA commitments without this support. It also implies that resources are spent in order to maintain the system (e.g. staff, installations) with less opportunity to impact on the loss of biodiversity.
<p>JC 42 Ability to conserve biodiversity <i>Strengthened national capacity to conserve habitats/ecosystems</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Bolivia loses on an average 308.000 ha of forests per year²¹ thus biodiversity. The deforestation is mainly due to expansion of the agricultural frontier. A recent positive sign has been the creation of municipal and departmental protected areas; however, the national parks/biodiversity are under pressure in particular because the GoB has announced plans to expand all cultivated land by 2.5 times its present area by 2025. • National capacity has been strengthened at sub-national levels (through EU support) through the provision of instruments and capacity development of the protection and management staff as well as the civil society. EU has through PACSBIO supported the operational costs of SERNAP at central level and in particular at sub-national levels and has helped generate instruments for the protection and management of the PAs as well as contributed to advancing the contributions from the TGE in terms of protection personal. Another positive result of EU cooperation is the coordination and dialogue with sub-national governments strengthening the protected areas systems with departmental and municipal protected areas. Agreements have been signed in Santa Cruz, Potosi and Beni strongly supported by the local actors concerned. The sub-national levels as well as the State allocate budgets. • A new approach to management and protection of protected areas in cooperation with communities and indigenous people has led to the generation of new management and protection plans as well as many initiatives (new approaches) for the sustainable management and use of the resources as well as sustainable tourism in the 9 PAs supported through the EU.

²¹Estimate by FAO 2010 corresponding to 0,58% of the total forest cover. However, according to the GoB, the Chaco dryland and scrub forest (e.g. Kaa Iya NP) should not be included as forest cover for which reason, up to end 2011, accumulated deforestation totalled of 6.74m ha (ABT 2012) and the annual rate of deforestation has slowed from a high of 330,000 ha or 0.70% in 2007 (counting only areas larger than 5 Ha; GoB 2010) to 204,294 ha or 0.45% in 2012 (ABT-UMIG 2013).

	<ul style="list-style-type: none"> The development of the Integrated Plan for Environment and Water which seeks to coordinate the different national sub-sector authorities (river basin management, water and sanitation, irrigation, environment, forests, conservation of biodiversity and climate change) allows for the first time, to look upon protected areas as a <i>category</i> of departmental and municipal territorial land-use in line with forests, agricultural, infrastructure and inhabited land categories in accordance with the mandates bestowed the sub-national governments²².
<p>JC 43 Knowledge and Information on Biodiversity <i>Improved availability of, and access to, knowledge and information on biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> Investigation – monitoring of biodiversity has been established as a cross-cutting policy by the Vice-Ministry on Environment (VMA) in order to correspond to the needs of the sector. At present there is no coordinated system in place between Research Institutions, NGOs working in the field and the government institutions. As a part of EU sector budget support, a digital observatory of protected areas was designed (DOPA) in coordination with the Vice-Ministry of Environment (VMA) and SERNAP authorities as part of the EU sector budget support. DOPA is implemented through the JRC. It is not operating yet, due to disagreement on the DOPA design resulting in non-release of the funds from TGE. EU has also provided support to the development of an integrated environmental monitoring system (SIMA) for all environmental sectors. SIMA is implemented MMAYA and yet to be operationalized. A Geographical information system (SIG) was applied for river basin and irrigation activities, including the monitoring of water quality in areas with mining activities such as Pilcomayo and Lake Poopo, supported by EU. This is no longer operational. In addition, to support the National River Basin Plan implemented by the Vice-Ministry of River Basin and Irrigation, the EU supported the development of an environmental monitoring system (SIMA) of all environmental sectors.. Activities in Bolivia are not yet known. A challenge for the establishment of any environmental monitoring system such as DOPA which in parts are based on satellite surveillance managed by international organisations is the GoB's assertion of sovereignty against foreign intervention and monitoring as well inadequate institutional framework to provide sustainability to the systems and their effective use in decision-making. Through the development of new NP management plans the EU has contributed to monitoring and assessments of biodiversity/ecosystems, however, in response to the needs of the particular area in development. Information has been shared.

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
<p>Biodiversity issues are now mainstreamed (including increase in budgets) into the new lot of CSP. Tools developed are applied</p>	<p>Government budgets to the sector have only increased slightly. On the other hand by integrating water and sanitation, irrigation, watershed management, forests and protected areas planning and management at territorial level, environment and biodiversity as well as climate change are mainstreamed into territorial development planning, it is anticipated that TGE resources will be made available accordingly. EU strongly supports this initiative in the MIP 2014-2016.</p> <p>Forest and biodiversity integral management is central for the proposed Joint Mechanism for Climate change Application (JMA). In the framework for the Law of Mother Earth a Fund has been created to address these issues.</p> <p>Tools (such as the TEEB) to demonstrate the value of biodiversity were in demand and valued in order to promote the conservation of biodiversity at the highest political levels.</p>
<p>EU innovative approaches to habitat/ecosystem management are applied in PPP</p>	<p>EU supports the development and information sharing concerning innovative approaches</p> <p>Examples of PPPs include the long-term management of protected areas and the development of tourism infrastructure in the</p>

²² The Autonomy and Decentralization law (Ley Marco de Autonomías Andrés Ibañez (2010)) that transfers the jurisdiction for natural resources management to sub-national governments and regions.

Overall desk hypotheses	Evidence from Bolivia's case study
	parks involving the communities. The aim is to create jobs, skills and enterprise development and economic growth through conservation of biodiversity and ecosystems.
EU SPSP for protection of biodiversity at national level is on the increase	<p>In general EU supports the modality of sector budget support which has been greatly appreciated by the GoB. EU has been a pioneer in doing so in Bolivia. From January 2015 a new regulation on SBS has been in force which oblige all SBS to enter the TGE and not to sector accounts. The sectors thus worry that resources will not be transferred efficiently due to the bureaucratic procedures. Whether SBS will be continued (in the way of sector budget support) in Bolivia and elsewhere is debatable at higher levels.</p> <p>The cooperation partners (MEW-Ministry of Planning and Development) discuss the appropriateness of modality, because when the resources become part of the TGE it may be difficult for the sector (MEW) to access the funds. Furthermore, they raise questions as to the compliance with the indicators and targets established.</p>
Research programmes (show-cases/results) are used for the development – formulation of country strategies, programmes, projects financed by ENRTP-EDF-geographical instruments.	No obvious evidence that experiences and results gained through applied research are referred to in the formulation of CSPs, MIPs.

5.5 EQ 5: Green economy



Context – Green Economy and SCP has for long been promoted in Bolivia by the private sector. The National Chamber of Industry, Camara Nacional de Industria has since the 90's promoted competitiveness and achieved by the end of the 90's to establish the Council for Quality, Competitiveness and Sustainable Development. In 1995 the CNI created and consolidated the Centre for Promotion of Sustainable Technologies (CPST) assisted by USAID, Holland and others. The CNI was also an active player in the development of the Environmental Regulations for the Manufacturing Sector (RASIM)²³. The CPST (non-profit) assists the

Bolivian industries in identifying and applying cleaner and less consumptive production patterns. Main topics of assistance have been reduction of water consumption and contamination (discharge), energy consumption, and emission.

However, the GoB has no specific strategy or policy for development of green economy. EU only indirectly supports the development of green economy.

EQ 5 Green economy	Main findings
<p><i>To what extent has the EU support enhanced sustainable and resource-efficient production and consumption policies and practices²⁴ and therefore contributed to the greening of the economy of supported countries?</i></p>	<ul style="list-style-type: none"> • The EU supports SCP through the PASAP by introducing more efficient systems and technologies adapted to impacts of climate change. In 2012, 3417 water supply connections and 3379 sanitation systems were installed with less water consumption and more efficient waste management. • Bolivia citizens are obliged to adopt production and consumption habits in harmony ('Living well' = 'Vivir Bien') with the rights of Mother Earth (Law of the Rights of Mother Earth, enacted in 2012. The key institutions for implementation of 'Living Well' is the 'Plurinational Authority of Mother Earth' and the MEW. EU supports the latter. • The policies, strategies and regulatory framework for implementation of the new paradigm of 'Living Well' have yet to be developed, however the MEW Integrated Plan for Environment and Water developed with assistance from the EU addresses in an integrated manner sustainable production, waste management, efficient irrigation systems for production, consumption, use of sustainable energy sources, better practices in productive and industrial sectors, and reduction of emission in service and transport sectors in collaboration with the Ministry of Energy. • EU also promotes Green Economy through the regional programmes: EUROSOLAR and EUROCLIMA. One of the partners for their implementation are UNEP, which through its regional office, ROLAC, has

²³ Financed by Danida

²⁴ SCP interventions are the main scope. Natural resources management interventions are not considered.

	<p>had extensive dialogue with the Bolivarian Alliance for the Peoples of Our America (ALBA) group²⁵ concerning their concerns and critics of the 'green economy' approach. Impacts of these programmes in Bolivia are not so visible yet.</p>
<p>JC 51 Green economy capacity <i>Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Overall SCP is not yet made fully operational and integrated into national and sectoral development planning. The GoB opposes the concepts of 'green economy' and 'environmental services' as presented in Rio+20 claiming that these only serves the purpose of turning nature's functions and cycles into fictitious products to be bought and sold on the market. Instead the GoB has presented alternatives in form of the Law of Mother Earth and the JMA. • Already in 1995 the Centre for Promotion of Sustainable Technologies (CPST) was established. The CPTS is a autonomy unit under the Chamber of Industry that assists the Bolivian industries in identifying and applying cleaner and less consumptive production patterns. Main topics of assistance have been reduction of water consumption and contamination (discharge), energy consumption, and emission. • There are many pilot projects in SCP/resource efficiency. Some of them are reportedly highly successful and have been replicated (e.g. the ones assisted by the CPTS in e.g. the food production and textile industries, tanneries, mining refineries etc.). • The GoB has in recent years placed more emphasis in seeking SCP and resource efficiency in development activities; however, SCP is not mainstreamed in development plans.
<p>JC 52 Green economy implementation <i>Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The Law of Mother Earth and thus SCP has not yet been integrated into development planning as this is a longer term effort given the complexity and constraints in the planning processes. • The proposed <i>Agenda Patriótica</i> declares that Bolivia by year 2025 will be transformed and self-sufficient in food supply and energy exploiting the hydroelectric potential and developing successful renewable energy projects such as a nuclear power plant. • Implementation of practical measures has taken place in particular through pilot projects such as those assisted by the CPTS. • As natural gas is abundantly available and petrol is subsidized the incentive for changes is generally low. • The incentive lays for the most initiatives in the 'win-win' situation created: Less consumption – less costs. • Attempts by the GoB to regulate the consumption of fuel (2009) resulted in abandonment of a planned withdrawal of fuel subsidies, which caused the prices to jump 80%, and people rose up against it and the President. • In 2009 the GoB imposed a ban on imports of used cars. The argument being that the surge of sub-standard used car imports has created a higher demand for fuel in the country and that the associated increases in greenhouse gas emissions pose health and safety risks to the population. The new restriction also extends to the vehicles that use diesel oil as fuel and whose engine capacity is less than or equal to 4,000 cubic centimetres and vehicles using liquefied petroleum gas (LPG) as fuel. • Another recent innovative example of SCP and introduction of cleaner technology is the aerial tramway connecting the lower parts of the city (zona Sur) with el Alto in order to provide alternative means of transport (less consumption of petrol and less use of mini-busses -less emission and contamination) between La Paz and El Alto built by the municipality of La Paz. The tramway runs on electricity provided in parts by solar panels. • EU has supported none of above initiatives directly. The EU supports SCP through the PASAP by introducing more efficient systems and technologies adapted to impacts of climate change. In 2012, 3417 water supply connections and 3379 sanitation systems were installed with less water consumption and more efficient waste management. • EU SCP standards and expertise are not known and therefore not likely to be used as a model.

²⁵ Bolivia, Cuba, Ecuador, Nicaragua and Venezuela

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?	Not applicable in Bolivia
Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from SWITCH-Asia and how has this changed the programmes?	N/A
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa in Africa programmes?	N/A
Have capacity building activities on SEA in Ukraine increased the quality of SEAs?	N/A
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	The mechanisms are available but only to a very limited extent used in Bolivia.
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not applicable in Bolivia
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	Not applicable in Bolivia
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	N/A
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	N/A

5.6 EQ 6: Environmental governance



Context – The EU support to international environmental governance has been channelled through UNEP since 2007 and in particular since the Strategic Cooperation Agreement was signed in 2010 with funding through ENRTP.

The regional programme EUROCLIMA is implemented by EuropeAid with Technical Assistance and UNEP and was established in order to improve exchange of experiences and information on climate change in Latin America, increase political awareness and strengthen institutional capacity, knowledge and visibility of climate change at national, sub-national and regional levels.

<p>EQ 6 Environmental governance</p> <p><i>To what extent has ENRTP contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) and UNEP-related processes?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Apart from regional and sub-regional workshops on e.g. 'green economy', climate change, CBD financing, there has been limited direct support to Bolivia on implementation of MEAs over the period 2007-2013 from the MEA Secretariats and UNEP. E.g. technical support has been provided by UNEP a) to improve the quality of water in Lake Titicaca; b) support to national activities towards the reduction of mercury use and its release from artisanal and small-scale gold mining activities; and c) capacity building for the sound management of HS & HW at national level to assist the implementation of the Minamata and the Hazardous Chemicals and Wastes Conventions. • UNEP has established a regional office for Latin America, ROLAC, which facilitates dialogue and discussion on the implementation of MEAs (biodiversity, green economy, climate change) knowledge sharing in relation to the implementation of MEAs. • Bolivia has strengthened its participation and contribution to international environmental governance for example: Bolivia was a lead for UNFCCC negotiation process on behalf of the Group 77+China. Leadership has
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	<p>mainly been a result of internal prioritisation supported by GEF, EU and others than as a result of support from the MEA secretariats.</p> <ul style="list-style-type: none"> • Bolivia has to a large extent delivered information and plans as required by the MEAs assisted mainly by UNDP/GEF.
<p>JC 61 International institutional framework <i>Extent to which EU support to UNEP and its MEA Secretariats has strengthened the MEA related international institutional framework and processes in relation to biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The relevant institutions in Bolivia report that there has not been much direct support from the MEA secretariats for implementing MEAs in Bolivia. Assistance for implementing MEAs is provided for by the bilateral programmes. Bolivia seems not to have received support from UNEP-MEA Secretariats for their participation in the COPs but they have participated in events organised by the MEA Secretariats. Participation of the Bolivian delegations has been supported directly by EU and other donors as well as the regional EU programmes. • Bolivia has nevertheless increased its participation and contributed more strongly to international environmental governance, mainly since Evo Morales assumed presidency of Bolivia in 2006, but whether UNEP and MEA Secretariats have assisted is not clear. For example: Bolivia hosted the 'World People's Conference on Climate Change and the Rights of Mother Earth' in 2010 attended by 30,000 representatives of governments, social, environmental and indigenous peoples' organisations to gain support for rejecting the market mechanisms for REED+; as well as the 'Green Economy' approach agreed in previous UNFCCC COPs and has put forward proposals for the construction of an alternative to REDD+. The proposal for JMA now is incorporated in the COP17 decision and subsequent meetings leading up to the Paris Rio Convention Meeting.
<p>JC 62 Greater knowledge <i>Extent to which EU support to UNEP and its MEA Secretariats has improved access to knowledge on biodiversity and biodiversity conservation (with a view to ensure informed decision-making</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There have been a number of international, regional and sub-regional workshops which foster dialogue and cooperation and exchange of knowledge with the participation of Bolivian delegations. • Information on biodiversity and biodiversity conservation are made available through the MEA Secretariats' assisted by related research institutions' web-pages (e.g. World Conservation Monitoring Centre; Global Reporting Initiative; Global Resources Information Database to mention some). However, one thing is that information is available, another if it is used which is difficult to measure. Judging by the proposals for changes to the MEA agreements the GoB seems to access as much information as possible to support their view-points. • There has not been any specific UNEP/EU financed intervention during the 2007-2013 period on global and regional biodiversity and ecosystem monitoring.
<p>JC 63 Capacity for policy and planning <i>Extent to which EU support to UNEP and its MEA Secretariats has enhanced developing countries' capacity to engage effectively in biodiversity related policy formulation and planning to meet their commitments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The regional office of UNEP, ROLAC²⁶, has been instrumental in initiating a dialogue on the concept of 'Green Economy' (main achievement of the Rio+20) in the LAC region including the participation of Bolivia. • Internationally, Bolivia has presented the new paradigm of 'live well' respecting the rights of Mother Earth. However, official international discourse is one thing – another is the actual implementation on the ground as evidenced by the expansion of the agricultural frontier on the expense of indigenous land territories declared protected areas.

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
The EU support for participation in CBD-PoWPA-CITES-Chemicals agreement processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC61, JC62)	Bolivia has better articulated its priorities as part of a leadership role in Latin America. But it does not appear that this was a result of specific support linked to the MEA secretariats, rather through support from bilateral donors to Bolivia including EU.
Developing countries have become more organised and vocal at CBD-PoWPA-CITES-Chemicals negotiation processes. (JC61)	As above with the exception that UNEP has assisted in capacity development specifically in Bolivia concerning chemicals (mercury)
The needs and priorities of LDCs and SIDSs	The GoB participates and articulates needs and priorities.

²⁶ UNEP, 2013, Development strategies of selected Latin American and Caribbean countries and the green economy approach: A comparative analysis.

Overall desk hypotheses	Evidence from Bolivia's case study
are increasingly being heard and taken into account in CBD-PoWPA-CITES-Chemicals related agreements. (JC61)	
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC62)	Evidence is found in an indirect manner: the GoB speeches and proposals to the conventions/ international forum.
That the ENRTP support to UNEP- MEA Secretariats under new priority 3.3 and old priority 4 has resulted in (JC63): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national biodiversity policies, NBSAPs, PoWPA (inter-linked to EQ4 on biodiversity).	Awareness concerning climate change has been raised. Awareness and appreciation of the inter linkages between economic development thus human welfare and biodiversity is less evident.

5.7 EQ 7: Climate governance



Context – The EU has supported and promoted climate change mitigation and adaptation since the EU-LAC Lima Declaration in 2008. Since then climate change has been incorporated and mainstreamed in all EU interventions in the region. Support has been provided through the ENRTP, the UNFCCC with various regional and international organisations such as UNEP, ECLAC, JRC, and IICA

<p>EQ 7 Climate governance <i>To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> The ENRTP has been instrumental in providing support to climate governance by providing a forum for dialogue and discussion at scientific and decision making levels in the region through the EUROCLIMA programme. Results of the first phase (2010-2013): More than 20 regional meetings have been organised through EUROCLIMA bringing together scientists and decision-makers for the interchange of opinions, knowledge and creation of instruments based on scientific evidence with participation of Bolivian experts and decision-makers. More than 35 studies on effects of climate change and responses for mitigation and adaptation; methods, inventories, manuals, tools etc. have been supported and published by EUROCLIMA. UNFCCC Sec/EUROCLIMA has provided funds for the Bolivian delegations to the inter-sessional meetings, judged to be useful for the development of common understanding between the G77 Group (led by Bolivia in UNFCCC negotiations) + China. Trough provision of international technical assistance, EU has supported the generation of knowledge and information for decision makers. Nevertheless, it is important that the GoB and/or the Ministries develop a coherent national strategy for information management which EU can adhere to in order to effectively secure access for all (research institutions, universities, private and public sectors) to the information generated.
<p>JC 71 International institutional framework <i>Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> UNFCCC Sec/EUROCLIMA has provided funds for the Bolivian delegations to the inter-sessional meetings and COP meetings where Bolivia has played an important role. The support for the inter-sessional meeting is very useful and helps substantially in the preparation of the COP. The inter-sessional meetings allowed the development of common understanding between the G77 group (led by Bolivia in UNFCCC negotiations) + China which also was triggered by the results of the Bolivian initiative to host the 'Worlds People's Conference on Climate Change and Mother Earth' with around 35.000 delegates by which Bolivia gained support for their proposal to modify the REDD+ mechanism to include a non-market based approach. The negotiation processes and debates have thus enjoyed greater participation and strengthened the debates. Few CDM projects have been registered and validated in Bolivia. An example is the Santa Cruz landfill gas combustion project, which has been developed in accordance with the agreed mechanisms. At present the modalities for financing the JMA is under debate and refinement in the UNFCCC workgroups leading up to the Paris 2015.

<p>JC 72 Greater knowledge <i>Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Bolivian experts participating in the IPCC working groups have not been identified. • More than 20 regional meetings between scientists and decision-makers for the interchange of opinions, knowledge and creation of instruments based on scientific evidence with participation of Bolivian experts and decision-makers have been organised through EUROCLIMA. • EUROCLIMA has supported and published more than 35 studies on effects of climate change and responses for mitigation and adaptation; methods, inventories, manuals, tools etc. • Through provision of international technical assistance, EU has supported the generation of knowledge and information for decision makers. EU programmes has strengthened knowledge through development of methodologies and planning tools for improved information management and institutional capacity development. Appropriation of these tools and knowledge is a gradual process, E.g. tools, lessons learned; studies, interchange meetings and other products developed concerning integrated river basin management have been very useful and has been used to formulate the second phase including an important effort to mainstream climate change. Nevertheless, it is important that the GoB and/or the Ministries develop a coherent national strategy for information management which EU can adhere to in order to effectively secure access for all (research institutions, universities, private and public sectors) to the information generated.
<p>JC 73 Capacity for policy and planning <i>Extent to which EU support to international entities has enhanced developing countries' capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • In 2007 Bolivia developed a National Strategy for implementing the UNFCCC requirements and a Strategy for participation in the CDM and other trading schemes. • Furthermore, the GoB has passed a legal framework (Constitution, Law of the Rights of Mother Earth, 2010), which lives up to the commitments in relation to UNFCCC²⁷. However, this is not fully operationalised in the National Development Plan – nor in the proposed Agenda Patriótica 2025, which to a certain degree counteracts these commitments. E.g. the plans to expand the agricultural frontier, thus inducing more deforestation and/or degradation of soils. • On the other hand the Ministry of Planning and Development is of the opinion that more emphasis should be placed on mainstreaming climate change into river basin management at territorial level with more participation at local levels. • Bolivia has made progress in formulating policies – strategies which addresses climate change as an integral part of development activities (e.g. Plan Integral de Medio Ambiente y Agua). However, the GoB has yet to establish and organise an official MRV system. Information is available through research institutions and the ABT. It does not appear that Bolivia has undertaken a formal NAPA or NAMA although similar adaptation planning has been undertaken within different sectors

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
<p>The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)</p>	<p>There is evidence of increased capacity as outlined in the indicator analysis above. The level of participation especially the leadership of Bolivia in international climate change processes through a variety of forums which is very encouraging.</p>
<p>Developing countries have become more organised and vocal at climate negotiation processes. (JC71)</p>	<p>The EU support has been instrumental but seems not to be the reason for the strong engagement of GoB in the debates. GoB has demonstrated a more organised and vocal contribution to the negotiation processes.</p>
<p>The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in UNFCCC related agreements. (JC71)</p>	<p>GoB proposal for JMA has been listened to and is included in the negotiation text for Paris 2015</p>

²⁷ In 2012, the municipality Villamontes launched the first Municipal Plan on Adaptation to Climate Change. The project is entitled "Connecting our biodiversity to tackle climate change in the South American Greater Chaco, supported by CAF (LA Development Bank) and implemented by the NGOs Nativa; Naturaleza, Tierra y Vida in coordination with the Municipal Government, the AVINA Foundation and Dutch-IUCN.

Overall desk hypotheses	Evidence from Bolivia's case study
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC72)	There is no clear evidence and difficult to measure. Most government officials have access to the internet and thus able to seek the information they require.
That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).	Many have participated in the events and seminars (e.g. through the EUROCLIMA). To a certain extent the exchange of knowledge, methodologies, and tools are applied evidenced by the development of the Integrated Plan for Environment and Water – in fact applying an eco-system approach to development planning. And awareness on impacts of climate change has certainly increased mainly because impacts are so visible today. They were also visible 10 years ago, but not taken very seriously.

5.8 EQ 8: Mainstreaming approach



Context - Bolivia has a well-developed set of guidelines and regulatory framework for EIAs and for environmental integration. Many of the larger investments that require an in-depth EIA are funded via blending mechanisms where the procedures of the lead International Finance Institution are used in accordance with Bolivian law.

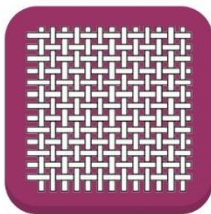
On the other hand, there are signs that the environmental assessment system in Bolivia has been weakened during the present administration and that government related investment projects enjoy especially relaxed procedures for environmental permitting and monitoring (e.g. road building, mining and gas extractions).

<p>EQ 8 Mainstreaming approach <i>To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • The EU policy and approach and the available guidelines for mainstreaming environment and climate change are found appropriate. • They were also found to be well balanced in the sense that they seek to address impacts already in the design phase rather than mitigating impacts caused by the design. Furthermore, they encourage a pragmatic approach. • More recent developments such as the TEEB, Biodiversity Mainstreaming Guidelines are not fully distributed (and used) to all entities. • More important than the guidelines is that the consultants involved are capable of mainstreaming and that the legal provisions of the country are followed.
<p>JC 81 Guidelines and tools <i>Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The guidelines and framework are found suitable by the Delegation but it is noted that in practical terms the main triggers for integrating environment and climate change are; i) the templates that demand the topic to be addressed and ii) the Quality Support Group process which asks detailed questions.
<p>JC 82 Delegation capacity <i>Increased capacity developed within the Delegations to mainstream environment and CC in their operations</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The capacity of the delegation for mainstreaming of environment and climate change is high with in-house technical knowledge on the subject matters. • EUD staff has participated in a number of capacity development activities organised by EU DG Env. • The application of the EU approach and guidelines is much easier when there is an openness and reception among the national partners. Particularly now with a new political prioritisation of environmental and climate change the policy dialogue, reporting on and achievement of environment and climate indicators is noticeably improving.

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)	The evidence from Bolivia supports this hypothesis.
Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)	The capacity development has been taken advantage of and has increased capacity
The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)	Not supported by the evidence from Bolivia. There has been capacity built up for mainstreaming of environment and climate change through the technical support to specific sectors. Due to the impacts of climate change Bolivia has experienced significant advances in mainstreaming environment and climate change in the water management and rural development sectors.

5.9 EQ 9: Mainstreaming practice



Context – The period 2007 to 2013 saw a significant shift in the prioritisation given to environment and climate change. The impacts of climate change combined with the strong political commitment to provide all citizens with water (National Development Plan) have paved the way to prioritise and mainstream environment and climate change in all rural development interventions.

Bolivia has as mentioned under EQ 8 demonstrated that environmental considerations have been weakened during the present administration because government related investment projects seems to enjoy especially relaxed procedures for environmental permitting and monitoring (e.g. road building, mining and gas extractions) even in the agricultural sector where the Agenda Patriótica 2025 plans to expand the agricultural frontier to allow mass-production of soya, not for small holder farmers but for large industrialised agricultural production.

<p>EQ 9 Mainstreaming practice</p> <p><i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • An environmental analysis is included as an annex to the CSP 2007-2013 and is of high quality. It covers the main areas of a CEP and identifies the main environmental issues and challenges. It does address opportunities and climate change. In addition, an actualised complete environmental profile was developed to provide information for the development of the Integrated Plan for Environment and Water. • EU is a strong advocate of mainstreaming environment and climate change into all development interventions in Bolivia as well as in the region. By providing SBS to the various sectors the EU has a stronger position to ensure that GoB policies are complied with (=assure coherence between 'official discourse' and 'actions on the ground'). • EIAs are conducted and followed up with a high degree of rigour for those projects that require an EIA under the Bolivian regulations. • Mainstreaming during implementation has been continuous and has in many ways gone beyond expectations largely because of the increase in political support for climate change mitigation and adaptation. • The EU policies and mainstreaming strategies on environment, biodiversity and climate change are thus promoted in Bolivia and in the region.
<p>JC 91 Incorporation in design</p> <p><i>Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector budget support modalities (throughout the programme cycle)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • In contrary to the modus operandi of donors and banks, there are signs that the environmental assessment system in Bolivia has been weakened during the present administration and that government related investment projects enjoy especially relaxed procedures for environmental permitting and monitoring (e.g. road building, mining and gas extractions). • An environmental analysis is included as an annex to the CSP and is of high quality in that it covers the main areas of a CEP and identifies the main environmental issues and challenges. It does address opportunities and climate change. In addition, an actualised complete environmental profile was developed to provide information for the development of the Integrated Plan for Environment and Water management.

	<ul style="list-style-type: none"> • EIAs are applied in all EU interventions in accordance with Bolivian Law for EIA. EU has during the period supported a road-building project (Uyuni-Tupiza) where the EIA are conducted and followed up with a high degree of rigour in accordance with the EIA procedures under the Bolivian regulations. • No SEA has been undertaken to inform the SBS in the water and sanitation sector (rural-peri urban development) or in the SBS to fight illegal drugs (agricultural sector), however, the approach to support in the sectors has never the less been informed by the elaboration of a complete environmental profile and mainstream environment and climate change in the interventions.
<p>JC 92 Incorporation in implementation <i>Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The sector budget support operations for water and sanitation have included support to national sector policy reform that evolves around environment and climate change. • As the support is sectoral budget support there are on-going attempts to introduce environmental indicators reinforcing the government's integrated approach to water resources management for the release of variable tranches. • A large part of EU support to rural development (water – sanitation) is given as SBS. Indicators for the SBS follow the national macro-economic and specific sector policy indicators, its institutions and human resources to be provided by the government. • Sector policy reform. Examples include: support to the development of the Integrated plan for Environment and Water as well as the support to the implementation of the National Action Plan to fight against Illicit Trafficking of Drugs, which is interlinked with food security and alternative rural development mainstreaming climate change adaptation and resilience. EU clearly advocates mainstreaming of environment and climate change in line with the official GoB discourse. • As mentioned above work still remains for the establishment of environmental indicators reinforcing the government's integrated approach to environment and water resources management in relation to the provision of budget support; • The inclusion of environment and climate change in national budgets is not easy to distinguish. Significant funding has been released from the TGE for water supply and sanitation whereas other sub-sectors such as protected areas and watershed management receive less to nothing and thus, during the period, has been subsidised by EU and other donors. • By providing SBS the EU has been instrumental (and attempts even further) to include (measurable) environmental and climate change indicators reinforcing the government's integrated approach to environment and water resources management. • Furthermore, EU has analysed sub-sector goals and priorities in view of environment and climate change to suggest strategic policy guidelines in the proposed planning tool Agenda Patriótica 2025²⁸. • The EU – Bolivia cooperation (geographic instrument) has (by 2013) mainstreamed environment and climate change in all sectors. • Support to road building has been provided through the Latin American Investment Facility (LAIF). The Bank (LAIF) has investigated environmental and social aspects of the road building project during appraisal and verified that the promoter has followed the relevant EU environmental and social principles, standards and practices. The Bank has also verified the acceptability of the project in terms of likely environmental impacts and proposed mitigation and compensation measures. The EIA recommendations are monitored during the project period by the EU Delegation. No specific follow up is made or planned to be made by the EU.

²⁸ The GoB has drafted the Agenda Patriótica 2025 in 2013 with the aim of converting it into the National Development Plan. However, it has not been approved as such yet.

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;	This hypothesis is supported by the evidence from Bolivia. Where policy dialogue in conjunction with other factors (budget support, a harmonised donor approach, political willingness) led to successful mainstreaming. Policy dialogue is however strained by the GoB's position towards traditional aid cooperation partners having formed new allies with China and Venezuela. In particular, China – Bolivia relations has expanded substantially from economic and cultural ties to military, transport, infrastructure, raw materials, education and other areas. China's relationship with the region has recently (January 2015) been strengthened through the CELAC-China Forum which agreed on a cooperation plan basically in all sectors and with anticipated large Chinese investments. Whether environment and climate change are mainstreamed in these interventions are unknown.
The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;	It would be plausible to conclude that the CEP has had an effect on the design of the interventions in that many of the environmental considerations and issues are taken up in the support documents.
An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of environment and cc;	The design of the EU support is evidence of an improved mainstreaming of environment and climate change. The continuous policy dialogue, the provision of technical assistance on environmental and climate change issues and the follow up on SBS indicators is also evidence of improved mainstreaming.
When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).	In many ways implementation has exceeded the expectations of the design documents, in part because there was a change in policy and priority given concerning climate change. The creation of the MEW has helped the process.

	Bolivia answers	
Sectors	Infrastructure – Road building	Agriculture and rural development (water and sanitation)
SPSP/SBS (Y/N)	N	Y
I 911		
Has CEP been prepared? (Y/N)	Yes, as annex to the CSP .	
Good Quality CEP? (Y/N)	Yes	
I 912		
SEA screening done for SPSP? (Y/N)	N	N
SEA found necessary? (Y/N)	N/A	N
SEA done for SPSP? (Y/N)		
Env screening/ EIA/CC risk screening done for projects? (Y/N)	Yes	Yes (although they are too small to fall under the regulations)
I-913		
SPSP support policy reform? (Y/N), if yes:	N/A	Yes
Does it promote mainstreaming? (Y/N)	N/A	Y
As general statement or concrete measures? (GS/CM)	N/A	CM
SPSP require env/cc indicators (Y/N)	N/A	Yes
SPSP call for env and CC items in sector budget? (Y/N)	N/A	Yes
I-921		
Does CSP reflect CEP recommendations? (Y/N)	Yes	
If not, is an explanation provided? (Y/N)	-	-

	<i>Bolivia answers</i>	
I 922		
Were SEA indicators monitored? (Y/N)	N/A	N/A
Were SEA recommendations implemented? (Y/N)	Not known yet	-
Were EIA indicators monitored? (Y/N)	Y	-
If yes, did they show improvements? (Y/N)	Y	-
Were EIA recommendations implemented? (Y/N)	Y	-
I-923		
Is policy dialogue addressing env and CC? (Y/N)	Y	Y
Are policy reform measures for env and CC implemented? (Y/N)	N/A	Y
Are env and CC indicators reported on? (Y/N)	Y in relation to EIA mitigation	Y attempted
Is EU asking for data on env and CC indicators? (Y/N)		Y
Are there env and CC items in sector budget? (Y/N)	N/A	Y
Evidence that EU promoted env and CC budget items? (Y/N)	Y	Y

5.10 EQ 10: Complementarity



There are not many ENRTP financed projects being implemented in Bolivia, most of the support is at regional level in cooperation with ECLAC) with support from UNEP (ROLAC), IICA, JRC, UNDP and UNFCCC Secretariat. Direct ENRTP support to implementation of specific projects in Bolivia has been channelled through Calls for Proposals.

In addition, ENRTP supports the MEA implementation through direct contributions to the MEA Secretariats and UNEP which also plays a role in the implementation of the regionally established programmes (EUROCLIMA, FLEGT).

<p>EQ10 Complementarity <i>To what extent has EU used its available instruments in a way that enhances complementarity in support of the overall EU goals of a healthy environment, sound natural resource management and strong environmental and climate governance in developing countries?)</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> All instruments available are in one way or the other used to achieve the EU goals of achieving a healthy environment, biodiversity conservation, sound natural resources management and climate governance in Bolivia. Synergies and complementarities between the instruments are actively sought and duplications avoided. The instruments available have each their advantages and can address the issues at different levels in accordance with the goals.
<p>JC 101 Uniqueness and relevance of ENRTP instrument <i>ENRTP has enabled the EU to address environment and climate change issues, which could/would not have been better, or equally well, addressed through its geographical instruments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> ENRTP instrument has been used in support of Regional Programmes such as EUROCLIMA, EURO-SOLAR, FLEGT implemented with assistance from UNEP, UNDP, IICA, JRC, and EuropeAid. The ENRTP allows for engaging in innovative (and perhaps controversial in view of the government practice) interventions, which are not possible through an SBS. E.g. involvement of NGOs (testing of alternative mechanisms for payment of environmental services (the Climate Change Mitigation and Adaptation through Payments for Environmental Services project) through the NGO <i>Fundación Natura</i> Bolivia); testing of approach²⁹ for 'payment of environmental services' that proved reasonably successful judged by the strong support to the approach by the civil society (e.g. Conservation and Improved Forest Management in Santa Cruz); providing up-to-date information and communication services to isolated (outside the national grid) communities (EURO-SOLAR kit to 59 communities). The ENRTP modality of Calls for projects allows civil society (grassroots organisation, NGOs, local actors, man-communities) in coordination with municipalities to participate in concrete interventions. This is important in view of the provision of SBS because the GoB in general, does not promote NGO cooperation and partnership (especially environment NGOs). The ENRTP can address regional and international dialogue; exchange of information and experiences as well as fostering a common understanding

²⁹ The GoB opposes the mechanism 'payment for environmental services' established

	<p>on environment and climate change. The GoB has rejected the REED+ mechanism and aims for JMA (see JC-12). Through the ENRTP it has been possible for EU to test such alternative approach as strategies and actions plans for implementation of JMAs is still under development in spite of government policies.</p>
<p>JC 102 Synergies – ENRTP and Geographic instrument <i>Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The EUD in Bolivia has been recognised as one of the most progressive Delegations in Latin America in promoting synergies between the various instruments. • Synergies and complementarities are sought. This is evidenced by the fact that natural resources management projects implemented through Calls for Proposals has allowed EU to better approach and find solutions to the difficulties encountered on the ground by the people in implementing national policies. This knowledge has fed into the SBS where issues are addressed at national institutional level policy formulation and implementation as evidenced by the development of the Integrated Plan for Environment and Water. • Lessons learned from the <i>Climate Change Mitigation and Adaptation through Payments for Environmental Services project</i> are used to inform the future work supported by EU in the various focal sectors, in particular for the Integrated Management of Environment and Water at territorial level. • Likewise, the experiences gained through EUROSOLAR are expected to be used in the SBS to the Integrated Environment and Water plan implementation. • Another example is the synergies between the EU Programmes: PACSBIO (support to biodiversity) and FONADAL (aid to integral development with coca leaf). They share some of the same indicators and thus seek to cooperate in areas of common interest. In so doing, a number of projects (around 90) are to be implemented in protected areas that are being threatened by illegal coca cultivation. EUD has worked hard to open dialogue between SERNAP and FONADAL, as is the first time these institutions will work together. • The ENRTP Calls for project have included activities in coordination with ECHO (EU Humanitarian Aid), to address climate change and risk management in areas assisted by ECHO. • The Regional Programmes benefit/can benefit from the presence of dedicated and technical staff of the EUD Bolivia facilitating in depth knowledge of activities within the fields in Bolivia, which in turn are brought to the regional level.
<p>JC 103 Synergies – ENRTP and other donors <i>Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • For many years the traditional donors (EU, EU member states, USAID, the Banks) have participated in a donor coordination group: Grupo Social de Desarrollo (GRUS) with participation of the Ministry of Planning and Development. EU is very active in GRUS. Since 2011 the key donors in the environment and climate change sectors have coordinated activities through various working groups both politically and technically through exchange of information and lessons learned. • In 2013, the EUD in Bolivia, jointly with the representatives of Belgium, Denmark, Germany, France, Italy, Sweden and Switzerland, adopted a European Coordinated Response (ECR), which establishes a cooperation framework for partner states willing to coordinate effectively their respective programming exercises. The ECR, which has been discussed and agreed with the government, will guide the programming exercises of the participating countries and their agencies, and represents the basis for a joint development cooperation dialogue with the Bolivian government. This coordinated approach will lead to a clearer division of labour, and improved complementarity between the interventions, in respect of the international principles of Aid Effectiveness and the EU Code of Conduct. • Furthermore, the ECR also contains a commitment of all its signatories to move towards full joint programming as of 2017, aligning their respective programming cycles to the Bolivian one. A common roadmap has been prepared which envisages that the joint cooperation strategy may be adopted by the end of 2015. This joint cooperation is led by the EU.

Summary of hypotheses

Overall desk hypotheses	Evidence from Bolivia's case study
ENRTP adds value in different ways: a) It enables support for global process; b) it allows EC to engage in important global environmental issues that cannot be tackled at the national level; c) it generates innovations and new approaches and knowledge; and d) it enables EU to engage in important environmental issues in countries where this is not possible under geographic instruments, albeit at a much lower scale. (JC101)	The ENRTP instrument has added value to the programme in Bolivia in all the mentioned ways.
There are sometimes overlaps in the types of actions financed by ENRTP and geographic instruments. (JC101)	No evidence found
Complementarity between actions under ENRTP and geographic instruments has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, a number of actions do take advantage of complementarities. (JC102)	Complementarity between interventions either funded by ENRTP or geographic instruments is actively pursued.
Due to the global and catalytic focus on ENRTP, it is more common that ENRTP provides benefits to geographical actions than vice-versa. (JC102)	The use of ENRTP in the LAC region seems adequate in view of the limitations of bi-lateral cooperation vs regional cooperation.
It is difficult in practical terms to effectively pursue complementarity between actions under different instruments and even more so with other donors. Better coordination and strengthened guidance to delegations could help enhancing complementarity. (JC102 and JC103)	No evidence of such difficulties.

6 Annexes

6.1 Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Posición</i>	<i>Where</i>
Alvaro Baez	DGBAP-VMA	Cuerpo Técnico	Bolivia
Andrés Visinoni	PACSBIO	Experto de la Asistencia Técnica Internacional	Bolivia
Carlos Ortuño Yañez	EUD	Viceministro de Recursos Hídricos y Riego, MMAA	Bolivia
Carlos Saavedra	Helvetas, SwissIntercooperation	Especialista en Recursos Naturales	Bolivia
Cecilia Garcia	Plan Nacional de Cuen- cas Ex AT Apoyo Sectorial al Plan Nacional de Cuen- cas	Administradora	Bolivia
Eduardo Duran	SERNAP	Director Planificación	Bolivia
Eduardo Forno	Conservación Internac- ional	Director Ejecutivo	Bolivia
Emmanuel Hondrat	EUD	Agregado, Sección de Cooperación Económica y Temática	Bolivia
Fernando Ponce de Leon	MMAyA	Asesor VMA	Bolivia
Fernando Villarte	SERNAP	Cuerpo Técnico	Bolivia
Francisco García	EUD	Primer Secretario, Jefe de la Sección de Cooperación	Bolivia
Juan Carlos Vilaseca Berríos	Plan Nacional de Cuen- cas	Responsable Temas Estratégicos, Unidad de Gestión Ambiental y Calidad de Aguas	Bolivia
Juan Planas	EUD	Ministro Consejero	Bolivia
Luca Citarella	EUD	Oficial de programa en medio am- biente	Bolivia
Luis Fernando López	FONADAL	Responsable de Fortalecimiento Institucional	Bolivia
Marcelo Barrón Arce	Cooperación Suiza en Bolivia	Oficial Nacional de Programa	Bolivia
Miguel Erland Arispe	FONADAL	Director General Ejecutivo	Bolivia
Roberto Salvatierra	Ministerio de Medio Am- biente y Agua	Viceministro de Medio Ambiente, Biodiversidad, Cambios Climático y de Gestión y Desarrollo Forestal	Bolivia
Sergio Urioste	FONADAL	ATI	Bolivia
Teresa Perez	DGBAP-VMA	Cuerpo técnico	Bolivia
Trond Norheim	Autoridad Plurinacional de Madre Tierra	Danida, Asesor	Bolivia
Verónica Vargas	DGBAP-VMA	Cuerpo Técnico	Bolivia
Viviana Caro	Ministerio de Planificación del Desarrollo	Ministre	Bolivia
Vladimir Requena	SERNAP	Cuerpo Técnico	Bolivia

6.2 Annex 2: List of documents consulted

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6.3 Annex 3: List of the projects and programmes specifically considered

Table 2 EU Environment aid in Bolivia 2007-2013 (million EUR)

<i>Intervention</i>	<i>Date of Approval</i>	<i>Assigned Amount (m €)</i>
Sustainable Natural Resources Management Programme in the Lake Poopó river basin	11/9/2009	10.9
Sector Budget Support for implementation of the National Plan for Water and Sanitation – rural area.	8/3/2012	24.0
Sector Budget Support for the National System of Protected Areas (PACsBIO)	MULTI	18.0
Sector Budget Support for implementation of the National Sanitation Plan	11/10/2010	20.0
Sector Budget Support for implementation of the National Plan for River Basin Management	12/12/2008	19.0

Source: CRIS, Particip analysis

Table 3 Overview of EU interventions (all sectors) financed in Bolivia in the period 2007-2013.

<i>Intervention</i>	<i>Date of Approval</i>	<i>Assigned Amount (m €)</i>
Support to the generation of employment in the mining areas of Bolivia (EMPLEOMIN)	11/9/2009	10.0
Support to the Sector Plan "Productive development with decent work"	11/9/2009	12.0
Diversification and Increase of Exports Support Project	11/10/2010	13.0
Institutional Capacity Building Programme for the National Council to Combat Illegal Drug trafficking (CONALTID)	11/10/2010	9.0
Institutional capacity building for Social Control of Coca Production	10/26/2007	10.0
FONADAL - YUNGAS (Assistance for the implementation of the Strategy for Alternative Development in relation to Coca production through FONADAL (Fondo Nacional de Desarrollo Alternativo)	8/11/2004-	13.0
Sustainable Management of Natural Resources in Lake Poopo Watershed.	11/9/2009	10.9
SUBTOTAL Project Support		77.9
Support programme for the improvement of the financial and fiscal environment of small business (PAMEFF)	8/29/2011	35.0
Support for the implementation of the Integrated Development Plan for Coca Production	10/26/2007	26.0
Support for the implementation of the Sector Plan for Rural Water Supply and Sanitation (PASAP)	8/3/2012	24.0
Support for the implementation of the Plan for the National Protected Areas System in Bolivia (PACSBIO)	MULTI	18.0
Support for the implementation of the National Sanitation Plan	11/10/2010	20.0
Support for the implementation of the National Watershed Management Plan (ASPNC)	12/12/2008	19.0
Support in response to the food price crisis to strengthen the policy on food security in Bolivia.	120/9/2009	11.8
SUBTOTAL – Sector Budget Support (APS)		153.8
Integrated study on Coca leaves in Bolivia	4/17/2007	1.0
Support to addressing socio-political conflict in Bolivia	8/2/2012	4.0
Promotion of Political Dialogue and Effective Democratic Institutions in Bolivia"	10/5/2009	4.0
SUBTOTAL Instrumente de Estabilidad (IFS)		9.0
TOTAL		240.7

Source: GFA-EU (2014) Evaluación de la cooperación de la EU-Bolivia 2007-2013

Country Note – China

by Bjorn Bauer and Xi Xie on field mission from 26-30 January 2015.

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List of Acronyms

BCM	Bilateral Cooperation Mechanism
CBD	Convention Biodiversity
CC	Climate Change
CD	Capacity Development
CDM	Cleaner Development Mechanism
CEP	Country Environmental Profile
CITES	Convention for International Trade of Endangered Species
CM	Concrete Measure
COP	Conference of Parties
CSP	Country Strategy Paper
CSR	Corporate Social Responsibility
DCI	Development Co-operation Instrument
DG	Directorate General
DG CLIMA	Directorate General Climate Action
DG DEVCO	Directorate General Development and Co-operation
DG ENER	Directorate General Energy
DG ENV	Environment
DG TREN	Former Directorate General of Transport and Energy
EaP	Eastern Partnership
EC	European Commission
ECBP	EU-China Biodiversity Programme
EDF	European Development Fund
EIA	Environmental Impact Assessment
EMS	Environmental Management System
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Environment Natural Resources Thematic Programme
EPD	Environment Policy Dialogue
EQ	Evaluation question
ETS	Emissions Trading System
EU	European Union
EUD	European Union Delegation
EUR	Euro
FAO	Food and Agriculture Organisation
FLEGT	Forest Law Enforcement, Governance and Trade
FP	Framework Programme
FYP	Chinese Five Year Plan
GDP	Gross Domestic Product
GE	Green Economy
GEEREF	Global Energy Efficiency Renewable Energy Fund
GHG	Green House Gases
GIZ	Gesellschaft für Internationale Zusammenarbeit
GoPRC	Government of the People's Republic of China
GS	General Statement
ICARE	EU-China Institute for Clean and Renewable Energy
IPCC	International Panel on Climate Change

JC	Judgment Criterion
LDC	Lesser Developed Countries
LECB	Low Emission Capacity Development
LEDs	Low Emission Development Strategies
LEDS	Low Emission Development Strategies
MDG	Millenium Development Goal
MEA	Multilateral Environmental Agreement
MEP	Mediterranean Environment Programme
MIP	Multi-annual Indicative Programming
MOST	Ministry of Science and Technology of China
MRV	Monitor, Verify and Report
MS	Member State
MWR	Chinese Ministry of Water Resources
NAMA	Nationally Appropriate Mitigating Action
NAP	National Action Plan
NAPA	National Adaptation Plan of Action
NCCCC	National Coordination Committee on Climate Change
NDRC	Chinese National Development and Reform Council
NGO	Non-Governmental Organisation
OHS	Occupational Health and Safety
PCCP	Provincial Climate Change Programmes
PDSF	Policy Dialogue Support Facility
PMR	Programme for Market Readiness
PPP	Public-Private Partnership
SBS	Sector Budget Support
SCP	Sustainable Consumption and Production
SEA	Strategic Environmental Assessment
SEPA	Chinese State Environmental Protection Agency
SFA	Chinese State Forestry Administration
SIDS	Small Island Developing States
SME	Small and Medium Enterprises
SPSP	Sector Policy Support Programme
TBNA	Tianjin Binhai New Area
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Fund
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
WFD	EUs Water Framework Directive
WG	Working Group

Note: The Evaluation uses the common acronym "**EC**" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

The cooperation between China and EU in 2007-2013 was defined by a Country Strategy Paper (CSP) agreed with the Government of China (GoPRC). The GoPRC acknowledges the environmental degradation caused by the impressive economic growth and explicitly recognises environment and climate change as key areas of future cooperation: *'(...) the EC response strategy will be targeted at providing support for china's reform programme in areas covered by sectoral dialogues; assisting China in tackling global concerns and challenges over the environment, energy and climate change (...)*

More specifically, the CSP points out environment and climate related priorities: Energy sector reform (including efficiency, conservation, new and renewable energy, clean coal, methane recovery and use, carbon capture and storage); implementation of the Clean Development Mechanism (CDM); promotion of energy saving and efficiency; natural resources management (including biodiversity conservation); water management; and environmental governance. A mid-term review in 2011 resulted in an Indicative Programme for 2011-2013 with an increased focus on environment, energy and climate change, constituting 56 % of the total envisaged support in the period.

The Chinese government has paid great attention to the environmental issues in response to the challenges arising from the country's population growth and current economic development path. The government has implemented a series of principles, laws and policies for environmental protection. The main policies include the following:

- Making environmental protection one of China's basic national policies.
- Establishing and improving environmental protection organizations under governments at all levels, forming a rather complete environmental control system.
- Accelerating progress in environmental science and technology.
- Carrying out environmental publicity and education to enhance the whole nation's awareness of the environment.
- Promoting international cooperation in the field of environmental protection.

China has established an environmental legal framework that takes the Constitution of the People's Republic of China as the foundation and the Environmental Protection Law of the People's Republic of China as the main body. The Chinese government prioritises the issue of climate change and has included addressing climate change into its mid- and long-term planning for economic and social development. In 2007, China became the first developing country to formulate and implement a national program to address climate change. In 2009, China put forward the goal of action to reduce the per-unit GDP greenhouse gas emission in 2020 by 40-45 percent as compared to that of 2005. To accomplish the above goals, China adopted a range of major policy measures to mitigate and adapt to climate change during the Eleventh Five-Year Plan (2006-2010) period, and has achieved remarkable results. Since 2013, China has been pursuing the targets for addressing climate change set out in the Twelfth Five-Year Plan; implementing the action plan for controlling greenhouse gas emissions, adjusting the country's industrial structure, saving energy, increasing energy efficiency, optimizing the energy structure, increasing carbon sinks, adapting to climate change and intensifying the capability building.

The support of EU and other donors have contributed significantly to the uptake of best practices in Chinese policies and regulations. Geographic instruments using both budget and project support as well as regional projects and support through the ENRTP and SWITCH Asia have all contributed to increasing readiness and reacting to the positive political prioritisation for environment and climate change.

In conclusion:

EQ 1 – EU policy aims – There has been a contribution in China towards the overall EU policy aim of improving environment and climate change in third countries. Although there have not yet in general been visible physical improvements in the environmental situation in China, the EU support has contributed to a stronger national and provincial policy and governance framework and within some areas inspired new regulation and approaches.

EQ2 – Low Emission – EU support to low emission in China is provided through several ENRTP and non-ENRTP projects. The supported projects have provided input to development of low emission policies and regulation, including evidence based on practical pilot projects. The processes, outputs and outcomes of the EU-supported projects contributed to goals of the National Development and Reform Commission (NDRC), which is the lead institution for low emission and the lead partner for EU support within this area.

EQ4 – Biodiversity – EU has supported biodiversity conservation in China through the EU-China Biodiversity Programme, ECBP, and also to some extent through the River Basin Management Programme. The programme embraced three main components: Conservation practice in a suite of field projects; central policy development; and public information and mobilisation. The field projects were comprehensive in scope: 18 projects with budgets of about two million euros each set in far-flung parts of the country and reporting every quarter on a wide range of activities, leading to results in the field as well as thousands of pages of reports, technical manuals, action plans, new regulations and community agreements. They have provided data and a rich source of experiences for the policy development and public information components to build on.

EQ5 – Green economy – EU has supported a series of projects providing input to China's work with green economy, both within sustainable consumption and production and within agriculture and biodiversity. The projects have provided knowledge on best SCP practices, evidence of the value of SCP approaches, inspiration to energy savings, and input to new regulation. As China has for quite some years had a range of economic instruments supporting technological and environmental/climate change upgrading in a number of key industries and also more generic support instruments subsidising the use of energy-saving products, the EU-supported projects have served as platforms for tests and application of best European practices.

EQ6 – Environmental governance – No information on UNEP and MEA Secretariats' activities in China has been received.

EQ7 – Climate governance – The EU has a long history of supporting climate change mitigation in China. Climate change featured strongly in the CSP for 2007-2013 and was strengthened (relatively) with the 2011-2013 MIP. Moreover, China has benefited from support provided under ENRTP with two UNDP implemented projects – LECB and Provincial Programmes and Actions for Climate Change Mitigation and adaptation in China. Overall the climate governance support has been much appreciated.

EQ8 – Mainstreaming approach – DEVCO has made mainstreaming support available for EUDs and to a lesser extent to national counterparts. The budget for training has been reduced significantly during the period evaluated. EUD China Programme Officers leading environment and climate change projects and other EUD-staff have participated in one mainstreaming training course, but overall the value of the DEVCO mainstreaming support has been limited.

EQ9 – Mainstreaming practice – The period 2007 to 2013 saw a stronger emphasis given to the integration of environmental and climate change concerns in new policies, such as China's National Climate Change Programme, the 11th and the new 12th Five Year Plans, and the China National Biodiversity Conservation Strategy and Action Plan (2011-2030) – all calling for mainstreaming of environment and climate change in the development of the productive and other sectors. Mainstreaming is also included in the guidelines for the preparation of sub-national medium-term development programmes. EIAs are a legal requirement for investment projects. A simplified CEP was included in the CSP for 2007-2013.

EQ10 – Complementarity – The EU support for environment in China was provided through ENRTP, SWITCH Asia, and geographic instruments. By volume, the support under geographic instruments was far more significant. ENRTP projects are often multi-country projects – like the LECB project – implemented by international organisations, which stimulate cross-country learning and sharing, unlike actions funded by EDF under the country programme. There is a clear link between ENRTP and geographic actions in relation to climate change support. EU (through ENRTP and geographic funding) and other donors contribute to the climate change mitigation and adaptation, so there are strong synergies between EU ENRTP, EU geographic funding, and other donors.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The mandate and scope of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU's support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (ENRTP) and through the geographic instruments;
- To evaluate the support of the EU to strengthening global environment and climate governance, provided under ENRTP and channelled mainly through international organisations;

- To assess the EU support for mainstreaming environment and climate change issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically focus on outcome and impacts of the EU actions in environment and climate change. Furthermore, the evaluation should identify key lessons and best practise and produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of temporal scope, the evaluation covers aid implementation over the period 2007-2013. The geographical scope includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The purpose of the evaluation is to provide the EU and a wider public with an overall independent assessment on the EU action in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving outcomes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, carried out. From a long list of 35 countries selected in the inception phase for a desk analysis, 11 were further selected for a more detailed analysis. Out of these, 8 countries were selected for the field phase. China was one of them.

The field visits have the following objectives:

- d) To complete the data collection in order to answer the agreed evaluation questions;
- e) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- f) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

2.3 Reasons for selecting this country as a case study country

China was selected because it represents a medium income country moving towards a new partnership instrument modality. In 2003 the environment is considered as a common global challenge for which collaboration is needed and the strengthening of policy dialogue on environment (initiated in 2001) is proposed. In 2005 a Joint declaration on Climate Change is signed. It includes common goals and defines the areas for technical cooperation (energy efficiency, conservation and renewable energy, clean coal, methane recovery, carbon capture and storage, hydrogen and fuel cells and power generation and transmission).

Furthermore, China is the first Asian recipient country of EU support to environment and climate change receives (EUR 57.4 million) in the period 2007-2013, and the fourth country worldwide.

3 Data collection methods used (including limits and possible constraints)

The country mission started with a review of the entire desk based information. A list of relevant stakeholders in the public sector, private sector and civil society was drawn up and discussed with the EU delegation and national partners. Based on this a final list of stakeholders was drawn up by Particip. The local consultant made arrangements to meet the identified partners during the country visit.

A meeting was held with the EU Delegation at the beginning and end of the country visit. Further meetings were held with national counterparts, NGOs and other donors. A full list of people met is given in Annex 6.1.

A structured list of questions was assembled tailored to the cooperation undertaken in China by the teams involved in the elaboration of each evaluation question. This list was supplemented by the list of

hypothesis for each evaluation question and the list of missing information and data that was identified during the desk study. These lists combined to provide the basis for a structured question list for each interview.

The interviews were conducted as semi-structured interviews, where key questions and discussion topics had been prepared in advance for each meeting, while leaving room for adjustments and additions as the interviews progressed. The staff from FAO and UNEP were not able to meet, thus leading to an exchange of emails.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

China is the world's largest country in population, with relatively insufficient energy resources and a complex and fragile eco-environment. The Chinese leadership priorities include sustainable economic growth and the strategic restructuring of the Chinese economy. Increased attention is being paid to social and environmental problems, and to fighting corruption.

Internationally, China is increasingly active in the UN and is keen to promote stability and closer regional co-operation within Asia, where she aims at developing trade and economic relations while reassuring neighbours who are concerned about her military and economic power. Stability on her borders, a guaranteed supply of energy and raw materials and access to water are factors which are essential to China's continued economic growth, and which constitute important elements in the shaping of her foreign policy and her development co-operation policy towards countries in Africa and other regions.

With an average annual growth of more than 9 %, China's GDP has multiplied six fold in 30 years to 30.6 trillion yuan (€3.6 trillion). China has overtaken Germany to become the world's largest exporter and surpassed Japan to emerge as the world's second largest national economy. Such an increase in output represents one of the most sustained and rapid economic transformations seen in the world economy in the past 50 years. This growth has delivered higher incomes, the emergence of a sizeable middle class, and a substantial reduction in the numbers of those living in absolute poverty. It has also led, however, to considerable income disparities and environmental costs.

China has not yet completed the task of industrialization and urbanization and its development is unbalanced. By the UN standard for poverty, China still has a poverty-stricken population of over 100 million, thus it faces an extremely arduous task in developing its economy, eliminating poverty, and improving the people's livelihood. In the meantime, China is one of the countries most vulnerable to the adverse effects of environmental pollution and climate change. Environment and climate issues generate many negative effects on China's economic and social development, posing a major challenge to the country's sustainable development.

China has been the world's largest single contributor to global progress on MDGs. Progress has been impressive across a range of social development indicators such as child mortality, illiteracy and life expectancy. Among areas that required specific attention was the environment.

4.1.1 ENV/CC situation in the country

Along with the growth of China's population, the development of the economy and the continuous improvement of the people's consumption level since the 1970s, the pressure on resources and on the fragile environment has become greater and greater. What's more, the environment problems are felt far beyond China's borders. Logging, fishing and hunting to meet demands of the Chinese market pose threats to biodiversity as far away as Africa. It is estimated that by 2025 the nation will be the world's leading producer of greenhouse gases. The main environment issues of China include habitat and biodiversity loss, air pollution, water pollution, desertification and soil erosion.

About 90% of China's grasslands are experiencing various degrees of degradation and desertification, salinization and rocky desertification. It is estimated that 40% of China's major wetlands are facing threats of severe degradation and coastal mudflats and mangroves particularly have suffered serious damage.

- 15-20 % of wild higher plants in China are endangered and the status of endangered wild animals continues to worsen, with 233 vertebrate animal species facing extinction, the number of about 44% of wild animals declining, as well as the populations of non-protected wild animals decreasing significantly.

- Nearly 60 percent of monitored areas of China had "very poor" or "relatively poor" underground water quality in 2013, a 2014-report stated.
- In 2014, eight of 74 Chinese cities met the air quality targets.

In the context of global warming, climate in China has experienced noticeable changes over the past 100 years as well. The major observed evidence of climate change in China includes the following:

- Precipitation. The annual precipitation decreased gradually since 1950s with an average rate of 2.9 mm/10a, although it increased slightly during the period of 1991 ~ 2000.
- Extreme climate/weather events. The frequency and intensity of extreme climate/weather events throughout China have experienced obvious changes during the last 50 years. Drought in northern and northeastern China, and flood in the middle and lower reaches of the Yangtze River and southeastern China have become more severe.
- Sea level. The rate of sea level rise along China's coasts during the past 50 years was 2.5 mm/a.
- Glaciers. The mountain glaciers in China have retreated, and the trend is accelerating.

Since 2007, China's CO₂ emissions from energy consumption have topped the world and have been growing at a speed of 10 per cent each year. Its energy-related emissions in 2011 reached 8.7 billion metric tons, accounting for 26.8 per cent of global emissions (EIA, 2014a). It faces major challenges in achieving further deep carbon reductions: 1) the rising trend in CO₂ emissions can hardly be changed in the short-term; 2) Mitigation potential from technical progress in some areas is becoming very limited; 3) Investment-driven economic structure holds back deep cuts in emissions; 4) Industrial structure adjustment takes a very long time; 5) China's coal-dominant energy structure will continue for a long period; 6) Imperfect energy pricing system increases the difficulty of carbon mitigation; 7) Mitigation has not received sufficient attention from local authorities.

4.1.2 ENV/CC national policies, legal framework

Although China is still a developing country, the Chinese government has paid great attention to the environmental issues arising from the country's population growth and economic development, and has implemented a series of principles, laws and policies for environmental protection. The main policies include the following:

- Making environmental protection one of China's basic national policies.
- Establishing and improving environmental protection organizations under governments at all levels, forming a rather complete environmental control system.
- Accelerating progress in environmental science and technology.
- Carrying out environmental publicity and education to enhance the whole nation's awareness of the environment.
- Promoting international cooperation in the field of environmental protection.

China attaches equal importance to environmental legislative work and has now established an environmental legal framework that takes the Constitution of the People's Republic of China as the foundation and the Environmental Protection Law of the People's Republic of China as the main body. Apart from the foundation law, there are also many special laws on environmental protection as well as laws on natural resources related to environmental protection. To implement the state's environmental protection laws and regulations, people's congresses and people's governments at local levels have enacted and promulgated more than 600 local laws on environmental protection. Environmental standards are an important component of China's environmental statutory framework. They include environmental quality standards, pollutant discharge or emission standards, basic environmental criteria, criteria for samples, and criteria for methodology.

As for Climate change, the Chinese government constantly sets great store by the issue of climate change and has included addressing climate change into its mid- and long-term planning for economic and social development. In 2007, China became the first developing country to formulate and implement a national program to address climate change. In 2009, China put forward the goal of action to reduce the per-unit GDP greenhouse gas emission in 2020 by 40-45 percent as compared to that of 2005. To accomplish the above goals, China adopted a range of major policy measures to mitigate and adapt to climate change during the Eleventh Five-Year Plan (2006-2010) period, and has achieved good results in terms of gradually changing the direction of consumption and production. Since 2013, China has been pursuing the targets for addressing climate change set out in the Twelfth Five-Year Plan; implementing the action plan for controlling greenhouse gas emissions, adjusting the country's industrial structure, saving energy, increasing energy efficiency, optimizing the energy structure, increasing carbon sinks, adapting to climate change and intensifying the capability building. China is

also playing an active and constructive role in international negotiations on climate change, is promoting the outcomes earned at the Warsaw Climate Change Conference, improving international communication and cooperation, and, through all these initiatives, is making a major contribution to addressing global climate change.

4.1.3 ENV/CC institutional framework (who does what)

China has established special environment administrative institutions in which the National People's Congress enacts the laws, government institutions at different levels take responsibility for their enforcement. The administrative departments in charge of environmental protection exercise overall supervision and administration and the various departments concerned exercise supervision and administration according to the stipulations of the law. The National People's Congress has established an Environment and Resources Protection Committee, whose work is to organize the formulation and examination of drafted laws, exercise supervision over the enforcement of laws and put forward motions related to the issue of environmental and resources protection. The Environmental Protection Committee under the State Council is the State Council's consultancy and coordination agency for environmental protection work. The people's governments at the provincial, city and county levels have also established corresponding environmental protection committees. The Ministry of environmental protection is the competent environmental protection administration agency under the State Council, whose task it is to exercise overall supervision and administration over the country's environmental protection work. Environmental protection organizations have also been established in comprehensive administration departments, resources administration departments and industrial departments under governments at various levels to take charge of related environmental and resources protection work. Most of China's large and medium-sized enterprises have also set up environmental protection organizations responsible for their own anti-pollution work and the promotion of cleaner production.

The Chinese government has set up a system to deal with climate change. In 1998, it established the National Coordination Committee on Climate Change (NCCCC). In order to further enhance the leadership of the work on climate change, the National Leading Group to Address Climate Change, headed by the Chinese premier, was set up in 2007 to draw up important strategies, policies and measures related to climate change, and coordinate the solving of major problems in this regard.. The National Development and Reform Commission (NDRC) was vested to undertake the general work in respect of climate change, and the general office of the National Leading Group was set up and placed in the NDRC. The Experts Committee for Climate Change has been set up to improve scientific decision-making on climate change, and this committee has done a great deal of work in supporting government decision-making and boosting international cooperation and nongovernmental activities.

Another new organization – the National Energy Commission was established in 2010. As a national level organization, the commission in charge of the strategic decision-making on energy structure, policy, price and international collaboration of the nation. Furthermore, local energy sub-commissions were also established at the provincial levels. The head of the new organizations is the Prime Minister and the members are the heads of various government departments. Furthermore, local energy sub-commissions were also established at the provincial levels. Together with existing institutes related to climate change, organizationally formed a managerial structure for low-carbon governance, which could potentially benefit the implementation of various policy instruments.

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

The EU supports the process of economic and social reform underway in China. It backs China's transition towards an open society based upon the rule of law and respect for human rights, and believes this will benefit China's development and social stability.

Environment is currently one of the forefront dialogues in EU-China relationships, thanks to the new importance the Chinese authorities are giving to environmental aspects in China's future development model. Europeans in their role as consumers of Chinese goods are interested in avoiding serious environmental problems in China. Therefore, the EU has decided to intensify its environmental policy cooperation with China, pursue its ambitious environmental agenda – be it on climate change, chemicals or protection and conservation of water resources – and encourage China to put in place similar policies. The EU also works with Chinese authorities to remove barriers to the take-up of environmental technologies in China.

EU-China cooperation on environment was stepped up significantly in recent years through the creation of a policy dialogue between the Commission's Directorate-General for Environment and China's Ministry of Environmental Protection. In the environment policy dialogue: water pollution, air quality

and biodiversity have been singled out as top priorities, but the joint work plan also covers areas such as chemicals, waste and industrial accidents.

Cooperation on climate change is given the highest priority. In 2005, the EU and China agreed to form a Climate Change Partnership to strengthen dialogue on climate change policies, exchange views on key issues in the international climate change negotiations and encourage low carbon technology development and uptake. The work plan established under this partnership covers all areas of climate change policy including: energy efficiency, renewable energies and a major project to demonstrate in China and the EU near-zero emissions coal technology through carbon capture and storage.

Focal sectors of the CSP:

- providing support for China's reform programme in areas covered by sectoral dialogues;
- assisting China in tackling global concerns and challenges over the environment, energy and climate change; and
- supporting China's human resource development.

The MIP 2011-2013 strengthened the focus on the first two priority sectors by integrating resources originally allocated to the third sector, human resource development, within these two priorities.

All EU-China environmental cooperation aims at improving the knowledge of Chinese and EU policy-makers on environment policies applied in China and the EU. The intention is that where European environment policies have proved successful, this experience should be shared with Chinese partners, and vice versa.

The main channels for dialogue between the EU and China as regards environment are:

- **Environment Policy Dialogue**, ministerial level (since 2003): the EPD meets regularly, alternating between Brussels and China.
- Bilateral Cooperation Mechanism on Forests (since 2009)
- **DG CLIMA** also has an ongoing dialogue with China
- **EU-China High Level Economic and Trade Dialogue Mechanism**: a high level meeting for discussing economic, trade and related matters.
- Other annual summits

4.3 Overview of EU-funded interventions

In 2007-2013, EU provided financial and technical support to China in the form of plenty of environment and climate change projects. The key approach was promotion of production standards, contribution of technical, solutions, capacity building as well as policy improvement. These projects involve close partnership between governments and sectors.

1. Improving Environmental and Safety Performance in Electrical and Electronics industry in China (2009-2013) € 2,079,270.22 (80% of total)

This project's objective was to promote economic prosperity and poverty reduction in Asian countries through sustainable growth with reduced environmental impact and improved eco-efficiency, Occupational Health and Safety (OHS) and Corporate Social Responsibility (CSR) practices by industries and consumers, in line with international agreements and processes. The implementation of this project facilitated trade and cooperation among Chinese and European enterprises of electrical & electronics sector resulting from compliance with eco-efficient and sustainable production standards; Reduced risk of workplace accidents and health hazards through implemented OHS measures; Improved social standards through implemented CSR practices.

2. China Higher Efficiency Power and Distribution Transformers Promotion Project from (2009 - 2012) € 625,466.36 (80% of total).

The project of Higher Efficiency Power and Distribution Transformers Promotion Project works towards energy efficiency by increasing the market penetration of higher efficiency transformers. This project aims to increase the market penetration of higher efficiency transformers (S11 and above) in China. Within three years the project plans to reduce electricity losses from power transmission utilities and energy intensive industries, and to cut back on the utilisation of fossil fuels and emissions of greenhouse gases in China, and to improve the air quality. The results of this project answered the call of the Energy Conservation Law of the People's Republic of China, and reduce the unit GDP energy consumption by 20% by the "Eleventh Five"; created awareness among end-users (power distribution utilities and energy-intensive industries) on the need to change China's procurement policies in favour of higher efficiency transformers; Built the capacity of China's energy managers and procurement officers on the life cycle cost analysis; Developed national standards for energy efficiency ratios S11 to

S15; Provided assistance to China's SMEs by building their capacity on designing and manufacturing higher efficiency transformers and providing them with key market intelligence.

3. "Train Of Trainers": A Proposal To Train Chinese Construction Sector SMES In Energy Saving Techniques & Technologies (2009 -2013) € 2,383,359.09 (80% of total)

This project designed to promote sustainable production and reduce the environmental footprint of the construction industry and communicate the values of sustainable building to industry and political decision-makers as well as to the general public. The implementation of this project provided training to key decision-makers in SMEs in eastern China on sustainable building methods and energy saving materials; Promoted European building standards and best practices; provided policy inputs at regional, national, supra-national levels.

4. Electric Motor Systems Energy-Saving Challenge --- Improving the Operating Efficiency of Chinese Electric Motor Systems (2008 -2011) € 899,956.80 (80% of total).

This project aimed to help over 400 major industrial users of electric motor systems improve the operating efficiency of their systems, and to boost demand for high-efficiency motor systems, while actively supporting the creation of a stimulating policy environment. The results of this project finally facilitated over 400 major industrial users of electric motor systems to improve the operating efficiency of their systems, saving about a total of about 1 million tons of CO2 emissions per year, and achieve a far-reaching impact; established of the China Motor Systems Challenge Club; promoted a new motor energy efficiency label.

5. EU-China Environmental Governance Program (2011 - 2015) € 15,000,000.00 (80% of total)

To improve environmental governance by enhancing public participation and corporate responsibility in China, European entities work together with local governments in different parts of China in order to introduce and test new ideas on environmental governance. This program consists of 15 grant-based Partnership Projects in which four themes are involved in: Public access to environmental information, Public participation in environmental consultation and decision making, Access to justice in environmental matters, Proactive engagement of the private sector in sustainable practices.

6. Implementing Industrial Symbiosis and Environment Management Systems in Tianjin Binhai New Area (2009 -2013) € 1,478,652.00 (80% of total).

To promote sustainable production among companies in the TBNA by means of facilitating industrial symbiosis, embedding EMS among SMEs and greening local SME suppliers of multinationals and to create a favorable policy environment for sustainable production in TBNA, in Tianjin and across China.

This project developed and deployed synergy management tools, trained industrial symbiosis network practitioners and developed encouraging policies and develop Chinese guidelines for industrial symbiosis network implementation.

7. Sustainable revival of livelihoods in post-disaster Sichuan: Enhancing eco-friendly pro-poor bamboo production supply chains to support the reconstruction effort (2010-2014) € 1,972,814.48 (79.94% of total).

This project aims to contribute to environmentally sustainable, pro-poor economic growth in post-disaster Sichuan Province, China. As a provincial project, Sustainable bamboo production is ensured through increased resource efficiency and collaboration among target bamboo SMEs, as well as set-up of policy and investment frameworks. The implementation of this project promoted the capacity building among Sichuan SMEs (production of bamboo board, flooring, and furniture and housing products); Triggered investments in the Sichuan bamboo SME sector; Developed a provincial recommendation for an earthquake resistant bamboo building code.

8. Biodiversity Protection Program (2005-2011) € 30,000,000.00 (58.09% of total)

The EU-China Biodiversity Programme is one of the flagship programs of EU-China Cooperation. It started in November 2005 and closed by end of September 2011. The EU contributes 30 million euros. During the six years of implementation, the programme has supported China in developing biodiversity strategy and action plan at national and local levels, especially at all levels across middle and western China. It has helped embed biodiversity conservation as a major mitigation tool in China's response to climate change. It has demonstrated the importance of local communities in conservation work at local levels. It has raised the awareness on biodiversity at government at all levels and the public at large. The programme has transformed the way biodiversity is regarded in China and the way that will be protected in the future.

9. EU-China Clean Energy Centre (2010-2015) € 10,000,000.00 (75.47% of total)

The Europe-China Clean Energy Center is set up to support the Chinese Government's efforts to shape a more sustainable, environment-friendly and efficient energy sector. All EC2 activities are

aimed at promoting the wider introduction and adoption of innovative or infrequently used clean technologies through a combination of research and technological analysis, and through the identification of technological needs, potential projects, best practices and partnership opportunities. Europe-China Clean Energy Center is a hub of excellence for providing support to Chinese policy makers and to other energy sector key players, both Chinese and European.

10. EU-China Institute for Clean and Renewable Energy (ICARE) (2010-2015) € 10,000,000.00 (70.52% of total)

The ICARE aims to fill up the gap between the China's priority in battling against climate change by adopting clean and renewable energy and the lack of a critical mass of Chinese engineers in these new technologies. It aimed at creating the institute designed to deliver a master programme on clean and renewable energy, to provide vocational training and develop a research platform. This institute is located in Wuhan in the premises of Hua Zhong University's campus. ICARE is the third institute for higher education and research founded in the context of political agreements between the European Union and China. Each of these institutes is led by a Sino-European consortium selected from calls for proposals.

11. Natural Forest Management Project (2003-2010) € 15,436,975.78 (72.01% of total)

The "EU-China Natural Forest Management Project" (NFMP) started in July 2003 for duration of seven years with a total financial outlay of € 22.50 million (225 million RMB) from the European Union and the Government of China. The Overall Objective of NFMP is "to improve the natural and human environment through sustainable management of natural forest resources in China" and the Project purpose is "to contribute to environmental stability and sustainable development of local communities by testing and demonstrating an increased range of options for sustainable management of natural forest resources for a variety of beneficiaries". Natural forests in Hainan, Hunan, and Sichuan served as model sites for drafting nation wide policies on the sustainable management of this forest type in China.

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context – The cooperation between China and EU in 2007-2013 was defined in the Country Strategy Paper (CSP). The CSP expresses a significant focus on the environmental degradation caused by the impressive economic growth and explicitly recognises environment and climate change as key areas of future cooperation: '(...) the EC response strategy will be targeted at providing support for china's reform programme in areas covered by sectoral dialogues; assisting China in tackling global concerns and challenges over the environment, energy and climate change (...)

More specifically, the CSP points out environment and climate related priorities: Energy sector reform (including efficiency, conservation, new and renewable energy, clean coal, methane recovery and use, carbon capture and storage); implementation of the Clean Development Mechanism (CDM); promotion of energy saving and efficiency; natural resources management (including biodiversity conservation); water management; and environmental governance. A mid-term review in 2011 resulted in an Indicative Programme for 2011-2013 with an increased focus on environment, energy and climate change, constituting 56 % of the total envisaged support in the period.

<p>EQ 1 Achievement of EU policy aims <i>To what extent has EU support to environment and climate change across different instruments contributed to the EU's overall environment and climate change policy aims?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • There has been a contribution in China towards the overall EU policy aim of improving environment and climate change in third countries. Although there have not yet in general been visible physical improvements in the environmental situation in China, the EU support has contributed to a stronger national and provincial policy and governance framework and within some areas inspired to new regulation and approaches – including within climate change mitigation, biodiversity, river basin management and green economics. • Given the size of the country, actual implementation of national policies is a challenging task. The EU support has provided both policy and regulatory inputs and concrete pilots demonstrating the societal benefits of improved environmental and climate protection and hereby supporting both development and implementation of environmental and climate related policies and regulation. • UNFCCC features strongly in the national climate change policy and debates, and with support from the EU, the Biodiversity Convention CBD has become more visible on the national agenda. The support to River Basin Management has demonstrated new ways of cooperation and of practical solutions to the international water challenges. The SWITCH Asia Programme has supported integration of the Sustainable Consumption and Production approach at policy and regulatory levels.
<p>JC 11 National partner prioritisation of environment and climate change <i>EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There is clear evidence that environment and climate change are being prioritised more by national partners. The GoPRC is increasingly paying attention to the environmental issues arising from the country's population growth and economic development. Environmental protection has become one of China's basic national policies, and the GoPRC is establishing and improving environmental protection organizations under governments at all levels. Greater prioritisation is due to the internal recognition of the importance of environment on social and economic development, as exemplified by the loss of biodiversity, the air pollution problems, the impacts of insufficient river basin management or the impacts of glacier melt in the Himalaya region. • The relatively new environmental legal framework takes the Constitution of the People's Republic of China as the foundation and the Environmental Protection Law of the People's Republic of China as the main body. There are also many special laws on environmental protection as well as laws on natural resources related to environmental protection. • Relations between the European Union and China have intensified in recent years, partly as a consequence of China's economic growth and increasing importance on the world stage. But the rapid development of the relationship also stems from shared interests between the two sides. • In addition to the complementarity of interests in the political arena, in areas such as multilateralism and global sustainable development, further evidence is found in the flourishing area of exchanges on sectoral policies and technical issues or 'sectoral dialogues'. These have grown considerably in recent years and now cover a wide range of areas where China and the EU favour similar approaches.

	<ul style="list-style-type: none"> • The dialogues take place at various hierarchical levels, from working to ministerial level, and constitute an effective tool for deepening EU relations with China. A "Policy Dialogue Support Facility" financed under the Commission's 2005-2006 National Indicative Programme for China (€6 million) was initiated and has continued during the complete programming period. • China's increasing appetite for energy has significant repercussions on global markets and on the environment. The energy dialogue has been in existence since 1994 and is one of the earliest sectoral dialogues – with annual working group meetings and a bi-annual Conference on EU-China Energy Co-operation. • A Memorandum of Understanding establishing a "EU-China Dialogue on Energy and Transport Strategies" between DG TREN and the NDRC was signed on the occasion of the EU-China Summit in 2005 – with focus on Energy policies, Energy efficiency, energy savings and the environmental impact of energy. • A EU-China Dialogue Platform was established to provide politicians, researchers and practitioners at central and decentralised levels a framework for dialogue, exchange of best practices and cooperation on Integrated River Basin Management. • Chinese policymakers see environmental protection as a major challenge and the dialogue with State Environmental Protection Agency (SEPA), the Ministry of Science and Technology (MOST) and the National Development and Reform Council (NDRC) take place at ministerial level. • The Joint EU-China Declaration on Climate Change, adopted at the September 2005 Summit, served to identify steps for tackling climate change. • The main factor influencing the choice of EU focal sectors (environment, climate change, and areas covered by Policy Dialogues (trade, financial, social protection)) is the preference of the government and coordination with other donors. • EU support has been well aligned with national priorities and the projects have in general been formulated in close cooperation with the relevant national institution. <ul style="list-style-type: none"> ○ The programming documents (2007-2013) of the geographic instrument clearly take into account the needs and priorities of the country –even if at the time they may have gone beyond the current priorities and practices. The most support has been in the form of bilateral programmes through technical assistance. ○ Climate change interventions under ENRTP are well aligned with national priorities; SWITCH Asia projects are in line with the Chinese ambitions on SCP, however each and every project may not be directly linked to national top-priorities. • EU supported projects have demonstrated relevant EU policy instruments and practices with several key areas, including biodiversity conservation, energy management, river basin management and green economics. <ul style="list-style-type: none"> ○ Aspects of the EU's Water Framework Directive (WFD) have been incorporated in the 2011 No. 1 Document on Water, and the MWR has integrated the participatory approach to watershed rehabilitation and integrated rural development in the 2010 Law on Soil and Water Conservation. ○ The revision of the National Biodiversity Conservation Strategy and Action Plan in 2011 took advantage of tools and experience from the EU supported biodiversity programme ECBP. ○ The 2014 Environmental Protection Law benefitted from EU supported initiatives, for example related to environmental information disclosure, transparency, and public participation. ○ Provincial climate impact mitigation policies and plans have benefitted from several EU-supported projects within the climate area. ○ SWITCH Asia supported projects have contributed to develop and demonstrate good practices especially within sustainable production (cleaner production, symbiosis etc.) with a rub-off on national policies and regulation within the area. • In 2007, China became the first developing country to formulate and implement a national program to address climate change. In 2009, China put forward the goal of action to reduce the per-unit GDP greenhouse gas emission in 2020 by 40-45 percent as compared to that of 2005. To accomplish the above goals, China adopted a range of major policy measures to mitigate and adapt to climate change during the Eleventh Five-Year Plan (2006-2010) Since 2013, China has been pursuing the targets for addressing climate change set out in the Twelfth Five-Year Plan.
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	<ul style="list-style-type: none"> EU's contribution to China's increased prioritisation of environment and climate change policy is clear, and within several areas (including biodiversity, climate change, river basin management, energy) EU-support has provided important input to the preparation and implementation of policies and regulation.
<p>JC 12 Use of instruments to enhance achievement of policy aims</p> <p><i>The extent to which ENRTP and geographic instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<p>Findings</p> <ul style="list-style-type: none"> Most support has been in the form of bilateral programmes through technical assistance. EU support has been well aligned with national priorities and the projects have in general been formulated in close cooperation with the relevant national institution. Some support has been provided via (among others) UNDP and FAO and thus the policy positions promoted are those of the global institutions rather than specifically of the EU. The policy positions of these global institutions are however very close if not identical to that of the EU. China is a signatory to all the major MEAs and has taken part in conferences etc. for years – without support from EU projects. ENRTP actions have also supported national priorities, e.g. by reinforcing provincial climate change mitigation plans. The SWITCH Asia Sustainable Consumption and Production (SCP) programme has with around 20 individual projects supported uptake of the SCP approach and contributed to the implementation of SCP principles in regulation and development plans (for example for industrial zones). Ongoing policy dialogues between Chinese and EU at top level have provided recurrent options for EU engagement in environment and climate change. The Environment Policy Dialogue at Commissioner/Minister level has taken place since 2003 with regular meetings, covering many aspects of the latest progress in the field of environmental protection in the EU and China, sharing insights on the environmental issues with strategic and global nature, and acknowledging efforts by both sides to address key global environmental challenges. There is also Bilateral Cooperation Mechanism on Forests, BCM, with the Chinese State Forestry Administration, SFA, at director level (since 2009), and DG CLIMA has an ongoing dialogue with China in the Climate Change Partnership. Support provided for environmental and climate governance through UNEP and UNFCCC has not taken place.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
The priority given by national partners to environment and climate change issues has gradually increased. (JC11)	There is evidence of an increase in priority, with inclusion of environment and climate change in the 11th Five Year Plan and even stronger focus in the 12th Five Year Plan, specific climate commitments and increased focus on biodiversity, river basin management etc.
Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)	No strong evidence for the hypothesis. In China, policy dialogue is formalised through policy dialogue working groups arranged around sectors and issues. There are also informal contacts but they do not substitute the formal arrangements.
MEA processes have influenced national policy debates. (JC12)	China is an active player in relation to international agreements and negotiations and a signatory to all major MEAs. UNFCCC features prominently on the agenda, CBD and other MEAs are less visible.
Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)	The support for environment and climate change is fully aligned with national priorities.
ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)	The few ENRTP projects have been well aligned with national priorities
Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)	Not assessed for the country mission.

5.2 EQ 2: Low emission



Context – EU support to low emission in China is provided through several ENRTP and non-ENRTP projects. The supported projects have provided input to development of low emission policies and regulation, including providing evidence based on practical pilot projects.

The processes, outputs and outcomes of the EU-supported projects have been (during interviews) appreciated by the National Development and Reform Commission (NDRC), the lead institution for low emission and the lead partner for EU support within this area.

<p>EQ 2 Low emission <i>To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • An ENRTP project on Provincial Programmes and Actions for Climate Change Mitigation & Adaptation in China has been implemented by UNDP with a series of important results: Guidelines on preparation of provincial climate change programmes; provincial programmes on climate change mitigation and adaptation in 14 pilot provinces; and capacity building in the 14 pilot provinces to address climate change. • China joined the Low-Emission Capacity-Building Project (UNDP) to establish low-carbon products certification rules in Chongqing and Guangdong, to develop low carbon product standards and GHG accounting methodologies, and to conduct low carbon product certification demonstration pilots. • Programmes similar to Low Emission Development Strategies have with EU support been prepared in 14 provinces (one province can have 100 million inhabitants)
<p>JC 21 Monitoring, Reporting and Verification <i>Increased capacity to Monitor, Verify and Report (MRV)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • China has an MRV system in place at the national/province level. • The EU is sharing experience with its range of market-based and regulatory policy instruments to shift toward low carbon economy and foster green growth. A good example is the cooperation initiated with the NDRC on emission trading. • The EC is co-funding a project concerning provincial climate change efforts, implemented by UNDP, and dealing with MRV at the national / province level for the development of inventories – more aggregated than needed for ETS. The project has further build capacity for MRV in the private sector focusing on toolkits and exchanges. This has been of some benefit to developing an MRV system for ETS in terms of raising general awareness in a partial way.
<p>JC 22 NAMAs and LEDS <i>Availability of strategies and actions that support a low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • China's National Climate Change Programme 2007-2011 outlined objectives, basic principles, key areas of actions, as well as policies and measures to address climate change. • NAMAs have been developed for overall national efforts as well as for a series of sectors (Agriculture and forestry; Industry; Buildings; Transportation), regions, and product groups. • The Outline of the 12th Five-Year Plan for National Economic and Social Development underlines the importance of climate change and integrates measures for addressing it into the country's mid-term and long-term plans for economic and social development. It sets binding targets to reduce energy consumption per unit of GDP by 16 percent, cut CO2 emissions per unit of GDP by 17 percent, and raise the proportion of non-fossil fuels in the overall primary energy mix to 11.4 percent. It defines the objectives, tasks and policy orientation of China's response to climate change over the next five years and identifies key tasks, including controlling greenhouse gas emissions, adapting to climate change, and strengthening international cooperation. • To fulfil the objectives and tasks, the State Council has issued a number of important policy documents, including the Work Plan for Controlling Greenhouse Gas Emissions. During the 12th Five-Year Plan Period and the Comprehensive Work Plan for Energy Conservation and Emission Reduction During the 12th Five-Year Plan Period. • 14 provincial LEDS have with EU support been prepared paving the way for low emission development in a considerable part of the country. • The National Development and Reform Commission has approved low-carbon development plans for all provinces and cities that are designated as pilot areas – many prepared with support from the EU. It has

	<p>strengthened its guidance of pilot projects, improved its operational capabilities, and promoted the construction of a low carbon industrial system. All designated pilot provinces and cities have set up low-carbon leading groups and established mechanisms for decision-making, consultation, basic research, pilot demonstration, and international exchange and cooperation. A carbon intensity reduction index has been included in the comprehensive evaluation of regional economic and social development and the cadre performance appraisal system.</p>
<p>JC 23 Capacity for low emission development <i>Increase in knowledge on implementing low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The ENRTP project on Provincial Programmes and Actions for Climate Change Mitigation & Adaptation in China has rooted in China the concept of low carbon development. It included Guidelines on preparation of provincial climate change programmes; provincial programmes on climate change mitigation and adaptation in 14 pilot provinces; and capacity building and awareness raising activities in the 14 pilot provinces to address climate change. • All provinces have launched activities on institutional and capacity building: supporting outreach, education and training on climate change in order to increase public awareness; enhancing training for professionals and managers on relevant disciplines; strengthening multi-department decision-making and coordination mechanisms in order to shape an efficient organizational structure and a management system responsive to climate change. • This Programme is supporting development of new policies and actions for climate change mitigation and adaptation in pilot provinces and autonomous regions across China. In the Project Document of PCCP with EU's financial assistance the following results are planned: <ul style="list-style-type: none"> • Provision of Guidance and Guideline on the preparation of Provincial Climate Change Programmes (PCCP). • Provincial Programmes on Climate Change Mitigation and Adaptation in 14 Pilot Provinces. • Development of the Outlines of Provincial Climate Change Programmes in other 20 Provinces, Municipalities and Autonomous Regions in China. • Feasibility studies on adaptation in Hebei and mitigation in Chongqing. • Provincial Capacity Building for 14 Pilot Provinces to Address Climate Change. • Institutional arrangements along with capacity building at provincial level are being put in place as the project-covered provinces have all set up climate change divisions within the provincial development and reform commissions. • China in 2011 joined the Low-Emission Capacity-Building Project (UNDP) to establish low-carbon products certification rules in Chongqing and Guangdong, to develop low carbon product standards and GHG accounting methodologies, and to conduct low carbon product certification demonstration pilots – several of the themes mentioned are incorporated in the 12th FYP. • A project entitled Studies into Provincial Legislation on Climate Change: a Case Study of Jiangsu Province was initiated to improve provincial legislation on addressing climate change and gain experience for accelerating the passing of national legislation. • The Ministry of Science and Technology and the National Development and Reform Commission have jointly formulated the National Scientific and Technological Actions on Climate Change during the 12th Five-Year Plan Period. The Ministry of Science and Technology has passed the Development Plan for National Program on Key Basic Research Projects to support the Climate Change Technology Special Project and also passed a Global Change and Major National Scientific Research Plan to improve the basic scientific research into climate change.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
<p>In-country coordination efforts work and would be likely to offer a good partial solution to the coordination effort;</p>	<p>There is evidence that the in-country coordination in China is working, e.g., the UNDP implemented LECB project has been coordinated with GIZ (having worked with, among others, energy efficiency and climate-friendly development in a province and selected cities) – and in government through the NDRC.</p>

<i>Overall desk hypotheses</i>	<i>Evidence from Chine's case study</i>
NAMAs developed so far likely to be bankable or attract private sector finance;	Already in 2010 more than 30 NAMAs had been prepared and many of these have been or are being implemented.
The NAMAnet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;	The NAMAnet has not been operational in China (it was not known about in China by the people consulted).
The PMR market readiness approach is attracting the private sector to be engaged;	Not applicable in China
The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;	No actions from the Green Diplomacy Network
The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.	The support for mitigation in China has been strong so there has not been an issue of de-linking technical and political advances. Political will is now, in some ways, ahead of the technical capacity.

5.3 EQ 3: Sustainable energy



GEEREF has not been active in China. For this reason this evaluation question was not covered in China. EU support for sustainable energy includes two major projects: The EU-China Clean Energy Centre in Beijing which aims to offer a holistic approach (technical solutions, policy and regulations combined) to promote the introduction of clean energy technologies and support the transformation of the Chinese economy into a low carbon one; and the EU-China Institute for Clean and Renewable Energy (ICARE) aiming at supporting China's priority in mitigating climate change by adopting clean and renewable energy by supporting the critical mass of Chinese engineers in these new technologies.

5.4 EQ 4: Biodiversity



Context – EU has supported biodiversity conservation in China through the EU-China Biodiversity Programme, ECBP. The programme embraced three main components: Conservation practice in a suite of field projects; central policy development; and public information and mobilisation. The field projects were comprehensive in scope: 18 projects with budgets of about two million euros each set in far-flung parts of the country and reporting every quarter on a wide range of activities, leading to results in the field as well as reports, technical manuals, action plans, new regulations and community agreements. They have provided

data and a rich source of experiences for the policy development and public information components to build on.

The National Environmental Protection Agency (now the Ministry of Environmental Protection (MEP)) issued in June 1994 the China Biodiversity Conservation Action Plan. To further strengthen biodiversity conservation in China and effectively cope with new problems and challenges facing biodiversity conservation in China, the MEP, jointly with more than 20 ministries and departments, has updated the Biodiversity Strategy and Action Plan (2011-2030) in which strategic goals, strategic tasks and priority areas and actions are identified for biodiversity conservation in China for the next two decades.

EQ 4 Biodiversity	Main findings
<i>To what extent has EU support (via the ENRTP and geographic instruments) helped improving the capacity of partner countries to prevent/reduce the loss of biodiversity?</i>	<ul style="list-style-type: none"> • ECBP has furthered the integration of biodiversity considerations into the policies, procedures and programmes of different economic sectors at both central and local levels. It has helped to break down institutional barriers to coordinated decision making and action and has strengthened collaboration on biodiversity conservation between government, academia, non-governmental organizations, religious institutions and community groups. Many of the partnerships formed will continue after the programme ends and co-workers across the country have been exposed to new ideas in conservation and will apply them in varying degrees to their work. • ECBP has helped the Ministry of Environmental Protection and the broader government in revising the National Biodiversity Strategy and Action Plan, and a number of regional and local biodiversity conservation strategies and action plans have been prepared. These aim to integrate biodiversity into the broader development context and should have lasting benefits to China.

	<ul style="list-style-type: none"> Innovative arrangements for the inclusion of biodiversity conservation into performance appraisal systems for government departments and officials have been introduced under ECBP in at least two field projects.
<p>JC 41 Implementation of Commitments <i>Enhanced capacity of partner countries to implement their commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES</i></p>	<p>Findings</p> <ul style="list-style-type: none"> MEP updated the China Biodiversity Strategy and Action Plan (2011-2030) with strategic goals, strategic tasks and priority areas and actions identified for biodiversity conservation in China for the next two decades. Since submission of the first Biodiversity Strategy in 1994, seven goals identified in the Action Plan were up to 2011 mostly achieved and the implementation of the Action Plan has played an active role in promoting biodiversity conservation in China. Among observed challenges were insufficient effectiveness of implementation of some actions and projects in the Action Plan, insufficient funding, lack of a monitoring system and low level of public awareness of biodiversity conservation. National goals included: Legal system of biodiversity conservation; implementation of plans and programmes; improved mechanisms for biodiversity conservation; improved capacity for research and monitoring; notable achievements in in-situ conservation; strengthened biological safety management; improved international cooperation. The capacities of MEP staff and CBD Steering Committee members to undertake biodiversity conservation across government sectors have been raised through the ECBP project, including on issues such as Ecological Impact Assessment (with compulsory national guidelines since 1997), EIA, inclusive conservation planning, and climate change threats and mitigation. ECBP has promoted the development of a central biodiversity information system and establishment of a standard for national monitoring and reporting of biodiversity, responding to challenges included in the 1994 China Biodiversity Conservation Action Plan. This is a requirement under the CBD and is essential to help evaluate conservation activity and identify conservation needs and priorities in China. The national and regional 12th Five Year Development plans for the first time make explicit reference to biodiversity – the ECBP is mentioned as one (of many) contributor(s) to this development; there is, however, still room for improvement, particularly with reference to ecological/ environmental assessment for large infrastructure and other economic development projects. EU has not specifically supported implementation of the CITES Convention but China apparently complies with CITES provisions and have completely prohibited all trade with endangered species. Relevant institutions include CITES Management Authority of China and CITES Scientific Authority of China. A 2012 report assess that the effectiveness of CITES legislation is in place in terms of Powers of CITES authorities, Clarity of legal obligations, Control over CITES trade, Consistency with existing policy, on wildlife management and use, Coverage of law for all types of offences, Coverage of law for all types of penalties, Implementing regulations, and coherence within legislation.
<p>JC 42 Ability to conserve biodiversity <i>Strengthened national capacity to conserve habitats/ecosystems</i></p>	<p>Findings</p> <ul style="list-style-type: none"> ECBP has pursued a range of outcomes in conservation in the wider landscape and has brought to the fore the necessity to manage whole landscapes, including the protected areas as constituent parts of the landscape. ECBP activities have incorporated biodiversity considerations into economic development activities, established community based management schemes based on sustainable use of biodiversity in livelihoods, merged wild species conservation objectives with the narrower perspectives “agrobiodiversity”, “mainstreamed” biodiversity into natural resource management in major ecosystem types, and empowered people through information on biodiversity, conservation and government and public responsibilities. Subjective observations indicate that biodiversity conservation is taken increasingly seriously in government, in commerce and among the general public as a result of ECBP activities. ECBP experience on the field projects can have wide application in the planning of other initiatives to conserve biodiversity through sustainable markets, including the management of wild species sustainably for commercial markets. The results of the field projects have not fully been fed into national level

	<p>policy making and dissemination to other regions of China for duplication where appropriate. It is a long term process requiring better coordination among sectors and agencies, increased capacity at all levels, and – most important – a fundamental change in development planning approaches.</p> <ul style="list-style-type: none"> • ECBP organized numerous training courses, workshops, seminars and public displays and events: under the Project Management Office at central level (climate change threats and mitigation, and environmental impact assessment); and on the field projects (including biodiversity assessment, ecosystem management, alternative energy and income generating opportunities, and data analysis). • A range of innovative methodologies have been applied: • Community conservation results are best when the community genuinely wants to achieve the result and is not involved simply because an outside donor is providing funds. WCS FP applied this principle in their approach to resolve the conflict between local people and brown bear (<i>Ursus arctos</i>). • One of the pilot projects concentrated on the development of a new kind of nature conservation area for China – a multi-use “national park” that combines conservation with economic use. • Under the Land Consolidation FP biodiversity considerations were introduced into the land-use planning system of Hainan Province through establishment of a new category – “Land for Ecological Uses”. This is the first time that biodiversity conservation has been introduced at that level into land-use planning and an important step towards establishing such a system nationwide.
<p>JC 43 Knowledge and Information on Biodiversity <i>Improved availability of, and access to, knowledge and information on biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • ECBP has promoted the development of a central biodiversity information system and establishment of a standard for national monitoring and reporting of biodiversity. This is a requirement under the CBD and is essential to help evaluate conservation activity and identify conservation needs and priorities in China. • Innovative arrangements for the inclusion of biodiversity conservation into performance appraisal systems for government departments and officials have been introduced under ECBP in at least two field projects. • The field projects have piloted community driven conservation areas, alternative livelihood schemes aimed at reducing impacts on nature reserves, ecological certification for forest-friendly harvesting of traditional Chinese Medicines, voluntary peer-enforced schemes for reduction of grazing, and part community funded schemes to minimize human wildlife conflict. • ECBP has pioneered some important advances in public access to information, in dialogue with the public, and in stimulating the public to form groups to further conservation – a kind of empowerment through information. • The ECBP reportedly also has used innovative methods for getting messages across to inspire people and to make them advocates themselves for conservation. There is material for all levels of engagement: from serious students of biodiversity conservation to local lobbyists on specific issues of concern. Numerous leaflets, books, and films were produced under the programme. Films have been shown on local television for months, short TV clips and radio spots were aired, newspaper articles published, CDs produced, and roadside advertising boards erected to display pithy environmental slogans.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
Biodiversity issues are now mainstreamed (including increase in budgets) into the new lot of CSP. Tools developed are applied	Biodiversity is not specifically addressed in the 2011 MIP.
EU innovative approaches to habitat/ecosystem management are applied in PPP	Many innovative approaches to habitat and ecosystem management have been applied in provincial pilot projects, and national and regional five year plans now include considerations on biodiversity.
EU SPSP for protection of biodiversity at national level is on the increase	SPSP in China has not been provided for biodiversity.

Overall desk hypotheses	Evidence from China's case study
Research programmes (show-cases/results) are used for the development – formulation of country strategies, programmes, projects financed by ENRTP-EDF-geographical instruments.	Biodiversity research has been supported in China, but no new planned support to biodiversity has been identified.

5.5 EQ 5: Green economy



Context – The EU has provided relevant support to an already ongoing process of gradually and slowly directing the Chinese society towards a more green economy. Green economy is not a new issue in China. China has for quite some years had a range of economic instruments supporting technological and environmental/climate change upgrading in a number of key industries and also more generic support instruments subsidising the use of energy-saving products. The National Development and Reform Commission has formulated the Development Plan for a Circular Economy During the 12th Five-Year Plan Period; issued and

implemented the Methods for Management of Recycling of Waste Electrical and Electronic Products; catalogued 60 model circular economy projects across the country; begun the construction of bases for comprehensive re-use of industrial solid waste in 12 regions; stepped up efforts to promote key generic circular economy technologies, and identified 18 national education demonstration bases for developing a circular economy

The Ministry of Industry and Information Technology, together with other relevant departments, have issued two editions of the Catalogue of Energy-saving and New-energy Vehicle Models Eligible for Vehicle and Vessel Tax Reduction or Exemption. The Ministry of Finance and the Ministry of Transport have earmarked special funds for energy conservation and emission reduction to subsidize 402 projects in 2011 and 2012 that achieved a reduction of 1.837 million tons of CO₂ emissions. The Ministry of Agriculture has invested 4.3 billion yuan, directing local governments to increase subsidies to encourage the use of methane gas. In 2011, a total of 41 million households were using methane, cutting CO₂ emissions by 60 million tons. The ministry also allocated 13.6 billion yuan to launch a subsidy and bonus mechanism for grassland ecological protection in nine provinces and autonomous regions including Inner Mongolia, Tibet, Xinjiang and Gansu. The State Forestry Administration has increased subsidies for afforestation and forest management and invested more than five billion yuan in pilot projects to subsidize forest management.

The EU support is provided in the context where many parts of the Chinese economy and society in principle recognise the Green Economy approach, but without adopting it yet. EU support to pilots and transfer of good practices has been welcomed.

<p>EQ 5 Green economy <i>To what extent has the EU support enhanced sustainable and resource-efficient production and consumption policies and practices³⁰ and therefore contributed to the greening of the economy of supported countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Around 20 projects have been carried out under the SWITCH Asia SCP Programme – covering both green public procurement and market based improvement of the environmental performance of many sectors and product types. • EU-support to energy efficiency in industries and households, to CDM and to ETS has also contributed to more resource efficient production and consumption in China. • National stakeholders clearly indicate that the demonstration of European competences and practices within SCP has contributed significantly to development of policies, regulation and pilots in China.
<p>JC 51 Green economy capacity <i>Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The many practical oriented SCP projects under SWITCH have provided evidence, knowledge of best practice, good case stories, and input to capacity of policy makers, business groups and civil society. • The SWITCH Asia program is demand driven with calls for proposals and the projects have been developed and implemented in cooperation between Chinese and European stakeholders, demonstrating ability to develop and implement SCP actions. • SWITCH projects are not as a rule linked to policy makers or regulators, but input has been provided on a case-by-case basis in the individual projects. • The National Development and Reform Commission has formulated the Development Plan for a Circular Economy During the 12th Five-Year Plan Period; issued and implemented the Methods for Management of Recycling of Waste Electrical and Electronic Products; catalogued 60 model circular

³⁰ SCP interventions are the main scope. Natural resources management interventions are not considered.

	economy projects across the country; begun the construction of bases for comprehensive re-use of industrial solid waste in 12 regions; stepped up efforts to promote key generic circular economy technologies, and identified 18 national education demonstration bases for developing a circular economy. Experience from SWITCH projects has to a certain extent and in specific contexts contributed to this development.
<p>JC 52 Green economy implementation <i>Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The Development Plan for a Circular Economy During the 12th Five-Year Plan Period has many similarities to a national action plan on SCP; also the Cleaner Production Promotion Law from 2003, amended in 2012, has significant SCP elements. • The Chinese economy is slowly changing to a greener one, many industries have improved the environmental performance of processes and products, and green public procurement is being gradually introduced. This development is driven by national prioritisations – environmental, economic and social – and the EU support has demonstrated good practices that have been adopted by the Chinese authorities. • SWITCH Asia has funded around 20 projects within SCP and several of these have demonstrated significant potential for upscaling – for example projects concerning greening of the metal industry, a project on industrial symbiosis, and a project on wood processing. • A national framework of economic instruments related to green products has been in place for years and is still being developed. China has for quite some years had a range of economic instruments supporting technological and environmental/climate change upgrading in a number of key industries and also more generic support instruments subsidising the use of energy-saving products – as an example the Comprehensive Work Plan for Energy Conservation and Emission Reduction. In 2010-11, 7 billion yuan were designed to stimulate the development of the energy saving, environmental protection and new energy sectors. • In 2011, the government earmarked 13.5 billion yuan in technological upgrading funds, which in turn generated investments amounting to 279.1 billion yuan. The National Development and Reform Commission oversaw the publication of the fourth edition of State Key Energy-Efficient Technology Promotion Catalogues, covering 22 energy-efficient technologies in 13 industries including coal, electric power, and iron and steel. • The Ministry of Industry and Information Technology has published the Notice of Carrying out Energy Efficiency Benchmarking and Target-Hitting Activities in Key Industries, directing all local governments to press ahead with these activities, implement energy-saving technologies in key enterprises, and actively promote advanced energy-saving production processes. Catalogues, applications and technical guidelines for advanced energy conservation and emissions reduction technologies have been compiled for 11 key industries including iron and steel, petrochemicals, nonferrous metals and building materials, covering more than 600 energy-saving technologies; the ministry has continued to promote the creation of energy management centers in industrial enterprises, and launched pilot programs for the online monitoring of industrial energy consumption. • There is still room for significant expansion of the green element in national policies.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?	The individual SWITCH projects have created awareness but the Network Facility has only created awareness to a lesser extent.
Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from SWITCH-Asia and how has this changed the programmes?	Not applicable in China.
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa programmes?	Not applicable in China.

Overall desk hypotheses	Evidence from China's case study
Have capacity building activities on SEA increased the quality of SEAs?	Not applicable in China
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	There are some funding of green technologies – but no information on the uptake among SMEs.
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not applicable in China
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	20 SWITCH Asia projects have been carried out, covering a wide range of themes and sectors and not clearly demonstrating a SWITCH strategy for the country.
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	SWITCH has contributed to some mainstreaming of some GE principles into different sectoral policies, for example covering electrical equipment industry and building products industry.
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	There are good examples from the electrical equipment industry and the heat pump industry, from the construction sector, and from more general projects introducing environmental management in industries.

5.6 EQ 6: Environmental governance



Context – ENRTP has not contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) or UNEP-related processes in China.

5.7 EQ 7: Climate governance



Context – The EU has a long history of supporting climate change mitigation in China. Climate change featured strongly in the CSP for 2007-2013 and was strengthened (relatively) with the 2011-2013 MIP. Moreover, China has benefited from support provided under ENRTP with two UNDP implemented projects – LECB and Provincial Programmes and Actions for Climate Change Mitigation and adaptation in China.

<p>EQ 7 Climate governance <i>To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Specific UNFCCC support has not been identified, including funding for participation in COPs or intersessionals. • EU Support has enhanced the capacity of China to implement their climate mitigation obligations, for example through support to preparation of provincial low emission strategies. • EU support to China through ENRTP has been focused on Climate change and has contributed to increased national capacity on climate change and to provincial LEDs.
<p>JC 71 International institutional framework <i>Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • China has a strong voice in the UNFCCC negotiation process and developing countries generally work through the G-77 and China to establish common negotiating positions on issues of interest to them. • UNFCCC-support to China has not been identified. As a non-LDC country, China finds it difficult to access funding although their climate issues are severe. China has not received funding from the Adaption Fund. • EU support has strengthened Chinese capacity mainly related to national implementation of climate mitigation obligations.

<p>JC 72 Greater knowledge <i>Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • A number of Chinese experts are involved in the IPCC and UNFCCC expert groups, including co-chairing the IPCC Working Group 1 'The Physical Science Basis', participation in work under WG 2 'Impacts, Adaptation and Vulnerability' and WG3 'Mitigation of Climate Change', and membership of the Task Force on National Greenhouse Gas Inventories. • Capacity has been supported for CDM, ETS, MRV, LEDs, adaptation and other climate related approaches – as dealt with under EQ2
<p>JC 73 Capacity for policy and planning <i>Extent to which EU support to international entities has enhanced developing countries' capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The skills and knowledge developed during the many supported climate change related projects and components have been applied in a number of national projects and also processes such as the updating of GHG inventories. • National climate change programs have been prepared; many NAMAs have been prepared; a series of provincial LEDs are prepared and gradually being implemented; MRV connected to ETS is being piloted; climate commitments are pursued. • Direct support from UNFCCC has not been identified.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)	There is evidence of increased capacity for implementation of climate change obligations, development of MRV, ETS, CDM and other relevant approaches. Climate change is an important subject in talks under the EU Policy Dialogue Forums.
Developing countries have become more organised and vocal at climate negotiation processes. (JC71)	The EU support within the climate change theme has been very well received by the Chinese authorities.
The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in UNFCCC related agreements. (JC71)	Not applicable for China as a non-LDC country.
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC72)	There is evidence of increased capacity for implementation of climate change obligations, development of MRV, ETS, CDM and other relevant approaches.
That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).	NAMAs have been prepared within, among others, the following themes: Five year plans; National policies; Regulations and standards; Incentives; Agriculture and forestry; Industry; Buildings; Transportation.

5.8 EQ 8: Mainstreaming approach



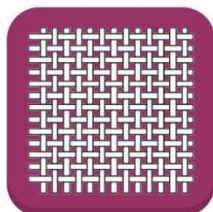
Context – DEVCO has made mainstreaming support available for EUDs and to a lesser extent to national counterparts. The budget for training has been reduced significantly during the period evaluated. EUD China Programme Officers leading environment and climate change projects and other EUD-staff have participated in one mainstreaming training course, but overall the value of the DEVCO mainstreaming support has been limited.

<p>EQ 8 Mainstreaming approach <i>To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The EU policy and approach and the available guidelines for mainstreaming environment and climate change are found appropriate. • An EU course on mainstreaming was found too basic to be of significant use for those that are already interested in / working with environment and climate attend (training was targeted those not dealing with ENV and CC in daily operations). • The two (previously three) environmental focal persons are highly active and engaged with both projects and the national partners within environment and climate change. • The Helpdesk's technical support has not been used (but environment and climate change feature prominently in the EU support to China) • The capacity of the EUD within ENV and CC is good but a recent decrease in staff means that overall capacity cannot meet the increasing needs.
<p>JC 81 Guidelines and tools <i>Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The policies were generally found to be clear and without any major issues. • The 2009 mainstreaming guidelines are known but have not been much used – among others because a significant part of the support is directly targeting ENV or CC.
<p>JC 82 Delegation capacity <i>Increased capacity developed within the Delegations to mainstream environment and CC in their operations</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The Helpdesk's technical support has not been used. • An EU course on mainstreaming was found too basic to be of significant use for specialist, however useful for staff less experienced within ENV and CC. • Recent staff reductions mean too little overall ENV and CC capacity in the delegation.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
<p>The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)</p>	<p>The evidence from China supports this hypothesis.</p>
<p>Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)</p>	<p>The capacity development has been taken advantage of too limited extent and found to be too basic/generic for specialists.</p>
<p>The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)</p>	<p>Not supported by the evidence from China. Most support is targeting ENV and CC. The ECBP programme has promoted mainstreaming across sectors in terms of policy formulation and capacity building.</p>

5.9 EQ 9: Mainstreaming practice



Context – The period 2007 to 2013 saw a stronger emphasis given to the integration of environmental and climate change concerns in new policies, such as China's National Climate Change Programme, the 11th and the new 12th Five Year Plans, and the China National Biodiversity Conservation Strategy and Action Plan (2011-2030) – all calling for mainstreaming of environment and climate change in the development of the productive and other sectors. Mainstreaming is also included in the guidelines for the preparation of sub-national medium-term development programmes. EIAs are a legal requirement for investment projects.

A simplified CEP was prepared in connection with the elaboration of the CSP for 2007-2013.

<p>EQ 9 Mainstreaming practice <i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU support to agriculture and rural development has been provided through the large biodiversity project ECBP – with clear focus on biodiversity, environment, and climate change issues. • A project on Forest Tenure Reform in China did not specifically target environmentally sound forest management practices, but part of the underlying rationale of the project was to establish a balance between farmers' benefits and ecological protection. • Support to institutional capacity building for the civil aviation sector embraced some environmental aspects, e.g., environmental issues were included in the seminars for developing the capacity at operations level. • Support to the aviation sector has included environmental concerns as a minor sub-component.
<p>JC 91 Incorporation in design <i>Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector budget support modalities (throughout the programme cycle)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The transport/roads sector only received support with a project concerning the civil aviation sector – with limited ENV and CC aspects and contents.
<p>JC 92 Incorporation in implementation <i>Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • More than 50 high level policy dialogue groups have been formed between EU and China. The dialogues constitute a tool for widening and deepening EU relations with China, for exploring new areas of common interest, and for exchanging know-how. • The Sectoral Dialogues cover a wide spectrum of fields and sectors, like Education and Culture, Environment, Energy, Employment and Social Affairs, Information Society, Public Health, Agriculture, Regional Policy, Food Safety etc. • Environment and climate change are dealt with in the designated forums and are included in other forums where relevant and feasible. As examples: The Enterprise dialogue has included Product Eco-Design Policies, and the Agriculture dialogue has included Environmental Protection Technology and Experience and Clean Production Technology; the Urbanization dialogue has included green urban travel.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
<p>Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;</p>	<p>China does not provide evidence to verify or falsify this hypothesis, as policy dialogue did not promote mainstreaming. The climate change projects and the biodiversity programme demonstrate that EU support can influence policy and governance systems.</p>
<p>The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;</p>	<p>Not relevant for China</p>
<p>An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of environment and cc;</p>	<p>Not relevant for China, as agro-infrastructure was not supported under the 2007-2013 country programme.</p>
<p>When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).</p>	<p>Not confirmed and not entirely applicable in China. Environment and climate change are the key issues of the CSP and most support has been provided to these themes – with tangible results.</p>

	<i>China desk answers</i>
Sectors	Infrastructure
SPSP/SBS (Y/N)	N (mainly project support)
I 911	
Has CEP been prepared? (Y/N)	N
Good Quality CEP? (Y/N)	n/a
I 912	
SEA screening done for SPSP? (Y/N)	n/a
SEA found necessary? (Y/N)	n/a
SEA done for SPSP? (Y/N)	n/a
Env screening/ EIA/CC risk screening done for projects? (Y/N)	N
I-913	
SPSP support policy reform? (Y/N), if yes:	n/a
Does it promote mainstreaming? (Y/N)	-
As general statement or concrete measures? (GS/CM)	-
SPSP require env/cc indicators (Y/N)	-
SPSP call for env and CC items in sector budget? (Y/N)	-
I-921	
Does CSP reflect CEP recommendations? (Y/N)	n/a
If not, is an explanation provided? (Y/N)	-
I 922	
Were SEA indicators monitored? (Y/N)	n/a
Were SEA recommendations implemented? (Y/N)	n/a
Were EIA indicators monitored? (Y/N)	n/a
If yes, did they show improvements? (Y/N)	n/a
Were EIA recommendations implemented? (Y/N)	n/a
I-923	
Is policy dialogue addressing env and CC? (Y/N)	Y
Are policy reform measures for env and CC implemented? (Y/N)	Y
Are env and CC indicators reported on? (Y/N)	Y
Is EU asking for data on env and CC indicators? (Y/N)	N
Are there env and CC items in sector budget? (Y/N)	Y
Evidence that EU promoted env and CC budget items? (Y/N)	N

5.10 EQ 10: Complementarity



Context – The EU support for environment in China was provided through ENRTP, SWITCH Asia, and geographic instruments. By volume, the support under geographic instruments was far more significant. All three instruments have supported climate change related actions, and environment has been supported by both SWITCH Asia and geographic instruments. Some ENRTP support is through a multi-country project implemented by UNDP, which report to Brussels, and the SWITCH programme also does not report to the EU delegation; for SWITCH Asia calls for proposals, the EUD plays a role in selection.

<p>EQ10 Complementarity</p> <p><i>To what extent has EU used its available instruments in a way that enhances complementarity in support of the overall EU goals of a healthy environment, sound natural resource management and strong environmental and climate governance in developing countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • ENRTP projects are often multi-country projects – like the LECB project – implemented by international organisations, which stimulate cross-country learning and sharing, unlike actions funded under the country programme. • In China there is a clear link between ENRTP and geographic actions in relation to climate change support. • EU (through ENRTP and geographic funding) and other donors contribute to the climate change mitigation and adaptation, so there are strong synergies between EU ENRTP, EU geographic funding, and other donors.
<p>JC 101 Uniqueness and relevance of ENRTP instrument</p> <p><i>ENRTP has enabled the EU to</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The LECB project implemented by UNDP is a multi-country effort in which China to some degree can benefit from experience from other

<i>address environment and climate change issues, which could/would not have been better, or equally well, addressed through its geographical instruments</i>	countries (the specific challenges in China are not always similar to those in other and smaller countries). The issue is, on the other hand, well known and lots of experience exists which means that in many respects the issue could also have been dealt with through a geographical instrument at least in China
JC 102 Synergies – ENRTP and Geographic instrument <i>Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other</i>	Findings <ul style="list-style-type: none"> The climate change interventions financed by the two types of instruments have complemented each other, with different but associated objectives and activities. As an example, the ENRTP project on Provincial Programmes and Actions For Climate Change Mitigation & Adaptation dealt with overall preparation of provincial climate change programmes, including energy efficiency, while the non-ENRTP project on Low Energy Housing in Sichuan and Shenzhen, China provides approaches and evidence for construction of low energy housing. Discussions during project preparation between EU Brussels the EUD and the Chinese stakeholders have contributed to ensuring this complementarity.
JC 103 Synergies – ENRTP and other donors <i>Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other</i>	Findings <ul style="list-style-type: none"> EU and other donors contribute to the climate change mitigation and adaptation process and there are strong synergies between EU ENRTP, EU geographic funding, and other donors – achieved through involvement of stakeholders in project preparation and through donor coordination. As an example, GIZ is supporting Energy efficiency and climate-friendly development in one province (Jiangsu) and in selected cities – closely related (but not overlapping) with the ENRTP project on provincial programmes and actions for climate change mitigation and adaptation.

Summary of hypotheses

Overall desk hypotheses	Evidence from China's case study
ENRTP adds value in different ways: a) It enables support for global process; b) it allows EC to engage in important global environmental issues that cannot be tackled at the national level; c) it generates innovations and new approaches and knowledge; and d) it enables EU to engage in important environmental issues in countries where this is not possible under geographic instruments, albeit at a much lower scale. (JC101)	a. No evidence of this in China b. No evidence of this in China c. Is supported by the LECB project d. No evidence of this in China
There are sometimes overlaps in the types of actions financed by ENRTP and geographic instruments. (JC101)	No evidence of this in China.
Complementarity between actions under ENRTP and geographic instruments has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, a number of actions do take advantage of complementarities. (JC102)	There appear to be good synergies between the ENRTP and geographic instrument supported climate change interventions.
Due to the global and catalytic focus on ENRTP, it is more common that ENRTP provides benefits to geographical actions than vice-versa. (JC102)	No evidence of this in China.
Complementarity between ENRTP actions and actions of other donors has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, some actions do take advantage of complementarities. (JC103)	The ENRTP climate change projects appear to be complementary to actions of other donors due to frequent donor coordination meetings and the coordinating and managing role of the National Development and Reform Commission in terms of climate change mitigation and adaptation.
It is difficult in practical terms to effectively pursue complementarity between actions under different instruments and even more so with other donors. Better coordination and strengthened guidance to delegations could help enhancing complementarity. (JC102 and JC103)	There are examples of synergies between different donors. However, in relation to the SWITCH Asia call for proposals, a stronger involvement of EUDs could enhance the scope for synergies/complementarity between SWITCH Asia and geographic instruments.

6 Annexes

6.1 Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
Bernhard Felizeter	German Industry & Commerce Greater China Beijing	Head of Department Environmental Services	China
Cai Lei	Nature Conservation Department, Ministry of Environmental Protection	Director	China
Cesar Moreno	EU Cooperation Instruments, Delegation of the European Union	Attache	China
Chen Neng	China Energy Conservation Association	Vice Secretary-General of CHPA, the Project Manager	China
Chen Xiaohuan	China Energy Conservation Association	Training department Director, Project deputy director	China
Chen Xiaoting	Foreign Economic Cooperation Office, Ministry of Environmental Protection	Project official	China
Dimitri de Boer	EU-China Environmental Governance Programme (EGP)	Team Leader	China
Fu Rong	FAO Representation in China	Programme Officer	China
Gao Dongfeng	Resource and Environment Branch, National Technical Committee 415 on Waste Product Recovery of Standardization, China National Institute of Standardization	Deputy Director of Emission Reduction Division	China
Huang Miao	Division of European Affairs Department of International Cooperation Ministry of Environmental Protection	Deputy Director	China
Huang Xueju	EU Cooperation Instruments, Delegation of the European Union	Project Officer	China
Jady Wang	Operations, EU Cooperation Instruments, Delegation of the European Union	Attache, Project Officer	China
Lars Gronvald	Delegation of the European Union	Head of Cooperation	China
Li Jingyun	Policies, Laws and Regulations Department, Ministry of Environmental Protection	Deputy Director	China
Liu Shijun	Energy and Environment Team, United Nations Development Programme in China	Programme Manager	China
Luo Yu	Department of International Trade & Economic Affairs, Ministry of Commerce	First Secretary	China
Peng Sizhen	The Administrative Centre for China's Agenda 21	Deputy Director General	China
Peng Yanyan	Resource and Environment Branch, China Na-	Director of General Affairs Department	China

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
	tional Institute of Standardization		
Song Zhongkui	China Energy Conservation Association	Executive Deputy Secretary-General, Senior Engineer	China
Teng Yue	Energy and Environment Team, United Nations Development Programme in China	Programme Assistant	China
Tong Guichan	Division of International Cooperation, Department of Building Energy and Science & Technology, Ministry of Housing and Urban-Rural Development (MoHURD), P.R. China	Division Director	China
Ursula Becker	GIZ	Project Director of Sino-German Environmental Partnership	China
Vicky Pollard	Environment and Climate Change, Delegation of the European Union	Counsellor	China
Wang Shu	Climate Change Department, National Development and Reform Centre	Deputy Director	China
Wei Xiaowei	Dept. of international cooperation. National Energy Administration	Director	China
Wu Jiayu	Division of European Affairs Department of International Cooperation Ministry of Environmental Protection	Project official	China
Yu Hai	Division of Environmental Strategy Policy Research Center for Environment and Economy Ministry of Environmental Protection	Director and Senior Research Fellow	China
Yuan Qingdan	Policy Research Centre for Environment and Economy,(PRCEE) Ministry of Environmental Protection EU-China Environmental Governance Programme(EGP)	Deputy Director General Programme Director	China
Zhang Weidong	Energy and Environment Team, United Nations Development Programme in China	Programme Manager	China
Zhang Xiaolian	Foreign Economic Cooperation Office, Ministry of Environmental Protection	Deputy Director	China
Zhuo Zhuang	Division of European Affairs / Department of International Cooperation Ministry of Environmental Protection	Director	China

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6.3 Annex 3: List of the projects and programmes specifically considered

<i>Title of the intervention</i>	<i>EU contribution in EUR</i>
Improving Environmental and Safety Performance in Electrical and Electronics industry in China	2,079,270.22 (80% of total)
Electric Motor Systems Energy-Saving Challenge – Improving the Operating Efficiency of Chines Electric Motor Systems	899,956.80 (80% of total)
EU-CHINA Environmental Governance Program	15,000,000.00 (80% of total)
EU-China Biodiversity Programme, ECBP	30,000,000.00 (58.09% of total)
EU-China Clean Energy Centre, EC2	10,000,000.00 (75.47% of total)
EU-China Institute for Clean and Renewable Energy (ICARE)	10,000,000.00 (70.52% of total)
Natural Forest Management Project	15,436,975.78 (72.01% of total)
EU-China River Basin Management Programme	25,000,000.00 (13,44% of total)
Low Emission Capacity Building (UNDP implemented)	
Provincial Programmes and Actions for Climate Change Mitigation & Adaptation in China (UNDP implemented)	1,294,111.00

Country Note – DR Congo

by Mette Hendrich Junkov, Michael Lieckefett and François Kapa Batunyi from 26-30 January 2015.

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List of Acronyms

ACP	African, Caribbean and Pacific countries
AEEP	Africa-EU Energy Partnership
AFD	Agence Française de Développement
AfDB	African Development Bank
CAMI	Congolese Cadastre Minier
CAWHFI	Central Africa World Heritage Forest Initiative
CBD	Convention Biodiversity
CC	Climate Change
CEEAC	Economic Community of Central African States
CEP	Country Environmental Profile
CEP	Country Environmental Profile
CEPGL	Economic Community of the Great Lakes countries
CGC	Congo Green Citizen
CHM	Clearing House Mechanism
CIC	Coordinating Committee
CIF	Climate Investment Funds
CIFOR	Center for International Forestry Research
CIRAD	Centre de coopération Internationale en Recherche Agronomique pour le Développement
CITES	Convention for International Trade of Endangered Species
CM	Concrete Measure
CN	<i>Coordonnateur National (National coordinator)</i>
COMIFAC	Central African Forest Commission
COP	Conference of Parties
CSO	Civil Society Organisation
CSP	Country Strategy Paper
DCI	Development Co-operation Instrument
DCN	Directorate of Nature Conservation
DDD	Directorate for Sustainable Development
DG	Directorate General
DG CLIMA	Directorate General Climate Action
DG DEVCO	Directorate General Development and Co-operation
DG ENER	Directorate General Energy
DG ENV	Environment
DGF	Directorate of Forest Management
DIAF	Directorate of inventories and forest management
DMEP	Directorate responsible for the Protection of the Environment in the mining sector
DRC	Democratic Republic of Congo
EaP	Eastern Partnership
EAP	Eastern Partnership
ECA	Economic Commission for Africa
ECCAS	Economic Community of Central African States
ECHO	EU Humanitarian Aid
ECOFAC	Ecosystemes Forestiers en Afrique Centrale
EDF	European Development Fund
EES	Environmental Evaluation Strategy

EIA	Environmental Impact Assessment
EIDHR	European Instrument for Democracy and Human Rights
EIS	Environmental Impact Study
EMPP	Environmental Management Plan for the Project
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Environment Natural Resources Thematic Programme
EPA	Environmental Protection Authority
EQ	Evaluation question
ERA	Electricity Regulatory Authority
EU	European Union
EUD	European Union Delegation
EUEI	EU Energy Initiative
EUR	Euro
FAO	Food and Agriculture Organisation
FCPF	Forest Carbon Partnership Funds
FDLR	Armed Forces of the DRC
FFN	National Forest Fund
FLEGT	Forest Law Enforcement, Governance and Trade
FORAF	Forestry and Agroforestry Research
FSTP	Food Security Thematic Programme
GCCA	Global Climate Change Alliance
GCF	Green Climate Fund
GDP	Gross Domestic Product
GEEC	Environmental Study Group of Congo
GEEREF	Global Energy Efficiency Renewable Energy Fund
GEF	Global Environment Facility
GHG	Green House Gases
GIZ	Gesellschaft für Internationale Zusammenarbeit
GLOBE	Global Legislators Organisation
GNP	Gross National Product
GOB	Government of Belize
GPRSP	Growth and Poverty Reduction Strategy Papers
GS	General Statement
GTCR	Working Group on Climate-REDD
ICCN	Institut congolais de conservation de la nature
ICRAF	International Center for Research in Agroforestry
IFS	Instrument for Stability
INERA	Institut national pour l'étude et la recherche agronomique
INPE	Brazilian National Institute for Space Research
IPCC	International Panel on Climate Change
IUCN	International Union for Conservation of Nature
JAES	Joint Africa-EU Strategy
JC	Judgment Criterion
JRC	Joint Research Centre of Ispra
LA	Latin America
LDC	Lesser Developed Countries

LECB	Low Emission Capacity Development
LEDS	Low Emission Development Strategies
LRA	Lord's Resistance Army
MDG	Millenium Development Goal
MEA	Multilateral Environmental Agreement
MEDD	Ministry of Environment and Sustainable Development
MIKE	Monitoring Illegal Killing of Elephants
MoP	Member of Parliament
MRP	Market Readiness Proposal
MRV	Monitor, Verify and Report
MW	Megawatt
NAMA	Nationally Appropriate Mitigating Action
NAP	National Action Plan
NAPA	National Adaptation Plan of Action
NBSAP	National Biodiversity Strategies and Action Plans
NFI	National forest inventory
NFMS	National Forest Monitoring System
NGO	Non-Governmental Organisation
NIP	National Indicative Programme
NP	National Park
NRM	Natural Resource Management
NSA	Non-State Actor
NWSEP	National Action Plan for Environment
OFAC	Central African Observatory on Forests
PA	Protected Areas
PAG	Programme d'appui à la Gouvernance
PAUK	Urban Sanitation programme
PBF	Biodiversity and Forest Programme
PDF	Philippines Development Forum
PMR	Programme for Market Readiness
PMURR	Programme of Emergency Rehabilitation and Reconstruction
PNEFEB	Programme for Environment and Forest, Water and Biodiversity
PNFC	National Forest and Biodiversity Sector Program
PoWPA	Programme of Work in Protected Areas
PPP	Public-Private Partnership
RAPAC	Network of Protected Areas of Central Africa
RECP	Africa-EU Renewable Energy Cooperation Programme
REDD	Reducing emissions from deforestation and forest degradation
RIP	Regional Indicative Programme
RSP	Regional Strategy Paper
SADC	Southern African Development Community
SBS	Sector Budget Support
SCP	Sustainable Consumption and Production
SE4ALL	Sustainable Energy For All
SEA	Strategic Environmental Assessment
SIDS	Small Island Developing States

SME	Small and Medium Enterprises
SPSP	Sector Policy Support Programme
SSTS	National Satellite Monitoring System
TA	Technical Assistance
TCN	National Communication
TEEB	The Economics of Ecosystems and Biodiversity
ToR	Terms of Reference
UK	United Kingdom
UN	United Nations
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNICEF	United Nations Children's Fund
UNIKIS	University of Kisangani
UNREDD	United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation
USAID	United States Agency for International Development
USD	US Dollar
USFS	US Forest Service
VPA	Voluntary Partnership Agreement
WB	World Bank
WHS	World Heritage Sites
WWF	World Wide Fund for Nature

Note: The Evaluation uses the common acronym "**EC**" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

Relations between the EU and DRC are conducted both bilaterally and also in the framework of regional cooperation between the EU and Central African Economic Union. The EU's priorities in DRC are to accompany the political process of stabilisation, democratisation and to support the country in fostering economically sustainable development aimed at poverty reduction.

The country strategy paper and subsequent programming and formulation of support were consistent with the environmental objectives of the various cooperation agreements at macro-regional level as well as nationally.

Sustainable natural resources management is considered of great relevance to both the DRC and EU given its inter-linkage to the MDGs in respect to reduction of extreme poverty; food supply and climate change adaptation and mitigation. Although environment and climate change is not a priority sector in EU cooperation with DRC, it affects most sectors of development as a cross-cutting issue. EUD has kept these issues high on the political and diplomatic agenda.

Geographic instruments using project support and regional projects through the ENRTP have all contributed to increasing awareness and reacting to the political prioritisation embedded in the official policies and strategies.

In conclusion:

EQ 1 – EU policy aims – There has been a contribution in DRC towards the overall EU policy aim of improving environment, biodiversity conservation and climate change resilience in third countries. Although there have been less significant physical improvements in the environmental situation in DRC the EU support together with other factors have led to much a stronger national focus of environment, forest and biodiversity conservation and climate change. The DRC-EU CSP (10th EDF) did not include environment and climate change as a focal sector. In spite of this, biodiversity conservation, environment and sustainable forest management have been high on the agenda in accordance with EU policies and strategies for environment, biodiversity and climate change

EQ 2 – Low emission – EU has contributed towards preparing the DRC for climate resilience low emission development. The various programmes supported are interlinked sharing the same overall objective ('many roads leads to Rome') and in combination contribute to the DRC achievement of goals as stated in the GPRSP II and goals towards REDD+.

DRC has developed the DRC National Forest Monitoring System (NFMS) in response to the relevant REDD+ decisions of UNFCCC, which request parties to develop a robust and transparent national forest monitoring system for deforestation, forest degradation, forest conservation, sustainable management of forests and enhancement of forest carbon stock. The NFMS has been developed by with the financial support from the EU (through UN-REDD and technical advice provided by FAO and the Brazilian National Institute for Space Research (INPE) as well as the assistance from the OFAC.

EQ 3 – Sustainable Energy – EU has since 2002 supported the development of sustainable energy in the ACP region through the EU Energy Initiative (EUEI) and the EU Energy Initiative – Partnership Dialogue Facility (EUEI PDF) established in 2004. In 2012 this led to the initiation of the Africa-EU Renewable Energy Cooperation Programme (RECP) established with the aim of contributing to the AEEP 2020 targets.

EQ 4 – Biodiversity – EU has by blending instruments contributed to reducing the loss of biodiversity and helped improving the capacity for preventing the loss of key protected areas of the in DRC. E.g EU has provided support to the implementation of an institutional reform programme for the National Institute Conservation of Nature (ICCN) in charge of the management of protected areas launched in 2007. Through the support to the rehabilitation of park infrastructure, training of staff and as well as improvement of their work conditions and management structures the parks have been able to operate and thus be maintained although still under threats^{31 32}.

EQ 5 – Green economy –Through the European Union Energy Initiative (EUEI) the DRC Ministry of Energy has been assisted in the development of a a) new energy policy, b) an electricity code, c) and a rural electrification strategy that contribute to improved access to affordable and sustainable energy services. Through this work the DRC adopted its first electricity legal code which created a regulatory

³¹ Oil and mining exploration and exploitation are specifically prohibited in the protected areas of the Democratic Republic of Congo (DRC) by the Public Order Act of 1969 on the conservation of nature and by the Mining Code of 2002. However, a ministerial order (Sept 2011) permitted SOCO (UK-based) to exercise an oil exploration campaign in Block V of Virunga NP. The permit was suspended in March 2011 and it was agreed to conduct an independent Environmental Evaluation Strategy (EES) in line with international standards. A year later in March 2012 it was learned that authorisation was given to initiate explorations while the EES process was still on-going.

³² 'Virunga', documentary 2013-2014, Director/Producer Orlando von Einsiedel, Grain Media Film, Netflix

authority for the electricity sector, a national rural electrification fund, and established a national electrification agency. EU has since been reluctant to support the sector as the DRC has a lack of/incapable institutional framework which can assume responsibility and leadership for actions.

EQ 6 – Environmental governance – UNEP has only very limited direct capacity in DRC. UNEP's role is mainly provided as technical quality assurance, whereas UNDP ensures overall coordination and implementation. UNDP always rely on UNEP MEA Secretariats for technical and research aspects. As part of the UN-REDD programme, UNEP has played an important role in assisting in the planning and preparation for REDD+ by being instrumental in the development of several of the required studies which facilitate decision-making concerning REDD+.

EQ 7 – Climate governance – The ENRTP has been instrumental in providing support to climate governance by supporting the DRC's efforts to prepare for REDD + through the UN-REDD programme as well as the EU-REDD programme. The latter having less impact in DRC than anticipated but has contributed to harmonize FLEGT and REDD.

EQ 8 – Mainstreaming approach – The EU policies, strategies and guidelines were found to be suitable. The delegation capacity for mainstreaming is relatively high within the sector. More information and studies of the value of biodiversity in development interventions were requested in order for the EUD to be able to place more emphasis on the matter in the dialogue with the government.

EQ 9 – Mainstreaming practice – the focal sectors (infrastructure-transport) are the ones where mainstreaming is central to reaching sector objectives. Environment and climate change have been considered in the rehabilitation of the urban infrastructure: solid waste, drainage and sanitation project. Support to rehabilitation of the major transport network follow international standards.

EQ 10 – Complementarity – All instruments available are in one way or the other used to realize EU goals of achieving a healthy environment, biodiversity conservation, sound natural resources management and climate change governance in DRC as well as in the Central African Region. Synergies and complementarities between the instruments are actively sought and duplications avoided. The instruments available have each their advantages and can address the issues at different levels. However, in DRC and in the region the instruments are used interchangeable but in accordance with the overall goals.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The **mandate and scope** of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU's support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (ENRTP) and through the geographic instruments;
- To evaluate the support of the EU to strengthening global environment and climate governance, provided under ENRTP and channelled mainly through international organisations;
- To assess the EU support for mainstreaming environment and climate change issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically focus on outcome and impacts of the EU actions in environment and climate change. Furthermore, the evaluation should identify key lessons and best practice and produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of temporal scope, the evaluation covers aid implementation over the period 2007-2013. The geographical scope includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The purpose of the evaluation is to provide the EU and a wider public with an overall independent assessment on the EU action in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving outcomes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, were carried out. From a long list of 35 countries selected in the inception phase for a desk analysis, 11 were further selected for a more detailed analysis. Out of these, 8 countries were selected for the field phase. Democratic Republic of Congo (DRC) was one of them.

The field visits have the following objectives:

- g) To complete the data collection in order to answer the agreed evaluation questions;
- h) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- i) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

The field visit to DRC was supposed to take place from 26 to 30 January 2015 but due to insecurity issues, the EUD had to cancel all missions to the country on January 23. As a result, an agreement was reached between the Evaluation Unit and Particip, leading to the reorganisation of the agenda in the form of phone and skype interviews. Mette Hendrich Junkov, the Team Leader for the current country note, and Michael Lieckefett, junior Particip consultant, undertook such meetings from Brussels. The national expert, François Kapa Batunyi, assisted the Team leader in the reorganisation of the agenda and in the country analysis.

2.3 Reasons for selecting this country as a case study country

DRC was retained given the high interest showed by the Reference Group in this particular country and because biodiversity and climate change related support overall is relatively large and increased over the period. Main focal sector is however infrastructure which allows an evaluation of the success of mainstreaming of environment and climate change. Furthermore, DRC also forms part of important regional programmes supported by the EU, which allows for an analysis of complementarity between the various modalities of funding. DRC is also a fragile and conflict affected state.

3 Data collection methods used (including limits and possible constraints)

The country study started with a review of the entire desk based information as well as a review of available responses to the EUD survey questionnaire.

It was decided to survey all the major sectors supported by EU assistance including infrastructure; protected areas, forestry, biodiversity and climate change support. In addition to these projects and programmes, the regional ECOFAC V, CAWHFI and OFAC programmes were also investigated in view of activities in DRC.

A structured list of questions was assembled tailored to the cooperation undertaken in DRC by the teams involved in the elaboration of each evaluation questions. This list was supplemented by the list of hypotheses for each evaluation question and the list of missing information and data that was identified during the desk study that could be found at country level. These lists combined to provide the basis for a structured question list for each interview.

Considering the lack of a country visit, that would have had allowed for a more in-depth discussion with key stakeholders, and in spite of the fact that the phone/skype interviews were satisfactory, a limitation in terms of access to and quality of data collected has to be recognised. Furthermore, the lack of or insufficient access and quality of, programme related documents, also needs to be highlighted.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

The Democratic Republic of the Congo (DRC) is located in central Africa, covers 2.3 million km² and has an estimated population of 68 million composed of approximately 350 ethnic groups. DRC borders nine countries and has complex economic, migration, and political relations with each of them. Its development has a significant impact on the economic growth and political stability of the continent. The country has unexplored mining resources and massive agricultural potential, as well as forest resources.

It was the second most industrialised country in Africa at independence from Belgium in 1960. It has considerable mineral and forest resources, agricultural potential and hydroelectric capacity. The DRC also has oil. Despite natural resource potential, it is now one of the least developed countries. Economic decline started as a result of predatory economic practices, poor governance and insufficient investment under former President Mobutu. Protracted conflict in the Great Lakes region since the early 1990s has had a devastating impact on the economy: infrastructure suffered considerable damage, many institutions were destroyed, assets were lost and investment came to a halt³³.

The conflict in the DRC has long been seen as an archetypal 'resource conflict', with both state and non-state actors motivated as much, if not more, by greed than grievance. The main resources 'up for grabs' are diamonds, coltan, copper, cobalt, bauxite and other minerals, along with timber. After the Second Congo War, peace was eventually 'signed' in 2003. The civil conflict was one of the deadliest, killing almost five and a half million people. Many regional countries were involved, and maybe this is the reason why the war is sometimes called 'African World War'. The violence still occurs, especially on the Eastern provinces, despite the fact that a United Nations' (UN) peacekeeping operation has been deployed permanently there since 2001. The level of rape and sexual abuse (committed mostly from 'authorised' armed groups) is reported to be the worst in the world: 'Armed groups such as the Lord's Resistance Army (LRA) and the Armed Forces of the DRC (FDLR) commit atrocities that amount to grave breaches of international humanitarian law and, in some instances, may also constitute crimes against humanity', according to the UN experts. Ranked 179th (out of 182) in the Human Development Report, the DRC is one of the poorest countries in the world. The EU is strongly committed to contributing to finding a solution to the crisis in the East of the DRC. In its effort to consolidate as a credible international actor in world affairs, it has been supporting the DRC miscellaneously. Developments on areas of trade and security have been acknowledged, but were limited in time and space³⁴.

There has been some macroeconomic recovery since the accession of Joseph Kabila to power in 2001 and the end of the civil war. The government has implemented a programme of reforms aimed at restoring macroeconomic stability, directing resources towards the rehabilitation of infrastructure and reforming the civil service and banking sector. Much economic activity takes place in the informal sector beyond government control. This is a serious handicap to tax revenues. The national budget for 2013 is USD 8 billion which is insignificant given the country's size, population and natural resource wealth.

4.1.1 ENV/CC situation in the country

Stretching across the heart of Africa, the tropical rainforest of the Congo Basin has the greatest expanse of rainforest in all of Africa. Located in the heart of the African tropics, the DRC is custodian to the world's second largest area of tropical rainforest after South America's Amazon rainforest, covering 58.9% of its territory and storing 8% of global forest carbon. The DRC tropical rainforest is a true natural treasure, home to over a thousand species of plants and hundreds of species of mammals, birds, reptiles and amphibians, and which enjoys considerable leverage in attracting the international mobilisation of funds to mitigate greenhouse gas (GHG) emissions. About 15 % of the land is designated as protected area.

As a country with almost universal extreme poverty, with 70% of its population living on subsistence rain-fed farming and non-timber forest activities, the DRC faces numerous environmental and climate change-related challenges. These include:

³³ European Court of Auditors: Special Report No 9/2013 – EU support for governance in the Democratic Republic of the Congo

³⁴ UK Essays, 2010, EU and Africa: An equal partnership

- Although having the highest level of biodiversity in Africa, 190 species are classified as critically endangered, endangered or vulnerable on the IUCN Red List of Threatened Species. Elephants and mountain gorillas are among the species under threat.
- The country's rapidly growing population of nearly 70 million people – of which most depend on natural resources for their survival – and intense international competition for raw materials are adding to the multiple pressures on the DRC's natural resource base resulting in increased deforestation and loss of ecosystem services and biodiversity, lack of access to water supply. Deforestation is interlinked to loss of ecosystem services and biodiversity, climate change, land degradation and reduced resilience to natural disasters.
- The tropical rainforests extend over 1.55 million km² and account for more than half of Africa's forest resources – making them a critical global ecosystem service provider and a potential source of up to US\$900 million in annual revenue up to 2030 through REDD+.
- The DRC has the largest artisanal mining workforce in the world – around two million people – but a lack of controls have led to land degradation and pollution. Its untapped mineral reserves are of global importance and are estimated to be worth US\$24 trillion. Around 15 tonnes of mercury are used annually in the DRC's artisanal gold mining operations, making it the second largest source of mercury emissions in Africa.
- Up to 1.7 million tonnes of bush meat (mainly antelope, duiker, monkey and wild boar) are harvested annually from unregulated hunting and poaching, contributing to species depletion.
- The most alarming climate change-related issue is the vulnerability of rain-fed small-scale agriculture. For example, it is predicted³⁵ as of 2020, the duration of the rainy season in the drought-prone region of Katanga is expected to reduce from seven months to five months.
- Deficient environmental management in the urban areas results in pollution from domestic and industrial solid waste and waste water. In these cases, the population is facing problems with access to water to consume.

Lack of security is a fundamental dimension of poverty. Conflicts have both direct and indirect effects on the environment, for instance through massive displacement of people, reluctance to invest because land tenure is insecure, and more indirectly, the undermining of capacity to manage the environment and natural resources. The main environment-security issues in DRC are related to reduced access to resource-based safety-nets such as goods and services from the natural commons (forests, rivers/lakes, fish, etc), unreliable access to food and water, lack of secure tenure to land, low ability of households to accumulate assets including natural capital, decreasing resilience of ecosystems, and in some places pollution, and existence of conflicts over land and other natural resources. Women and ethnic or marginalised minorities are disproportionately at risk from environmental degradation, conflicts, and natural disasters, due to gender roles, and historic, cultural and socio-economic reasons.

Although much of the DRC is not seriously exposed to natural disasters, the citizens are very vulnerable to these events due to the conflicts, poverty and lack of coping and adaptive capacities. Climate change is expected to increase frequency of and vulnerability to natural disasters (floods, droughts, and heat waves), and affect land productivity and livelihood opportunities.

But there are also linkages going in the opposite direction; natural disasters have an impact on security. When a natural disaster hits a politically insecure country, it can result in a full-scale humanitarian crisis. Furthermore, evidence suggests that natural disasters exacerbate pre-existing conflicts or conflict risks. Disasters can increase resource scarcity and more acute imbalance between scarcity and abundance, and present economic and political opportunities for criminal activity or advancing military/political objectives, and reduced livelihood opportunities can lead to more people joining armed groups. If the governments respond inadequately or in a partial way, this can greatly damage its legitimacy as well as increase alienation. Disasters and conflicts are expected to coincide more in the future³⁶.

4.1.2 ENV/CC national policies, legal framework

The DRC has made strides in the implementation of MEAs since the Rio Declaration (1992) but its recent history of armed conflict and political instability has prevented progress in some areas.

National policies and the legal framework regarding environment and climate change find their foundation in the constitution of 18 February 2006:

- Art. 48: “everybody has the right to access to drinking water”;

³⁵ Intergovernmental Panel on Climate Change, IPCC

³⁶ SIDA Helpdesks Joint Report, 2013: Environmental sustainability and human security in the DRC – a policy brief

- Art. 53: "Every person is entitled to a healthy environment conducive to their full development. [Every person] has the obligation to defend it. The State ensures the protection of the environment and the health of populations";
- Art. 54: «The conditions for constructing sites and plants, for the storage, manipulation, incineration and disposal of toxic waste, pollutants, radioactive or other dangerous goods, originating in the country's industry or crafts are governed by the law. Every pollution or destruction linked to economic activity entitles to compensation and reparation. The law determines the appropriate measures of compensation and preparation, as well as the detailed modalities of their application.»;
- Art. 123 (Al 3, 14,15): "without prejudice to other provisions of this constitution, the law determines the fundamental principles relating to: scheme land, mining, forestry and real estate, ..., agriculture, livestock, fishing and aquaculture,..., the protection of the environment and tourism.

Many laws and decrees concerned with the environment have emerged in the DRC according to the needs as they arose. These were often based on sector requirements in order to regulate specific activities in a given sector. Some, although referred to a sector, are universal as to their implications on the environment and therefore deserve special attention as they contain fundamental principles related to stakeholder participation, the right to information, the principle of free consent and prior information, the right to compensation for the injuries suffered, etc.

These principles are also covered by the constitution, albeit in an incomplete manner. In response to the Rio Declaration DRC has developed the following:

(I) The Framework Law on Environment (2011)

The new law on the environment provides an innovative solution and favours an overall perception of development in an interconnection context of production sectors that impact on the environment.

According to this law, the right of the Congolese environment requires therefore the protection of the environment and requires the prevention as a real political objective, as DR Congo does not yet have sufficient resources to face the costs repair of damage to the environment.

(II) Law No. 011/2002 on the Forest Code

This law has been in effect since August 2002, governing the forest sector, replacing the 1949 Decree obsolete face of modern and emerging concepts in the management of forest resources. In addition to the innovations it brings to the institutional level (institutionalization of the National Advisory Council and provincial advisory boards of forests, forest setting, etc.) and that of the management, the law addresses issues related to the conservation of forest resources, environmental forest services, participatory resource management, sustainable forest management, forest-local communities, the fair and equitable sharing of revenues from the operations of forest resources, etc.

(III) Act No. 007/2002 on the Mining Code.

This law enacted in July 2002, introduced important reforms for environmental management in the mining sector and focuses on impact studies before any development and implementation of mining projects.

(IV) Law No. 11/022 2011 on Agricultural Code

This law provides the basic principles for agriculture production and favours the promotion and growth of agricultural production to ensure food security and rural development.

(V) Other laws:

Other laws have been developed and are currently following the regular adoption process. These include: the conservation law of nature, legislation on hydrocarbons, the energy law, electrical legislation and a land law. Adoption, enactment and enforcement should greatly contribute to improving the management of natural resources in the context of sustainable development to which the DR Congo will evolve.

Regarding the participation of citizens and their right to be informed and to be involved in monitoring, it is appropriate to note Decree No. 011/26 of 20 May 2011 requiring the government to publish all contracts between the State or a Portfolio Company and one or more private partners, which has the purpose of research, exploration or exploitation of mineral, oil and forest resources within 60 days of their entry into force. To this must be added other texts of a more specific nature to guide some active bilateral cooperation agreements, including those signed with China.

There is no EIA legislation per se in the DRC. The only activities which have a formal requirement for an EIA in the DRC are exploration, mining and quarrying. The mining sector is one of the most active parts of the economy and has the potential to incur serious environmental impacts.

The Mining Code Law No 007/2002 specifies the need for an environmental impact study (EIS), a mitigation and rehabilitation plan (MRP) and an environmental management plan for the project (EMPP). These are defined in the Mining Code as follows:

- Environmental Impact Study (EIS): A priori scientific analysis of the foreseeable potential effects a given activity will have on the environment, as well as the analysis of the acceptable levels thereof and the mitigating measures to be taken to ensure the conservation of the environment, subject to the best technology available, at a viable economic cost;
- Mitigation and Rehabilitation Plan (MRP): Plan required for the operations relating to a mineral or quarry exploration right or a Temporary Quarry Exploitation Licence pursuant to which a holder undertakes to carry out certain mitigation measures of the impact of his activities on the environment, as well as rehabilitation measures where said activities take place, including the holder's undertaking to provide a financial guarantee to cover or guarantee the mitigation and rehabilitation costs of the environment;
- Environmental Management Plan of the Project (EMPP): Environmental specifications of the project consisting of a programme for the implementation and monitoring of measures contained in the EIS in order to eliminate, reduce and possibly offset the damaging consequences

Some of the achievements made by the DRC are the development and implementation of the 2002 Forest Code that sets the framework for more equitable and balanced forest management including protection of the forest and indigenous peoples' interests³⁷; the implementation of "Schools and Villages Sanitation" coordinated by the United Nations Children's Fund (UNICEF), which is an initiative that aims to develop local technical know-how to help ensure long-term maintenance of water infrastructure (UNEP, 2011); and the strengthening of the Congolese Nature Conservation Institute (ICCN) with funds from EU.

The WB assisted the Ministry of Planning to develop its Growth and Poverty Reduction Strategy Papers (GPRSP, GPRSP 2), which maps out the directions for the international support programmes to the country. The first GPRSP (2006-2010) focussed on 5 main intervention areas:

- Pillar 1: Promote good governance and consolidate peace (through institution building);
- Pillar 2: Consolidate macroeconomic stability and growth;
- Pillar 3: Improve access to social services and reduce vulnerability;
- Pillar 4: Combat HIV/AIDS;
- Pillar 5: Promoting community dynamics

The second (2011-2015) strengthened the interrelationship between poverty and the environment:

- Pillar 1: Strengthen governance and peace.
- Pillar 2: Diversify the economy, accelerate growth and promote employment.
- Pillar 3: Improving access to basic social services and strengthening human capital.
- Pillar 4: Environmental conservation and fight against climate change.

Throughout the evaluation period, the Congolese authorities have made sectoral strategies, particularly in the agricultural and health sector.

Apart from these, there is a lack of approved and agreed sector policies. Some sectors are governed by a plan or draft policies which need to be revised and consolidated to become viable and operational policy papers. There is an urgent need for sector policies for the forestry, energy, mining and hydro-carbon, transport and roads, land tenure and land-use including rural developments.

Despite the lack of viable sectoral policies, some sectoral laws have been developed concerning environment and the biodiversity conservation, forests, mines and agriculture. However, this legal framework has yet to be accompanied by norms and regulations and consolidated through the involvement of stakeholders to be applicable. The forest law has at least ¾ of regulations developed. Others such as the mining law, lack clearly defined consultation and consensus building which has caused some misunderstandings and reservations as to their application.

A draft law on environmental protection was adopted at the national level, and at the sectoral level, the MEDD just finalized its National Programme for Environment, Forests, Water and Biodiversity (PNEFEB). This sector-wide programme provided the partners with more ways of adapting own planning, and to harmonise the work of the donors. Its elaboration and partial implementation at the provincial level contributes to strengthen local governance.

³⁷ University of Gothenburg, Department of Economics, 2008)

The GLOBE³⁸ DRC chapter comprising 22 legislators was formally launched in 2012. In parallel with the launch of GLOBE DRC, a Legislative Working Group on REDD+ and Forest Governance was launched within the DRC National Assembly. It provides a platform for Congolese Parliamentarians, government officials, international organizations and civil society to discuss a legislative reform agenda for REDD+ implementation.

4.1.3 ENV/CC institutional framework (who does what)

Following the Rio Conference, an interdepartmental Coordinating Committee (CIC) was created in April 1994 (decrees 055 and 056) within the Ministry of the Environment, responsible for ensuring the monitoring and the implementation of the outcome of the Rio 1992.

For the practical execution of the work, the CIC was equipped as an "Executive Secretariat of the UNCED of 1992". In the early 2000s the CIC was replaced by the Direction of Sustainable Development, functioning within the Ministry of the Environment and Sustainable Development (MEDD). This Direction was created to ensure the monitoring and implementing of the international conventions.

To achieve its mandate, the Directorate had 5 technical Divisions dealing with climate change, biological diversity, desertification, sustainable development and environmental services, respectively. The work carried out by the CIC focused on the State of Environment Report as well as the development of the National Action Plan for Environment (NWSEP, 1996) including a plan for implementation of priority environmental action in line with the national agenda 21 requirements.

Furthermore, in order to facilitate the consultation process between the Government of the DRC and its main financial partners and development, 18 thematic groups coordinated by the Ministry of Planning was set up. Two of these groups have a direct links to the environmental sector: a) water and sanitation and b) forests and biodiversity.

The framework law on the environment established a national Council on Environment and Sustainable Development under the authority of the Prime Minister. The Council is formed to ensure intersectoral coordination and consultation and provide advice to the definition and the elaboration of the national development policy to ensure the mainstreaming of environment and climate change into sectoral plans and programmes which impact on the environment and natural resources.

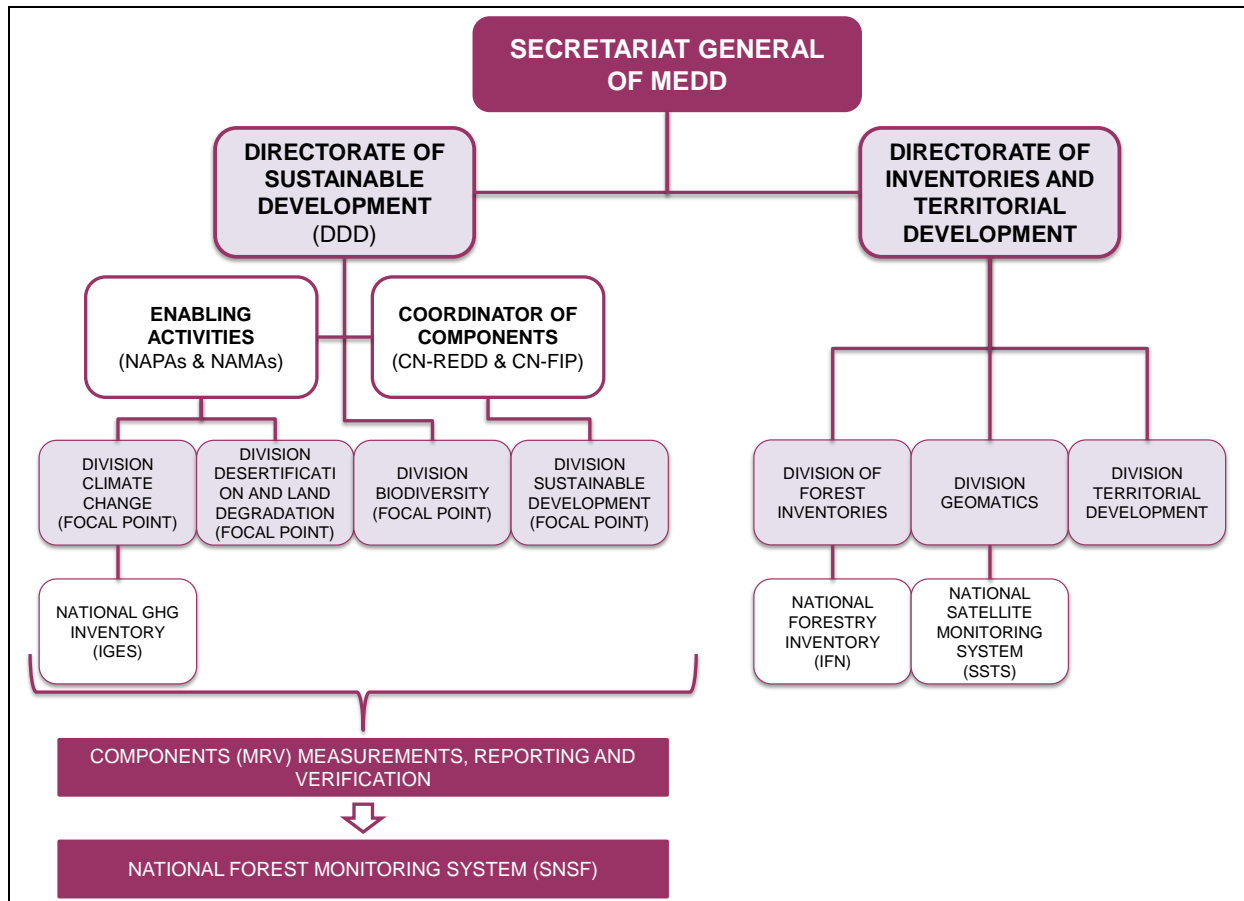
The question of the integration of the environment into sectoral policies is not new. From the beginning of the 2000s, the multisectoral Programme of Emergency Rehabilitation and Reconstruction (PMURR) had driven the creation of environmental units within different departments to ensure the assessment and environmental monitoring of activities funded by the programmes. Most of these units have since then disappeared, with exception of a few such as the Ministry of Infrastructure and Public Works or the Ministry of Mines, which includes a Directorate responsible for the Protection of the Environment in the mining sector (DMEP).

The Ministry of Environment and Sustainable Development (MEDD)³⁹ has throughout this period suffered deficits in financial, material and institutional, human and technical resources in all sub-sectors of environmental (forest, conservation of nature). Thus, as part of an institutional reform in 2009, the organization was amended to improve the effectiveness of its action, and a major reorganization reduced the number of its directorates and services from 24 to 12 and two special services were added: a legal cell and an environmental study group of Congo (GEEC). Also depending on the MEDD two autonomous public institutions were created: the Congolese Institute for the Conservation of Nature (ICCN) and the National Forest Fund (FFN) to channel national and external funding for environmental research, conservation of biodiversity, remediation, prevention and combating of pollution as well as rehabilitation and restoration of sites or polluted or degraded landscapes.

³⁸ GLOBE – The Global Legislators Organisation is an international organisation comprising national parliamentarians from over 80 countries committed to developing and overseeing the implementation of laws in pursuit of sustainable development, that supports legislators through national chapters to develop and advance laws on climate change, natural capital accounting and forests. GLOBE is supported by EU as well as UK, Denmark, Norway, Germany.

³⁹ Today named the Ministry of Environment and Sustainable Development (MEDD). Before December 2014 it was named the Ministry of Environment, Nature Conservation and Tourism (MENCT)

Figure 1 Organigram of MEDD structures involved in climate change related activities in DRC



Source: Own elaboration

Table 4 Functions of MEDD structures involved in climate change related activities in DRC

Directorate/Service	Mandates	Actions in the field of climate change	Technical and current financial partners
Directorate for Sustainable development (DDD)	Monitoring the implementation of Rio conventions	Implementation of the projects structure NAPA and NAMAs; Responsible for the component on the inventory of GHGS under the LWA; Head of the national reports on climate change;	UNDP/GEF, EU, FAO (UN-REDD)
Directorate of inventories and forest management (DIAF)	Implementation of forest inventories and production of management plans	Implementation of National forest inventory (NFI) for quantification of forest carbon stock; Head of the pane on the monitoring system of land satellite (SSTS) in the context of the implementation of the National Forest Monitoring System (NFMS)	FAO, US Forest Service (USFS), Japan (JICA/JAFTA), WRI, GIZ, AFD (AGEDUFOR), OFAC, WWF, ERA. FAO (as part of UN-REDD), USFS
Legal cell of MEDD	Legal aspects relating to the management of the environment	Conduct of the process of development of legal texts and laws implementing measures	FAO, EU
Directorate of Forest Management (DGF, subdivision of MEDD)	Ensuring a sustainable management of forests (Forest Concessions - Rimac industrial and local communities)	Follow-up to the plans of development in permanent production forests; Improvement of energy efficiency of forest biomass	Agence Française de Développement (AGEDU-FOR programme)
Directorate of Nature Conservation (DCN,	Ensure the conservation of biological diversity	Application of the CITES for protected species of flora and	ITTO

Directorate/Service	Mandates	Actions in the field of climate change	Technical and current financial partners
subdivision of MEDD)	outside protected areas	fauna	
Institute Congolese for the Conservation of Nature (ICCN)	Guarantor of the Conservation <i>in situ</i> and <i>ex situ</i> of biological diversity	Sustainable management of national parks and other reserves related; CITES national scientific authority	Several bi and multilateral partners, including EU
National Reforestation and Horticulture service	Ensure the reconstruction of alternative of forest capital	Produce and apply reforestation standards Reforestation of uncultivated and degraded areas; Valorization of the national biomass	One-time ITTO support for extraction of essential oils from certain forest species for reforestation
National Centre for Environmental Information	Promote the environmental information to the public	Management and operationalization of the Department Web Site	GIZ/Biodiversity and Forest Programme (PBF)
National Forest Fund	Constitute the Fund required for reforestation and forest management operations	Ensure the collection of forest fees relevant skills	Not applicable

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

The EU's priorities in DRC are to accompany the political process of democratisation and to support the country in fostering economically sustainable development aimed at poverty reduction.

Between 1992 and 2002, the official EU cooperation with the DRC was suspended. During this period the EU maintained an active presence through humanitarian aid funded by the DG Humanitarian Aid and Civil Protection (ECHO).

EU development cooperation resumed after the signing of the Global and Inclusive Accord in December 2002 and its ratification in Sun City (South Africa) in April 2003.

EU financial support to the DRC during the period 2003–11 came to EUR 1 868 million, comprising 72 % (EUR 1 344 million) in development cooperation, 23.5 % (EUR 439 million) in humanitarian aid and 4.5 % (EUR 85 million) in political and security-related cooperation.

The 9th EDF CSP took into account the situation of post-conflict and fragility of the country whereby the EU – DRC cooperation was regulated and dictated by the need to carry out, in the different sectors, a transition as fast as possible from the emergency phase to the rehabilitation and development with a view to restoring good governance and conflict prevention.

Between 2008 and 2013, official development assistance received by the DRC amounted to approximately USD 17 billion. The EU member states provided 44% of the total and the EU 9% thus being the main financial and technical partners of the country.

The initial allocation under the 10th EDF NIP, signed in September 2008, was 561.7 million euro. The allocation for unforeseen needs was increased from 47.7 million euro in 2008 to 120 million euro in 2010, mainly for continued rehabilitation efforts in the eastern DRC and to address the impact of the world food price rise and financial crises. The implementation of the strategy, which has generally respected these initial orientations, corresponds to a total volume of commitment of EUR 901 million, including EUR 726 million from the EDF and EUR 175 million from the thematic budget lines.

Relations between the EU and DRC are conducted both bilaterally and also in the framework of regional cooperation between the EU and the Economic Community of Central African States (CEEAC or ECCAS) through its specialised institutions such as the Central African Forest Commission (COMIFAC), the Forest Observatory of Central Africa (OFAC), the Central Africa World Heritage Forest Initiative (CAWHFI); and the Network of Protected Areas of Central Africa (RAPAC). Furthermore, EU has since the early 2000 supported the CITES programme on "Monitoring Illegal Killing of Elephants" (MIKE) also including areas in DRC.

Under the 10th EDF (2007-2013), the Regional Strategy Programme/Regional Indicative Programme (RSP/RIP) for Central Africa globally allocates €165 million to the region. It focuses mainly on three domains:

1. Economic and trade integration and accompanying measure for the Economic Partnership Agreements (EPA's), for which €97 million are earmarked;

2. Management of renewable natural resources (€30 million), and
3. Political integration (€15 million). €15 million are allocated to the Economic Community of the Great Lakes countries (CEPGL), on top of the €30 million financed under the East African Regional Indicative Programme.

These relations are embedded in the Joint Africa-EU Strategy (JAES) 2007, which was adopted at the Lisbon Summit, bringing together the Leaders of 27 European and 54 African States as well as the Presidents of the continental Institutions.

Initially, the First Action Plan (2008-2010) and the Second Action Plan (2011-2013) of the Joint Africa-EU Strategy had focused on 8 priority areas of cooperation:

- Peace and security;
- Democratic governance and human rights;
- Regional economic integration, trade and infrastructure;
- Millennium Development Goals;
- Climate change;
- Energy;
- Migration, mobility and employment;
- Science, information society and space.

In particular, the EU-African Union cooperation has focused on infrastructure and energy.

The sustainable natural resources management is considered of great relevance to both the DRC and EU given its inter-linkage to the MDGs in respect to access to drinking water and sanitation; reduction of extreme poverty; food supply and climate change adaptation and mitigation. Although climate change is not a priority sector in EU cooperation with DRC it affects most sectors of development as a cross-cutting issue. EUD has kept these issues high on the political and diplomatic agenda.

The following table 2 shows all EU – DRC budget allocations and table 3 list the interventions according to modality of funding during 2007-2013.

4.3 Overview of EU-funded interventions

DRC is the biggest recipient of EU aid in Africa. The 10th EDF (2008-2013) Country Strategy Paper (CSP) supported three focal sectors:

Governance (25% of the budget): The specific objectives were to consolidate the national governance system particularly in the areas of decentralization, public finances, justice and police through technical, administrative and institutional capacity development and TA to the different sectors and governance levels.

Physical reconstruction (50% of the budget): Support to the rehabilitation of the main infrastructure of road and inland waterway transport in order to boost economic activities (agricultural sector) and thus alleviate poverty. The programme consisted of two sub-projects: a) Maintenance and rehabilitation of road and water transport in the DRC and improved urban sanitation in Kinshasa, b) Rehabilitation of Highway No 1 from Batschamba to Tschikapa.

Health (10% of the budget): The specific objective was to revitalise the Ministry of Health and its services with the specific objectives of reconstructing the institutional and legal framework, supply of essential medicine and improve the access to health centres.

Lastly, a *non-focal sector* was included in support to the national conservation policy as well as forest and biodiversity management with the aim of a) strengthening the governance of Virunga NP; b) strengthening the capacity of the Centre for Biodiversity and herbarium in Yangambi under the University of Kishangani for forest and biodiversity research and c) preparation of a FLEGT Action Plan and support to the negotiation Voluntary Partnership Agreement (VPA).

The inclusion of the forest and biodiversity conservation and sustainable management in the CSP 2007-2013 was developed in response to the growing (DRC government as well as donors) recognition of the inter-linkages between poverty, natural resource management, biodiversity and exposure to natural disaster risks as well as the risk of losing the WHS status of the 5 protected areas being declared in danger by UNESCO.

Table 5 EU-DRC Budget Allocations 2007-2013

Instrument	Envelope/domain	Amount (EUR)	%
10 th EDF	Envelope A	569 000 000	63.1
	Envelope B	140 320 000	15.6

<i>Instrument</i>	<i>Envelope/domain</i>	<i>Amount (EUR)</i>	<i>%</i>
	Water Facility	16 500 000	1.9
Subtotal 1 (10th EDF)		725 820 000	80.6
Thematic Budget Lines	DCI-FOOD	26 000 000	2.9
	Food Security (FSTP)	65 700 000	7.5
	NSA/LA support to civil society organisations and local authorities	20 000 000	2.2
	Global Climate Change Alliance (GCCA)	14 000 000	1.5
	Health	6 000 000	0.6
	DCI-Environment	15 100 000	1.6
	European Instrument for Democracy and Human Rights (EIDHR)	4 000 000	0.4
	Instrument for Stability (IFS)	24 600 000	2.7
Subtotal Thematic Budget Line		175 400 000	19.4
Grand total (10th EDF + budget lines)		902 210 000	100.0

Source: Particip/Evaluation of DRC country programme 2008-2013

The interventions of the EU in the field of the environment focused on the following:

- Support to the rehabilitation of the Protected Areas System in DRC through strengthening the ICCN within the framework of the National Forest and Biodiversity Sector Programme (PNFC) including the management of the world heritage sites of Salonga, Virunga and the Upemba Garamba (approximately EUR 34 mio)
- Training and capacity development through support to the ERAIFT and to the University of Kisangani (FAO, CIFOR) for rehabilitation of agricultural and forestry research, in particular the operation of INERA field stations with technical assistance from FAO.
- Support for the enforcement of forest governance (PAG), including the preparation of forest law enforcement, implementation of the FLEGT processes and facilitation of negotiations of VPA;
- The project "Eco-Makala" oriented towards improvement of energy efficiency and the recovery and sustainable management of forest ecosystems.

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context. Relations between the EU and DRC are conducted both bilaterally and also in the framework of regional cooperation between the EU and the Economic Community of Central African States (CEEAC or ECCAS) through its specialised institutions such as the Central African Forest Commission (COMIFAC), the Forest Observatory of Central Africa (OFAC), the Central Africa World Heritage Forest Initiative (CAWHFI); and the Network of Protected Areas of Central Africa (RAPAC). Furthermore, EU has since the early 2000 supported the CITES programme on "Monitoring Illegal Killing of Elephants" (MIKE) also including areas in

DRC.

The EU's priorities in DRC are first and foremost to accompany the political process of democratisation and to support the country in fostering economically sustainable development aimed at poverty reduction in accordance with the MDG. The Country Strategy Paper 2007-2013 focused on rebuilding the country politically (governance) and physically (transport infrastructure and healthcare). However, the EU also signalled a convergence of policy on environment and climate change through support to regional biodiversity and forest initiatives as well as measures to protect the biodiversity and forests in DRC.

EQ 1 Achievement of EU policy aims <i>To what extent has EU support to environment and climate change across different instru-</i>	Main findings <ul style="list-style-type: none"> • There has been a contribution in DRC towards the overall EU policy aim of improving environment, biodiversity conservation and climate change resilience in third countries. Although there have been less significant physical improvements in the environmental situation in DRC the EU support together with other factors have led to much a stronger national focus of environment,
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<p><i>ments contributed to the EU's overall environment and climate change policy aims?</i></p>	<p>forest and biodiversity conservation and climate change. The DRC-EU CSP (10th EDF) did not include environment and climate change as a focal sector. In spite of this, biodiversity conservation, environment and sustainable forest management have been high on the agenda in accordance with EU policies and strategies for environment, biodiversity and climate change:</p> <ul style="list-style-type: none"> • A substantial amount (EUR 33 mio+4 mio) was allocated to the rehabilitation of national parks due to the critical state of; in particular the 5 world heritage sites and to the DRC institutional reform of the national system for protected areas management. • The EU is determined to achieve ambitious and binding international agreements on climate change and environmental protection which is shared by the DRC government. Through the EU REDD facility (EUR 3 mio) and the PRO-FORMAL (EUR 3 mio) as well as the UN-REDD (co-funded by EU⁴⁰) and the Green Climate Fund (GCF), EU has assisted DRC to become the most advanced African country in implementation of REDD. DRC is co-presiding the REDD mechanism and is one of the first countries to implement the results of the Warsaw Framework for REDD+ (2013). • Support to capacity development for sustainable biodiversity and forest management, both at national level through the University of Kinshasa (UNIKIS) and the regional post-graduate training school for integrated management of tropical forests and lands (ERAIFT). Both of which now enjoys regional recognition both in terms of research as well as educational standards. • In addition, through the support at regional level through the ECOFAC and RAPAC programmes, the EU policy on Forestry Enforcement, Governance and Trade (FLEGT) has been promoted and linked with the REDD process. • At political level the efforts have contributed to the DRC's Growth and Poverty Reduction Strategy Paper (GPRSP 2nd generation 2011-2015), including environmental and climate change concerns as a 6th pillar. • In the new programming period, the 11th EDF, environment and climate change will be a focal sector in accordance with the increased awareness and importance of the matter.
<p>JC 11 National partner prioritisation of environment and climate change <i>EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The environmental sector, in particular conservation of biodiversity in itself has little priority in the government agenda and receives almost nothing from the national budget, thus depends entirely on external support. • EU support to environment and climate change has evolved over time since development cooperation was resumed in 2003. The environment and climate change did not become a focal sector for the 10th EDF (2008-2013) due to urgent needs for rebuilding governance, infrastructure and public services in the aftermath of the wars. In spite of this, biodiversity conservation, environment and forest management were supported with a substantial amount (EUR 33 mio) due to the critical state of in particular the 5 world heritage sites after the war. • Environment, natural resources management and climate change are now included as one of the main pillars in the DRC GPRSP II (2011-2015). The development of the GPRSP 2 was supported by WB backed by EU and several other EU member states. For the programming period for 2014-2018 the EU support will be aligned in accordance and include environment and climate change as a focal sector. • EU (as well as EU member states, USAID, AfDB, WB) has overall limited influence on national policies and thus prioritization of environment and climate change. However, through the process of formulating the GPRSP II, more focus on environment and climate change and its interlinkages to poverty reduction has been included. • However, the EU and EU member states were very influential in the suspension of a ministerial order (Sept 2011) which permitted SOCO (UK-based) to exercise an oil exploration campaign in Block V of Virunga NP. The permit was suspended in March 2011 and it was agreed to conduct an independent Environmental Evaluation Strategy (EES) in line with international standards. A year later in March 2012 it was learned that authorisation was given to initiate explorations while the EES process was still on-going. The EU as well as international NGOs and the UN system maintain the pressure on the DRC government as well as towards the companies wanting to explore the areas. But they have no real influence on the matter. • The strong presence of EU and other donors in the environment and forestry sector supporting the Ministry of Environment and Sustainable Development

⁴⁰ The majority of funds to the UN-REDD programme are provided by Norway.

	<p>(MEDD) has changed the status from being almost invisible to a ministry well-staffed and noticed by the Government. The DRC government has gradually recognized that protecting the environment and biodiversity contributes to an improvement of the DRC's image in the world as well as it could contribute significantly to the GNP of the country through eco-tourism.</p> <ul style="list-style-type: none"> • Environmental and climate change issues is thus given higher priority by the Government, maybe because the government has realised that it can profit from the huge sources of funding available albeit the country has to comply with the UNFCCC requirements.
<p>JC 12 Use of instruments to enhance achievement of policy aims <i>The extent to which ENRTP and geographic instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The CSP (2007-2013) clearly takes into account the priorities and needs of the DRC for rehabilitation of governance and services. In addition, through the regional programmes supporting the Economic Community of Central African States (ECCAS) special branches such as COMIFAC (with ECOFAC programme) has served to on one hand assist DRC resume normal relationships with its neighbours on the other support the government's priorities concerning improvement of DRC's image in the region and worldwide. • The EU regional programme for Central Africa focuses mainly on three domains, which correspond to the priorities of the CEEAC, one of these being management of renewable natural resources including climate change (€30 million). • The combination of programmatic project support and the use of thematic instruments at country and at regional level have had a mutually reinforcing effect. For example, EU has through ENRTP allocations to ECOFAC and RAPAC as well as to UNESCO-CAWHFI programmes been able to work at both regional and national levels (EDF and ENRTP interventions) in its engagement in environment and climate change. • The GCCA programme is set up to be complementary with actions within the framework of the UN-REDD, the Congo Basin Forest Fund and CIF. At regional level the programme will complement the projects implemented by CIFOR, ICRAF and CIRAD providing training in adaptation and mitigation to climate change and realize agro-forestry and forest restoration programmes in eastern DRC. • Also at macro-regional level the EU-African Energy Partnership (AEEP) works to implement established targets for emission reduction via public-private partnerships on renewable energy development. So far only one pilot project is known to have taken place in DRC under this umbrella: ELKAP – a micro hydroelectric dam in the remote Katanga region initiated in 2010 and implemented by the Salvadorian Society (catholic NGO) and the local government. • The support provided for environmental and climate governance through EU at national regional level has assisted in strengthening the participation, engagement and commitment of DRC in the global climate change debate. The combination of available instruments has made it possible for EU in DRC and in the regional to strongly demonstrate the EU commitment to international agreements on environment and climate change providing resources for the country to move towards the targets established by the MEAs. • EU together with others donors has supported the participation of the DRC delegations to the intersessionals and UNFCCC and CBD COP meetings since the cooperation was resumed. Furthermore, EU also supported the participation of the DRC delegations for the IUCN World Parks Congress (Work Group on Protected Areas), realised in Australia last year (2014). • The focus on the environmental sector provided by donors contributes to an improvement of DRC's image; the DRC is therefore keen to be seen as an important player in the CC negotiations and to fulfil the CBD requirements. • DRC and other LDCs is the key to the success of various conventions and therefore the international community, in particular EU in view of own policy and strategies, has an interest to implement actions that can help to bring the countries in line with the conventions. • Conventions are managed by the DDD (Directorate of Sustainable Development) which is well staffed and knowledgeable. In that sense, DRC is taking its commitment to the conventions seriously. • The EU has supported the MEDD in the development of a national climate plan;

	<p>the Central African Forest Observatory (OFAC) in the development of the Congo Basin State of the Forest 2013⁴¹ report. This work has greatly contributed to the development of the National Forest Monitoring System (NFMS)⁴² which provides information to the decision-making on forest, climate change and environmental management.</p> <ul style="list-style-type: none"> • Furthermore, EU supports the training of human resources in Environment and CC through the University of Kisangani and the regional post-graduate training school for integrated management of tropical forests and lands (ERAIFT).
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Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
The priority given by national partners to environment and climate change issues has gradually increased. (JC11)	The issues of climate change have received more priority mainly due to the impacts evidenced in DRC. EU has by supporting the process of REDD+ and FLEGT contributed to mainstreaming of climate change in government strategies.
Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)	Informal exchange of information takes place between EU and EU Member States, which is found to be very useful. Donor coordination takes place within all fields of environment and climate change (biodiversity, forestry and climate change is led by GIZ), EU is very active in this group. However, there is a strong feeling that donors are not really aware of who is doing what as there is no real follow-up on the donor group consultations. A full list of projects and getting to know who is supporting which line ministry is now under development.
MEA processes have influenced national policy debates. (JC12)	In particular, the UNFCCC process has received attention as DRC has taken a lead in implementation of REDD+. But also the interventions from UNESCO concerning the WHS have raised debate and awareness.
Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)	The main sector support for rehabilitation of the country's basic institutional, infrastructural and service framework has been well aligned to government priorities. Biodiversity and forest conservation is also seen as important means to combat poverty, thus gaining more attention by the government.
ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)	The ENRTP financed programmes are somewhat aligned with national priorities and provide in terms of greater specialisation of targeted support areas. ENRTP also allows for providing support to innovative approaches through civil society/NGOs and help introduce a regional geographic dimension.
Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)	Not assessed for the country mission.

5.2 EQ 2: Low emission



Context – DRC is the country with most forest area in Africa, making it a carbon sink of estimated 140Gt CO₂, and has large hydroelectric potential of 100,000 megawatts, of which so far 2.5% is used. The population is 72 million (2011), with 230 million projected for 2050. In the DRC Poverty Reduction Strategy Paper (GPRSP II) progress on reducing emissions from deforestation and forest degradation (REDD) and advancing the use of hydroelectric capacity are seen as key initiatives to contribute to sustainable development in the country. In this context, GHG inventories are of key importance to build a solid information base for further action.

further action.

EU support to DRC to low emissions is provided through the UN-REDD programme (2010)⁴³; and through the global UNDP implemented project on Low Emission Capacity Development Programme (LECB) where DRC is one of the participating countries. The timeframe for the LECB project is from 2012-2015. In addition, the GCCA programme in DRC aims to support the DRC in implementing its

⁴¹ The Forests of the Congo Basin – State of the Forest 2013. Eds : de Wasseige C., Flynn J., Louppe D., Hiol Hiol F., Mayaux Ph. – 2014. Weyrich. Belgium. 328 p.

⁴² Assisted by FAO, and the Brazilian National Institute for Space Research (INPE)

⁴³ UN-REDD contributors: Norway: USD 213 million; EU: USD 13 million; Denmark: USD 9,9 million; Spain: USD 4,9 million; Japan: USD 3 million; Luxembourg: 2,7 million

climate change policy by strengthening its programmes for reducing carbon emissions and enhancing carbon stock. The programme initiated activities in 2012

The LECB programme aims initially to build capacity in the Agriculture and Water and Energy key sectors, which were found by the first two national communications as the major emitters of greenhouse gases. It also aims to formulate a national low carbon development strategy. It includes three components: (a) Establishment of a strong system of preparation emission inventories; (b) Formulation of National Appropriate Mitigation Actions (NAMAs) for the Agriculture and Energy sectors that address national development priorities; and (c) Establishment of appropriate system for Measurement, Reporting and Verification (MRV) of emission attenuation. This programme will create synergies between sectors of the Ministries Environment, Planning, Agriculture, Water & Energy and other GHG emitting sectors based on the activities already underway in different departments especially the preparation of the 3rd National Communication (TCN) and that of the (reduced emissions by Degradation and Deforestation (REDD +).

The UN-REDD (UNEP, FAO and UNDP), the LECB programme and the GCCA project are established in response to the UNFCCC agreements. Since 2009, DRC has received approximately USD 7 million through the UN-REDD programme allocation in combination with a grant from the WB Forest Carbon Partnership Facility (FCPF) and approximately USD 650.000 through the LECB project and EUR 14 million through the GCCA.

UNFCCC support is evaluated under EQ 7 (International climate change governance). MEDD is the lead institution for low emission.

<p>EQ 2 Low emission <i>To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU has contributed significantly towards preparing the DRC for climate resilience low emission development. The various programmes supported are interlinked sharing the same overall objective ('many roads leads to Rome') and in combination contribute to the DRC achievement of goals as stated in the GPRSP II and goals towards REDD+. • DRC has since 2009 engaged decisively in REDD+. A REDD Decree, signed by the Prime Minister on 26th November 2009, formalised the national REDD process and backed a number of key REDD institutions, notably a National Coordination for REDD (CN-REDD), which is functional and very active, and two steering committees (a National REDD Committee and an Inter-ministerial Committee). A notable number of organisations from civil society and representing forest peoples have organised themselves into a single structure, named the Working Group on Climate-REDD (GTCR), which has become an active, indispensable and very valuable partner of the REDD process in the DRC. • DRC has taken a participatory approach in the formulation of its national Social and Environmental (SE) standards, which cover several areas including enhancing governance and capturing the multiple benefits of REDD+. The consultation process was undertaken in six provinces to collect feedback from different actors and local communities, as well as to involve and better anchor the process at the local level. • The first UN-REDD Programme served to launch and structure a national REDD+ process and the DRC elaborated its REDD Readiness Plan (R-PP) for 2010-2012. The R-PP was approved and became the DRC's UN-REDD Programme specifying the national roadmap for REDD readiness, as well as being the meeting point for all stakeholders, including donors, that wish to support the DRC's REDD+ readiness process. • The GCCA programme provide support to the UNIKIS for training and research in the fields of emission reduction and increase in carbon stocks thus strengthening the implementation of the DRC policy to counter the effects of climate.
<p>JC 21 Monitoring, Reporting and Verification <i>Increased capacity to Monitor, Verify and Report (MRV)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • DRC has developed the DRC National Forest Monitoring System (NFMS) in response to the relevant REDD+ decisions of UNFCCC, which request parties to develop a robust and transparent national forest monitoring system for deforestation, forest degradation, forest conservation, sustainable management of forests and enhancement of forest carbon stock. • The NFMS has been developed with the financial support from the EU (through UN-REDD and technical advise provided by FAO and the Brazilian National Institute for Space Research (INPE) as well as the assistance from the OFAC.
<p>JC 22 NAMAs and LEDS</p>	<p>Findings</p>

<p><i>Availability of strategies and actions that support a low emission development.</i></p>	<ul style="list-style-type: none"> • The DRC prepared already in 2006 the national programme for adaptation to climate change with support from UNDP. • The LECB project started in 2012 to assist in developing a comprehensive carbon emissions reduction strategy including inventory of GHG, development of NAMAs and complying with the MRV requirements. The results of the REDD+ efforts will be integrated in the process. • The DRC is in the process (since 2012) of developing a revised National Climate Plan with the support of EU providing TA, which helped shape the plan looking at different development sectors from an environment and climate change perspective thus contributing to mainstreaming of environment into development sectors. • Through the UN-REDD project, the EU has supported DRC in taking a participatory approach to the formulation of its national Social and Environmental (SE) standards, which cover several areas including enhancing governance and capturing the multiple benefits of REDD+. The consultation process was undertaken in six provinces to collect feedback from different actors and local communities, as well as to involve and better anchor the process at the local level. • EU is providing funds through UNDP LECB in particular for defining strategies of low-carbon development. NAMAs are mainly set up in the agricultural, infrastructure, energy and transport sectors. Implementations of projects under these sectors are difficult due to lack of national capacities. • The LECB project has assisted the development of NAMAs in the agricultural and energy sectors. So far the overall strategy has been set; projects and ideas have been identified but not yet developed and implemented.
<p>JC 23 Capacity for low emission development <i>Increase in knowledge on implementing low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Capacity is still low and need further development. Through the LECB project inception phase, a workshop was held with the participation of all key stakeholders and where the GHG Inventory System and the MRV were presented and the institutional arrangements organised for the establishment of a coherent MRV system. • Information is available (i.e The OFAC Status of Forest Report 2013 for the Congo River Basin has been published and the information used to develop the NFMS). However, we have not encountered any using it. • Knowledge sharing takes place at national and regional level through workshops – seminars and intersessionals in preparation and participation in the COP.

Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
In-country coordination efforts work and would be likely to offer a good partial solution to the coordination effort	No evidence
NAMAs developed so far likely to be bankable or attract private sector finance;	No evidence
The NAMAnet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;	Capacity development activities will take place through the GCCA programme with UNIKIS
The PMR market readiness approach is attracting the private sector to be engaged;	N/A. DRC is not a beneficiary country.
The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;	Probably a significant number of missed opportunities. The Joint Africa-EU Strategy on Climate Change and Environment and the action plan for Energy contributes to mitigation actions. But no evidence of this in DRC
The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.	This does not seem to be the case in DRC. The negotiations concerning emission levels and the trade in this has received the most attention in DRC and all activities are focussed on accessing REDD +.

5.3 EQ 3: Sustainable energy



Context: GEEREF has not been active in DRC. For this reason this evaluation question was not considered for DRC.

The Central African Region is endowed with abundance of hydropower potential which is also used to a large extent. EU has since 2002 supported the development of sustainable energy in the ACP region through the EU Energy Initiative (EUEI) and the EU Energy Initiative – Partnership Dialogue Facility (EUEI PDF) established in 2004. During the period under evaluation the EU has supported sustainable energy through the EU-Africa Energy Partnership (AEEP) established in 2007. In 2010 the AEEP agreed on a set of specific targets to be attained by 2020: energy access; energy security; renewable energy and energy efficiency; institutional capacity building; scaling up investment; and dialogue. By 2020, the AEEP has committed itself to: ensure access to modern and sustainable energy services for at least an additional 100 million Africans; substantially increase the use of hydropower (10,000MW), wind (5,000MW) and solar energy (500MW), as well as triple the capacity of other renewables, such as geothermal and modern biomass. AEEP also aims to enhance energy security by doubling the capacity of African cross-border interconnections within the continent and to the EU, as well as doubling the use of natural gas in Africa and its export to the EU. In 2012 this led to the initiation of the Africa-EU Renewable Energy Cooperation Programme (RECP) established with the aim of contributing to the AEEP 2020 targets.

At the Central African Regional level the ECCAS has developed a white paper based on a shared vision to ensure by the year 2030, universal access to modern energy services for the populations and the development of renewable energies for the emergence of Central Africa and sustainable human development. This initiative of the ECCAS countries that have joined the initiative of “sustainable energy for all (SE4ALL)” launched by the Secretary General of the United Nations, enjoys the technical and financial support of UNDP at the regional and national level.

5.4 EQ 4: Biodiversity



Context: DRC loses on an average 320.000 ha of forests per year corresponding to an annual deforestation rate of 0.25%. Deforestation rates are relatively low in comparison with the global average for tropical countries, but need to be considered in relation to the significant forest surface, placing the DRC among the ten countries losing the most significant wooded area each year. Loss of forest cover means loss of flora and fauna. Years of armed conflict, rapid deforestation, over-hunting and the illegal bush meat and exotic wildlife trade have had a devastating effect on many animal species.

DRC has a long history of nature conservation. Since the colonial era, efforts to preserve the vast biological diversity have been concentrated on the establishment of protected areas. The National System of Protected Areas comprises approximately 10% of the country's territory today with plans to expand to 15%. DRC is also the only country where 5 protected areas have achieved status as World Heritage Sites.

However, the establishment of protected areas has mainly been through a top-down process without community consent⁴⁴ and their management has been more enforcement-oriented than inclusive of stakeholders. Since 1996 the persistent political instability and wars triggered increased fears of dismantling protected areas as they were perceived as political institutions and a symbol for the ruling elite.

During and after the wars key protected areas were devastated, in particular the World Heritage parks close to the DRC eastern borders⁴⁵. Since 1999 the DRC government has pledged support and the assistance from the international community (bilateral donors, UN-family, International NGOs) to rehabilitate and maintain the areas.

EU support to the sector has gradually evolved over the time and entered as a non-focal sector in CSP from 2008-2013. With particular reference to the Sixth Community Environment Action Programme (6th EAP 2002-2011) the EU focused on efforts to encourage DRC to implement its international commitments under multilateral environmental agreements in particular in relation to the CBD. In view of the inter-linkages between poverty and environment and the serious environmental threats

⁴⁴ The creation of parks has not respected local traditional tenure rights. Traditionally the land tenure system was that communities communally owned lands that were used by their members. Despite the fact that there were physically unoccupied lands, these were not legally empty or vacant lands since they were owned one way or another by communities.

⁴⁵ WHS Danger List since: Virunga NP (1994); Garamba NP (1996), Kahuzi-Biega NP (1997), Okapi Wildlife Reserve (1997), Salonga NP (1999)

facing DRC: climate change, deforestation, loss of biodiversity, contamination of soils and water, erosion and lack of capacity at national and local levels to implement effective biodiversity conservation management, a response strategy was formulated to address the critical state of the 5 national parks enlisted as World Heritage Sites while also supporting the implementation of an institutional reform of the national park system led by the Institute for Nature Conservation (ICCN).

<p>EQ 4 Biodiversity</p> <p><i>To what extent has EU support (via the ENRTP and geographic instruments) helped improving the capacity of partner countries to prevent/reduce the loss of biodiversity?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU has by blending instruments contributed to reducing the loss of biodiversity and helped improving the capacity for preventing the loss of key protected areas of the in DRC. E.g EU has provided support to the implementation of an institutional reform programme for the National Institute Conservation of Nature (ICCN) in charge of the management of protected areas launched in 2007. The programme was launched to address the UNESCO World Heritage Committee approved “correctives measures” for each of 5 WHS and provided the benchmarked to be met in order to withdraw these sites from the Danger List. The correctives measures accompanied by indicators are a kind of “means of verifications” for DRC and UNESCO to monitor if their state of conservation did improve or not. Through the support to the rehabilitation of park infrastructure, training of staff and as well as improvement of their work conditions and management structures the parks have been able to operate and thus be maintained although still under threats. • This work is supported by the strengthening of the regional capacities of data collection, harmonization and analysis and at setting up a permanent Regional Observatory (OFAC) of the forest ecosystems at the service of decision-makers. • Capacity for protected areas management has been improved at sub-national levels including the development and testing of new approaches including to a much higher degree involve the adjacent communities in the management and protection activities, establishment of PPPs for sustainable tourist development; ecosystem approach) in the areas of intervention. • Biodiversity conservation is one of the key results of the REDD and FLEGT processes. Supporting these processes indirectly contributes to mainstreaming of biodiversity into the sub-sectors such as agriculture and forestry. • Loss of biodiversity is still alarming in DRC. Knowledge and tools that inform the GOB and the public on value of biodiversity in order to mainstream biodiversity in economy and development policy are needed. EU has supported the development of tools⁴⁶, however, they are not widespread in use in DRC.
<p>JC 41 Implementation of Commitments</p> <p><i>Enhanced capacity of partner countries to implement their commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • On the availability of improved national policies, plans and budgets for biodiversity conservation and CBD/post-2010 Global Biodiversity Strategy nationalisation, the following was found: • DR Congo produced its NBSAP in 1999 and revised it in 2002 however implementation has been weak due to government priorities being focused on poverty reduction. The Poverty Reduction Strategy Paper (2006) serves as a guide for sustainable resource management and as a base document for the development of related policies and other sectoral strategies. Actions contained in the NBSAP that are receiving attention include: revision of legislation and related legal instruments; establishment or revision of management plans for national parks and protected areas; improved knowledge of ecosystems and taxonomic groups; scientific research; involvement of local communities in protected areas conservation; promotion of eco-tourism in protected areas. • The National System of Protected Areas comprises approximately 10% of the country’s territory with plans to expand to 15%. Activities are also under way to promote genetic diversity conservation through involvement in the Southern African Development Community (SADC) and Belgian cooperation projects. Five of the protected areas have status as World Heritage Sites (WHS) but classified to be in danger. • An institutional reform programme for the National Institute Conservation

⁴⁶ TEEB (the Economics of Ecosystems and Biodiversity) financed by EU; BIOFIN (Integration of biodiversity in national budgets and sectoral plans financed through UNDP; WAVES (Wealth accounting and Valuation of Ecosystem Services), financed by WB.

	<p>of Nature (ICCN) in charge of the management of protected areas in DRC was launched in 2007 co-financed by EU. The programme was launched to address the UNESCO World Heritage Committee approved “correctives measures” for each of 5 WHS and is benchmarked to be met in order to withdraw these sites from the Danger List. The correctives measures accompanied by indicators are a kind of “means of verifications” for UNESCO to monitor if their state of conservation did improve or not.</p> <ul style="list-style-type: none"> • The DRC protected areas system is constantly under threat with mixed political support⁴⁷ and human and financial resources which remain inadequate. Without the support from the international community including EU, EU member states, the UN organisations, the WB/GEF, the system may collapse and/or be taken over by armed groups in favour of oil exploitation or other mining activities⁴⁸. • In 2010 the WHS contribution to GDP and trade balance amounted to almost USD 1 million, which was far below incomes generated from eco-tourism before the wars. • DRC loses on an average 320.000 ha of forests per year corresponding to an annual deforestation rate of 0.25%. Loss of forest cover thus biodiversity is mainly due to expansion of the agricultural frontier and mining. Deforestation rates are relatively weak in comparison with the global average for tropical countries, but need to be considered in relation to the significant forest surface, placing the DRC among the ten countries losing each year the most significant wooded area. Thus, the implementation of an REDD strategy by the DRC is essential to soften these past and current emissions, prevent impacts that future causes could have, and to support the national development process to reduce its impact on forest cover. • DRC is keen to comply with the MEA requirements and has submitted the 2nd Regular National Report on the implementation of the Cartagena Protocol on Biosafety (2011) as well as the 5th National Report on Conservation of Biodiversity (2014). • Actions taken to upgrade the NBSAP in view CBD/post-2010 targets are under way (started in 2013), but already laid into the GPRSP II and the government seems committed to comply with MEAs. Recently (Febr 2015) DRC ratified the Nagoya Protocol in Access and Benefit-sharing. Also the CBD Clearing House Mechanism (CHM) has recently been established in accordance with CBD requirements. Furthermore, activities are under way to expand the protected areas system to 17% of the territory with assistance from the international NGOs in attempt to reach the Aichi targets for protected area coverage. • In the process of preparing a National REDD strategy (well advanced) several studies have been undertaken which addresses some of the CBD/post 2010 targets. E.g. <i>A Study on the drivers of deforestation and forest degradation</i> and a <i>Study on benefit sharing from REDD+</i>. • DRC has been involved with CITES since 1975. The DRC has accessioned the Convention on Endangered Species. Illegal logging is one of the main treats to endangered plant species such as <i>Pericopsis elata</i> (Afroormosia) and <i>Prunus Africana</i> (Pygeum) (CITES Appendix II plant species). In cooperation with the ITTO-CITES programme on Tree species (co-funded by EU) DRC has developed a Notice of non-detrimental trade for the exploitation in Afroormosia (<i>Pericopsis elata</i>) in the DRC (released 2014) regulating the logging and export of Afroormosia. • However, controlling the illegal use and trade in wildlife and plant species is still a huge challenge for DRC. In 2010 DRC/ICCN only received approximately USD 3000 in taxes through exportation of animals and forestry products indicating that the forestry sector in the DRC is completely out of control, with at least 87 percent of logging
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⁴⁷ Oil and mining exploration and exploitation are specifically prohibited in the protected areas of the Democratic Republic of Congo (DRC) by the Public Order Act of 1969 on the conservation of nature and by the Mining Code of 2002. However, a ministerial order (Sept 2011) permitted SOCO (UK-based) to exercise an oil exploration campaign in Block V of Virunga NP. The permit was suspended in March 2011 and it was agreed to conduct an independent Environmental Evaluation Strategy (EES) in line with international standards. A year later in March 2012 it was learned that authorisation was given to initiate explorations while the EES process was still on-going.

⁴⁸ ‘Virunga’, documentary 2013-2014, Director/Producer Orlando von Einsiedel, Grain Media Film, Netflix

	<p>estimated as illegal in 2011, making the DRC possibly the most high-risk country in the world for purchasing legal wood products⁴⁹. The FLEGT and REDD processes aim to contribute to reversing this situation.</p>
<p>JC 42 Ability to conserve biodiversity <i>Strengthened national capacity to conserve habitats/ecosystems</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The national capacity to conserve and manage the protected areas has improved. A new approach to management and protection in cooperation with communities and indigenous people has gradually improved the relationship between the protected areas and the adjacent (and/or people depending on the forests for their livelihood). This has led to the generation of new management and protection plans as well as many initiatives for the sustainable management and use of the resources within the areas. • EU has through the ICCN supported the rehabilitation of the operations and management of Virunga National Park (Status as NP since 1925, WHS since 1976). By supporting infrastructure reconstruction and increasing the security in the protected areas, as well as putting in place a training programme for rangers and park managers, the EU has helped the resumption of tourism in the eastern part of the DRC. Tourism in the Virunga Park has in the past produced millions of euros in revenue, and has in spite of the insecure conditions created job opportunities and boosted local economic activity as tourist gradually return to the areas. 30% of the revenue is allocated to community development programmes benefitting the population adjacent to the areas. Also Garamba NP/WHS, l'Upemba NP, and Salonga NP/WHS have received EU support to improve management and protection of the areas. 30% of the income generated by the park's activities is allocated to community development programmes, benefiting neighbouring local communities. Furthermore, EU has supported capacity development for analysis and identification of protected areas through the University of Kinshasa and its research station Yangambi. • Through the synergies established between the national conservation programmes and regional level programmes through COMIFAC with programmes such as, RAPAC/ECOFAC, OFAC, FORAF (Forestry and Agroforestry Research), CEOFAC, and the FLEGT and REDD processes, the DRC national PA system has gained increased attention and thus protection. • An approach to management and protection of protected areas in cooperation with communities and indigenous people has gradually led to greater acceptance of the national parks and their active involvement in their protection. The generation of new management and protection plans as well as many initiatives (new approaches) for the sustainable management and use of resources is gradually being developed as well as sustainable tourism in the Pas. All of which is strongly supported by the EU through activities in the areas, and regionally through RAPAC.
<p>JC 43 Knowledge and Information on Biodiversity <i>Improved availability of, and access to, knowledge and information on biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Investigation – monitoring of biodiversity/ecosystem assessment is interlinked with the natural forests in DRC. EU has supported through a number of activities in DRC and regionally (FORAF and CEOFAC projects⁵⁰) capacity development for monitoring and assessment: through the REDD processes studies have been made on the forests in DRC⁵¹. • Research for the assessment and monitoring of forest resources. These activities have been carried both at global level (e.g. forest resource

⁴⁹ Chatham House, EER PP 2014/03: Lawson S: Illegal Logging in the Democratic Republic of the Congo

⁵⁰ The European Commission provides the main financial and operational support to the Observatory for Central African Forests by FORAF and CEOFAC projects. The EU Joint Research Centre (JRC) manages the projects and ensures the scientific coordination, in cooperation with the EUD DR Congo and the EUROPEAID. The projects' activities aim at strengthening the regional capacities of data collection, harmonization and analysis, and at setting up a permanent **Regional Observatory of the forest ecosystems** at the service of decision-makers. The FORAF and CEOFAC are implemented by the JRC and a consortium of scientific institutions lead by the Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD France) and including the Center for International Forestry Research (CIFOR Indonesia), the private company Forest Resources Management (FRM France) and the Université Catholique de Louvain (UCL Belgium). OFAC is based in Kinshasa. It ensures the coordination of data collection and harmonisation, the analysis of results, the production of the State of the Forests and the dissemination of information by the Web site.

⁵¹ A Study on the drivers of deforestation and forest degradation and a Study on benefit sharing from REDD+.

	<p>assessments by the FAO) and at regional level (e.g. the State of the Forest in Central Africa produced by OFAC and JRC. The EU has also funded timber market studies and for analytical work on a number of social and environmental issues performed by the Centre for International Forestry Research (CIFOR) in relation to the FLEGT process.</p> <ul style="list-style-type: none"> • The research undertaken has been used at national level to feed into the development of the national REDD strategy. • EU EDF funds capacity building for research and monitoring of biodiversity are supported through the University of Kinshasa, Centre for Biodiversity, and its research station. • Through the CAWHFI project with UNESCO monitoring and assessment of the status of management in 5 World Heritage Sites have been undertaken. Information has been communicated to the authorities leading to increased focus on complying with the WHS requirements. New knowledge and data has been collected and shared • Besides this an impressive amount of research papers, reports and articles on the DRC biodiversity are developed and available through the major conservation NGOs such as IUCN and WWF.
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Summary of hypotheses

<i>Overall desk hypotheses</i>	<i>Evidence from DRC's case study</i>
Biodiversity issues are now mainstreamed (including increase in budgets) into the new lot of CSP. Tools developed are applied	Biodiversity is an integral part of REDD and FLEGT processes. Government budgets to the sector have only increased slightly. Tools (such as the TEEB) to demonstrate the value of biodiversity were in demand and valued in order to promote the conservation of biodiversity at the highest political levels.
EU innovative approaches to habitat/ecosystem management are applied in PPP	EU supports the development and information sharing concerning innovative approaches. Examples of PPPs include the long-term management of protected areas and the development of tourism infrastructure in the parks involving the communities. The aim is to create jobs, skills and enterprise development and economic growth through conservation of biodiversity and ecosystems.
EU SPSP for protection of biodiversity at national level is on the increase	In general EU supports the modality of sector budget support and has been a pioneer in doing so. However, the lack of appropriate conditions ⁵² in DRC the EU has not used this modality for any of the country based programmes and projects.
Research programmes (show-cases/results) are used for the development – formulation of country strategies, programmes, projects financed by ENRTP-EDF-geographical instruments.	In DRC research results are used to direct and/or follow-up in programmes and projects. This is due to the nature of many research activities being 'applied research' – thus useful for decision-making.

5.5 EQ 5: Green economy



Context – Green economy programmes and projects exist, but difficult to implement. In particular, UNEP, with the support of the EU and other partners, has been active in reaching out and providing analytical and policy support to leading countries in Africa as part of the Green Economy Initiative, and promoting social and environmental entrepreneurship in Africa since 2010. From Kenya to South Africa, Sierra Leone to Mozambique, UNEP together with other partners such as the UN ECA and AfDB have been providing advisory services to governments on developing green economy strategies and policies. Meanwhile other initiatives

such as Sustainability Education and Economic Development (SEED) have been working alongside enterprises to encourage social and environmental entrepreneurship.

EQ 5 Green economy <i>To what extent has the EU support enhanced sustainable and resource-efficient produc-</i>	Main findings <ul style="list-style-type: none"> • In 2008 the EU through the European Union Energy Initiative (EUEI) assisted the DRC Ministry of Energy in the development of a a) new energy policy, b) an electricity code, c) and a rural electrification strategy that
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⁵² Well defined sectoral policy; credible and relevant programme to improve public financial management; a stability-oriented macroeconomic policy in place.

<p><i>tion and consumption policies and practices⁵³ and therefore contributed to the greening of the economy of supported countries?</i></p>	<p>contribute to improved access to affordable and sustainable energy services. Through this work the DRC adopted its first electricity legal code which created a regulatory authority for the electricity sector, a national rural electrification fund, and established a national electrification agency.</p> <ul style="list-style-type: none"> • EU has since been reluctant to support the sector as the DRC has a lack of/incapable institutional framework which can assume responsibility and leadership for actions. Only a few pilot projects have been supported: ELKAP (micro-hydropower plant); Eco-Makala (fuel wood plantations for income generation-reduction of emissions; and a land-fill bio-gas plant for the area around Kinshasa). • Many donors support the sector and funds are available, but practical results are scarce and hardly visible. • In order to opt for a green economy approach, politicians need to be shown that objectives of increasing national incomes can be reached without jeopardising the resources. This can only be done through assessments, scenarios. EU has through a UNEP-Risø supported a study on the potential for emission reduction in DRC which points to the extensive renewable energy resources including potential hydroelectric capacity of approximately 100.000 MW available un-used. However, while the country is well endowed with resources to produce power and is a net exporter of electricity, (99.9% of power production is based on hydroelectric production) the majority of the population, 89%, still lacks access to grid electricity. Micro-hydro plants, photovoltaic systems and thermal solar systems are seen as having a great potential. Power could be used for pumping water, guaranteed lighting, pumping irrigation and other aspects of agriculture, and the heating or drying of some foods (as operating costs are low).
<p>JC 51 Green economy capacity <i>Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The DRC government is aware of that expansion of the agriculture, bioenergy and extractive industry sectors can be done to the detriment of natural forests. DRC is actively seeking to undertake significant investments in order to prevent such risks and turn towards green economy and development. A National Programme for Environment and Forest, Water and Biodiversity (PNEFEB) has been finalized. However, according to DDD not much has been done. Main challenge for green economy efforts is believed to be the lack of awareness and understanding. Green economy programmes and projects exist, but difficult to implement. • An example is the Eco-Makala project (although in the NRM sector) financed by EU and implemented by CIRAD, aiming at supplying the population of Goma (adjacent to the Virunga NP) with sustainable energy resources. By establishing fuel-wood plantations in areas around the park with the aim to reduce poverty and contribute to rural development while stocking CO₂ emissions as well as protecting the resources in the park • Another example is the attempt to utilize the gas from the Mpsa landfill (constructed under the EU-funded Urban Sanitation programme (PAUK) to generate electricity. The plant was estimated to reduce methane emitted from the waste, with an average of 125,000 tCO₂e/year. The plant was installed but never worked as the local authorities did not spend the necessary money to ignite the plant in order for the system to work. • EU has also through a UNEP-Risø supported a study on the potential for emission reduction in DRC which points to the extensive renewable energy resources including potential hydroelectric capacity of approximately 100.000 MW available un-used. However, while the country is well endowed with resources to produce power and is a net exporter of electricity, (99.9% of power production is based on hydroelectric production) the majority of the population, 89%, still lacks access to grid electricity. Micro-hydro plants, photovoltaic systems and thermal solar systems are seen as having a great potential. Power could be used for pumping water, guaranteed lighting, pumping irrigation and other aspects of agriculture, and the heating or drying of some foods (as operating costs are low). EU has through the EU-African Energy Partnership (AEEP) one pilot project in DRC: ELKAP – a micro hydroelectric dam in the remote Katanga region initiated in 2010 and implemented by the Salvadorian Society (catholic NGO) and the local government. But there is also a great potential for green economy in promotion of energy efficiency, in particular in the transport sector and waste management.

⁵³ SCP interventions are the main scope. Natural resources management interventions are not considered.

	<ul style="list-style-type: none"> • Since 2007 the EU has supported the Programme of Urban Sanitation of Kinshasa. The programme comprised assistance for the development of improved solid waste management and drainage systems for the communities of Gombe, Barumbu, and Kinshasa. As of October 2010, waste transfer stations had been installed in several locations of the three communities where cart-waste collectors collect the garbage and other waste in the city and empty it into such deposits. Subsequently, all solid waste was to be transported to a site in Mpassa, a suburban neighbourhood of Kinshasa located approximately 30 km from the city centre, where a new solid waste land fill was constructed, with the intention to utilize the gas from the Mpassa Landfill for energy production. It believed that the project would reduce methane emitted from the waste, with an average of 125,000 tCO₂e/year⁵⁴. The plant was installed but never worked as the local authorities did not spend the necessary money to ignite the plant in order for the system to work. • EU support to this sector (green economy) is hindered by the fact that implementation is hardly visible at local levels and the executing government agency is weak. • In 2012 the CONGO GREEN CITIZEN (CGC) was created. CGC is an NGO under Congolese law which aims to educate, train and inform young people about the environmental challenges facing the world at present. GSC intends, through education, training and information relating to the environment and sustainable and resource efficient development, prepare youth to sustainably manage the natural resources for the future and educate them to better protect the environment today in line with the concepts of green economy. Information and communication are critical for change and decision-making in all areas all over. The web portal of GSC is a reference point for environmental information and communication materials in the Democratic Republic of the Congo. • The GOB has in recent years placed more emphasis in seeking SCP and resource efficiency in development activities; however, SCP is not mainstreamed in development plans. • In 2008 the EU through the European Union Energy Initiative (EUEI) assisted the DRC Ministry of Energy in the development of: a) a new energy policy, b) an electricity code, c) and a rural electrification strategy that contribute to improved access to affordable and sustainable energy services. Through this work the DRC adopted its first electricity legal code, which created a regulatory authority for the electricity sector, a national rural electrification fund, and established a national electrification agency.
<p>JC 52 Green economy implementation <i>Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • So far none of the pilot projects seem to have any effect on changing the economy to a greener one. A follow-up to the Eco-Makala seems to be under way. • The incentive lays for the most initiatives in the 'win-win' situation created: Less consumption – less costs. Projects and/or instruments are not known in DRC.

Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?	Not applicable in DRC
Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from SWITCH-Asia and how has this changed the programmes?	N/A. Information on SWITCH Africa Green will be informed at a more macro level (conception of the Programme). Furthermore, SWITCH Africa Green has been committed only in 2013, thus hindering the possibility of informing on any financed programme in DRC (it would seem that the first call for proposals was launched in December 20&4).
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa in Africa programmes?	N/A

⁵⁴ UNEP-Risø, 2013, Emission Reduction Profile, Democratic Republic of Congo

Overall desk hypotheses	Evidence from DRC's case study
Have capacity building activities on SEA in Ukraine increased the quality of SEAs?	N/A
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	Not known
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not known
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	N/A
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	N/A
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	N/A

5.6 EQ 6: Environmental governance



Context – The EU support to international environmental governance has been channelled through UNEP and its MEA Secretariats since 2007 and in particular since the Strategic Cooperation Agreement was signed in 2010 with funding through ENRTP.

Cooperation between the European Commission and UNEP to date covers a wide range of activities, programmes and projects in areas of common concern such as biodiversity, sustainable consumption and production, climate change, water resources, sound chemicals and waste management, environmental monitoring and assessment, strengthening environment governance at the global, regional and national levels. Support has been given to both UNEP directly and to the voluntary budgets of Multilateral Environmental Agreements for which UNEP provides the secretariat.

<p>EQ 6 Environmental governance <i>To what extent has ENRTP contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) and UNEP-related processes?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • UNEP has only very limited direct capacity in DRC. UNEP's role is mainly provided as technical quality assurance, whereas UNDP ensures overall coordination and implementation. UNDP always rely on UNEP MEA Secretariats for technical and research aspects. • As part of the UN-REDD programme, UNEP has played an important role in assisting in the planning and preparation for REDD+ by being instrumental in the development of various of the required studies which facilitate decision-making concerning REDD+⁵⁵ • The ongoing collaboration on "National Forest Monitoring Systems Based on Remote Sensing and Geographic Information System" is one of the most successful examples of South-South collaboration between UN-REDD Programme partner countries to date. Through this initiative, the UN-REDD Programme, FAO and the Brazilian National Institute for Space Research (INPE) jointly support the set-up of national satellite monitoring systems in interested UN-REDD Programme partner countries. Pilot training courses and in-country implementation assistance are key elements in this example of South-South cooperation, which was featured recently on the website of UNEP's South-South Cooperation Exchange Mechanism. In DRC this cooperation has resulted in the National Forest Monitoring System (NFMS) set-up. • In the same token the EU contributed to the elaboration of the State of Forest 2013 in the Congo Basin (OFAC through support from the FORAF
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⁵⁵ UNEP-WCMC 2012: Mapping the potential biodiversity benefits from REDD+ DRC; UN-REDD, 2013: Sharing National Experiences in Strengthening Transparency, Accountability and Integrity for REDD+; UN-REDD 2013: DRC's Safeguard Standards

	<p>and CEOFAC projects), which likewise provide information for decision-making concerning REDD as well as contributing to the compliance with the CBD requirements.</p> <ul style="list-style-type: none"> Regional and sub-regional workshops on e.g. 'green economy', climate change, CBD financing, most frequently rely on the technical capacity of UNEP and MEA Secretariat although those are organised or financed through other channels. DRC has to a large extent delivered information and plans as required by the MEAs assisted mainly by UNDP/GEF.
<p>JC 61 International institutional framework <i>Extent to which EU support to UNEP and its MEA Secretariats has strengthened the MEA related international institutional framework and processes in relation to biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> UNEP and the MEA Secretariats contribute to institutional capacity development especially in relation to all the UN-REDD activities. Various work-sessions, seminars and the involvement of civil society have been facilitated by UNEP. DRC seems not to have received direct support from UNEP-MEA Secretariats for their participation in the COPs but they have participated in events organised by the MEA Secretariats. Participation of the DRC delegations has been supported directly by EU and other donors as well as the regional EU programmes. DRC has been more strongly engaged in the COP negotiations and debates over the years and is co-presiding the REDD mechanism being one of the first countries to implement the results of the Warsaw Framework for REDD+ (2013). DRC fully subscribe to the market based mechanisms available for halting deforestation and forest degradation such as the REDD+. The capacity to engage in the negotiation processes has improved considerably as part of the G77 group. Whether UNEP and MEA Secretariats have assisted in their preparation (intersessionals) is not clear
<p>JC 62 Greater knowledge <i>Extent to which EU support to UNEP and its MEA Secretariats has improved access to knowledge on biodiversity and biodiversity conservation (with a view to ensure informed decision-making</i></p>	<p>Findings</p> <ul style="list-style-type: none"> There have been a number of international, regional and sub-regional workshops which foster dialogue and cooperation and exchange of knowledge with the participation of DRC delegations. Information on biodiversity and biodiversity conservation are made available through the MEA Secretariats' assisted by related research institutions' web-pages (e.g. World Conservation Monitoring Centre; EU-Joint Research Centre (JRC); the Central African Forest Observatory (OFAC), the Brazilian National Institute for Space Research (INPE); to mention some).
<p>JC 63 Capacity for policy and planning <i>Extent to which EU support to UNEP and its MEA Secretariats has enhanced developing countries' capacity to engage effectively in biodiversity related policy formulation and planning to meet their commitments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> DRC government has adopted a national strategy and fund for REDD. This fund depends to a certain degree on government funding thus political will. The first three years of the national programme (supported by UN-REDD and the FCPF), was dedicated to prepare the country for REDD implementation. The UN-REDD processes are to a high degree interlinked with the CBD Aichi targets; meaning that by preparing and implementing REDD the DRC also moves ahead towards implementing the CBD/post 2010 targets for 2020. In cooperation with the ITTO-CITES programme on Tree species (co-funded by EU) DRC has developed a Notice of non-detrimental trade for the exploitation in Afrormosia (<i>Pericopsis elata</i>) in the DRC (released 2014) regulating the logging and export of Afrormosia. Control on the ground is a major constraint. The DRC recently ratified the Nagoya Protocol on Benefit sharing (Febr. 2015) and has plans to develop the national biodiversity strategy and action plan taking the Nagoya and Cartagena protocols into consideration demonstrating DRC commitment to implementation of the MEAs. However, the government lack resources: institutional, human and financial resources.

Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
The EU support for participation in CBD-PoWPA-CITES-Chemicals agreement processes, knowledge access, and capacity building has helped developing countries in articulating	DRC has better articulated its priorities as part of a leadership role in Central Africa.

<i>Overall desk hypotheses</i>	<i>Evidence from DRC's case study</i>
and advocating for their priorities. (JC61, JC62)	
Developing countries have become more organised and vocal at CBD-PoWPA-CITES-Chemicals negotiation processes. (JC61)	The UNEP- UN-family has assisted in capacity development specifically in DRC concerning MEAs
The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in CBD-PoWPA-CITES-Chemicals related agreements. (JC61)	The GOB participates and articulates needs and priorities.
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC62)	No clear evidence and difficult to measure. Most government officials have access to the internet (although at times unreliable access) and thus able to seek the information they require.
That the ENRTP support to UNEP- MEA Secretariats under new priority 3.3 and old priority 4 has resulted in (JC63): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national biodiversity policies, NBSAPs, PoWPA (inter-linked to EQ4 on biodiversity).	Awareness concerning climate change, biodiversity, forest degradation has been raised. Awareness and appreciation of the inter linkages between economic development thus human welfare and biodiversity is less evident.

5.7 EQ 7: Climate governance



Context – The REDD+ mechanism was launched in DRC in January 2009, with the first joint mission carried out by the United Nations for REDD + (UN-REDD) and the Forest Carbon Partnership Funds (FCPF) of the World Bank. With funding from these partners (\$7.3 million from UNREDD and \$3.4 million from FCPF), DRC spent three years in the preparation phase for REDD+ after producing a very ambitious Readiness plan (R-PP), which was adopted in March 2010 by the UNREDD board and the FCPF Participants Committee. The objective of REDD+ in the DRC in its preparation phase was to build strong bases for the national

REDD+ strategy which should, both, structure the country's sustainable development in the coming decades and commit the country as soon as possible to international REDD+ processes. The roadmap developed in the R-PP, envisioned the national REDD+ strategy would be in place by January 1, 2013. This strategy rested on three pillars: (1) the return (lessons) from REDD+ pilot projects, (2) the results of various studies (for example, drivers of deforestation, benefit sharing mechanisms, the economics of REDD+ in DRC, the risks of corruptions in the process and so on), and (3) the work of thematic coordination groups. Due to many challenges, REDD+ pilot projects struggled to start as scheduled and were therefore unable to provide the expected details needed to inform the national strategy. Several of the planned studies have been completed by now and provide information for the formulation of the national strategy.

In order to adhere to the schedule for producing the national strategy by 1 January 2013, the country went ahead and developed a national REDD+ strategy framework based on the information that was available.

<p>EQ 7 Climate governance</p> <p><i>To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • The ENRTP has been instrumental in providing support to climate governance by supporting the DRC's efforts to prepare for REDD + through the UN-REDD programme as well as the EU-REDD programme. The latter having less impact in DRC than anticipated but has contributed to harmonize FLEGT and REDD. • Through the ENRTP (as well as the other instruments), EU has been able to contribute to strengthening DRC's climate governance throughout the process of preparing and implementing REDD. • Support is provided through transfer of technologies, capacity development and funds in particular through the EU's Global Climate Change Alliance (GCCA). • DRC's national climate plan has received technical assistance through EU support. This contributed to shape the plan and looked at different development sectors from an environmental perspective. The EU approach has evolved from 'burden sharing' to 'opportunity sharing' meaning that the position of LDCs has improved throughout negotiations, now being seen as opportunities. • Through the support to building regional 'REDD process support' institutions such as the OFAC, the EU has greatly contributed to providing the necessary data and information for DRC negotiations on REDD+.
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<p>JC 71 International institutional framework <i>Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU and other external sources support the participation of the delegations to the UNFCCC and CBD COP negotiations/discussions. The DRC government funds only participation in meeting on security, justice etc. Environment delegations usually consist of MoPs, CSOs and staff from the ministries. • Preparation events (intersessionals) have allowed the development of common understanding between the G77 group + China. DRC has become an important player being chair of COMIFAC and thus has chaired the African countries' delegation during international negotiations from 2010 to 2012. Speaking with one voice has contributed to add weight to the arguments. During these negotiations EU frequently side with DRC. DRC is co-presiding the REDD mechanism. DRC is now seen as a 'deal broker' and no longer a 'deal breaker'.
<p>JC 72 Greater knowledge <i>Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • DRC experts participating in the IPCC working groups have not been identified. • Continuous capacity development and knowledge transfer through support to the UNIKIS and ERAIFT.
<p>JC 73 Capacity for policy and planning <i>Extent to which EU support to international entities has enhanced developing countries' capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Cognizant of the great potential for REDD+ in the country, DRC has forged ahead from the planning to the implementation stages of REDD+ preparedness. The initial DRC National Programme, which helped launch and structure the country's national REDD+ strategy, transitioned into the full National Programme (Readiness Plan) after it was approved by the UN-REDD Programme Policy Board in March 2010. DRC's National Programme document was signed in October and funds were disbursed in November, marking the official launch of the country's UN-REDD Programme. • With the beginning of its full National Programme, activities have moved from strategic planning to results, including completing key studies, testing REDD+ pilot projects, training of personnel, sharing knowledge at a regional level, completing in-country consultation processes and launching the country's first university curriculum on REDD+. EU has contributed to these processes in particular the role of UNDP and UNEP. UNDP – NAMAs are implemented in close cooperation with the EU in order to reduce carbon emissions. These projects benefit directly from EU funding within the frame of the broader EU-UNDP partnership.

Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
<p>The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)</p>	<p>There is evidence of increased capacity as outlined in the indicator analysis above. The level of participation especially the leadership of DRC in international climate change processes through a variety of forums which is very encouraging.</p>
<p>Developing countries have become more organised and vocal at climate negotiation processes. (JC71)</p>	<p>The EU support has been instrumental but seems not to be the reason for the strong engagement of GOB in the debates. GOB has demonstrated a more organised and vocal contribution to the negotiation processes.</p>
<p>The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in UNFCCC related agreements. (JC71)</p>	<p>DRC being the chair of COMIFAC co-presides the REDD mechanism has presided/represented the African countries at the COP (2010-2012). Speaking with one voice they have been heard.</p>
<p>That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC72)</p>	<p>The increased availability of data, assessments and access to data have been used to develop the national REDD strategy. Most government officials have access to the internet and thus able to seek the information they require.</p>
<p>That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).</p>	<p>Many have participated in the events and seminars (e.g. through the UN-REDD,). To a certain extent the exchange of knowledge, methodologies, tools are applied evidenced by the development of the national REDD processes and strategies –and in fact applying an eco-system approach to development planning. And awareness on impacts of climate change has certainly increased (I compare over the last 10 years) mainly because im-</p>

Overall desk hypotheses	Evidence from DRC's case study
	pacts are so visible today.

5.8 EQ 8: Mainstreaming approach



Context – DRC has a poorly developed set of guidelines and regulatory framework for EIAs and for environmental integration. Many of the larger investments that require in-depth socio-environmental impact studies are funded via blending mechanisms where the procedures of the lead International Finance Institution are followed. Large investments made by private international companies (in particular in the mining and forestry sectors tend to use the incomplete DRC requirements.

Mainstreaming of environment and climate change has in spite of the lack of legal framework been promoted through the development of the strategy for REDD. REDD is a cross-cutting policy and involves all sectors: energy, agriculture, forestry, governance, and land-use. All of these have been included in the national REDD strategy. If emissions are to be reduced, all sectors have to be involved in order to assure sustainability.

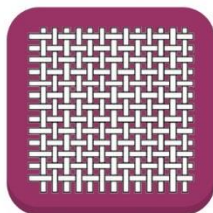
<p>EQ 8 Mainstreaming approach <i>To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • The EU policy and approach and the available guidelines for mainstreaming environment and climate change are found appropriate. • They were also found to be well balanced in the sense that they attempt to address the issues already in the design of development interventions rather than mitigating impacts due to the design and encourage pragmatic ways forward. • More recent developments such as the TEEB, Biodiversity Mainstreaming Guidelines are not fully distributed (and used) to all entities. • More important than the guidelines is that the consultants involved are capable of mainstreaming and that international standards (e.g. World Bank requirements) concerning socio-environmental impacts are followed.
<p>JC 81 Guidelines and tools <i>Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The guidelines and framework are found suitable by the Delegation but it is noted that in practical terms the main triggers for integrating environment and climate change are; i) the templates that demand the topic to be addressed and ii) the Quality Support Group process which asks detailed questions.
<p>JC 82 Delegation capacity <i>Increased capacity developed within the Delegations to mainstream environment and CC in their operations</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The capacity of the delegation for mainstreaming of environment and climate change is high with in-house technical knowledge on the subject matters. • EUD staff has participated in a number of capacity development activities organised by EU DG Env. • The application of the EU approach and guidelines is much easier when there is an openness and reception among the national partners. Particularly now with a new political prioritisation of REDD, environmental and climate change enter the policy dialogue, and reporting on and achievement of environment and climate indicators has noticeably improved. • EUD has used the Env Help Desk for technical advice and to discuss options. The Env Help Desk was found very useful in particular for non-sector staff.

Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)	The evidence from DRC supports this hypothesis.
Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)	The capacity development has been taken advantage of and has increased capacity in particular with non-sector staff
The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent	Not supported by the evidence from DRC. There has been capacity built up for mainstreaming of environment and climate change through the technical support to specific sectors. Due to the impacts of climate change DRC is keen to enter into the REDD mechanism.

Overall desk hypotheses	Evidence from DRC's case study
Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)	

5.9 EQ 9: Mainstreaming practice



Context – The period 2007 to 2013 saw a significant shift in the prioritisation given to environment and climate change. The impacts of climate change combined with the strong political commitment to REDD have paved the way to prioritise and mainstream environment and climate change in all infrastructure and rural development interventions.

According to DRC legal framework environmental impact assessments are only required for the mining sector and are far from a priority in sectors such as transport (e.g. road construction). In spite of the requirements of the Mining

Code, the government has allocated and issued environmental licences for mining activities (explorations) in protected areas, even in the World Heritage Site of Virunga NP. In view of international protests, it was agreed to carry out an independent Environmental Evaluation Strategy (EES) of such activities before advancing the work. The protest has not been respected by the Ministry of Mining and the Cadastre Minier (CAMI) which has not revoked the concession granted to SOCO (UK-based Company) but also allowed them to proceed with their exploration⁵⁶ before the EES has been concluded.

The EU has supported the DRC's reconstruction phase in which the rehabilitation of infrastructure was a main priority. In particular, the rehabilitation of Route no 1 (EUR 113 million) and the Urban Sanitation rehabilitation programme (EUR 99 million) addressing the solid waste, drainage and sanitation in and around Kinshasa. The latter programme, although being a programme for rehabilitation of infrastructure, directly addressed socio-environmental objectives.

<p>EQ 9 Mainstreaming practice</p> <p><i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • An environmental analysis is included as an annex to the CSP 2007-2013 and is of high quality. It covers the main areas of a CEP and identifies the main environmental issues and challenges. It does address opportunities and climate change. • EU is a strong advocate of mainstreaming environment and climate change into all development interventions in DRC as well as in the region. • EIAs of the infrastructure interventions are conducted and followed up with for those projects that require an EIA under the international and to some extent DRC regulations. In the transport sector EIAs is required for excavations where materials are needed for the road construction. • Mainstreaming during implementation has been continuous and has in many ways gone beyond expectations largely because of the increase in political support for the REDD processes including climate change mitigation and adaptation. • The EU policies and mainstreaming strategies on environment, biodiversity and climate change are thus promoted in DRC and in the region. • However, DRC government does not really enforce environmental law and impact assessment doesn't happen at government levels. There is no real vision from the government side and thus no policy. Climate change has just started to become understood and has not yet translated into DRC actions. Programmes are mainly done on donor initiatives.
<p>JC 91 Incorporation in design</p> <p><i>Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector budget</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • An environmental analysis is included as an annex to the CSP and is of high quality in that it covers the main areas of a CEP and identifies the main environmental issues and challenges. It does address opportunities and climate change. • EU has during the period supported rehabilitation of major roads where the EIA are conducted and followed up in accordance with the EIA procedures in line with international standards.

⁵⁶ Soco has stated to their investors that they have no intention of pulling out. Publicly Soco has stated it would continue its social investment projects in the area, including road upgrades, medical programmes and mobile phone masts. The company said in its statement to the press: "Soco will honour commitments we have made to local inhabitants to continue with our social programmes as long as we hold rights to the Block V licence". The Guardian, June 2014. 'Commitments' include bribing rebel groups to 'convince' the local population of the benefits of oil production in the area. "Virunga" documentary, 2013, Netflix.

<i>support modalities (throughout the programme cycle)</i>	<ul style="list-style-type: none"> No SEA has been undertaken to inform the support to the infrastructure sector. However, the approach to support in the sector has never the less been informed by the elaboration of a complete environmental profile and an attempt to mainstream environment and climate change in the interventions. This is in particular addressed in the Urban Sanitation programme which attempt to mitigate the impacts of flooding in the urban area of Kinshasa.
<p>JC 92 Incorporation in implementation <i>Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> EU clearly advocates mainstreaming of environment and climate change in line with the official DRC discourse. The EU – DRC cooperation (geographic instrument) has (by 2013) mainstreamed environment and climate change in interventions related to NRM. The REDD refers to a cross-cutting policy – as well as FLEGT indicating that all sectors have to be addressed if emissions are to be reduced. Approval of the REDD strategy would entail revising the national sector framework to mainstream environment and climate change indicators and targets. EU supports this process and has plans to allocate more funds in the 11th EDF. EIA has been carried out for the rehabilitation of Route no 1. The responsibility for the EIA was the consultancy company engaged to provide the supervision of the construction work. The EIA recommendations are monitored during the project period on a daily basis by the consultancy company. Furthermore, an independent technical and financial audit is carried out 4 times a year. No specific follow up is made or planned to be made by the EU.

Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;	This hypothesis is only partly supported by the evidence from DRC. Political dialogue is found to be very difficult as the institutional capacity is very low.
The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;	It would be plausible to conclude that the CEP has had an effect on the design of the interventions in that many of the environmental considerations and issues are taken up in the support documents.
An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of environment and cc;	The infrastructure rehabilitation Urban sanitation programme has environmental and climate change mitigation objectives.
When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).	The EU has provided all necessary means to fulfil objectives, however, the plant for reduction of emissions from a land-fill never functioned because the local authorities did not provide the little fuel required to ignite the plant.

	<i>DRC answers</i>	
	DESK STUDY	FIELD STUDY
Sectors	Infrastructure – Road building	Infrastructure – Road building
SPSP/SBS (Y/N)	N	N
I 911		
Has CEP been prepared? (Y/N)	Yes, as annex to the CSP.	
Good Quality CEP? (Y/N)	Yes	
I 912		
SEA screening done for SPSP? (Y/N)	N	N
SEA found necessary? (Y/N)	N/A	N/A
SEA done for SPSP? (Y/N)		
Env screening/ EIA/CC risk screening done for projects? (Y/N)	Yes	Yes
I-913		
SPSP support policy reform? (Y/N), if yes:	N/A	N
Does it promote mainstreaming? (Y/N)	N/A	N/A
As general statement or concrete measures? (GS/CM)	N/A	NA
SPSP require env/cc indicators (Y/N)	N/A	-
SPSP call for env and CC items in sector budget? (Y/N)	N/A	-
I-921		
Does CSP reflect CEP recommendations? (Y/N)	Yes	
If not, is an explanation provided? (Y/N)	-	-
I 922		
Were SEA indicators monitored? (Y/N)	N/A	N/A
Were SEA recommendations implemented? (Y/N)	Not known yet	-
Were EIA indicators monitored? (Y/N)	Y	Yes
If yes, did they show improvements? (Y/N)	Y	Assumed
Were EIA recommendations implemented? (Y/N)	Y	Assumed
I-923		
Is policy dialogue addressing env and CC? (Y/N)	Y	Policy dialogue is weak
Are policy reform measures for env and CC implemented? (Y/N)	N/A	Formulated (REDD)
Are env and CC indicators reported on? (Y/N)	Y in relation to EIA mitigation	N
Is EU asking for data on env and CC indicators? (Y/N)		Y
Are there env and CC items in sector budget? (Y/N)	N/A	Y
Evidence that EU promoted env and CC budget items? (Y/N)	Y	Y

5.10 EQ 10: Complementarity



Relations between the EU and DRC are conducted both bilaterally and also in the framework of regional co-operation between the EU and the Economic Community of Central African States (CEEAC or ECCAS) through its specialised institutions such as the Central African Forest Commission (COMIFAC), the Forest Observatory of Central Africa (OFAC), the Central Africa World Heritage Forest Initiative (CAWHFI); and the Network of Protected Areas of Central Africa (RAPAC) as well as the ECOFAC V project funding. Furthermore, EU has since the

early 2000 supported the CITES programme on “Monitoring Illegal Killing of Elephants” (MIKE) also including areas in DRC.

All available instruments have contributed to EU support to environment and climate change in DRC and at regional level. ENRTP has been used both at national level as well as at regional level. This also is valid for the EDF funds. The GCCA funds are directed to capacity development at university and research levels both nationally and regionally through the University of Kinshasa.

In addition, ENRTP supports the MEA implementation through direct contributions to the MEA Secretariats UNEP and UNDP which plays an important role in the implementation of the REDD and FLEGT processes.

<p>EQ10 Complementarity <i>To what extent has EU used its available instruments in a way that enhances complementarity in support of the overall EU goals of a healthy environment, sound natural resource management and strong environmental and climate governance in developing countries?)</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • All instruments available are in one way or the other used to achieve the EU goals of achieving a healthy environment, biodiversity conservation, sound natural resources management and climate governance in DRC. • The combination of programmatic project support and the use of thematic instruments at country and at regional level have had a mutually reinforcing effect. For example, EU has through ENRTP allocations to RAPAC/ECOFAC as well as to UNESCO-CAWHFI programmes been able to work at both regional and national levels (EDF and ENRTP interventions) in its engagement in environment and climate change. • The GCCA programme is set up to be complementary with actions within the framework of the UN-REDD, the Congo Basin Forest Fund and CIF. At regional level the programme will complement the projects implemented by CIFOR, ICRAF and CIRAD providing training in adaptation and mitigation to climate change and realize agro-forestry and forest restoration programmes in eastern DRC. • The ENRTP allows for a greater specialisation of targeted support areas, provides a greater scope for innovation and has helped to introduce and support the regional geographic dimension to national activities. • Synergies and complementarities between the instruments are actively sought and duplications avoided. • There seems to be no clear distinction between when one instrument is used in relation to another. Both EDF and ENRTP finance programmes at regional level as well as at national level.
<p>JC 101 Uniqueness and relevance of ENRTP instrument <i>ENRTP has enabled the EU to address environment and climate change issues, which could/would not have been better, or equally well, addressed through its geographical instruments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The ENRTP allows for engaging in innovative interventions which are not possible through support to a sector. E.g. involvement of NGOs; testing of approach to establishment of fuel-wood forests (Eco-Makala) and providing electricity to isolated communities (ELKAP). • The ENRTP can support regional and international dialogue; exchange of information and experiences as well as fostering a common regional understanding on environment and climate change. • However, also funds from EDF are used to support the regional cooperation e.g. the funds made available for RAPAC through ECOFAC V.
<p>JC 102 Synergies – ENRTP and Geographic instrument <i>Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • All instruments available are in one way or the other used to achieve the higher EU political goals concerning environment, biodiversity and climate change. • Synergies and complementarities are sought and various programmes have benefitted from each other: e.g. the support to the National Parks in DRC has benefitted from the collaboration and capacity development activities provided by the regional RAPAC/ECOFAC V programme as well as the CAWHFI (UNESCO) project. • The REDD preparation processes in DRC have benefitted from the support provided to strengthen the Central African Observatory on Forests (OFAC) through FORAF and CEOFAC projects implemented and managed by JRC as the OFAC has been able to deliver some of the required information to advance the REDD processes
<p>JC 103 Synergies – ENRTP and other donors <i>Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Since 2007 the key donors in the environment and climate change sectors have coordinated activities through various working groups both politically and technically. • Coordination between EU and EU member states takes place both formally and informally and is found by EUD to be very useful. Coordination has also led to establishment of joint programmes (e.g. UN-REDD programme has several donors beside EU) and sharing of responsibilities trying to avoid overlapping. Further it has led to a joint stand (led by EU) to the oil exploration in Virunga NP although the company was British. • However, it is felt that there is no real follow-up on the donor coordination. This is mainly because the processes are not led and

	<p>coordinated by the government – except through the development of the GPRSP.</p> <ul style="list-style-type: none"> • Coordination and dialogue within and between ministries is also very weak. This is closely related to the broader problem of governance and the public administration's capacity in general. Objectives of achieving continuity and sustainable institutionalisation have not been reached so far.
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Summary of hypotheses

Overall desk hypotheses	Evidence from DRC's case study
ENRTP adds value in different ways: a) It enables support for global process; b) it allows EU to engage in important global environmental issues that cannot be tackled at the national level; c) it generates innovations and new approaches and knowledge; and d) it enables EU to engage in important environmental issues in countries where this is not possible under geographic instruments, albeit at a much lower scale. (JC101)	All true in various degrees. Mostly because also the EDF instrument is used to contribute to these achievements.
There are sometimes overlaps in the types of actions financed by ENRTP and geographic instruments. (JC101)	No evidence found
Complementarity between actions under ENRTP and geographic instruments has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, a number of actions do take advantage of complementarities. (JC102)	Not true. Complementarity between interventions either funded by ENRTP or geographic instruments is actively pursued.
Due to the global and catalytic focus on ENRTP, it is more common that ENRTP provides benefits to geographical actions than vice-versa. (JC102)	The use of ENRTP in the Central African region seems adequate in view of the limitations of bi-lateral cooperation vs regional cooperation.
It is difficult in practical terms to effectively pursue complementarity between actions under different instruments and even more so with other donors. Better coordination and strengthened guidance to delegations could help enhancing complementarity. (JC102 and JC103)	No evidence of such difficulties.

6 Annexes

6.1 Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
André Kondjo	IFN (DIAF)	Chef de la Division des Inventaires forestiers	DR Congo
Antonello Salis	FAO	Conseiller Technique FAO pour IFN	DR Congo
Apollinaire Mukanya-Mpopola	EUD	Project Manager (Infrastructure)	DR Congo
Benjamin Toirambé	DDD	Director	DR Congo
Clément Vangu	PIF	Coordonnateur du Programme d'Investissement Forestier (PIF)	DR Congo
Daniele De Bernardi	EUD	Project manager (environmental unit)	DR Congo
Filippo Saracco	EUD	Project manager (environmental unit)	DR Congo
François Kayembe	SSTS (DIAF)	Chef de la Division de Géomatique	DR Congo
Idesbald Chinamula	PNUD	Responsable composante Environnement	DR Congo
Leila Maziz,	UNESCO	Project Coordinator Africa Unit	DR Congo
Marco Parolin	EUD	Project Manager (Infrastructure)	DR Congo
Mike Ipanga	DDD	Focal Point for Biodiversity	DR Congo
Pascaline Mvula	COFED	Programme manager	DR Congo
Patrick Welby	MEDD	Environmental advisor to the MEDD	DR Congo
Richard Vellon	UNESCO	Project Coordinator Africa Unit	DR Congo
Tosi MpanuMpanu	MEDD	Expert national /Négociation sur le Changement climatique	DR Congo
Victor Kabengele	REDD	Coordonnateur national	DR Congo
Vincent Dowd	EUD	Head of operations	DR Congo

6.2 Annex 2: List of documents consulted

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- UNEP Risø (2013): Emissions Reduction Profile. Democratic Republic of Congo.
- UNEP World Conservation Monitoring Centre (2012): Mapping potential benefits from REDD+.
- UNESCO (2008): Rapport Narratif final. Initiative pour le Patrimoine Mondial Forestier d'Afrique Centrale 2009-2013.
- UN-REDD Programme (2010): National Programme Document – Democratic Republic of Congo.

UN-REDD Programme (2014): Fifth Consolidated Annual Progress Report of the Un-REDD Programme Fund 2013.

Von Einsiedel, O. (2014): Virunga. Documentary. Grain Media Film. Netflix.

6.3 Annex 3: List of the projects and programmes specifically considered

<i>Cov- erage</i>	<i>CRIS code</i>	<i>Intervention</i>	<i>Source of funding</i>	<i>Date of approval</i>	<i>Assigned Amount in EUR</i>
DRC	D-22072	Rehabilitation of route RN1 between Batschamba et Tschikapa	EDF	2011	113.700.000
DRC	D-21535	Project of maintenance and rehabilitation of roads in the DRC and improved urban sanitation in and around Kinshasa	EDF	2009	99.410.192
DRC	D-18886	Support for to the implementation of the Institutional reform programme of ICCN – in charge of protected areas in the DRC	EDF	2007	4.601.197
DRC	D-21032	Support to implementation of the national conservation, biodiversity and forest management policy. (Virunga—UNIKIS-Yangambi)	EDF	2008	33.360.000
DRC	c-151384	Eco-Makala Reforestation project	ENRTP	2008	2.434.175
DRC	c-242904	PRO-FORMAL: Policy and Regulatory Options to recognise and better integrate the domestic timber sector in tropical countries	ENRTP	2010	3.000.000
DRC	c-278270	Assist the participation of the national civil society in the preparation for FLEGT (UNIKIS)	ENRTP	2012	238.698
DRC	c-278253	Project to disseminate information and promote exchange between local civil society actors in the Bas-Congo and the technical commission on APV FLEGT between DRC and EU to support good forestry governance	ENRTP	2011	261.302
TPS- All Coun- tries	c-239066	Support to the EU REDD Facility – In addition EU supports the UN-REDD Facility	ENRTP	2010	3.000.000
Central African Region	D-22072	ECOFAC V – programme for conservation and valuation of fragile ecosystems in Central African Region (COMIFAC) – Calls for proposals	EDF	2010	30.000.000
Central African Region	D-24393	Public-private partnerships: a mechanism to carry out the mandates on conservation, development and poverty reduction in and around priority protected areas of Central Africa (RAPAC)	ENRTP	2013	19.500.000
Central African Region	c-149722	Central Africa World Heritage Initiative-CAWHFI	ENRTP	2008	2.500.000
DRC	D-23162	Addressing Climate Change in DRC (GCCA)	ENRTP	2011	14.000.000

Country Note – Egypt

by Eric Buhl-Nielsen and Tarek Genena on field mission from 6-11 December 2014.

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List of Acronyms

AFD	Agence Française de Développement
AMCEN	African Ministerial Conference responsible on the Environment
BAT	Best Available Technology
CA	Central Asia
CB	Capacity Building
CBD	Convention Biodiversity
CC	Climate Change
CDM	Cleaner Development Mechanism
CEP	Country Environmental Profile
CITES	Convention for International Trade of Endangered Species
CM	Concrete Measure
COP	Conference of Parties
CP	Cleaner Production
CSO	Civil Society Organisation
CSP	Country Strategy Paper
DCI	Development Co-operation Instrument
DG	Directorate General
DG CLIMA	Directorate General Climate Action
DG DEVCO	Directorate General Development and Co-operation
DG ENER	Directorate General Energy
DG ENV	Environment
DNA	Designated National Authority
EaP	Eastern Partnership
EC	European Commission
EDF	European Development Fund
EEAA	Egyptian Environmental Affairs Agency
EEIS	Egyptian Environment Information System
EIA	Environmental Impact Assessment
EIB	European Investment Bank
EIMP	Environmental Information and Monitoring Program
ENP	European Neighbourhood Policy
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Environment Natural Resources Thematic Programme
EPAP	Egyptian Pollution Abatement Project
EQ	Evaluation question
ERA	Electricity Regulatory Authority
EU	European Union
EUD	European Union Delegation
EUR	Euro
GEEREF	Global Energy Efficiency Renewable Energy Fund
GEF	Global Environment Facility
GHG	Green House Gases
GIZ	Gesellschaft für Internationale Zusammenarbeit
GoE	Government of Egypt
GS	General Statement

GW	Gigawatt
HCWW	Holding Company for Water And Waste Water
IPCC	International Panel on Climate Change
ISO	International Organization for Standardization
IUCN	International Union for Conservation of Nature
JC	Judgment Criterion
KfW	German Development Bank
LDC	Lesser Developed Countries
LECB	Low Emission Capacity Development
LED	Light Emitting Diode
MEA	Multilateral Environmental Agreement
MED	Transnational programme of European territorial cooperation for the Mediterranean
MEP	Mediterranean Environment Programme
MOE	Egyptian Ministry of Environment
MoT	Ministry of Transport
MRV	Monitor, Verify and Report
MW	Megawatt
NAMA	Nationally Appropriate Mitigating Action
NAPA	National Adaptation Plan of Action
NAP	National Action Plan
NBSAP	National Biodiversity Strategies and Action Plans
NGO	Non-Governmental Organisation
NSWMP	National Solid Waste Management Programme
NWRP	National Water Resource Plan
PMR	Programme for Market Readiness
PoPs	Persistent Organic Pollutants
PoWPA	Programme of Work in Protected Areas
PPP	Public-Private Partnership
RWKN	Regional Water Knowledge Network
SASME	Support for Agricultural SMEs
SBS	Sector Budget Support
SCP	Sustainable Consumption and Production
SD	Sustainable Development
SEA	Strategic Environmental Assessment
SEC	Miscellaneous documents from the European Commission
SEIS	Shared Environmental Information System
SIDS	Small Island Developing States
SME	Small and Medium Enterprises
SPSP	Sector Policy Support Programme
SWIM	Sustainable Water Integrate Management
TA	Technical Assistance
ToR	Terms of Reference
UNDP	United Nations Development Fund
UNEP	United Nations Environment Programme
UNEP-DTIE	UNEP Division of Technology, Industry and Economics
UNFCCC	United Nations Framework Convention on Climate Change

UNIDO	United Nations Industrial Development Organization
USD	US Dollar
WSRP	Water Sector reform Programme
WWSDP	Water and Wastewater Sector Development Policy

Note: The Evaluation uses the common acronym "EC" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

Immediately prior to the ENRTP and programming period 2007-2013, Egypt and the EU embarked on an association agreement where it was agreed that “Conservation of the environment and ecological balance shall be taken into account in the implementation of the various sectors of economic cooperation to which it is relevant” (article 40). The action plan developed to support the association agreement contains a detailed outline of the proposed cooperation within environment as well as the plans for mainstreaming environment into regional and country level support. The country strategy paper and subsequent programming and formulation of support were consistent with the environmental objectives of the association agreement. Climate change, although mentioned, was less emphasised.

Progress in making the difficult environmentally related reforms implied by the association agreement and National Indicative Programme was slow and was halted during the Arab spring of 2011. However during the following years and especially after in the subsequent revolutions, the new political dispensation recognised the gravity of the impending water and energy crisis and started to prioritise environment and climate change and to introduce fundamental reforms that were necessary to transition to a green economy e.g. revision of electricity tariffs. These changes and the shift in demand have led to significant advances in mainstreaming environment and climate change into the sector support provided for the energy, water and transport sectors. At the same time, Egypt has also been contributing more to global environmental and climate change governance.

The support from the EU and other countries combined to create a state of readiness, which allowed the Egyptian institutions such as the Electricity Regulatory Authority and the EEAA to respond in a timely and competent way to the new political prioritisation for environment and climate change. This was in sharp contrast to the earlier experience where changes in political prioritisation were often wasted because the response by Egyptian institutions was too slow or not sufficiently well considered to take advantage of the change.

Egyptian partners points to: the persistent messages on environment and climate change raised at policy dialogue meetings; the introduction and follow up of environmental and climate change indicators in budget support operations; the provision of significant additional resources through the budget support and, especially the provision of highly competent technical assistance as being key elements in developing the required readiness to respond to the new opportunities.

Geographic instruments using both budget and project support as well as regional projects and support through the ENRTP have all contributed to increasing readiness and reacting to the new political prioritisation for environment and climate change.

In conclusion:

EQ 1 – EU policy aims – EU policy aims on environment and climate change have been supported through the operations in Egypt. Although the environment and climate change situation has worsened in absolute terms since 2007, the prospects for slowing and reversing this trend are very good. Egypt is also contributing towards global environment and climate governance through taking leadership in regional processes.

EQ 2 – Low emission – EU support to low emission development through the ENRTP has had a slow start but by building on earlier work of other donors it is likely to progress satisfactorily. The UNDP implemented support has led to the creation of a low emission unit, which has a high professional capacity and has led to effective in-country coordination of external support to MRV and NAMAs. However this structure has had to rely on project contract staff, which is unsustainable in the long term and could lead to a loss of much of the capacity that has been built up. However, in the meantime there are no practical alternatives.

EQ 5 – Green economy – The new mind-set in Egypt and the new prioritisation given to resource efficiency has created favourable conditions for sustainable consumption and production and introduction of green economy measures. The EU support during 2007 to 2013 through projects such as the BAT-MED and EPAP has developed a strong readiness and foundation for taking advantage of the new opportunities. Although, Egypt has not introduced a framework for economic instruments or integrated sustainable consumption and production into national planning there are many important steps that have been taken. Examples of such measures include the use of the Environmental Protection Fund to incentivise compliance with environmental law and the promotion of financing of environmental investments through the commercial banking sectors where two banks now have environmental lending windows.

EQ6 – Environmental governance – There has been limited support through the ENRTP/UNEP on strengthening implementation of Multilateral Environmental Agreements. Although the regional and sub-regional workshops held were useful, Egyptian partners found that project-based support is necessary to consolidate knowledge and skills. One example of this is a project on biosafety financed by

UNEP has been very useful in building up national capacity. In recent years, Egypt has taken a lead in a number of environmental governance forums, such as leading on the Nagoya protocol, although this is not linked to support provided via the Multilateral Environmental Agreement Secretariats. It is important to mention that there are other mechanisms that Egypt is utilizing that supports the implementation of the obligations under some of the MEAs. The GEF is the financial mechanism for such MEAs and Egypt has a strong participation in the GEF. During this period Egypt was heading the North Africa constituency as well as benefiting from the GEF resources to implement national projects that provide global environment benefits.

EQ7 – Climate governance – The support provided by UNFCCC and financed in part by the ENRTP is highly appreciated and has led to a significant build-up of capacity in Egypt. Although progress is being made in developing a robust greenhouse gas inventory there is still a long way to go before a full monitoring, reporting and verification system is in place. The support has also led to Egypt being better equipped to respond to the new political willingness to engage in global climate governance. Egypt, in contrast to earlier years, is taking a lead within the Africa and Arab group of countries. For example, Egypt was elected for instance to lead the G77 group of countries and is participating actively in the international partnership on monitoring, reporting and verification.

EQ8 – Mainstreaming approach – The EU policies, strategies and guidelines were found to be suitable. The delegation capacity for mainstreaming as evidenced by the fact that all officers interviewed were highly knowledgeable and enthusiastic about environment and climate change. The environmental and climate change focal person function works well and has contributed to ensuring that the new opportunities for integrating environment and climate change are systematically taken advantage of.

EQ9 – Mainstreaming practice – the focal sectors (water, energy, transport) are ones where mainstreaming is central to reaching sector objectives. Policy dialogue, indicators, budget support and technical assistance have been skilfully combined to create a readiness that is now, with the new policy prioritisation, being made good use and highly appreciated by the Egyptian partners. The original strategy for mainstreaming in the transport sector (establishment of a strategic environmental assessment unit) was not realistic and has evolved in a simpler less ambitious direction. The strategic environmental assessment in the agriculture support was not well conceived and has not had the intended impact. Within water, indicators on sludge management and public awareness could have been useful to further advance progress. Apart from these points, the track record on mainstreaming is very impressive especially in the energy and water sectors with new tariff reforms, promotion of private financing of renewable energy and introduction of ISO certified laboratories as well as many other examples. Blending projects, where KfW and others have taken the lead IFI role has been characterised by good environment and climate change performance. EIAs are done to a high standard and opportunities to avoid harm and improve environmental and climate change performance have been taken. For example the use of a radar on demand shut down facility for bird protection on the El Zayt wind farm⁵⁷.

EQ10 – Complementarity – there are only a few ENRTP projects in Egypt but those such as the UNDP LECB project are well coordinated with other EU and donor support. Blending projects under geographic instruments have also complemented the objectives of the ENRTP by ensuring good environmental practice.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The **mandate and scope** of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU's support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (ENRTP) and through the geographic instruments;
- To evaluate the support of the EU to strengthening global environment and climate governance, provided under ENRTP and channelled mainly through international organisations;
- To assess the EU support for mainstreaming environment and climate change issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically focus on outcome and impacts of the EU actions in environment and climate change. Furthermore, the evaluation should identify key lessons and best practice and

⁵⁷ the radar sees the birds and then automatically stops the turbines

produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of temporal scope, the evaluation covers aid implementation over the period 2007-2013. The geographical scope includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The purpose of the evaluation is to provide the EU and a wider public with an overall independent assessment on the EU action in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving outcomes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, were carried out. From a long list of 35 countries selected in the inception phase for a desk analysis, 11 were further selected for a more detailed analysis. Out of these, 8 countries were selected for the field phase. Bolivia was one of them.

The field visits have the following objectives:

- j) To complete the data collection in order to answer the agreed evaluation questions;
- k) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- l) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

The field visit to Egypt was undertaken from 6 to 11 December 2014 with Eric Buhl-Nielsen as the Team Leader assisted by Tarek Genena, the National Expert with local organizational support provided by EcoConServ, in particular by Dalia Ashour.

2.3 Reasons for selecting this country as a case study country

Egypt was selected as one of two countries in the neighbourhood region because it is a major recipient of EU development assistance and the cooperation takes place in infrastructure (energy, water, transport) and to a lesser extent agriculture and rural development. This allows a thorough evaluation of the success of mainstreaming of environment and climate change. The cooperation in Egypt has also used both budget support and project approach modalities as well extensive blending especially in the water and energy sectors. Egypt is also involved in a number of relevant regional environmental and climate change projects. Egypt also has elements of a fragile and conflict affected state.

3 Data collection methods used (including limits and possible constraints)

The country mission started with a review of the entire desk based information. A long list of relevant stakeholders in the public sector, private sector and civil society was drawn up and discussed with the EU delegation and national partners. Based on this a final list of stakeholders was drawn up. Almost without exception it was possible to meet all the stakeholders identified or in some instances others who also represented the relevant institution. The local consultant met two stakeholders after the mission of the international consultant.

Both EU delegations officials and national partner officials working on the same operation were interviewed and where possible more than one national partner was involved or participated in the interviews. The interviews were in some cases supplemented by telephone when further information was needed.

It was decided to meet with and survey all the major sectors supported by EU assistance including Water, Energy, Transport and Agriculture and rural development. In addition to these projects and

budget support programmes, the environment and climate change projects in the Egyptian Environmental Affairs Agency (EEAA) were also taken into the sample of interventions investigated.

A structured list of questions was assembled tailored to the cooperation undertaken in Egypt by the teams involved in the elaboration of each evaluation questions. This list was supplemented by the list of hypotheses for each evaluation question and the list of missing information and data that was identified during the desk study that could be found at country level. These lists combined to provide the basis for a structured question list for each interview.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

4.1.1 ENV/CC situation in the country

The program cycle 2007-2013 took place during turbulent political as well as economic times in Egypt. The cycle started at a time where political participation and issues of democratization came in the centre point of the development agenda (in the wake of the last presidential elections), went through two major popular uprisings and ended in a phase where security issues came to the forefront of the governmental agenda. Bearing the challenges the country is facing on many fronts, environmental issues risked to be side-lined throughout the program cycle.

Country priorities, officials, strategic alliances, among other, have changed repeatedly beginning late 2010 until mid-2013. By the time of the evaluation exercise, the country has been heading towards a more stable situation yet still challenges exist. As for other development-related plans, the overall setting for the country challenged the implementation of the EU 2007-2013 environmental plan for Egypt. In that light, the EUD in Egypt are in the process of signing a shorter-term plan in follow up of the 2007-2013 plan (2015-2016).

The priority areas of Egypt's national plan include water quality, air quality, management of land resources, desertification, protection of the marine environment, solid waste management, biodiversity, and biological safety. The integration of environmental considerations into all relevant national policies, plans and programs is considered an overall strategic objective of Egypt's environmental policy.

Overall, a legislative and institutional framework which is underprepared to address impending challenges of environment and climate change combined with a new political prioritisation to address a looming water and energy crisis presented an environment where EU cooperation had the potential to add much value.

There are a number of challenges in Egypt relating to the environment and climate change. These issues are exacerbated by a slowly-developing legislative framework and until recently, a lack of economic incentives geared towards the switch to renewable energy resources and sustainable consumption and production and improved efficiency in the use of natural resources. Governmental responsibility for environment and climate change initiatives is spread out over a number of different bodies of governance and the powers of local administration are limited.

Key development challenges include managing and coping with population growth, sustainable development and meeting needs of population for resources including energy, water and food; political stability; climate change adaptation and mitigation. The key environmental issues in Egypt include air quality, water quality, waste management, coastal pollution, nature protection, and desertification. It has also been projected that the effects of climate change in Egypt will seriously affect the country as it is a water short country and the Nile Delta and coastal line in particular is vulnerable to reduced flows in the river Nile.

Climate change could cause significant variation in annual Nile flood, which provides Egypt with more than 97% of its renewable water resources. Available hydrological and statistical models have predicted an increase of 30% or a decrease that can reach 70% (highest convergence) in the annual Nile flow. These two scenarios can have serious implications in terms of increased flood risks or droughts that could lead to cultivated land shrinking associated with decrease in food production and increase in number of jobs lost and water conflicts. Additionally, temperature rises will be likely to reduce the yield of the major crops and increase their water requirements. The combined effect of temperature increasing water shortages and other environment conditions could be a general reason of agriculture-system failure in many regions in Egypt.

The energy sector in Egypt has always placed a huge burden on the national economy. A largely subsidized service to both citizens and industries, and receding resources, the government is forced to

seek alternative sources of energy. In the wake of the 25 January revolution, the energy crisis reached its peak. With regular power cuts and heated debates on reducing government subsidies on energy-coming in direct conditionality with foreign aid- the power crisis had become a reality for Egyptian citizens who place additional direct pressure on the government for immediate solutions.

To meet its ambitious growth targets in an economic and social development, Egypt needs environmentally sound development strategies. Water use efficiency is low and renewable energy resources do not contribute significantly yet to the energy market and the energy savings potential has only been marginally tapped.

4.1.2 ENV/CC national policies, legal framework

At a national level, Egypt continues to put much focus on social and economic reforms and to improve the regulatory and legislative framework, with separation between regulatory and operative functions in the Egypt administration. Weaknesses in Egyptian administration are a major obstacle to implement reform initiatives frameworks. In particular, national resources and technical capacity to achieve a greater pace of reform need to be strengthened against the background of administrative deficiencies which could in part be the result of a centralized system.

For a timeline of significant environmental legislation and policy-making, please refer to Annex 3.

4.1.3 ENV/CC institutional framework (who does what)

Within the Egyptian Government, there are seventeen different governing bodies with responsibility for environment and climate change.

The Ministry of Environment and the EEAA are responsible for policy and strategic planning. The EEAA oversees implementation of the policy and monitors progress on action plans. The MOE and other relevant Ministries are responsible for licensing. The EEAA is involved in enforcement, including in inspections, together with the Ministry of Manpower and the Ministry of Health. Recently, a sustainable development unit has been established in the Ministry of Environment. The 'Sustainable Development (SD) Unit' is responsible for boosting sustainable development process and promoting its principles by the initiation, the replication and the up-scaling of environmental activities focuses on means for a smooth transition to green economy. It spearheads the formation of a national policy-level strategy for sustainable development and its related thematic areas.

There, for example are a number different ministries in charge of water management; including: Ministry of Irrigation and Water Resources, Ministry Environment, Ministry of Water and Waste Water Utilities, Ministry of State for Local Development and the Ministry of Health and Population and Ministry of Finance. This often creates confusion of jurisdiction and requires a significant level of interdepartmental coordination, which can reflect in increased bureaucracy and a slowed-down process. Accordingly, there is a need for a sustainable integrated coordination mechanism to ensure proper management of water resources. There has been headway in coordination efforts made recently; the Supreme Energy Council ensures some coordination between the energy supply ministries and the energy demand side. Recently, the SEC (Supreme Energy Council) created a small Energy Efficiency Committee where representatives from 12 ministries meet.

Environmental reporting is done together by the Egyptian Environment Information System (EEIS), the environmental reporting is conducted by the Environmental Reporting and Indicators in coordination with all relevant departments in EEAA which compiles environment status reports based on the air and water quality real-time data collected by the Environmental Information and Monitoring Program (EIMP). The Egyptian Environmental Affairs Agency (EEAA) acts to prepare national plans for environmental protection. Non-governmental organizations (NGOs) must be represented on the board of the EEAA and have the right to take legal action in order to enforce environmental requirements.

The Prime Minister has the ability to designate specific areas as natural protectorates.

The Ministry of Agriculture and Land Reclamation develops policies concerning sustainable agricultural development as well as combating desertification.

The Ministry of Electricity and Energy is in the process of implementing renewable power supplies such as wind and solar, a process which was initiated throughout the program cycle.

The Ministry of Water Resources and Irrigation is responsible for maintaining water resources (Nile River, waterways, drains and groundwater) and ensuring their optimal use; management, operation and up keeping of irrigation and wastewater stations and pumps; in addition to monitoring and managing the coastal degradation at the northern coast and delta as part of a comprehensive plan.

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

Egypt chose to co-operate with the EU in sectors that could offer green economy opportunities to the country, and contribute to national sustainable development priorities, which address energy poverty, food productivity, environment conservation and tourism.

Ultimately, the aim was to improve the non-income dimensions of poverty, through expanding access to services and making more efficient use of resources. This was planned to be attained through improved distribution of water resources and infrastructure, reformed transport sector, building capacities and developing renewable energy sources and finally advocating towards adopting an incentive-based rural development strategy. At an international level, Egypt and the EU intended to further develop their strategic partnership and to contribute to Egypt's reform process.

The Government of Egypt highlighted transport sector reform as a key priority in the program years. Support from the EU targets rail, road, and inland waterway infrastructure and support and aims for increased efficiency. All developed policies, regulations, and technical applications were planned to consider environmental sustainability.

Energy sector reform targets aimed to merge Egypt's energy market regulations with that of the EU. With rapidly expanding natural gas, as well as the potential for renewable energy production from hydro, wind and solar, policies were planned to be developed to promote energy efficiency, renewable energy, and energy savings. In the long term, the EU has been working with Egypt to develop long-term energy strategies which include renewable energy.

Water sector reform is a huge area of concern for Egypt due to the dependence of the country on the Nile. Together with Egypt, the EU aimed to help promote better management of water production, delivery, and treatment; to transform national water sources into significant factors for sustainable long term growth; and strong capacity-building management planning.

Across a wide range of policy areas, climate change presents a unique challenge to the global community. At each stage of a project, climate change risk screening methods were foreseen to be employed to improve climate resilience of activities in the chosen area. There was a large push from both Egypt and the EU to promote renewable energy sources and energy efficiency ways to mitigate GHG emissions. The development of a Renewable Energy Framework for Wind and Solar Energies came in support of the economic and social development of Egypt and was intended to foster the reduction of greenhouse gas emissions through the development of energy efficiency programs and renewable energy power generation.

4.3 Overview of EU-funded interventions

EU funding contributes to four main areas of focus: energy, transport, water management and rural development.

Energy – Specific objectives of the Energy Sector Policy Support Program were to improve the energy policy and regulatory framework, improve the energy sector financial transparency and performance, to promote the development of renewable energy sources, to promote energy efficiency, as well as to support the transition towards a green economy.

Transport – EU support targeted a series of administrative, regulatory and legal measures to improve access to and quality of transport, as well as restructuring financial distribution to enhance efficient use of resources in the sector. The aim was to improve governance in the sector through capacity building and separation of policy/planning, regulatory/executive and operational functions. It supports the establishment of policies, regulations and technical applications for improved transport safety, security and environmental sustainability, and helps to improve the complementarity of different transport modes, in addition to transparent budgetary planning and monitoring system and the promotion of financially viable transport services.

Water – EU support to the water sector focused on institutional capacity development with continued emphasis on more effective management and planning within the sector. This covered better public finance planning, private sector participation, involvement of CSOs, decentralisation and monitoring of water quality. The programme also considered possible measures for adapting to the impact that climate change may have on Egypt's water resources, especially considering the country's reliance on the Nile waters and the high concentration of its population in the Nile Delta region.

Rural Development – EU support in this field took on the form of a conditional incentive based support to a rural development pilot project through use of call for proposal mechanism. It was meant as an instrument to reduce poverty levels and improve the quality of life of in rural areas through the sustainable use of land and water.

For a detailed breakdown of specific projects, please see Annex 4.

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context – Egypt and the EU developed an association agreement and plan of action – which signalled a convergence of policy in environment especially in the context of the Mediterranean Area – and to a lesser extent a convergence of climate change policy directions. The association agreement stated that “Conservation of the environment and ecological balance shall be taken into account in the implementation of the various sectors of economic cooperation to which it is relevant” (article 40). The agreement also outlined in detail the areas of environmental cooperation (article 44) as well as noting the regional projects would also

include environmental projects in their scope (article 86). The action plan developed to support the association agreement contains a detailed outline of the proposed cooperation within environment as well as the plans for mainstreaming environment into regional and country level support (section 2.3).

The Arab Spring of 2011 and subsequent revolutions changed the context and led amongst other things to a hold being put on the association agreement and the suspension of budget support. Nevertheless, cooperation has continued and for environment and climate change the cooperation has strengthened due to greater political prioritisation on these aspects arising from the energy and water crisis and the new political will to address these issues. This shift in prioritisation has supported the convergence of Egyptian and EU policies on environment and especially on climate change.

<p>EQ1 Achievement of EU policy aims <i>EQ1 to what extent has EU support to environment and climate change across different instruments contributed to the EU's overall environment and climate change policy aims?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • There has been a contribution in Egypt towards the overall EU policy aim of improving environment and climate change in third countries. Although there have not yet been significant physical improvements in the environmental situation in Egypt, the EU support together with other factors have led to a much stronger national prioritisation of environment and climate change. In the new programming period for example “quality of life and environment” is one of three themes adopted by Egypt for the future cooperation. • Essential and long awaited environmental and climate change related reforms especially in the water and energy sectors have been adopted and are being implemented – the EU support is an important factor in triggering these reforms but equally importantly in ensuring that key institutions in Egypt were ready to react and build on the momentum arising from a new political demand for environmental and climate change. • Egypt, in part through support via ENRTP, has developed greater capacity and has strengthened its engagement and contribution to global environmental and climate change governance. For example, Egypt is taking the lead in a number of global climate change processes including the G77 group and the group of Arab countries. It has also sought and been elected as the lead for the African Union Council of Energy Ministers, the African Ministerial Conference responsible on the Environment (AMCEN) where it is promoting environmental sustainability agendas. • Egypt has also increased its fulfilment of obligations under Multilateral Environmental conventions and climate change agreements. For example, Egypt has improved the quality of its national communication to UNFCCC and MEAs.
<p>JC11 National partner prioritisation of environment and climate change <i>JC11. EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Environment and climate change are being prioritised more by national partners – the recent increases in energy tariffs, the creation of attractive feed-in tariffs and power purchase agreements, the increase in private sector interest in developing renewable energy, greater attention on non-revenue water and wastewater treatment are clear evidence of greater prioritisation. • There appear to be 4 contributory causes: i) worsening energy security as gas deposits decline which makes renewable energy more attractive and a worsening water pollution and regional water conflict which places more emphasis on better use of water within Egypt; ii) the technical assistance provided by the EU which has developed effective tools and studies e.g. Comprehensive master plan for renewable energy; iii) indicators for sector budget support and iv) policy dialogue (that has addressed issues of environment and climate change in the water, energy and transport sectors and to a much lesser extent in the rural development sector). The Sector Budget Support has given a strengthened platform for the policy dialogue, which has been further reinforced by a coherent, well-coordinated and complementary donor voice. • No one cause can be singled out for the improvements; all of the factors mentioned above (energy and water crisis, TA, budget support, policy dialogue) are involved.
<p>JC12 Use of instru-</p>	<p>Findings</p>

<p>ments to enhance achievement of policy aims</p> <p><i>JC12. The extent to which ENRTP and geographic instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<ul style="list-style-type: none"> • The support provided for environmental and climate governance through UNEP (MEA secretariats) and UNFCCC secretariat has assisted in strengthening the participation, engagement and commitment of Egypt to global governance. Egyptian officials are familiar with the global governance initiatives and have contributed actively (see EQ 6 and 7). The support via the international bodies provided has complemented the reasons advanced under JC11 for the greater prioritisation of environment and climate change. • During the design phase it could be argued that the EU support looked ahead of the then current Egyptian policies, priorities and practices on environment and climate change. To stimulate change a number of reform-related indicators concerning sustainable development were introduced as part of budget support operations (e.g. on introduction of renewable energy, reduction of non-revenue water, establishment of an environment unit in the Ministry of Transport). During the early years there was limited response during policy dialogue on these issues – at least by some national partners. As the Egyptian political priorities shifted towards promoting resource efficiency, the relevancy of the earlier designed EU support increased. Technical assistance (for example to the Ministry of Transport for EIA guidelines and to the ERA for tariff reform) was highly demanded and made good use of by the relevant Egyptian institutions. Policy dialogue also became more responsive and the Delegation was able to adjust and respond by accelerating the support. Blending projects continued to demonstrate the value of high quality EIAs for large projects such as the El Zayt Wind Farm. • The rapid institutional changes in Egypt have led in the next phase of programming to the adoption of a 2-year programme period to allow additional flexibility and ownership. • There were very few thematic (ENRTP) environment and climate interventions in Egypt, most of the relevant interventions were either under country level geographic instruments (including non-focal sector support to environment and climate change) or through regional projects that often were environment and climate change related.
<p>JC13 Inclusion of environment and CC in EU policies and strategies</p> <p><i>(JC13. Level of inclusion of environment and CC in EU policies and strategies with third countries and regions)</i></p>	<p>Findings</p> <p>Not relevant for field study.</p>

Summary of hypotheses

Overall desk hypotheses	Evidence from Egypt's case study
The priority given by national partners to environment and climate change issues has gradually increased. (JC11)	There is evidence of a significant increase in priority due to a range of factors including the support provided by the EU.
Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)	No strong evidence for the hypothesis. In Egypt, policy dialogue is formalised through development partner working groups, which are arranged around sectors. The proceedings are not formally detailed but the messages on the need to prioritise resource efficiency have been clear and had a degree of success in changing mindsets and creating readiness at the operational level to react to political change. There are also informal contacts but they do not substitute the formal arrangements.
MEA processes have influenced national policy debates. (JC12)	There is some evidence that the regional and sub-regional MEA related training and other events have stimulated discussion within environmental circles in Egypt.
Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)	The main sector support within energy, water and transport is well aligned to national priorities, policies and plans and this alignment is clearly demonstrated in the CSP.
ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)	There are very few ENRTP projects in Egypt. The UNDP LECB is well aligned to the national efforts on mitigation especially after renewed political commitment following recognition of the energy and water crisis.
Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)	Not relevant for country visits. It relates to an overall policy desk analysis.

5.2 EQ 2: Low emission



Context – EU support to low emission in Egypt is provided through UNFCCC and through a global UNDP implemented project on Low Emission Capacity Development (LECB) where Egypt is one of the participating countries. (UNFCCC support is evaluated under EQ 7 (International climate change governance)). EEAA is the lead institution for low emission and the lead partner for EU support.

EQ2 Low emission	Main findings
<i>EQ2 To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i>	<ul style="list-style-type: none"> The LECB project has only recently started in Egypt (launch workshop in February 2014) and is designed to build on the earlier work so although there has been a late start, progress is expected to be rapid. The LECB project has taken over the project staff of the earlier UNDP supported CDM unit, which is now known as the LECB unit. Although the LECB unit is headed by EEAA, most of the staff are under project contracts with the UNDP. There are thus longer term sustainability concerns. Efforts to transfer staff to EEAA have not yet been successful. It is hoped that sometime in the future EEAA could fully take over the unit and institutionalise it. In the meantime the current arrangements provide a high quality service and there are no realistic alternative in the short term.⁵⁸ An MRV system is not fully in place although some of the components are

⁵⁸ Clarification by EEAA: This goal has been split in two phases; the first is to contract with national experts to prepare the required studies. The second stage is the implementation of programs to build national capacity on mitigation, which is not limited only to the workers in the Ministry of Environment only, but extends it to include all workers in the various sectors in Egypt. Due to time constraints, it is currently being implemented in parallel phases of the project in cooperation with the third national communication to the implementation of capacity building programs in coordination between the two projects. A set of workshops have been held for work in the field of national capacity-building in a number of ministries and sectors in Egypt as well as the rehabilitation of workers in the same project for the provision of technical personnel capable of evaluation studies presented by national experts. During the next phase will be expanded. And therefore it is clear that the project mainly aims to study the chances of reducing greenhouse gases in Egypt as a key target and then comes the goal of building national capacity, according to the outcome of the mitigation studies in Egypt.

	<p>under preparation (e.g. GHG inventory). Two NAMAs have been prepared in Egypt but not under EU support. The LECB is currently mapping the potential for NAMAs. Although a LEDS is not yet in place, the political support, understanding and effectiveness of the outreach to different sectors is growing.</p> <ul style="list-style-type: none"> • The LECB project is well positioned to further contribute to and benefit from recent political prioritisation of mitigation following the energy crisis.
<p>JC 21 Monitoring, Reporting and Verification <i>JC 21 Increased capacity to Monitor, Verify and Report (MRV)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The UNFCCC and also other projects (including earlier UNDP efforts) have been supporting Egypt in MRV for a number of years for example: through the CDM, establishment of a GHG inventory and preparation of national communications. • The LECB steering committee acts as a coordination body for mitigation related support including MRV and NAMAs. It appears that so far the coordination at country level has been successful. For example: the substantial GIZ support to MRV and NAMAs is coordinated by the LECB steering committee. Wasteful or confusing duplication of support is being avoided. • The support provided by UNFCCC, the LECB and earlier efforts have assisted EEAA to make good use of the political momentum for climate change. This has allowed a greater prioritisation of MRV and extended the capacity of EEAA to reach out to the main economic sectors such as energy, agriculture and transport.
<p>JC 22 NAMAs and LEDS <i>JC22. Availability of strategies and actions that support a low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Egypt has prepared 2 NAMAs (in energy and irrigation; supported by GIZ). One was submitted for funding but did not succeed. • NAMAs have not yet started under EU support but some progress has been made on mapping the priorities for NAMAs in 9 different ministries • Egypt was a relative late comer for the CDM but has decided to be at the forefront of the NAMAs which creates a conducive environment for the LECB project and other support efforts • A LEDS has not yet started – it is foreseen in later phases once greater progress is made on NAMAs.
<p>JC 23 Capacity for low emission development <i>JC23. Increase in knowledge on implementing low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The LECB project has only just begun and formal training and capacity development has not yet started. Training under UNFCCC and the support efforts of other donors is taking place. EEAA have a number of highly competent staff but they are thinly stretched over a new and relatively complex topic. Greater capacity and confidence in establishing a robust and credible MRV in particular is needed and the EEAA working with EU and other support efforts are aimed at achieving this. • The project will continue earlier support to institutionalising mitigation coordination and oversight in Egypt. In the long term the transfer of staff from the project office to EEAA will be necessary if the capacity is to be sustained and not depend on constant project extensions and renewals. • The capacity development of the LECB is aimed both at public and private sectors and in the public arena is also intended to reach out to different sectors once the potential and priorities are mapped.

Summary of hypotheses

Overall desk hypotheses	Evidence from Egypt's case study
In-country coordination efforts work and would/are likely to offer a good partial solution to the coordination effort;	There is evidence that in-country coordination in Egypt is working e.g. the GIZ supported NAMAs are being screened and approved by the NAMA coordination committee in EEAA
NAMAs developed so far likely to be bankable or attract private sector finance;	It is too early to tell. So far only one NAMA has been submitted for support but it did not succeed. There is an expectation in Egypt that the NAMAs will succeed in attracting support and in some cases also to being formally credited.
The NAMANet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;	The NAMA net has not been operational in Egypt (it was not known about in Egypt by the people consulted)
The PMR market readiness approach is attracting the private sector to be engaged;	Not applicable in Egypt
The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;	No actions from the Green Diplomacy Network.
The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.	As result of the energy crisis, the support for mitigation in Egypt has been strong so there has not been an issue of de-linking technical and political advances. Political will is now, in some ways, ahead of the technical capacity.

5.3 EQ 3: Sustainable energy



GEEREF has not been active in Egypt and for this reason this evaluation question is not considered in detail. Sustainable energy has been a strong element in the cooperation with Egypt not through the ENRTP but through support to the energy sector.

The Egyptian government has revised the feed-in tariff and adjusted power purchase agreements, which have made private sector financing of renewable energy more attractive. As a result, a recent call for private sector proposals, which aimed at 2 GW of capacity, has been responded to by proposals that exceed 10

GW. This is a good indication of latent demand for private sector involvement in energy generation but also indication that barriers have been reduced.

5.4 EQ 4: Biodiversity



There have not been any biodiversity related interventions financed during the period although there were some in earlier programming periods, which have been implemented in the period after 2007 and are under closure.

5.5 EQ 5: Green economy



Context –The environmental fraternity in Egypt has long had an interest in green economy and SCP but implementation has been weak because it requires close coordination with powerful sector interests that were not open to influence from outside bodies. Although the EU does not support environment and climate change as a focal sector, limited support has been provided and complements the more massive support provided to the productive sectors of energy, water and transport. This combination of support by donors such as EU has been contributory to developing a strong readiness within Egypt to take advantage of the

shift in political prioritisation.

EQ 5 Green economy	Main findings
EQ 5 To what extent has the EU support enhanced sustainable and resource-efficient production and consumption policies and practices ⁵⁹ and	<ul style="list-style-type: none"> • Driven by strong political support arising from the energy and water related crisis, there has been change in mindset and awareness of green economy opportunities. • In the last 1½ year this change in mindset has led to a significant increase in the interest and ability of stakeholders to identify SCP and resource

⁵⁹ SCP interventions are the main scope. Natural resources management interventions are not considered.

<p><i>therefore contributed to the greening of the economy of supported countries?</i></p>	<p>efficiency opportunities. The political demand for solving the energy and water crisis has led to stakeholders in the public and private sectors to actively identify opportunities and actions to address challenges to implement SCP and resource efficiency actions.</p> <ul style="list-style-type: none"> • It would appear that the main constraint in the past for taking action has not been low capacity but rather low political demand. However, the fact that capacity has been built up over the years through a number of donor supported efforts including those of the EU has meant that Egypt was well positioned and ready. Because of support and their own foresight, EEAA and its partners had many of the tools available to respond to the political demand for action on the green economy. • EU funded actions that have contributed to capacity and to sustaining the current momentum include projects such as the Best Available Technology (BAT)- MED project (which focussed on the dairy and textile industries) and the Egyptian Pollution Abatement Project (EPAP). These projects produced tangible evidence of the benefits of resource efficiency approaches and built up the national capacity to respond. • EU support of capacity development has been successful but it has also had its constraints due to low levels of preparation within Egyptian institutions and rigidity in the EU project rules. In some cases (e.g. SWIM) the EU rules that beneficiaries (as opposed to partners) cannot take part in regional study tours is reported as a problem.
<p>JC 51 Green economy capacity <i>JC51. Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The EU support has helped stakeholders identify opportunities and constraints; for example a UNEP Green Economy Scoping Study was undertaken and a green economy priorities for the Cairo governorate were identified (the initial SWITCH-MED programme of work drafted at the regional level proposed housing, tourism, manufacturing and agriculture as the areas of focus. The EEAA and others in Egypt were in a strong position to contest these priorities and instead to point to the challenges and opportunities in water and energy as the main sectors which could provide momentum for green Economy). • Although the studies have been of high quality and appreciated, the full texts have not been translated and there is scope for improved dissemination in order to reach a wider audience. • Building on the new political demand for SCP and the green economy, the EU has supported policy reforms in areas that in the past have been a major constraint to adoption of SCP. For example, electricity tariff reform has been successfully supported through the sector programme support to energy. • There has been some transfer of approaches from the EU to Egypt such as promotion of lending to environmental projects through commercial banks. • The projects such as BAT-MED and EPAP that have focussed on particular sectors and involved pilot projects have reportedly contributed strongly to building capacity and confidence.
<p>JC 52 Green economy implementation <i>JC52. Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Policy, regulatory and institutional measures are starting to be implemented as part of a range of reforms triggered by the energy and water crisis. EU and other donors support these measures. • There is no long-term action plan on SCP. SCP has not yet been integrated into development planning as this is a longer-term effort given the complexity and constraints in the planning processes. • There has been some progress on economic instruments for example: the use of the Environmental Protection Fund to finance compliance measures. Some concrete action has been taken to provide incentives e.g. the EPAP projects and others provide grant matching for introduction of LED lighting in public buildings where it is reported (Ministry of Transport) that electricity savings have reached over 30%. But there is still a long way to go and a wider ranging environmental fiscal reform is not in place. • Implementation of practical measures has taken place so far mainly through pilot projects such as those under the BAT-MED. • Some of the pilot projects that could have a SCP effect are not (in hindsight) well conceived in terms of their replication likelihood and demonstration value. e.g. in the call for proposals of the support to rural development and the regional projects such as SWIM. There is also a tendency to repeat pilots unnecessarily, for example in composting of agricultural waste.

Summary of hypotheses

Overall desk hypotheses	Evidence from Egypt's case study
Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?	Not applicable in Egypt.
Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from SWITCH-Asia and how has this changed the programmes?	It is too early to tell. The choice of sectors of support and the overall work programme of SWITCH-MED was not found good enough. As well as selecting inappropriate sectors for Egypt (and the region), it was found by EEAA that the strategy was too vague and the indicators were not measurable. There is now a process of adjusting the program.
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa in Africa programmes?	The EU delegation has not had influence over the Green Economy and Social and Environmental Entrepreneurship in Africa programmes?
Have capacity building activities on SEA increased the quality of SEAs?	Not applicable in Egypt.
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	As a result of the EPAP and other efforts the banking sector in Egypt is lending more to SMEs for environment related projects
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not applicable in Egypt.
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	Not applicable in Egypt.
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	Within energy especially there is evidence of some policy shifts but a full scale mainstreaming has not yet been attempted. Energy, transport and water sectors, in part through EU and other donor support have been mainstreaming environment and SCP-following the national momentum for change in these sectors.
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	EU standards as such have not been transferred but approaches (e.g. use of economic instruments, early involvement of industry, addressing financing constraints in the banking sector) have been used as inspiration.

5.6 EQ 6: Environmental governance



Context – The support to environmental governance has been channelled through UNEP since 2007 and especially since 2010. Earlier the EU supported bio-diversity within Egypt through a number of projects for protected areas. In line with Egypt's own priorities these projects were not continued into the programming period 2007-2013.

<p>EQ 6 Environmental governance</p> <p><i>To what extent has ENRTP contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) and UNEP-related processes?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Apart from some regional and sub-regional workshops, there has been limited support from the MEA secretariats to Egypt on MEAs over the period. • Egypt has strengthened its participation and contribution to international environmental governance for example: Egypt was a lead for the Nagoya protocol process. Leadership has mainly been a result of greater internal prioritisation of international governance than as a result of support from the MEA secretariats. • The reporting demands of the CBD and Stockholm convention of Persistent Organic Pollutants (PoPs) as well as the Basel and Rotterdam conventions are reportedly complied with by Egypt. Egypt signed the Nagoya Protocol in 2012-ratified in October 2014. Currently Egypt has 15% of land as protected area with plans to increase to 20%.
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<p>JC 61 International institutional framework <i>(JC61. Extent to which EU support to UNEP and its MEA Secretariats has strengthened the MEA related international institutional framework and processes in relation to biodiversity)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The relevant institutions in Egypt report that there has not been much direct support aiming at enhancing the institutional framework and processes (other than some regional and sub-regional workshops) from the MEA secretariats for implementing MEAs in Egypt. In the past there were projects in biodiversity (including from the EU) but these are no longer being continued. • Egypt has nevertheless increased its participation and contributed more strongly to international governance for example: it leads on the Nagoya protocol and has taken a leading role within the African and Arab group of countries. This participation is judged to be mainly driven by an increasing prioritisation within Egypt rather than as result of support – although support has complemented a favourable prioritisation. • Egypt has also increased its fulfilment of obligations under Multilateral Environmental conventions and climate change agreements. For example, Egypt has improved the quality of its national communication to UNFCCC and MEAs. According to the Egyptian partners “the EU and international organizations played a leading role in supporting Egypt to achieve its obligations regarding the Convention on Biodiversity. Their support is in the form of technical and financial support provided upon the commencement, as they are a key partner in the mechanism of the Convention” (Professor Mustafa Foda National Focal Point The United Nations Convention of Biodiversity).
<p>JC 62 Greater knowledge <i>JC62. Extent to which EU support to UNEP and its MEA Secretariats has improved access to knowledge on biodiversity and biodiversity conservation (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There have been a number of regional and sub-regional workshops but it is found by the Egyptian partners that whilst these events are useful they are not enough. Longer-term projects (usually requiring funds beyond the scope of the MEA secretariats) are needed to consolidate knowledge and ensure that practical skills and confidence is gained to put the new knowledge into practice. • Apart from an UNEP biosafety project, aiming at preparing countries for the Biosafety Protocol through the establishment of National Biosafety Framework and that introduced in Egypt international knowledge and methodologies on bio-safety that were not known or practiced, there have not been other projects that could deepen and consolidate the knowledge gained at workshops.
<p>JC 63 Capacity for policy and planning <i>JC63. Extent to which EU support to UNEP and its MEA Secretariats has enhanced developing countries' capacity to engage effectively in biodiversity related policy formulation and planning to meet their commitments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • In collaboration with the European Union and international organizations, many projects were implemented in the last 20 years. Those projects have contributed to the successful implementation of the Convention, especially in the field of protected areas. Such projects were the most important tools to implement the Convention. The training provided through MEA secretariats has complemented these projects – the training has mostly focussed on understanding the convention and developing and using tools to support its implementation. • Evidence of capacity being developed is the submission of national reports on time that has effectively contributed to the global vision towards Egypt's position with the support of international organizations. Five national reports have been developed so far. • The adoption of Biodiversity Strategy (2011-2020) by the Tenth Conference of the Parties in Nagoya, Japan in October 2010 – this strategy sets out a framework of the Convention during this decade in order to meet the commitments made by EU leaders regarding doubling the financial resources. Egypt's full engagement in this process and commitment towards achieving objectives of the Convention has benefitted from the support provided by EU and other sources.

Summary of hypotheses

<i>Overall desk hypotheses</i>	<i>Evidence from Egypt's case study</i>
The EU support for participation in CBD-PoWPA-CITES-Chemicals agreement processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC61, JC62)	Egypt has better articulated its priorities as part of a leadership role in Africa and the Arab region. It appears that this was a result of a combination of a more favourable political direction and specific support linked to the EU and MEA secretariats.
Developing countries have become more organised and vocal at CBD-PoWPA-CITES-Chemicals negotiation processes. (JC61)	As above
The needs and priorities of LDCs and SIDSS are increasingly being heard and taken into account in CBD-PoWPA-CITES-Chemicals related agreements. (JC61)	The point above is relevant although it is not known if the better articulation has had an effect.
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC62)	This has occurred within bio-safety and also the CBD where national communications, contribution to and adoption of bio-diversity strategies have taken place – especially as evidenced by Egyptian leadership and engagement in the Tenth Conference of the Parties in Nagoya.
That the ENRTP support to UNEP- MEA Secretariats under new priority 3.3 and old priority 4 has resulted in (JC63): Increased awareness among decision-makers at the national level;The national stakeholders applying the skills and knowledge imparted;Good progress in formulating national biodiversity policies, NBSAPs, PoWPA (inter-linked to EQ4 on biodiversity).	Apart from the Bio-Safety area there is a frustration in Egypt that the regional and sub—regional workshops although useful have not been enough and that larger projects particularly on bio-diversity are needed to complement, consolidate and make use of the skills obtained through training.

5.7 EQ 7: Climate governance



Context –The EU has not had a history of supporting climate change in Egypt. Climate change did not feature strongly in the programming for 2007-2013. However, support was provided through the ENRTP via the UNFCCC and also a UNDP implemented project (LECB).

<p>EQ 7 Climate governance <i>EQ 7 To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • UNFCCC Secretariat has provided very useful support to EEAA and its partners in Egypt including funding pre-COP preparations (intercessionals). • Egypt has significantly increased its participation and commitment to international climate governance; for example, it is taking a lead in negotiations and discussions within the G77 and Arab group of countries. In part this additional participation has come about from support from UNFCCC secretariat that complements the more favourable political directions. • The capacity gained from UNFCCC secretariat and others has led to: improved mitigation chapters in the national communication; progress on the inventory of GHGs and modelling of climate change effects that could serve in the design of future adaptation measures (which also supported by a range of donors).. • The new political prioritisation of climate capacity has meant that the support provided by UNFCCC secretariat has been in strong demand and has been put to good use as outlined above.
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<p>JC71 International institutional framework <i>JC71. Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • UNFCCC secretariat has provided funds for one person in the pre-COP meetings (interessionals) and 2 for the COP meetings. The support for the pre-COP meeting is very useful and helps substantially in the preparation of the COP. For example the pre-COP event allowed the development of common understanding between the G77 group of countries and also within the Arab group of countries. This tended to lead to greater participation and strengthened debates. • The support provided has also been a contributory factor for Egypt taking an active role in the MRV international partnership and to Egypt being elected as the lead for the Africa Regional Group of Designated National Authorities (DNAs). Egypt being elected as the lead for the Africa Regional Group of Designated National Authorities (DNAs). • Egypt is also taking the lead on the African Union Conference of Energy Ministers in preparation for Paris 2015. • International financing mechanisms have not yet been tested in Egypt. Some progress was made in CDM and one NAMA was submitted for financing but did not succeed.
<p>JC72 Greater knowledge <i>JC72 Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Egyptian experts, funded by a variety of sources, are part of IPCC expert panels and are contributing to international knowledge on climate change. • Knowledge has been gained on CDM and MRV and there have been training courses on LEDs and NAMAs through UNFCCC secretariat led efforts and support from other donors. • But in general there is still not enough capacity and confidence to properly manage GHG inventories, so whilst the capacity has been useful it has not been enough. According to Egyptian officials the training courses are too short and give an overview but do not give enough practical hands-on experience to allow the participants to fully use the knowledge gained when they return to their place of work. It is considered that longer-term projects are needed and that training courses are not enough.
<p>JC73 Capacity for policy and planning <i>JC73. Extent to which EU support to international entities has enhanced developing countries' capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The skills and knowledge developed during the CDM work have been applied on a number of CDM projects and also processes such as the updating of green house inventories. • Some of the CDM related skills are being used for developing the MRV system and NAMAs (as evaluated under EQ2) • The skills and confidence developed are still not considered enough to ensure the development of a robust GHG inventory and MRV system.

Summary of hypotheses

Overall desk hypotheses	Evidence from Egypt's case study
<p>The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)</p>	<p>There is evidence of increased capacity as outlined in the analysis above. The level of participation especially the leadership of Egypt in international climate change processes through a variety of forums which is very encouraging. The EU support has been instrumental especially as it has been able to benefit from and contribute to the new policy direction and willingness to participate in climate change. This may have arisen due to energy and water related crisis and perhaps also as part of an effort to re-integrate Egypt into international processes.</p>
<p>Developing countries have become more organised and vocal at climate negotiation processes. (JC71)</p>	<p>Egypt's leading of the g77 group is an indication of developing countries becoming more organised and vocal and able to demonstrate leadership – the EU support is that the assistance to Egypt (combined with its own new policy directions) has led to Egypt being able to take a leadership role.</p>
<p>The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in UNFCCC related agreements. (JC71)</p>	<p>Not possible to confirm, there is an indication that with greater organisation and leadership that the messages and voice of LDCs are increasingly been understood and heeded.</p>
<p>That developing countries can (and do) access new data, knowledge,</p>	<p>There is evidence in the form of progress of MRV and NAMAs.</p>

methodologies, guidelines/manuals, and tools. (JC72)	Decision makers are more aware of the global climate governance agenda, this is evidenced by the more forward leaning position being taken by Egypt and its readiness to take regional leadership which has to be endorsed at the decision making level
That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73):Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).	There is a perception in Egypt that the capacity provided is not enough and that workshops and exchange events are not enough by themselves, specific projects are also needed.

5.8 EQ 8: Mainstreaming approach



Context – Egypt has a well-developed set of guidelines and regulatory framework for EIAs and for environmental integration. Many of the larger investments that require an in-depth EIA are funded via blending mechanisms where the procedures of the lead International Finance Institution are used in a way that is also compliant with Egyptian law.

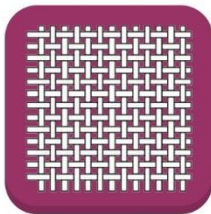
<p>EQ8 Mainstreaming approach EQ8 To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</p>	<p>Main findings</p> <ul style="list-style-type: none"> • The EU policy and approach and the available guidelines for mainstreaming environment and climate change are found appropriate. • The capacity development and training courses have also been satisfactory but there is tendency that only those that are already interested in environment and climate change attend. • In Egypt the EUD environmental focal person is highly active and engaged with both the national partners within environment (in this case EEAA) and with the sector specific staff within the delegation. • Mainly consultants who are also expected to bring a level of sector expertise that far exceeds what the guidelines can encompass use the guidelines. Those preparing small grants also use the guidelines.
<p>JC81 Guidelines and tools JC81. Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</p>	<p>Findings</p> <ul style="list-style-type: none"> • The guidelines and framework are found suitable by the Delegation but in practical terms the main triggers for integrating environment and climate change are; i) the templates that demand environment and climate change to be addressed and ii) the Quality Support Group process which asks detailed questions. • Often what is more important than the guidelines, is that the consultants involved are capable of mainstreaming and that the legal provisions of the country are followed. • As a minor point, the guidelines do not specifically address blending projects of which there are many in Egypt. In practice the lead International Finance Institution uses their own guidelines – in Egypt this has meant that KFW in the wind farm and water and wastewater projects has used KFW guidelines for undertaking EIAs. • Much of the support in Egypt was designed in advance of the 2009 guidelines (although there was an environmental handbook available earlier it does not seem to have been consulted). In part this could explain the absence of climate change in much of design documents. However, the implementation phases have significantly integrated environment and climate change.
<p>JC82 Delegation capacity JC82 Increased capacity developed within the Delegations to mainstream environment and CC in their operations</p>	<p>Findings</p> <ul style="list-style-type: none"> • The capacity of the Delegation for integration of environment and climate change is high. All the Delegation staff spoken to were both sector experts and knowledgeable on integration of environment and climate change – it seems that this expertise is a combination of their own experience and qualifications complemented to some extent by specific EU capacity development. • The environment and climate change focal point strategy is working well and there is evidence of a consistent and coherent approach to integration across the different sectors of support and within the modalities of sector budget support and project approaches.

	<ul style="list-style-type: none"> The application of the EU approach and guidelines is much easier when there is an openness and reception among the national partners. Particularly now with a new political prioritisation of environmental and climate change the policy dialogue, reporting on and achievement of environment and climate indicators is noticeably improving.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Egypt's case study
The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)	The evidence from Egypt supports this hypothesis.
Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)	The capacity development has been taken advantage of and has increased capacity – although there are some that would argue that this has been amongst those that are already interested.
The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)	Not supported by the evidence from Egypt. There has been capacity built up for mainstreaming of environment and climate change through the technical support to specific sectors. Due to the energy and water crisis and also due to good readiness arising from EU and other support efforts, Egypt has experienced significant advances in mainstreaming environment and climate change in the water, transport and energy sectors. The ownership of environmental mainstreaming in the Egyptian Energy Regulatory Authority for example is very high.

5.9 EQ 9: Mainstreaming practice



Context – The period 2007 to 2013 saw a significant shift in the prioritisation given to environment and climate change. The energy and water crisis combined with the strong political response to prioritise environment and climate change created a much more positive situation for integration.

<p>EQ9 Mainstreaming practice</p> <p><i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> A shortened CEP was conducted that was based on the environmental agenda developed for the Egyptian – EU association agreement. EIAs are conducted and followed up with a high degree of rigour for those mostly large projects that require an EIA under the Egyptian regulations. Only one SEA has been done and it was not highly successful. Mainstreaming during implementation has been continuous and has in many ways gone beyond expectations largely because of the recent increase in the political support for integration (arising from the water and energy crisis) Mainstreaming has taken place through provision of TA (e.g. developing EIA guidelines in the Ministry of Transport); supervision of indicators; provision of budget support that ensures resources are in place to mainstream (e.g. within infrastructure: purchase of laboratory equipment for the water sector) and through policy dialogue aimed at supporting important reforms that have an environmental and climate change effect (e.g. electricity tariff reform). There are still opportunities in the next phase to further integrate environment in the water sector by including sludge management as an indicator and by putting more emphasis on increasing long term public awareness and changing the mindset of the population.
<p>JC91 Incorporation in design</p> <p><i>JC91. Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> A full CEP was not done – there is a short version (4 pages) presented as an annex to the CSP – although short, it clearly identifies the main environmental issues and challenges. It does not explicitly address opportunities and it does not address climate change. Two of the main sectors supported (energy and water) have inherent elements of environmental mainstreaming (i.e. energy efficiency, wastewater treatment and reduction of water losses). This makes mainstreaming almost automatic.

<p><i>budget support modalities (throughout the programme cycle)</i></p>	<ul style="list-style-type: none"> • The action fiches are not detailed on environment and, climate change is even more lightly treated – the designs were done before the current guidelines. However the indicators and main actions support environment and climate change in a highly strategic way that has during the implementation phase given sufficient opening to greatly expand and deepen environmental integration. • EIAs are applied with a high degree of rigour and in accordance with Egyptian Law for EIA. • Only one SEA has been done and that was for relatively small projects using a call for proposals modality (for agriculture/rural development). The SEA does not appear that well conceived, it was limited in scope and also in value because it was done after the call for proposals was finalised. The recommendations are quite generic. Only an abstract of the report has been translated into Arabic. • The indicator (of the sector budget support to transport) on setting up an SEA in the Ministry of Transport does not seem realistic or well-conceived. All parties are accepting that this should be interpreted as an environmental unit (which is much needed and could have an immediate impact).
<p>JC92 Incorporation in implementation <i>JC92. Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The EIA recommendations are monitored during the project period by the EU Delegation (and relevant authorities). However, once the project is ended the monitoring becomes solely the responsibility of the EEAA and the relevant competent environmental authority. No specific follow up is made or planned to be made by the EU. As longer term monitoring of environmental conditions is often not done, it is an area of vulnerability. • Environmental and climate change indicators in combination with policy dialogue and TA have been successful in supporting Egypt to implement many far reaching reforms including: tariff reforms in the energy sector; the participation of the private sector in renewable energy and, updating of the national water resources master plans. • Significant funding released under budget support has been used for actions that have a direct environment and climate change impact for example: construction and operation and maintenance of wastewater treatment plants and funding demonstration of LED lighting in public buildings. • Many of the smaller projects under the more limited agricultural project support have had an environmental and climate element e.g. composting of waste, increase in irrigation water efficiency. The projects are small scale and it is not clear if they will have a replicating effect or whether the end of project rewards combined with additional yields amount to an incentive that could trigger a scaling up of the technologies and practices being promoted.

Summary of hypotheses

Overall desk hypotheses	Evidence from Egypt's case study
<p>Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;</p>	<p>This hypothesis is supported by the evidence from Egypt. Where policy dialogue in conjunction with other factors (TA, budget support, a harmonised donor approach, political willingness) led to successful mainstreaming.</p> <p>Policy dialogue has not been so successful where the issues are highly sectorised e.g. for sludge management where responses are needed by at least 3 ministries (local development, water resources, housing and urban development, environment). In the view of some Egyptian partners, Money backed indicators (i.e. related to budget support tranches) might have been more effective for bringing different parties together.</p> <p>For agriculture there has not been until recently a donor group where policy dialogue specific for agriculture and rural development could take place.</p>
<p>The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;</p>	<p>It would be plausible to conclude that the CEP has had an effect on the design of the interventions in that many of the environmental considerations and issues are taken up in the support documents.</p>
<p>An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of</p>	<p>The design of the EU support is evidence of an improved mainstreaming of environment and climate change. The continuous policy dialogue, the provision of technical assistance on environmental and climate change issues and the follow up on indicators is also evidence of improved mainstreaming performance.</p>

environment and cc;	
When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).	In many ways implementation has exceeded the expectations of the design documents, in part because there was a change in policy and priority given concerning climate and resource efficiency in the wake of the energy and water crisis. The EU supported processes that had developed a high degree of readiness which meant that momentum could be built on and full advantage taken of the change in mindset. If with EU and other donor support such readiness had not been in place then it is likely as has happened before (source: ERA) that the response would be too late and miss the momentum of political support or be rushed with low quality leading to a loss of credibility.

	<i>Egypt field answers</i>	
Sectors	Infrastructure	Agriculture and rural development
SPSP/SBS (Y/N)	Y	Y
I 911		
Has CEP been prepared? (Y/N)	Yes, a shortened version as annex to the CSP – but this was not done for the new programming period as it was not a compulsory annex.	
Good Quality CEP? (Y/N)		
I 912		
SEA screening done for SPSP? (Y/N)	N	N
SEA found necessary? (Y/N)	A SEA unit in MOT was put forward as an indicator but in practice is seen more realistically as an environment unit	A Sea was done for the support to rural development but it was not highly relevant for the project and not considered the highest quality
SEA done for SPSP? (Y/N)		
Env screening/ EIA/CC risk screening done for projects? (Y/N)	Yes	Yes (although they are too small to fall under the regulations)
I-913		
SPSP support policy reform? (Y/N), if yes:	Y (energy, water, transport)	N
Does it promote mainstreaming? (Y/N)	Y	Y
As general statement or concrete measures? (GS/CM)	CM	CM
SPSP require env/cc indicators (Y/N)	Y	Not applicable
SPSP call for env and CC items in sector budget? (Y/N)	Y	Not applicable
I-921		
Does CSP reflect CEP recommendations? (Y/N)	Reflects the NEAP and CEP	
If not, is an explanation provided? (Y/N)	-	-
I 922		
Were SEA indicators monitored? (Y/N)	Y (unit in the MoT)	N
Were SEA recommendations implemented? (Y/N)	Not known yet	-
Were EIA indicators monitored? (Y/N)	Y	-
If yes, did they show improvements? (Y/N)	Y	-
Were EIA recommendations implemented? (Y/N)	Y	-
I-923		
Is policy dialogue addressing env and CC? (Y/N)	Y	Y
Are policy reform measures for env and CC implemented? (Y/N)	y	Not applicable
Are env and CC indicators reported on? (Y/N)	Y	Y
Is EU asking for data on env and CC indicators? (Y/N)	Y	Y
Are there env and CC items in sector budget? (Y/N)	Y as part of specific project SEA/EIA	Y as part of the grants
Evidence that EU promoted env and CC budget items? (Y/N)	Y	Y

5.10 EQ 10: Complementarity



There are not many ENRTP projects in Egypt – the UNDP LECB project appears as the only stand-alone project intervention. The other support is mostly in the form of activities by UNEP and UNFCCC under global environment and climate governance initiatives. There have been a number of regional projects, which are highly environmental in nature such as the SWIM, the earlier BAT-MED and the Switch-MED. For this reason a detailed response is not given here on the evaluation question and judgement criteria related to complementarity with ENRTP and geographic projects.

However it is relevant to note the following, which are also relevant to the mainstreaming (EQ9) and policy and instruments (EQ1) questions:

- The combination of programmatic project support, sector budget support, blending and the use of regional and thematic instruments has had a mutually reinforcing effect. For example, the efforts to mainstream environment and climate change in the energy and water sectors has helped the thematic and regional efforts at introducing green economy and SCP concepts because there has been clear examples of and entry points for application of such concepts in these important sectors.
- The combination of budget support, environmental and climate change related indicators, technical assistance and policy dialogue has been highly successful in creating a degree of readiness that enabled the Egyptian institutions to respond quickly and effectively to changes in the political prioritisation of environment and climate change.
- The support to the lead institution for environment and climate change (EEAA) through a number of country level projects (such as EPAP) as well as regional projects (especially through the ENPI) has helped Egypt to make better use of the more massive resources allocated to the energy, transport and water sectors. For example EEAA have commented extensively on the Switch-MED and their intervention is likely to lead to better implementation of that regional project.
- The call for proposals in the agricultural sector was based on an incentive strategy that does not in hindsight seem well conceived and the second phase does not use the same approach.
- Blending for the large projects or programme of projects has led to very high quality EIAs being led by foreign consultants who have ensured that all relevant aspects were taken into account. The EIAs have assisted in establishing standards of EIAs that could be replicated for Egyptian investments but at present the extensive EIA is mainly used for donor funded projects.

6 Annexes

Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
Ahmed AbouElSeoud	EEAA, Ministry of Foreign Affairs	Chief Executive Officer	Egypt
Andreas Zoellner	GIZ	Program Coordinator	Egypt
Angel Gutierrez Hidalgo	EUD	Head of Section, Economic Coop.	Egypt
Ayman Ayad	EUD	Program Manager for Water	Egypt
Ayman Hamada	EEAA, Ministry of Foreign Affairs	General Manager, Species Diversity	Egypt
Dr. Hafez Salmawy	EgyptEra	Managing Director	Egypt
Ehab ElHenady	EEAA, Ministry of Foreign Affairs	TTF rep IMPROWARE	Egypt
Eng. Mohey Ahmed	HCWW	Engineering Consultant	Egypt
Essam Hannou	EEAA, Ministry of Foreign Affairs	IR officer	Egypt
Hatem Abdelsalam	EEAA, Ministry of Foreign Affairs	Head of International Cooperation Department	Egypt
Heba Hassanein	EEAA, Ministry of Foreign Affairs	Director General of International Co-operation	Egypt
Heba Sharawy	EEAA, Ministry of Foreign Affairs	Director General of Studies & Environmental Policies	Egypt
Hoda Omar	EEAA, Ministry of Foreign Affairs	GEF Unit Director	Egypt
Janis Aizsalnieks	EUD	Programme Manager, Env. & Climate Change	Egypt
Khaled Harhash	EEAA, Ministry of Foreign Affairs	General Manager, Genetic Resources	Egypt
Lydia Elewa	EEAA (Phone call)	UNFCCC Contact point	Egypt
Merhan Ragab	HCWW	Program Planning Manager	Egypt
Mohamed Abdel Sabour	Ministry of Transport	Undersecretary of State, Minister's office affairs	Egypt
Mohamed Bayoumi	UNDP	Environment Specialist	Egypt
Mohamed Eissawy	EEAA, Ministry of Foreign Affairs	ENPI- SEIS NFP	Egypt
Mohamed Khalil	EEAA, Ministry of Foreign Affairs	Counsellor, environment and sustainable development affairs , Ministry of Foreign Affairs	Egypt
Nabil Maysoun	EEAA, Ministry of Foreign Affairs	EPAP Project Manger	Egypt
Rania SaalahSeddik	CSOs / Karama (SEED)	Project Founder	Egypt
Rawya el Shazly	KFW	Project Manager, Energy Sector	Egypt
Stephane David	EUD	Program Manager for Agriculture & Rural Development	Egypt
Tarek Shalaby	EEAA, Ministry of Foreign Affairs	Climate Change Central Department	Egypt
Wolf Muth	KFW	Director of KFW office, Cairo	Egypt
Yasmin Fouad	EEAA, Ministry of Foreign Affairs	Assistant to the Minister	Egypt

Annex 2: List of documents consulted

- Egypt's Ministry of Planning and International Cooperation (2012): Strategic Framework For Economic And Social Development Plan Until Year 2022. Proposal For Community Dialogue.
- European Union (2004): Euro-Mediterranean Agreement. Establishing an Association between the European Communities and their Member States and the Arab Republic of Egypt.
- European Union (2006-2007): Egypt Action Plan 2007-2013.
- European Union (2007): Egypt Country Strategy Paper 2007-2013.
- European Union (2007): Memorandum of Understanding on Strategic Partnership on Energy between the European Union and the Arab Republic of Egypt.
- European Union (2008): Financing agreement between the European Union and the Arab Republic of Egypt. Improved Water and Wastewater Services Programme.
- European Union (2008): Financing agreement between the European Union and the Arab Republic of Egypt. Transport Sector Policy Support Programme.
- European Union (2008-2013): External assistance management reports (EAMR) for Egypt for the years 2008-2013. European Union (2009): Financing agreement between the European Union and the Arab Republic of Egypt. Support to Rural Development.
- European Union (2010): Annex II (Technical and Administrative Provisions). Financing agreement between the European Union and the Arab Republic of Egypt. Energy Sector Policy Support Program.
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Annex 3: Timeline of Laws and Decrees

1984 7/1978 on regulating Solid Waste

1992 7/1978 on regulating Solid Waste collection from houses, public spaces, as well as environmental management.

1996 7/1978 on regulating Solid Waste collection from houses, public spaces, as well as environmental management facilities.

1998 7/1978 on regulating Solid Waste collection from houses, policy which aims to foster partnerships and coordination at a national level; to enhance partnerships at bilateral, regional, and global levels; to implement the 1994 Environmental Protection Law; to enhance nature protection; to strengthen Egyptian Environmental Affairs Agency; and to support environmental management systems.

2002 nature protection; to strengthen Egyptian Environmental Affairs Agency; and to support environmental management systems, to enhance partnerships at bilateral level, to protect the marine environment, solid waste management, biodiversity, and biological safety. The updated plan aims to improve the quality of life while minimizing health hazards.

2009 ce nature protection; to strengthen Egyptian Environmental Affairs Agency

Environmental law No. 4 of 1994 amended by Law No. 9 of 2009, and its Executive Regulations stated by Prime Minister Decree No. 338 of 1995, amended by decree No.1741/2005, then amended by Decree 1095/2011.

Guideline to basics and procedures of environmental impact assessment issued by the EEAA in the second edition in January 2009 and contains a model for the evaluation of environmental projects

Law 102 of 1983 States the requirements for management of natural protectorates

Law 12 of 2003 for the protection of workers and occupational safety and health of workers amending Act 137 for the year 1981 and its implementing decisions.

Law 27/1978 on regulating Solid Waste collection from houses

Law 38/1967 on regulating Solid Waste collection from houses, public spaces, as well as commercial and production facilities. In addition, the law allows the Ministry of Water Resources to inspect large industrial facilities located on the Nile.

Law 57 of 1978, Minister of Housing Decree No.206/1979 Concerning eliminating ponds and pits.

Law 93 of 1962, amended by the Minister of Housing Decree 44/2000; Sets limits for reuse of treated wastewater in agricultural purposes and Sets limits for effluent discharges to the public sewer.

Law48/1982, Decree 8/1993 – on Protection of River Nile and waterways from pollution. This legislation is the main policy for discharging in the river and waterways (concerns also the industrial liquid waste). Specific laws for irrigation, define the use and management of public and private sector irrigation and drainage systems.

Numerous decrees regulate the wastewater sector:

Decree 1038/2009 Prohibition of use of treated or untreated wastewater in irrigation.

Decree 134/1968 regulates the wastewater sector:n Environmental Affairs Agency; and to suppo

Decree 135/1999 regulates the wastewater sector small communities and isolated buildings and necessary treatment stages

Decree 169/1997 regulates the wastewater sector:nEnvironmenta

Decree 334/2002 regulates the wastewater sector small communities and isolated buildings and necessary treatment stages

Decree 603/2002 Prohibition of use of treated or untreated wastewater in irrigating

Annex 4: List of relevant projects and programmes

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Support for Agricultural SMEs (SASME)	2013-2019	EUR22m from the EU (grant) and EUR 30m from AFD (loan)	Entire Egypt	AFD, Ministry of Agriculture	SME in the agricultural sector (with particular emphasis on dairy and aquaculture sectors), credit providers, cooperatives	The project has the following objectives: - Enhancing the provision of credit to SMEs in the agricultural sector through support to a Credit Fund, the set-up of a Credit Guarantee Mechanism, and technical support to SMEs and financial intermediaries - Support to value chain in the Dairy and Marine Aquaculture sectors
Improved Water and Wastewater Programme (phase I)	started at 2010 and estimated Final Date of Implementation is Dec 2017	295 Million EUR of which EU contribution is 34 Million EUR (As A grant)	Governorates of Gharbia, Sharkia, Dameitta, and Beheira	KfW, EIB	Ministry of Housing, Holding Company for Water and Waste Water and Its 4 Affiliated Companies.	At the heart of the Improved Water and Wastewater Services programme is the Rehabilitation and expansion of existing water and wastewater treatment plants as Well as sewer networks in some of the most deprived areas. Another component of the project is to develop investment, planning, steering and monitoring capacities in The Holding Company for Water and Wastewater. Through this initiative, the water supply to households has significantly increased, with over three million people gaining access to water and sanitation in Gharbia, Sharkia, Dameitta, and Beheira; and pollution from discharge of untreated wastewater in the environment was reduced.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Improved Water and Wastewater Programme (phase II)	estimated start date of implementation end 2014 and estimated Final Date of Implementation is Dec 2018	303 Million EUR of which the EU contribution is 23 Million EUR (grant)	Governorates of Qnea ,Sohag, Assuit and Minya.	EIB, KfW, SECO & AFD	Ministry of Housing, Holding Company for Water and Waste Water and Its 4 Affiliated Companies.	A new phase of the programme was signed in December 2013 with the Egyptian government to cover four additional governorates in upper Egypt (Qnea ,Sohag, Assuit and Minya). Thanks to this initiative, the water supply and sanitation coverage to households will significantly increase to reach an additional 4 Million Inhabitants.
Water Sector reform Programme (phase 2)	estimated start date of implementation end 2011 and estimated Final Date of Implementation is June 2017	The overall budget is 120 Million EUR of which 10 Million EUR (As a Technical Assistance to Line Ministries)	Direct funding to the Government for a set of reform benchmarks in the water sector, activities carried out all across Egypt	NA	Ministry of Water Resources and Irrigation, the Ministry of Housing and Urban development, the Holding Company for Water and Wastewater and the Ministry of Finance.	Following the success of WSRP- Phase I with a total Grant to EUR 80 million, both the Government of Egypt and the European Commission agreed to allocate an additional grant of EUR 120 million as a second phase of Egypt's WSRP (WSRP-II) to take place between 2011-2015 and to be disbursed on the basis of a new set of jointly agreed reform benchmarks. The overall objective of the WSRP-II is to support the GoE in continuing the reform programme of the water sector, in accordance with the objectives of the National Water Resource Plan 2005-2017 (NWRP 2005-2017), and of the recently adopted Water and Wastewater Sector Development Policy (WWSDP).

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Energy Sector Policy Support Programme	2011 – 2015	60,000,000 million euro	Egypt	NA	Ministry of Petroleum	The Energy Sector Policy Support Programme aims to assist Egypt in carrying out its far-reaching programme of energy reforms to improve its energy security and sustainable development as well as the implementation of its strategic energy partnership with the EU. The programme is currently developing the Energy Strategy for Egypt and Energy Action Plan. The institutional set up of the Gas Sector and the Energy Efficiency Sectors are also being addressed. In the framework of this programme, a large number of capacity building workshops took place in fields related to energy modeling, energy audit, communication and gas regulation.
Transport Sector Policy Support Programme	2009 – 2015	80,000,000 million euro	Egypt	NA	Ministry of Transport	The aim of this programme is to support the implementation of the National Transport Policy through the reform of the Egyptian transport sector. A comprehensive institutional reform of the Ministry of Transport and its affiliated authorities in particular the river and the land transport authorities have taken place to transform them to function-based organizations. An intelligent transport system strategy in addition to an exchange data information system was developed more than 500 participants from MoT and its affiliated institutions benefited from capacity building programmes in fields related to transport planning, modeling, feasibility studies, PMP, PPP & Primavera Software.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Egyptian Power Transmission Project	2010 – 2016	20,000,000 million euro	Egypt	EIB, KfW & AFD	Ministry of Electricity and Energy	The aim of this programme is to strengthen the capacity of the Egyptian National Electricity Grid through building a number of sub-stations and transmission lines.
The 200 MW Gulf of Gabal El Zeit	2009 – 2014	30 million (wrong info. On the current website)	Gulf of Zeit (wrong info in the current website)	EIB & KfW	New and Renewable Energy Authority	The objective of this programme is to construct a 200 MW wind farm in Gulf of El Zayt on the West bank of the Gulf of Suez, including all activities required in the context of the construction and operation of the facilities. This project is co funded by the European Commission (EC), the European Central Bank (EIB) and the Kreditanstalt für Wiederaufbau (KfW) which is the lead donor.
Egyptien Pollution Abatement Programme -EPAP II	2007-2014	€007 The programme is jointly implemented with EIB	Alexandria and Greater Cairo	Ministry Environment (MOE) and Egyptian Environmental Affairs Agency (EEAA)	Private and public sector companies	The programme has three main goals: combating industrial pollution in Alexandria and Great Cairo; improving the financing of environmental investment projects and developing the capacity and institutional strengths of MOE and the EEAA.
Egyptien Pollution Abatement Programme I strength	2015-2020	€015-2020 Pollution A The programme will be jointly implemented with EIB, AFD, KfW	Entire Egypt	Ministry of Environment and Egyptian Environmental Affairs Agency	Private and public sector companies	EPAP III will finance public and private industrial companies that will invest in pollution abatement (air and water) and assist the industry to comply with the environmental regulations. This third operation will also considerably reinforce the capacity of the promoter (also regulator), the Egyptian Environmental Affairs Agency (EEAA), by strengthening its enforcement capacity and controlling through technical assistance (TA) and the commercial banks involved.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
National Solid Waste Management Programme	2014-2020	€014- The programme will be jointly implemented with KFW and GIZ	Cairo, Qena, Assuit, Garbeya, Kafrelsheikh	Egyptian Integrated Solid Waste Management Sector under the Ministry for Environment	Population of the project regions as well as central environmental authorities	The overall objective of the National Solid Waste Management Programme (NSWMP) is to make a significant contribution to sustainable protection of the environment, to protect natural resources and to reduce health risks for the population of Egypt. The NSWMP will support the establishment and implementation of effective policy, legislation and institutional arrangements for waste management at the national, governorate and local level in Egypt, coupled with infrastructure implementation in the project regions.
Euro-Mediterranean Energy Efficiency in Construction Sector of effectiv(MED-ENEC II)	2009 – 2014	€009 – 2014rra	All ENPI South partners	NA	Southern Mediterranean Countries	Supports the control of energy consumption in the building sector; thereby reducing dependency on fossil fuels, improving security of energy supply and increasing the contribution to climate change mitigation
Sustainable Water Integrated Management Programme (SWIM) – IMPROWARE	2012-2014	€012-20	Nubareya governorate in Egypt and Korba governorate in Tunisia	Egyptian Environmental Affairs Agency	Population of the project regions as well as central environmental authorities	The main objectives of IMPROWARE are: (1) To demonstrate, promote and disseminate environmentally sustainable water management policies and practices; (2) To build consensus and sustainable co-operation on water issues among the two Partner ENPI Countries (Egypt, Tunis) and in the ENPI Mediterranean region.
Sustainable Water Integrated Management Programme (SWIM) – Sustain Water MED	2012-2014	€012-20	Ismailia Governorate in Egypt and selected municipalities in Jordan, Morocco and Tunisia	Holding Company of Water and Wastewater	Population of the project regions as well as central environmental authorities	The main objective of Sustain Water Med project is to implement a set of demonstration activities for sustainable integrated wastewater treatment and reuse in the Mediterranean. The pilot activities are carried out in Egypt, Jordan, Morocco and Tunisia.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Sustainable Water Integrated Management Programme (SWIM) – ACLIMAS	2012-2014	€012-20	Morocco (Chaouia Ourdigha region), Tunisia (North-eastern Tunisia), Egypt (West Nubaria), Jordan (Irbid Governorate), Lebanon (Bekaa Valley) and Algeria (Khmeze Melanah, Wilaya Ain Defla).	Agricultural research institutions in the partner countries	Population of the project regions as well as central agricultural authorities	The overall objective of this project is to bring a durable improvement in the agricultural water management and a broader economic development of the six target Mediterranean areas in the context of adaptation to climate change, increasing water scarcity, and desertification risk.
Regional Knowledge Network on Systemic Approaches to Water Resources Management	2013-2016	€013-20	Morocco, Egypt, Jordan, Palestine and Lebanon	IUCN- International Union for Conservation of Nature	Civil society organisations working in the sector of water resources management	Objective of this project is to improve the use of Systemic Approaches to Integrated Water Resources Management throughout the region among local authorities, other decision-makers, researchers, experts, practitioners and other stakeholders. In addition the project will make functional a Regional Water Knowledge Network (RWKN), bringing together a range of institutions interested in the creation of new knowledge in systemic approaches to water management.
Switch MED	2013-2018	€013-	Southern Mediterranean	SWITCH-Med will be implemented through collaborative efforts by the EU, UNIDO, UNEP/MAP-CP/RAC and UNEP-DTIE.	All European Neighbourhood & Partnership Instrument (ENPI) countries will be beneficiaries.	The objective of the SWITCH-Med Initiative is to facilitate the shift toward Sustainable Consumption and Production – SCP – in the Southern Mediterranean Region. The programme is about changing the way goods and services are produced and consumed, so that human development and satisfaction of human needs is decoupled from environmental degradation. It will support industry, emerging green entrepreneurs, civil society and policy makers through policy development, demonstration activities and networking.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
ENPI CLIMA-South support to climate change mitigation and adaptation in south Mediterranean countries	2013-2017	€013	10 south Mediterranean countries: Algeria, Egypt, Israel, Jordan, Libya, Morocco, Palestine, Tunisia and Syria	Environmental authorities of the 10 Mediterranean countries: Algeria, Egypt, Israel, Jordan, Libya, Morocco, Palestine, Tunisia and Syria	Environmental authorities of the 10 Mediterranean countries: Algeria, Egypt, Israel, Jordan, Libya, Morocco, Palestine, Tunisia and Syria	The overall objective of the programme is to enhance regional cooperation, between the EU and its Mediterranean neighbours (EU-South) and among ENP partners themselves (South-South) on climate change mitigation and adaptation, mainly through capacity development and information sharing.
Strengthening Environmental Governance by Building the Capacity of Non-Governmental Organizations (NGOs)	2012-2016	€012	Armenia, Belarus, Ukraine, Egypt, Jordan, Lebanon, occupied Palestinian territory, Tunisia (phase 1); Azerbaijan, Georgia, Moldova, Algeria, and Morocco (phase 2).	UNDP	Civil society organizations	The proposed project will improve NGOs capacity to participate in an informed and skilled manner in environmental policy formulation and natural resource management, collaborate in decision-making on key issues, and represent the interests of citizens and communities in the environment and sustainable development arenas.
ENPI SEIS	2010-2014	€010-2	ENPI South Partner countries and territories, namely: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, occupied Palestinian territory, Syria, and Tunisia.	European Environment Agency	National environmental and statistical organisations leading in the field of environmental information within the ENPI area	The ENPI-SEIS project aims to promote the SEIS (Shared Environmental Information System) principles in the ENP regions (South and East), through the development of national and regional environmental information systems in line with the EU approach.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
ENPI Horizon 2020 Capacity Building/Mediterranean Environment Programme (H2020 CB/MEP)	2009-2014	€009-20	ENPI South Partner countries and territories, namely: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, occupied Palestinian territory, Syria, and Tunisia.	Environmental authorities in ENPI South Partner countries and territories, namely: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, occupied Palestinian territory, Syria, and Tunisia.	Environmental authorities in ENPI South Partner countries and territories, namely: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, occupied Palestinian territory, Syria, and Tunisia.	Overall objective: to support the implementation of Horizon 2020 with a special focus on environmental mainstreaming. Project purpose: to promote integration of environment issues in other sectors policies; capacity building and awareness raising
Civil Protection (PPRD South II)	2013-2016	€013	ENPI South Partner countries and territories, namely: Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, occupied Palestinian territory, Syria, and Tunisia.	Civil protection authorities in the ENPI South countries	Civil protection authorities in the ENPI South countries	The projects aims to Reduce vulnerability to natural and man-made disasters and the social, economic and environmental costs associated with such events, thereby enhancing sustainable development and climate adaptation on regional and national levels
Low Emission Capacity Building Programme	2012-2014	USD 1.13 M	Egypt	UNDP	Egyptian Environmental Affairs Agency	The goal of this project is to assist Egypt in the design of low-emission development strategy (LEDS), as well as developing Public Sector and Industry capacities in terms of Nationally Appropriate Mitigation Actions (NAMAs) portfolio development and mitigation action plans, including the associated Measurement, Reporting and Verification (MRV) requirements, within the context of national development needs.

Country Note – Ghana

by Kris Prasada Rao and Elijah Yaw Danso on field mission from 12-16 January 2015.

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List of Acronyms

AEEP	Africa-EU Energy Partnership
AFD	Agence Française de Développement
BAM	Banana Accompanying Measures
BUSAC	Business Advocacy Challenge Fund
CBD	Convention Biodiversity
CBO	Community-Based Organisation
CC	Climate Change
CEMA	Capacity Enhancement and Mobilisation Action for Energy in Africa
CREMA	Community Resources Management Area
CEP	Country Environmental Profile
CITES	Convention for International Trade of Endangered Species
CM	Concrete Measure
COP	Conference of Parties
CSIR	Council for Scientific and Industrial Research
CSO	Civil Society Organisation
CSP	Country Strategy Paper
DCI	Development Co-operation Instrument
DFID	Department for International Development
DfID	Department for International Development
DG	Directorate General
DG CLIMA	Directorate General Climate Action
DG DEVCO	Directorate General Development and Co-operation
DG ENER	Directorate General Energy
DG ENV	Environment
DP	Development Partner
DRC	Democratic Republic of Congo
EaP	Eastern Partnership
EC	European Commission
EDF	European Development Fund
EEAS	European External Action Service
EIA	Environmental Impact Assessment
ENPI	European Neighbourhood Partnership Instrument
ENR	Environment and Natural Resources
ENRTP	Environment Natural Resources Thematic Programme
EPA	Environmental Protection Authority
EQ	Evaluation question
EU	European Union
EUD	European Union Delegation
EUR	Euro
FDI	Foreign Direct Investment
FLEGT	Forest Law Enforcement, Governance and Trade
FWC	Framework contract
GBS	General Budget Support
GDP	Gross Domestic Product
GEEREF	Global Energy Efficiency Renewable Energy Fund

GEF	Global Environment Facility
GHG	Green House Gases
GIPC	Ghana Investments Promotion Council
GIRAF	Governance Initiative for Rights & Accountability in Forest Management
GoG	Government of Ghana
GPRS	Growth and Poverty Reduction Strategy
GPS	Global Positioning System
GS	General Statement
GSGDA	Ghana Shared Growth and Development Agenda
HoC	Heads of Cooperation
HoM	Heads of Mission
IPCC	International Panel on Climate Change
ITP	Integrated Transport Plan
JC	Judgment Criterion
LAS	Legality Assurance System
LDC	Lesser Developed Countries
LECB	Low Emission Capacity Development
MDAs	Ministries, Departments and Agencies
MDG	Millenium Development Goal
MEA	Multilateral Environmental Agreement
MESTI	Ministry of Environment, Science and Technology
MIKE	Monitoring Illegal Killing of Elephants
MLNR	Ministry of Lands and Natural Resources
MRV	Monitor, Verify and Report
NAMA	Nationally Appropriate Mitigating Action
NAP	National Action Plan
NAP	National Action Plan
NAPA	National Adaptation Plan of Action
NBSAP	National Biodiversity Strategies and Action Plans
NCCP	National Climate Change Policy
NDC	National Democratic Congress
NDPC	National Development Planning Committee
NGO	Non-Governmental Organisation
NIP	National Indicative Programme
NPP	New Patriotic Party
NREG	Natural Resources and Environmental Governance
OO	Overall Objective
PADP	Protected Areas Development Programme
PMR	Programme for Market Readiness
PoWPA	Programme of Work in Protected Areas
PPP	Public-Private Partnership
REDD	Reducing emissions from deforestation and forest degradation
RNE	Royal Netherlands Embassy
SBS	Sector Budget Support
SCIPFLEG	Strengthening civil society, informal sector and private sector participation in forest law enforcement and governance
SCP	Sustainable Consumption and Production

SDR	Special Drawing Rights
SEA	Strategic Environmental Assessment
SIDS	Small Island Developing States
SME	Small and Medium Enterprises
SMTDP	Sector Medium Term Development Plan
SPSP	Sector Policy Support Programme
STAR	Strengthening Transparency, Accountability and Responsiveness in Ghana
ToR	Terms of Reference
TRAQUE	Trade Related Assistance and Quality Enabling Programme
TSDP	Transport Sector Development Programme
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Fund
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
USAID	United States Agency for International Development
VPA	Voluntary Partnership Agreement
WB	World Bank
WG	Working Group

Note: The Evaluation uses the common acronym "EC" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

The cooperation between Ghana and EU in 2008-2013 was defined by the CSP agreed with the GoG. While environment was not specified as a focal sector it was identified as an area for support, especially with budget support for GoG's NREG sector programme. Climate change was only mentioned briefly. While Ghana's economy transitioned to low mid-income status, there were some structural challenges and budget support was put on hold by all donors due to macro-economic instability, so NREG became dormant.

Ghana has increasingly prioritised environmental sustainability and the President of Ghana launched in 2014 a National Environment Policy and a National Climate Policy which both call for mainstreaming of environment and climate change in the development of the productive sectors. Moreover, the Akoben system for the issuing of environmental permits for investments is applied with rigour by the EPA, which call for integration into economic development. Ghana is a leading FLEGT country, and while Ghana was not the first country to engage in FLEGT, Ghana is expected to be the first country to produce and export FLEGT certified legal timber. Ghana has also been contributing more to global environmental and especially climate change governance and is recognised by EU as providing important and constructive contributions to the UNFCCC negotiation process. However, while the policy and governance framework is widely recognised as being good and conducive for tackling environmental issues and mainstreaming environmental concerns into development planning across sectors, implementation remains an issue, and most donors left NREG, reportedly due to dissatisfaction with the results achieved and the limited implementation of environmental policies.

The support of EU and other donors have contributed significantly to the improved environmental governance framework; notable contributions include a) that NREG financed the development of the new environment and climate policies and the development and rollout of the Akoben system. Moreover, the FLEGT/VPA support has significantly contributed to improving the inclusiveness and transparency of the governance over forest resources. The EU funded PADP programme has also enabled GoG to include communities in ecosystem and biodiversity conservation. However, while the programmatic support has made important contributions, policy dialogue has focused on specific programmatic issues and has not effectively addressed environment and climate change in relation to overall economic development or the performance and strategic choices of economic sectors.

Geographic instruments using both budget and project support as well as regional projects and support through the ENRTP have all contributed to increasing readiness and reacting to the new political prioritisation for environment and climate change.

In conclusion:

EQ 1 – EU policy aims – EU policy aims on environment and climate change have been supported through the operations in Ghana. Although the environment and climate change situation has worsened in absolute terms since 2007, the EU support has contributed to building a stronger national policy and governance framework, such as the national environment and climate policies and the Akoben system developed under NREG), which is necessary to reverse the negative trends, although the implementation of environment policies remain a challenge. Ghana is also contributing actively to global environment and especially climate governance.

EQ 2 – Low emission – EU support to low emission development through the ENRTP commenced in mid 2013 and is thus still in a fairly early stage, where most of the planned support has not yet taken off, e.g. in relation to the development of two NAMAs in the energy sector – but the intended support is likely to contribute significantly to the NAMA development and capacity in Ghana. So far the main results achieved are a) provision of an electronic database for the NAMA inventory, and b) improving the quality of the NAMA investor guide.

EQ4 – Biodiversity – EU support has strengthened the management of two protected areas, enabled FC to implement the CREMA community-based ecosystem management outside protected areas, and improved wildlife patrolling through the use of GPS and computerised monitoring.

EQ5 – Green economy – Ghana is making initial steps towards a green economy, with the new national SCP Action Plan (2014) and GE secretariat. EU's support for GE has been limited, and only provided through ENRTP funding for Green Economy and Social and Environmental Entrepreneurship in Africa Project, and recently also PAGE and SWITCH Africa Green. Ghana has not introduced a framework for economic instruments or integrated sustainable consumption and production and it remains difficult for entrepreneurs to attract funding for eco-innovations. A critical bottleneck to address is difficulty with securing financing for upscaling eco-innovations, e.g. by supporting financing institutions in establishing finance products for eco-innovations and government in establishing incentives for the financing institutions to engage.

EQ6 – Environmental governance – There has been limited support through the ENRTP /UNEP on strengthening implementation of Multilateral Environmental Agreements. Although the regional and sub-regional workshops held and guidelines developed were useful, Ghanaian partners found that project based support is necessary to ensure that MEA obligations are implemented: some MEA secretariats have funding and can provide capacity building and implement projects, but others do not and as a result they are not being implemented. The joint Secretariat for the waste and chemicals MEAs has been instrumental for the implementation of the Basel and Rotterdam Conventions, as it has enabled that projects with GEF funding for the Stockholm Convention also address issues under the other two conventions.

EQ7 – Climate governance – The support provided by UNFCCC and financed in part by the ENRTP is highly appreciated and has led to a build-up of capacity in Ghana, e.g. for the preparation of five NAMAs and the planned NAP. Moreover, EU support for the Cartagena dialogue has been a critical factor enabling Ghana's proactive engagement in UNFCCC negotiations.

EQ8 – Mainstreaming approach – The EU policies, strategies and guidelines were found to be suitable. However, the technical support and training provided was only found somewhat useful, since it was not adequately adapted to Ghana and the needs of the EUD. The delegation capacity for mainstreaming is reportedly high, but the EUD needs strong advice on how to engage in climate change policy dialogue and linking the global and national levels.

EQ9 – Mainstreaming practice – The period 2007 to 2013 saw a stronger emphasis with new policies and planning guidelines calling for mainstreaming of environmental concerns. Policy dialogue has not contributed significantly to mainstreaming, nor has EU's engagement in the transport sector (beyond legally required EIAs of road projects). The SEA for the transport sector programming was of a good quality with relevant recommendations, but came too late to influence programming. However, support for the NREG programme enabled GoG to develop the new policies and guidelines and engage in overall environment and climate change policy and governance reform.

EQ10 – Complementarity – In Ghana there is only a clear link between ENRTP and geographic actions in relation to FLEGT, where there were strong synergies between ENRTP, EU geographic funding, and other donors' actions. Synergy with the EU country programme is not a selection criterion for ENRTP calls for proposals, and the projects selected are reportedly not always those supporting best the country programme. Including synergy with the country programme as a selection criterion for calls for proposals under thematic programmes could be a means to strengthen complementarity.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The **mandate and scope** of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU's support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (ENRTP) and through the **geographic instruments**;
- To evaluate the support of the EU to strengthening global environment and climate **governance**, provided under ENRTP and channelled mainly through international organisations;
- To assess the EU support for **mainstreaming environment and climate change** issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically **focus on outcome and impacts** of the EU actions in environment and climate change. Furthermore, the evaluation should identify **key lessons and best practise** and produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of **temporal scope**, the evaluation covers aid implementation over the period 2007-2013. The **geographical scope** includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The **purpose of the evaluation** is to provide the EU and a wider public with an **overall independent assessment on the EU action** in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving outcomes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, were carried out. From a long list of 35 countries selected in the inception phase for a desk analysis, 11 were further selected for a more detailed analysis. Out of these, eight countries were selected for the field phase. Ghana was one of them.

The field visits will have the following objectives:

- m) To complete the data collection in order to answer the agreed evaluation questions;
- n) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- o) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

2.3 Reasons for selecting this country as a case study country

Ghana was selected as one of four countries in Africa because of the presence of EU budget support for the NREG (Natural Resources and Environmental Governance) programme, the advanced stage of the FLEGT/VPA programme with synergies between ENRTP and geographic instruments, ENRTP support under the Green Economy and Social and Environmental Entrepreneurship in Africa Project (UNEP) and LECB (UNDP) for green economy and climate change mitigation, PADP (Protected Areas Development Project) for biodiversity/ecosystem protection, and documented efforts with SEA and EIAs in relation to road construction. This allows evaluation of across all EQs, except EQ3. The cooperation in Ghana has also used general budget support, sector budget support, and project approach modalities. Moreover, Ghana has during the period of evaluation moved from being a low-income country to a low mid-income country.

3 Data collection methods used (including limits and possible constraints)

The country mission started with a review of all available desk based information. A long list of relevant stakeholders in the public sector and civil society was drawn up and key stakeholders were identified during the mission with the help of the EU delegation and national partners. It was possible to meet many, but not all, stakeholders identified, and when the key stakeholder was not available other representatives of the relevant institution were met instead. Moreover, the evaluator participated as observers in an Environment and Natural Resources Sector Working Group (ENR Sector WG) meeting. Three stakeholders were met by the national consultant after the mission of the international consultant. The international consultant conducted one stakeholder interview over Skype after the mission.

Both EU delegations officials and national partner officials working on the same operation were interviewed and where possible more than one national partner was interviewed. The interviews were conducted as semi-structured interviews, where key questions and discussion topics had been prepared in advance for each meeting, while leaving room for adjustments and additions as the interviews progressed.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

In 1957, Ghana became the first country in sub-Saharan Africa to gain independence. The country is divided into ten administrative regions and into 216 Metropolitan, Municipal, and District Assemblies for the purposes of local government.

The country continues to show good performance on democratic governance, arising from strong multi-party political system, growing media pluralism and strong civil society activism. The most recent

elections were held in December 2012 with the Electoral Commission declaring the candidate for the National Democratic Congress (NDC) party, the incumbent President John Mahama, as the winner with 50.7% of the vote. NDC also won a parliamentary majority. However, the presidential election result was contested in the courts by the main opposition New Patriotic Party (NPP). The election results were upheld in August 2013, after an eight-month battle in the Supreme Court of Ghana. The opposition peacefully abided by the ruling upholding President John Mahama's victory, confirming the trend of stronger governance and democratic consolidation.

Ghana is a fairly open society with a vibrant free press both private and state owned. On press freedom, Ghana progressed from 41st to 30th position out of 179 countries and 3rd in Africa according to the 'Reporters Without Borders' 2013 Press Freedom Index report. The 2012 report of the World Wide Governance Indicators places Ghana between the 50th and 60th percentile on political stability, government effectiveness, and regulatory quality, rule of law, control of corruption and voice and accountability.

Ghana and Europe are bound together by common history, interlocking cultures, and shared objectives. They have a long history of partnership enhanced by an existing framework for political dialogue. This practice has been strengthened under the 2nd revision of the Cotonou Agreement. Since the entry into force of the EU Lisbon Treaty in 2010 and the creation of the European External Action Service (EEAS), political dialogue has been coordinated by the EU delegation on behalf of the High representative of the EEAS and takes place on a regular basis between the EU ambassadors and the Government of Ghana. In line with the Paris Declaration and the Accra Agenda for Development, other platforms for dialogue and coordination among Development Partners (DPs) have been established in Ghana: the Heads of Mission (HoM) and the Heads of Cooperation (HoC) Groups.

In addition, various sector platforms for dialogue between DPs and government (with participation of civil society) are also created for discussion and coordination of sector policy coordination and programme implementation. The multi-donor budget support coordinating platform is the overarching dialogue platform. The environment and natural resource sector group, the water and sanitation sector group, transport sector working group are all sector groups in which the EUD is an active participant.

Economy Context

The European Commission and Ghana have a long-standing relationship, dating back to 1976 when the EU delegation was established in Ghana. Since the establishment of delegation, Ghana has benefited from a total of EUR 1.2 billion of the EU development cooperation.

Ghana attained a lower middle income status after rebasing its economy in 2009 and economic growth averaged 6% per annual for almost five years up to 2012. GDP growth however, slowed down to an estimated 5.5% in 2013 and remained subdued in 2014. Nevertheless, Ghana's growth prospects are positive in the long-term, as suggested by econometric models, which predict average per capita growth rates of 4 to 6 per cent for 2014-24. The economy is expected to recover in 2016 when Ghana commences the production of gas and explores its new oil fields, barring any macroeconomic instability.

Foreign Direct Investment (FDI) in Ghana has increased significantly in recent years. New investment in Ghana has been predominantly in the service, manufacturing and building and construction sectors. FDI for the 2010 was boosted by investments in the offshore oil sector. Ghana ranked 64th out of 183 countries in the 2013 World Bank's Doing Business (DB) Report and is ranked 15th among the 50 economies that made the largest strides in making their regulatory environment more favourable to business since 2005. According to Ghana Investments Promotion Council (GIPC) data, the EU member states are the biggest source of FDI for Ghana, having contributed a total of €4,557,910,000 from 1994 to 2012, representing 24% of all FDI to the country within this period.

Ghana's growth during the past two decades has been closely associated with its terms of trade in major primary commodities. In the future commodity prices are expected to be more intimately associated with growth, because oil recently became an additional primary source of fiscal revenue and foreign exchange. The prospects for oil and gas production will accentuate the historical positive association between terms of trade changes of commodities and growth. In 2011, Ghana started producing oil and is expected to commence natural gas production in 2015.

4.1.1 ENV/CC situation in the country

Ghana's landscapes and oceanscapes provide a tremendous wealth of resources such as oil and gas, gold, forests and fish. This generous natural resources endowment has driven sustained economic growth and poverty reduction and will likely continue to do so in the near future. In recent years, the forestry, wildlife, and mining sectors have accounted for 15% of Ghana's GDP, 25 % of government revenues, and 60 % of foreign exchange. The sectors have played important parts in Ghana's recent,

impressive growth rates of approximately 6 % per year. However, such growth rates cannot be sustained in the face of alarmingly high rates of natural resource and environmental depletion.

The high rate of natural resource degradation represents an annual cost of about 10 per cent of GDP, representing almost half of Ghana's US\$ 1.5 billion annual Official Development Assistance (World Bank Country Environmental Analysis, 2006⁶⁰) and entailing a 1% annual reduction in Ghana's potential economic growth. The cost of lost productivity due to damage to human health⁶¹ and to five classes of natural assets⁶² totals US\$730 million per year. The highest costs are from timber depletion (US\$270 million) and inadequate potable water supply, sanitation and hygiene (US\$180 million). Although the cost of environmental degradation has decreased as share of GDP, as per recent EPA's estimates, the rate of resources depletion continues to increase – especially in forests and fisheries. Fast urbanization is also exposing a growing number of citizens to the negative effects of air pollution and inadequate potable water supply, sanitation and hygiene.

4.1.2 ENV/CC national policies, legal framework

Environmental Management and Climate Change: Ghana has pioneered the mainstreaming of environmental issues into sectoral policies, plans and programs through Environmental Assessment and the adoption of the Strategic Environmental Assessment (SEA). SEA has been conducted in various sectors (e.g., oil and gas, mining, water and transport) and new legislation to enforce the use of SEA in sector planning processes. However, implementation of the SEAs has lagged behind the intentions.

The Government of Ghana sees responding to climate change as part of its development agenda, recognizing that it must be mainstreamed into policies and sectoral activities. A comprehensive National Climate Change Policy (NCCP) was approved by Cabinet in 2012 and launched in 2014 by the President. The policy aims at ensuring a climate resilient and climate compatible economy while achieving sustainable development and equitable low carbon economic growth. The policy emphasizes the combination of work on adaptation with mitigation in key sectors such as energy and transport.

The vision outlined in the NCCP is: To ensure a climate resilient and climate compatible economy while achieving sustainable development through equitable low carbon economic growth for Ghana.

Its principles are in conformity with the existing national policies and national statutes. The National Climate Change Policy provides strategic direction and co-ordinates issues of climate change in Ghana. The three objectives of the Policy are (1) effective adaptation, (2) social development and (3) mitigation. To address the adaptation issues in Ghana, four thematic areas have been identified. These are (1) energy and infrastructure, (2) natural resources management, (3) agriculture and food security and (4) disaster preparedness and response.

4.1.3 ENV/CC institutional framework (who does what)

Institutionally the Environment and Natural Resource (ENR) Sector is composed of two parent ministries: Ministry of Environment, Science, Technology and Innovations (MESTI) dealing with the brown environment and climate change and the Ministry of Lands and Natural Resources (MLNR) that deals with lands, forestry and mining. The main agency within MESTI responsible of environmental management and regulation is the Environmental Protection Agency (EPA). The EPA is also responsible for the climate change agenda. For the MLNR the Forestry Commission, Lands Commission and Mineral Commission are the responsible agencies

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

The sub-sectors face similar challenges related to illegal mining/logging, small-scale industry, competing (short term) interests between conservation and revenue earning, and above all conflicting interest between resource use by poor local communities, private investors and national interests.

Recognizing these threats and growing costs, the Government of Ghana (GoG) launched a five-year (2008-2012) Natural Resources and Environmental Governance (NREG) program. The Program had the overall objective of ensuring economic growth, poverty alleviation, increasing revenues and improving environmental protection. The GoG's NREG program received technical and financial support from the Netherlands, United Kingdom, France, European Union and the World Bank (NREG Partners).

⁶⁰ The World Bank Group- 2006- Report No: 36985-GH

⁶¹ Resulting from urban air pollution, indoor air pollution and inadequate potable water supply, sanitation and hygiene.

⁶² Agricultural land, forest and savanna woodlands, coastal fisheries and wetlands, wildlife, and Lake Volta.

A major policy action was the decision by GoG to be the first country in the world to commence negotiations on a Voluntary Partnership Agreement (VPA) concerning trade in legal timber with the EU. Significantly, GoG is also implementing, the Extractive Industries Transparency Initiative via a multi-stakeholder process that includes representatives of the government, industry, and civil society. With regard to "conflict diamonds", Ghana subscribes to the Kimberley Process Certification Scheme. A further key policy development has also been the creation in 2010 of an Environment Advisory Council chaired by the Vice President.

Under the 10th EDF, the EC provided assistance to the sector through an innovative Sector Budget Support (SBS) instrument for Natural Resource and Environmental Governance (NREG). The EC is one of five donors (others being France, UK, Netherlands and World Bank) working with Ministries, Departments and Agencies (MDAs) from the Environment, Forestry and Minerals sub-sectors on this instrument.

The NREG program aimed particularly at addressing the governance issues in the forestry and mining sectors and improving environmental management, but development partners also supported a broader agenda through other means. The objectives of the NREG were to: (a) ensure predictable and sustainable financing for the forest and wildlife sectors and effective forest law enforcement; (b) improve mining sector revenue collection, management, and transparency; (c) address social issues in forest and mining communities; and (d) mainstream environment into economic growth through Strategic Environmental Assessment (SEA), Environmental Impact Assessment (EIA), and development of a climate change strategy.

The European Union support for NREG focused on the Voluntary Partnership Agreement under FLEGT and support to the Mineral Commission. In addition the EU supported various CSOs.

Under the 9th EDF the EC supported the ENR sector through the following programmes:

4. Mining Sector Support Programme. The objectives of this EUR 40 million 7-year programme were to sustain Ghana's mining sector economic performance, to alleviate poverty by increasing employment and to mitigate the mines' negative environmental impacts.
5. Protected Areas Development Programme (PADP II). The EC provided EUR 8 million to PADP II, which aimed at enhancing the conservation of biodiversity heritage, to secure the management and protection in two protected areas while at the same time supporting local communities manage and benefit from the natural resources in the off-reserve areas adjacent to the protected areas.

Through the support, the GoG was able to achieve progress in several specific reforms, e.g., passing the Forest and Wildlife Policy and Climate Change Policy in Cabinet, passing six regulations to give effect to the Minerals and Mining Act of 2006 and strengthening the institutional platform for sector dialogue. However, performance toward PDO indicators and broader demonstration of outcomes on the ground was compromised by weakness in the design of the Program Assessment Framework and results indicators. The program has nevertheless resulted in a step change in the dialogue and government ownership in key areas, such as revenue management and transparency. Most DPs pulled out of NREG due to discontent with its performance, and the World Bank is currently the only DP investing in the programme.

4.3 Overview of EU-funded interventions

The Country Strategy Paper (CSP) for Ghana for the period 2008-2013 indicates that the available amount of EUR 367 million should preferably be spent on: General Budget Support (GBS) in support of Ghana's economy and more particular to contribute to the funding of its national development or poverty reduction strategy, but also on governance related programmes and on improving the transport infrastructure of Ghana. Sustainable management of natural resources and the environment, as well as private sector and trade development are considered as non-focus areas in the CSP.

Macroeconomic Support: General Budget Support (GBS) is one of the three focal areas of cooperation. The EU provides this form of financial assistance to the GoG with the ultimate aim of supporting efforts towards the implementation of the National Medium-Term Development Plan (the Ghana Shared Growth and Development Agenda). The EU's current general budget support programme in Ghana is the "Millennium Development Goals Contract" (MDG-Contract) under which the EU is to contribute a total of EUR 209 million over the period 2009-2014.

Governance: Three major areas of support were identified in line with the priorities outlined in Ghana's National Policy Framework, viz.

- **Sector budget support for Ghana's decentralization reform program using sector budget support and calls for proposals for Non State Actors and Local Authorities.**

- **Strengthening the role of Civil Society in national policy formulation and** in holding Government and other duty-bearers outside the public sphere accountable. The EU together with other donors has established two basket funding mechanisms for Non State Actors: a) the Strengthening Transparency, Accountability and Responsiveness in Ghana (STAR-Ghana) with the objective to increase the influence of CSOs and Parliament in the governance of public goods and service delivery; and b) the Business Sector Advocacy Challenge (BUSAC), which aims at enhancing the advocacy capacity of private sector associations and apex-bodies.
- **Support for strengthening the role of Independent Governance Institutions (the Electoral Commission, the National Commission on Civic Education and the National Media Commission) in the electoral process in Ghana.**

Transport Connectivity: The policy statements and strategies set out in the National Transport Policy were formulated into the Transport Sector Development Programme 2008-2012 (TSDP), which comprised a programme of development activities for all modes of transport in Ghana. The TSDP addressed all modes of transport infrastructure and services. The TSDP was followed by an Integrated Transport Plan (ITP) for the period 2011-2015.

The Ghana Shared Growth and Development Agenda (GSGDA) recognises transport as a strategic service to improve productivity. Transport, in particular roads transport, continues to be a focal sector of the EU – Ghana co-operation, and consequently receives considerable financial assistance (EUR 101 million from EDF 9 and EUR 84 million from EDF 10). The EU's activities in Ghana aims at contributing to sustaining economic growth and providing regional interconnectivity, improving the welfare of the population of the target areas, providing better access to social services and reducing poverty.

Sustainable Management of Natural Resources and Environment: Though considered non-focal, under the 10th EDF, the EC is providing assistance to the sector through an innovative Sector Budget Support (SBS) instrument for Natural Resource and Environmental Governance (NREG) together with other donors. Under the 9th EDF the EC supported the ENR sector through the following programmes: the Mining Sector Support Programme and the Protected Areas Development Programme (PADP II).

Private Sector and Trade: Private sector and trade features as one of non-focal areas of cooperation the 10th EDF. In this context, the EU provided support to Ghana in the areas of trade facilitation and regional integration, in order to promote a trade-enabling environment and sub-regional integration to diversify and increase the export base to Ghana to take advantage of the regional and also the global markets. Interventions aimed at: a) supporting the removal of supply-related constraints in Ghana's private sector; ensuring compliance with sanitary and phyto-sanitary standards and quality control requirements with a focus on fresh and processed agricultural export markets. Interventions included:

- Banana Accompanying Measures (BAM)
- Trade Related Assistance and Quality Enabling Programme (TRAQUE)
- Business Advocacy Challenge Fund (BUSAC)

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context – The cooperation between Ghana and EU in 2008-2013 was defined by a Country Strategy Paper (CSP) agreed with the Government of Ghana (GoG) and the National Indicative Programme (NIP). For the 11th EDF (2014-2020), the priority sectors have been selected on the basis of the Government of Ghana–Development Partners Compact 2012 – 2022 and donor coordination. While the CSP under the 10th EDF (2008-2013) does not specify environment as a focal sector, environment is identified as an area for support (non-focal sector), especially through the NREG Budget Support Programme, but also with support for

FLEGT and as a crosscutting issue, e.g. through carrying out SEAs and EIAs. Climate change is only mentioned briefly.

While Ghana's economy has transitioned to low mid-income status, there are some structural challenges and budget support was put on hold by all donors due to macro-economic instability unrelated to NREG, which has meant that NREG and also the ENR Sector WG became dormant. GoG is currently in dialogue with IMF to address the macro-economic issues. Moreover, most donors have left NREG (except EU and the World Bank), reportedly due to dissatisfaction with the progress and results achieved by NREG and the limited implementation of environmental policies. Efforts are now made to revitalise the ENR Sector WG and NREG.

<p>EQ 1 Achievement of EU policy aims <i>EQ1 to what extent has EU support to environment and climate change across different instruments contributed to the EU's overall environment and climate change policy aims?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • There has been a contribution in Ghana towards the overall EU policy aim of improving environment and climate change in third countries. Although there have not yet been visible physical improvements in the environmental situation in Ghana, the EU support has contributed to a stronger national policy and governance framework (as evidenced by the new national environment and climate policies developed under NREG), although policy implementation is generally weak and the prioritisation of environment and climate change hence appears uneven, even if the policy framework for the integration/mainstreaming of environment and climate change across sectors is in place. • Ghana is an active player in MEA negotiations, and EU and Ghana see each other as having similar positions and as allies in UNFCCC negotiations, where Ghana shares EUs view on the need for binding agreements on emission reductions. UNFCCC features strongly in the national climate change policy and debates, but CBD is far less visible. ENRTP support for environment and climate governance through the UNFCCC Secretariat and support through UNEP has assisted in strengthening the participation and engagement of Ghana in global governance.
<p>JC11 National partner prioritisation of environment and climate change <i>JC11. EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There is some evidence of an increase in priority – as evidenced by the fact that the President of Ghana himself in 2014 launched a National Environment Policy and a National Climate Policy. Moreover SEAs and EIA have been legal requirements since 2003 and donors and stakeholders agree that the environment policies are very conducive. However, the political priority still appears insufficient, as evidenced by the fact that there is very slow progress in the implementation and funding of the policies and the unsatisfactory performance of NREG. • EU's contribution to this is clear. Environment and climate change actions were included as non-focal sector, most of the funding being provided as budget support to GoG's own NREG (Natural Resources and Environment Governance) programme. • The main factor influencing the choice of sectors (budget support, roads and transport, health) is the preference of the government and coordination with other donors. For the current programming period, new sectors have been chosen (governance, agricultural productivity, youth employment) due to changes in government priorities (Ghana has transitioned from low-income to lower mid-income status), as outlined in the Government of Ghana– Development Partners Compact 2012 – 2022, and donor coordination. It is envisaged that environment and climate change actions will take place under each sector, such as 1) environmental governance, 2) climate resilient infrastructure, 3) green jobs. • Policy dialogue has addressed issues of environment and climate change in the context of the Environment and Natural Resources Sector Working Group, the high-level Environment and Natural Resources Advisory Council, and the Environment and Natural Resources Summit. The EUD has since 2013 co-chaired the ENR Sector WG from the donor side. These forums have since 2013 been less active, mainly due to a freeze on budget support disbursements linked to macro-economic instability, which as severely hampered the implementation of NREG with many donors leaving the programme. Attempts are now made at revitalising the forums. • However, sector dialogue has mainly focused at programmatic issues, so the main policy influence is linked to funding under NREG for national policy formulation and for FLEGT implementation to operationalise the VPA. The policies supported promote mainstreaming into key sectors. • Moreover, environment and climate change does not appear to be on the agenda for the overall development policy dialogue. Attempts from the ENR Sector WG to get an environmental/climate change indicator into the assessment framework for the general budget support have not been successful and none of the 128 indicators used are related to environment or climate change. • Environment and climate change was not covered by policy in relation to the roads/transport sector.
<p>JC12 Use of instruments to enhance achievement of policy aims</p>	<p>Findings</p> <ul style="list-style-type: none"> • EU support was well aligned with national priorities; GoG has strongly promoted that donor support should be through NREG, and the progress on

<p><i>JC12. The extent to which ENRTP and geographic instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<p>FLEGT and the VPA compared to other countries is evidence of commitment. FLEGT interventions under ENRTP are very well aligned with national priorities. The UNDP LECB and the UNEP Green Economy and Social and Environmental Entrepreneurship in Africa Project also appear well aligned to the national efforts on mitigation and promoting a green economy. PAGE is also aligned, as participation is based on request and demonstrated commitment from the Government.</p> <ul style="list-style-type: none"> • EU support has led to tangible policy and governance results, which are in line with EU policy – e.g. the new environment and climate change policies developed under NREG are strengthening mainstreaming, which is prominent on EU's policy agenda. The FLEGT/VPA support is providing mechanisms for improved and transparent forest governance. Ghana is likely to be the first country to produce FLEGT certified timber. The support provided by the EU and other donors through NREG and for FLEGT has been instrumental for this. • The community-based approach (CREMA) for ecosystem management promoted under PADP has been taken fully on board by the Forest Commission. • Ghana is committed to being an active and constructive player in relation to international environmental and especially climate governance, agreements, and negotiations. For example, Ghana is a member of the Standing Committee on Climate Finance, a member of the Standing Committee for CMS (Convention on Migratory Species) and has previously chaired the Standing Committee for CITES (Convention on International Trade in Endangered Species). • EU and Ghana see each other as having similar positions and as allies in UNFCCC negotiations. Moreover, both have mainstreaming on their policy agenda. UNFCCC features strongly in the national climate change policy and debates, but biodiversity conventions are far less visible. Support for environment and climate governance through the UNFCCC Secretariat and support through UNEP for the CMS and CITES secretariats (but seemingly not so much for CBD) has assisted in strengthening the participation and engagement of Ghana in global governance.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
The priority given by national partners to environment and climate change issues has gradually increased. (JC11)	There is evidence of an increase in priority, e.g. the President himself launching new National Climate Change Policy and National Environment Policy in 2014 and that Ghana is likely to be the first country to produce FLEGT certified timber. This is due to a range of factors, including the support provided by the EU and other donors.
Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)	Some evidence for this hypothesis. While most dialogue is done through the formal mechanisms, sensitive issues are sometimes discussed informally before being brought up in the ENR Sector WG.
MEA processes have influenced national policy debates. (JC12)	Ghana is committed to being an active and constructive player in relation to international agreements and negotiations. UNFCCC features quite prominently on the agenda, but CBD and other MEAs are far less visible.
Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)	The support for environment and climate change is fully aligned with national priorities, GoG has strongly promoted that donor support should be through NREG, and the progress on FLEGT and the VPAs compared to other countries is evidence of commitment.
ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)	FLEGT interventions under ENRTP are very well aligned with national priorities. The UNDP LECB and UNEP Green Economy and Social and Environmental Entrepreneurship in Africa Project also appear well aligned to the national efforts on mitigation and promoting a green economy. No evidence of poor alignment was found.
Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)	Not assessed for the country mission. The policies were generally found by the EUD to be clear and without any major issues.

5.2 EQ 2: Low emission



Context - EU support to low emission in Ghana is provided through the UNFCCC Secretariat and through a global UNDP implemented project on Low Emission Capacity Development (LECB) where Ghana is one of the participating countries (UNFCCC Secretariat support is evaluated under EQ 7 (International climate change governance)). EPA (the Environmental Protection Agency) is the lead institution for low emission and the lead partner for EU support.

<p>EQ2 Low emission</p> <p><i>EQ2 To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i></p>	<p>Main Findings</p> <ul style="list-style-type: none"> • The LECB project has not yet fully taken off in Ghana (inception workshop in June 2013), but has contributed to improving the quality of the NAMA investor guide. • An MRV system is not fully in place but under development, both in terms of an overall MRV system (which is ongoing), as well as MRV for specific NAMAs (currently only happening for the REDD+ related NAMA). LECB has contributed to the overall MRV system with an electronic database for the NAMA inventory. • Five NAMAs are under development – LECB will support the development of two NAMAs in the energy sector. • A LEDS is not currently on the agenda.
<p>JC 21 Monitoring, Reporting and Verification</p> <p><i>JC 21 Increased capacity to Monitor, Verify and Report (MRV)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Two MRV systems are currently under development, one overall MRV and one specifically for the REDD+ related NAMA. Four more are anticipated. • EU is not involved in the one for REDD+, but is through LECB and support provided for the UNFCCC Secretariat involved in the overall MRV. LECB has contributed to the already ongoing NAMA inventory development by supporting the establishment of an electronic data-base system, which also contains relevant national policies.

<p>JC 22 NAMAs and LEDS <i>JC22. Availability of strategies and actions that support a low emission development</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • No NAMAs have yet been developed, but Ghana has selected five areas for which NAMA are under development (forestry/REDD+, agriculture, energy, waste, industrial processes). EU support to Ghana did not play a significant role in this process. LECB will support (with German funding) the development of two NAMAs in the energy sector; work is about to begin with the procurement of a national institution to develop the NAMAs and of international expert. • Development of LEDS is not supported by LECB (but by UNEP) and progress is reportedly limited. No tangible plans are currently in place for supporting LEDS development under LECB, although some initial discussions on LEDS have taken place in LECB workshops.
<p>JC 23 Capacity for low emission development <i>JC23. Increase in knowledge on implementing low emission development</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EPA and the project are reaching out to other line ministries and knowledge sharing events (so far mainly the LECB Inception Workshop (June 2013) and a Workshop on Sustainable GHG Data Management and Establishment of MRV Data Sharing Network in Ghana (January 2013), and to Steering Committee meetings. LECB has also provided training on the use of the electronic database • Training under UNFCCC, the Green Economy and Social and Environmental Entrepreneurship in Africa Project and the support efforts of other donors is taking place. • LECB is building on past institutional efforts to strengthen mitigation in Ghana. Ghana is under LECB being supported (with funding from Germany) to look at how to overcome national financing barriers and private sector engagement in NAMAs. LECB has also supported (e.g. with editorial support) the revision/improvement of a NAMA investor guide, which was developed with the support for the UNDP Country Office. • The NAMAnet is not yet operational in Ghana and has only done some initial consultation, but will become operational in 2015.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
<p>In-country coordination efforts work and would be likely to offer a good partial solution to the coordination effort;</p>	<p>LECB and UNEP are reportedly the only two agencies involved in supporting NAMA development. Coordination between initiatives related to low emission and green economy appears somewhat insufficient – e.g. PAGE did not take stock of the Green Economy and Social and Environmental Entrepreneurship in Africa Project. The PAGE coordinator is on the LECB SC, but has limited knowledge of what they have done so far (SC has met twice only). But now attempt to revitalise ENR Sector WG – and EPA is creating an investor guide for all CC related projects.</p>
<p>NAMAs developed so far likely to be bankable or attract private sector finance;</p>	<p>It is too early to tell. So far the NAMAs are still under preparation and have not been submitted yet.</p>
<p>The NAMAnet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;</p>	<p>The NAMAnet is not yet operational in Ghana (and was not known about in Ghana by the people consulted), but will become operational in 2015. The Netherlands and Danida are funding the Ghana Climate Innovation Centre, for which a contract has recently been awarded.</p>
<p>The PMR market readiness approach is attracting the private sector to be engaged;</p>	<p>Not applicable in Ghana</p>
<p>The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;</p>	<p>No actions from the Green Diplomacy Network</p>
<p>The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.</p>	<p>No evidence collected in Ghana that confirms or rejects this hypothesis.</p>

5.3 EQ 3: Sustainable energy



GEEREF has not been active in Ghana. For this reason this evaluation question was not evaluated in Ghana. The only EU support for sustainable energy during the period under evaluation is the Sustainable Energy for All project, for which Ghana is a pilot country. This project is providing some technical assistance for the Energy Commission and has assessed the feasibility for the new Renewable Energy Fund. Currently, the project has conducted the baseline for the preparation of the National Renewable Energy Action Plan (2010-2030) and has also prepared a framework for the implementation of a harmonised Sustainable Energy for All programme for West Africa.

5.4 EQ 4: Biodiversity



Context – EU has supported biodiversity conservation in Ghana, mainly through project funding for the PADP (Protected Areas Development Project) project (phase 1-3). The focus was on a) strengthening the management of two specific protected areas: Ankasa Conservation Area and Bia National Park, and b) promoting community-based biodiversity protection outside protected areas through the CREMA (Community Resources Management Area) approach.

<p>EQ4 Biodiversity <i>EQ4 To what extent has EU support (via the ENRTP and geographic instruments) helped improving the capacity of partner countries to prevent/reduce the loss of biodiversity?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Support has not been provided in Ghana by EU to build the national capacity. • EU support has directly strengthened the management of two protected areas through the PADP project. • The lessons from PADP have subsequently been upscaled by FC (the Forest Commission) in other areas and used in projects funded by other donors. EU support has thus enabled FC to a) promote/implement community-based ecosystem management outside protected areas, and b) to improve wildlife patrolling through the use of GPS and computerised monitoring.
<p>JC 41 Implementation of Commitments <i>JC41 Enhanced capacity of partner countries to implement their commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Ghana's biodiversity strategy (NBSAP) is from 2003. No biodiversity action plan was developed. The NBSAP is currently being revised and an action plan will be developed. But the EU has not engaged in this area, not even in building the national capacity to implement CBD and CITES. • The Forestry Commission (FC), which is under the Ministry of Lands and Natural Resources (MLNR), is responsible for wildlife and protected areas, and the focal agency for most biodiversity conventions, except CBD, which falls under the Ministry of Environment, Science and Technology (MESTI). This creates some implementation challenges, as FC does not participate in CBD COPs, and MESTI prepares NBSAPs (albeit with inputs from FC), while FC is responsible for protecting biodiversity. Without an action plan, NBSAP is currently not being systematically implemented on the ground. Due to the fact the CBD is with MESTI and the seemingly limited progress in its implementation, the awareness of it appears somewhat limited among MLNR and FC staff. • EU supports the CITES Secretariat for the global MIKE (monitoring illegal killing of elephants) project, which is also implemented in Ghana in two National Parks.
<p>JC 42 Ability to conserve biodiversity <i>JC42. Strengthened national capacity to conserve habitats/ecosystems</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has directly contributed to strengthening the management and tourism potential of Ankasa Conservation Area and Bia National Park. Other National Parks have learned from PADP approaches through workshops and the use of CREMA manuals • EU support has together with Dutch bilateral support enabled the Forest Commission to a) promote/implement community-based ecosystem management outside protected areas (the CREMA community-based conservation approach), and b) to improve wildlife patrolling through the use of GPS and computerised monitoring (MIT system). The CREMA approach is now used systematically by FC and also used in projects funded by other donors (e.g. USAID in coastal areas).
<p>JC 43 Knowledge and Information on Biodiversity</p>	<p>Findings EU did not engage in this.</p>

JC43. Improved availability of, and access to, knowledge and information on biodiversity

Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
Biodiversity issues are now mainstreamed (including increase in budgets) into the new lot of CSP. Tools developed are applied	Biodiversity is not specifically addressed in new NIP for the 11 th EDF.
EU innovative approaches to habitat/ecosystem management are applied in PPP	CREMA approach was promoted. FLEGT forest governance does not have an explicit biodiversity focus, but is aiming at conserving forests/ecosystem integrity.
EU SPSP for protection of biodiversity at national level is on the increase	SPSP in Ghana has not been provided specifically for biodiversity.
Research programmes (show-cases/results) are used for the development – formulation of country strategies, programmes, projects financed by ENRTP-EDF-geographical instruments.	Biodiversity research not supported in Ghana by EU during the period under evaluation. But in 2014 EU Brussels sent a fisheries expert to assess illegal fisheries and fish stock depletion.

5.5 EQ 5: Green economy



Context – EU support for the green economy (GE) in Ghana was provided through ENRTP and the UN system for the Green Economy and Social and Environmental Entrepreneurship in Africa Project (UNEP) and since mid-2014 also through PAGE (UNEP/UNIDO) and SWITCH Africa Green (UNEP). No support was provided for GE through geographic instruments.

<p>EQ 5 Green economy EQ 5 To what extent has the EU support enhanced sustainable and resource-efficient production and consumption policies and practices⁶³ and therefore contributed to the greening of the economy of supported countries?</p>	<p>Main findings</p> <ul style="list-style-type: none"> • Ghana is making initial steps towards a green economy, with the new national SCP Action Plan (2014) and GE secretariat. A full framework of economic instruments is not in place. • EU support for GE has been through ENRTP funding for Green Economy and Social and Environmental Entrepreneurship in Africa Project's SEED grants (for 20-30 small-scale innovative enterprises) and recently also PAGE and SWITCH Africa Green. • It has proven very difficult to attract commercial funding for upscaling of eco-innovations.
<p>JC 51 Green economy capacity JC51. Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</p>	<p>Findings</p> <ul style="list-style-type: none"> • The EU support has helped stakeholders identify opportunities and constraints, e.g. through a GE analysis done under Green Economy and Social and Environmental Entrepreneurship in Africa Project in 2011. PAGE carried out a GE assessment in 2014 of ongoing GE initiatives. • A National SCP Action Plan (recognised in the Latest NDPC (National Development Planning Committee) guidelines for the preparation of the 2014-2017 Sub-national Medium-term Development Plans, together with the National Climate Change Policy and the need for mainstreaming) and a GE Secretariat under MESTI (Ministry of Environment, Science and Technological Innovation) has been established, but not with EU support. • No evidence was found of the use of EU specifically as a source of standards and expertise. However, EPA staff indicate that they learn from EU, e.g. in relation to energy efficiency.
<p>JC 52 Green economy implementation JC52. Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has only engaged in GE through ENRTP funding for UN agencies (the Green Economy and Social and Environmental Entrepreneurship in Africa Project/SEED funded 20-30 small-scale innovative enterprises (in sustainable land management, biodiversity, recycling – such as composting and the production of bamboo bikes), SWITCH-Africa, PAGE). • It has proven difficult to attract funding for upscaling, and for some enterprises it has proved difficult to compete with Zoomlion, a large Chinese-Ghanaian waste recycling company. Only 6-7 of the SEED

⁶³ SCP interventions are the main scope. Natural resources management interventions are not considered.

	<p>supported enterprises have secured funding, and not always from commercial/market-based sources (UNDP has also provided funding).</p> <ul style="list-style-type: none"> • A full framework of economic instruments related to green products is not in place.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?	Not applicable in Ghana
Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from SWITCH-Asia and how has this changed the programmes?	It is too early to tell, but SWITCH Africa Green is developed on the basis of the experiences from SWITCH Asia. SWITCH Africa Green is in initial stages and has only launched a call for proposals in Ghana.
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa programmes?	The EUD has seemingly not played a role in relation to the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa Projects.
Have capacity building activities on SEA in Ukraine increased the quality of SEAs?	Not applicable in Ghana
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	It remains is very difficult to attract financing for green technologies and eco-innovation in Ghana.
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not applicable in Ghana
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	Not applicable in Ghana
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	Not applicable in Ghana. But national climate change and environment policies and medium-term development planning guidelines call for mainstreaming and green economy into sector policies and plans.
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	EU standards as such have not been transferred. SWITCH Africa has not yet started project implementation in Ghana.

5.6 EQ 6: Environmental governance



Context – The support to environmental governance has been channelled through UNEP and the MEA Secretariats it hosts since 2007 and especially since 2010.

<p>EQ 6 Environmental governance</p> <p><i>To what extent has ENRTP contributed to strengthening international environmental governance in relation to multi-lateral environmental agreements (MEAs) and UNEP-related processes?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Biodiversity is spread over several conventions with different secretariats, which gives some fragmentation, e.g. in relation to funding and coordination. • Some biodiversity MEA secretariats have funding and can provide capacity building and implement projects, but others do not and as a result the MEAs are not being implemented. For the waste and chemicals MEAs the joint Secretariat has played a significant role, as it is now possible to use GEF funding for the Stockholm Convention to implement programmes, which also address the issues covered by the Basel and Rotterdam Conventions, which do not have their own funding mechanisms. • Monitoring systems are embedded in most agreements, but parties have to submit separate annual reports for different biodiversity MEAs. • CBD, CMS, CITES and Ramsar guidelines and publications are seen as useful. Both MESTI and The Forest Commission indicate that the tools are there, but the issue is resources.
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<p>JC 61 International institutional framework <i>Extent to which EU support to UNEP and its MEA Secretariats has strengthened the MEA related international institutional framework and processes in relation to biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Biodiversity is spread over several conventions with different secretariats, which gives some fragmentation, e.g. in relation to funding and coordination. On the other hand, it is argued that combining the different areas in one convention would reduce focus on the specific themes, such as migratory birds, or wetlands, and having the secretariats is an incentive for host countries to provide funding for a given convention, so more host countries mean more funding sources. • However, some secretariats have limited resources and depend on volunteers and interns. Nonetheless, there are synergies between some of the conventions, such as CBD, CITES and CMS. For example, there have been sessions at CBD, CITES and CMS COPs on conventions synergies, and CMS is now taking the CBD Aichi targets on board. • Some MEA secretariats have funding, such as CMS and CITES, and can provide capacity building and implement projects, but others do not and as a result they are not being implemented – “<i>we pass many resolutions, which we do not implement</i>”. • Support provided by UNEP has enabled Ghana to produce the 1st, 2nd, 3rd and 4th National Biodiversity Reports on the CBD and Ghana is currently working on the 5th report. The NBSAP is being revised (to be completed by May 2015) with UNEP/GEF support, but not with EU support. • The CITES Secretariat is seen as providing good support with their scientific officers that helps implementation. • Having established a joint Secretariat for the Basel, Rotterdam, and Stockholm Conventions is significant. Only the Stockholm Convention has a financing mechanism (GEF). But by having a joint Secretariat for the last 2-3 years, it is now possible to do programmes that with GEF funding for the Stockholm Convention also address the issues covered by the Basel and Rotterdam Conventions. The three Conventions also have joint communication now. Without access to GEF funding, Ghana could not do any implementation of the three Conventions. • EU support for the joint Secretariat has thus been instrumental for the implementation of the three Conventions. • For some biodiversity conventions a number of parties are not paying their annual contributions, even if they are low. Ghana is up to date on its payments on annual contributions and is a respected member of CBD. However, lack of government sponsorship has meant that Ghana's representation at COPs is always limited to one person or at most two, which weakens its voice at the negotiations • Ghana is a member of the Standing Committee for CMS and has previously chaired the Standing Committee for CITES. FC participates in CMS, CITES and Ramsar COPs and meetings.
<p>JC 62 Greater knowledge <i>Extent to which EU support to UNEP and its MEA Secretariats has improved access to knowledge on biodiversity and biodiversity conservation (with a view to ensure informed decision-making</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • CMS guidelines are seen as useful, as are CITES and Ramsar manuals, handbooks and publications. Both MESTI and The Forest Commission indicate that the tools are there, but the issue is a lack of resources to implement actions and use the tools. • Manuals and guidelines for the preparation of national strategies and national reports are followed for the preparation of such documents. • Monitoring systems are embedded in most agreements, but the coordination is an issue, with parties having to submit separate annual reports for different MEAs. There has not been any UNEP/EU financed interventions on biodiversity monitoring in Ghana in 2007-2013.
<p>JC 63 Capacity for policy and planning <i>Extent to which EU support to UNEP and its MEA Secretariats has enhanced developing countries' capacity to engage effectively in biodiversity related policy formulation and planning to meet their commitments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The EU funded MIKE project (see JC-41) is applying skills at the national level for CITES monitoring. • The 2003 NBSAP is currently being revised and it is intended to develop an action plan. The absence of a national biodiversity policy is one reason for the delay in the completion of the revision of the NBSAP and preparation of the action plan. Currently there is a policy statement on Biodiversity but not a full-blown national policy. • While CBD is the most high-profile biodiversity MEA, the actual MEA implementation on the ground in Ghana is related to CITES, CMS, Ramsar rather than CBD, at least part in due to the limited role of The Forest Commission in relation to CBD.

	<ul style="list-style-type: none"> • Training workshops are useful, but projects (e.g. the CITES MIKE project) are seen as more important as they provide both capacity development and funding for implementation. • The main contribution to an enhanced capacity of the Wildlife Division at the FC was not the MEA trainings, but new staff required with a good educational background and experience.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
The EU support for participation in CBD-PoWPA-CITES-Chemicals agreement processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC61, JC62)	The evidence from Ghana does not firmly confirm this hypothesis. COPs are only attended by the focal person and sponsored by UNEP. A major hindrance for Ghana is that the agency (The Forest Commission) and the Ministry (MLNR) responsible for biodiversity conservation is not represented at CBD COPs, where Ghana is represented by MESTI.
Developing countries have become more organised and vocal at CBD-PoWPA-CITES-Chemicals negotiation processes. (JC61)	As above
The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in CBD-PoWPA-CITES-Chemicals related agreements. (JC61)	As above
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC62)	This takes place in relation to CMS, CITES, and Ramsar.
That the ENRTP support to UNEP- MEA Secretariats under new priority 3.3 and old priority 4 has resulted in (JC63): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national biodiversity policies, NBSAPs, PoWPA (inter-linked to EQ4 on biodiversity).	Not all MEA Secretariats can engage in capacity building due to funding constraints. Implementation and use of skills depend on the availability of project funding. Support to a joint waste-chemicals convention secretariat has enabled implementation of the un-funded conventions. CITES related skills are applied due to project funding (MIKE). Global CBD related training does not benefit The Forest Commission.

5.7 EQ 7: Climate governance



Context – The EU does not have a long history of supporting climate change in Ghana. Climate change did not feature strongly in the CSP for 2007-2013, but it over time it became an important element of NREG, i.e. with the support for the elaboration of the National Climate Change Policy. Climate change now features more prominently in the NIP for 2014-2020. Moreover, Ghana has benefited from support provided under ENRTP at the global level for the UNFCCC Secretariat and also the UNDP implemented LECB project.

<p>EQ 7 Climate governance</p> <p><i>To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Funding for participation in COPs, intersessionals, and the Cartagena Dialogue is seen as critical for Ghana's engagement in UNFCCC negotiations. • The tools and capacity building provided by the UNFCCC Secretariat are found very useful, e.g. for the preparation of 5 NAMAs and planned NAP. • "Practical experience leads to a stronger voice" – Ghana is advanced in the REDD+ process, so other developing countries listen to Ghana and Ghana is coordinating the African Group on REDD+. • It is difficult for Ghana as a non-LDC to access climate funding, even if they face similar issues as LDCs.
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<p>JC 71 International institutional framework <i>Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • “Practical experience leads to a stronger voice” – Ghana is advanced in the REDD+ process, so other developing countries listen to Ghana and Ghana is coordinating the African Group on REDD+. • The UNFCCC Secretariat has funded the participation of one person in the intersessionals and workshops and of two persons in the COP meetings. In 2014, Ghana had a total of 15 delegates from Government (incl. staff from EPA and The Forest Commission), and civil society as well as external experts. Many of these were funded by donors, but since Ghana does not have enough people at COPs to follow all negotiations they coordinate participation with other countries from the G-77’s Africa Group. EPA also participates in intersessionals and so does The Forest Commission, when it has the means to do so. EPA gets funding from the UNFCCC Secretariat and The Forest Commission pays from its own budget. • The support for participation in intersessionals and workshops is not sufficient. Participation in the intersessional is seen as critical, as this is where the technical work is done. This is then adopted at the COPs, which is a political process. Without participation in the intersessionals, the COP process is difficult to engage in. • In addition to supporting the UNFCCC Secretariat, EU is funding the Cartagena Dialogue meetings for developing countries, outside UNFCCC. This is a key forum for analysis and enhancing both the technical and negotiating capacity of developing countries. • It is difficult for Ghana as a non-LDC to access funding although their climate issues, even if they face similar issues as the other West African countries. Ghana has not received funding from the Adaption Fund. The GCF was not operational in 2007-2013.
<p>JC 72 Greater knowledge <i>Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • A number of Ghanaian experts are involved in the IPCC and UNFCCC expert groups. • Ghana is a member of the Standing Committee on Climate Finance. • The guidelines and tools provided by the UNFCCC Secretariat are found very useful and of a good quality, e.g. the guidelines for NAPs, which although focusing on LDCs also has a section for non-LDC countries, and have inspired so that Ghana plans to develop a NAP.
<p>JC 73 Capacity for policy and planning <i>Extent to which EU support to international entities has enhanced developing countries’ capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Ghana has participated in a number of UNFCCC trainings and workshops, which EPA finds useful for the ongoing preparation of 5 NAMAs and the planned NAP. Ghana has also hosted meetings, e.g. for the Cartagena Dialogue. • Ghana has a National Climate Change Policy, which was launched by the President in 2014 – prepared with funding from NREG. • An MRV system is not yet in place, but under development. • 5 NAMAs are under development

Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana’s case study
<p>The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)</p>	<p>There is evidence of increased capacity with the new National Climate Change Policy and progress on NAMAs and MRV. The level of participation and proactive role Ghana plays in the Cartagena Dialogue and the appreciation by the EUD of Ghana as a positive contributor to the UNFCCC process is encouraging. The support provided by the UNFCCC Secretariat (with funding from EU) has been an important contributor.</p>
<p>Developing countries have become more organised and vocal at climate negotiation processes. (JC71)</p>	
<p>The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in UNFCCC related agreements. (JC71)</p>	<p>Not applicable for Ghana as a non-LDC country. Ghana views EU’s role in the negotiations as being very positive and generally in line with Ghana’s priorities.</p>
<p>That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC72)</p>	<p>There is evidence in the form of progress on the development of MRV and NAMAs, and with the new National Climate Change Policy, which is promoted from the highest level of Government –</p>

Overall desk hypotheses	Evidence from Ghana's case study
That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).	and in the form of the commitment to mainstreaming climate change across sectors.

5.8 EQ 8: Mainstreaming approach



Context – DEVCO has made mainstreaming support available for EUDs and to a lesser extent to national counterparts; with an increasing emphasis on mainstreaming in EU policies in general and for development cooperation, mainstreaming guidelines, training on mainstreaming, and technical advice for EUDs. The availability of support during 2007-2013 was particularly prominent up till the end of 2009 with the Environmental Helpdesk. After 2009, the Helpdesk was closed, but mainstreaming training courses are still offered. However, the budget for training has been reduced significantly during the period evaluated. The EUD

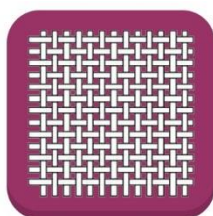
in Ghana appears not to have used the available support to a significant extent, although a CEP was prepared in 2008 and the Programme Officer leading environment participated in one mainstreaming training course.

<p>EQ 8 Mainstreaming approach <i>To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • The policies were generally found by the EUD to be clear and without any major issues. • The 2009 mainstreaming guidelines have been used at the implementation stage of the programme cycle, but came out too late to inform programming. • The Helpdesk's technical support was used once – in relation to the EIA methodology. The Helpdesk support was found somewhat useful, but not adequately adapted to Ghana. • An EU course on mainstreaming was found too basic to be of significant use. It had been attended by the environment programme officers, but not by staff from other sectors (the main target audience). • Strong advice is needed on how to engage in climate change policy dialogue and how to link the international/global and national levels. • The capacity of the EUD is reportedly quite good, and staff could easily be trained and engage in mainstreaming.
<p>JC 81 Guidelines and tools <i>Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The policies were generally found to be clear and without any major issues by the Infrastructure and Sustainable Development Section (responsible for both roads and environment) at the EUD. • The 2009 mainstreaming guidelines have been used at the implementation stage of the programme cycle, but came out too late to inform programming. The 2007 guidelines were not used for the programming, although a CEP was prepared for the 2008-2013 CSP. Earlier communications on integration and on climate change were used for the programming. Mainstreaming in the infrastructure (transport/roads) sector comprised an SEA, EIAs and a study transport and climate.
<p>JC 82 Delegation capacity <i>Increased capacity developed within the Delegations to mainstream environment and CC in their operations</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The Helpdesk's technical support was used once – in relation to the EIA methodology. The Helpdesk support was found somewhat useful, but not adequately adapted to Ghana. • An EU course on mainstreaming was found too basic to be of significant use. • Strong advice is needed on how to engage in climate change policy dialogue and how to link the international/global and national levels. • Programme staff in other sectors appear not to have attended the trainings, even if they are the intended target audience. EUD Staff indicates that the capacity of the EUD is quite good, and that colleagues could easily be trained and engage in mainstreaming.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)	The evidence from Ghana supports this hypothesis.
Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)	The capacity development has been taken advantage of to some extent, but found to be too basic/generic.
The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)	Not fully supported by the evidence from Ghana. The NREG programme has promoted mainstreaming across sectors in terms of policy formulation, but perhaps less so in terms of capacity building.

5.9 EQ 9: Mainstreaming practice



Context – The period 2007 to 2013 saw a stronger emphasis given to the integration of environmental concerns in new policies, such as the new National Environment Policy and National Climate Change Policy, which both call for mainstreaming of environment and climate change in the development of the productive sectors. Mainstreaming is also included in the guidelines for the preparation of sub-national medium-term development laws. SEAs have since 2003 been required by Ghanaian law for new policies and medium-term development plans at both national and sub-national levels. EIAs are also a legal requirement for

investment projects. A CEP was prepared in connection with the elaboration of the CSP for 2008-2013. In the transport/roads sector, an SEA was carried out and EIAs have been done for road construction supported by EU

<p>EQ 9 Mainstreaming practice</p> <p><i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Ghana's legislation and policies require a) the use of SEAs and EIAs, and b) that mainstreaming is considered in medium-term development planning and national and sub-national levels. The challenge is the implementation. • The CEP was found by the Environment Helpdesk to "meet minimum requirements". Many CEP recommendations were taken on board in EU programming and implementation. • NREG supported overall environment and climate change policy and governance reform and promoted mainstreaming across sectors. EU support through NREG has helped Ghana with establishing the Akoben system for assessing the environmental compliance of companies that guides issuing of permits. • Stakeholders found that the SEA for the transport sector programming was of good quality and came up with relevant recommendations, but came too late to influence programming. • The transport/roads sector was supported with a project approach. Environment mainstreaming was not promoted in direct relation to the transport/road sector policies, indicators or budgets (neither in programming nor policy dialogue). But a study on transport and climate was funded, in order to inform government planning. • There are no environment and climate change indicators for the general budget support (although an attempt at this was made by the ENR Sector WG) or for the sector budget support for the health sector.
<p>JC 91 Incorporation in design</p> <p><i>Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector budget</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The CEP was found by the Environment Helpdesk to meet minimum requirements, but not rated as being "good". • The guidelines from NDPC specify that environment and climate change should be mainstreamed in medium-term development plans. • SEAs, EIAs and environmental management plans are required by law since 2003. • Ghana is using the Akoben system (introduced with support from NREG) for assessing investments in infrastructure, hotels, industries and mining

<p><i>support modalities (throughout the programme cycle)</i></p>	<p>operations, which provides the basis for the issuing of permits. Development and implementation of Environmental Management Plans are a legal requirement for road construction.</p> <ul style="list-style-type: none"> • The SEA for the transport sector programming was good and provided relevant recommendations, but came too late to influence programming. The SEAs influenced the preparation of the Road Sector Medium Term Development Plan (SMTDP 2014-2017). The indicators from the SEA are incorporated in the SMTDP. • In 2008-9 the Ministry of Road and Highways contracted people to conduct a study on the environmental impact of investment plans. • EIAs were done for EU funded road construction projects and these are monitored by the EPA. • The transport/roads sector was not supported with budget support but with a project approach there were no plans to influence national sector frameworks vis-à-vis mainstreaming into policy reform, sector indicators, or sector budgets.
<p>JC 92 Incorporation in implementation <i>Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Several CEP recommendations were addressed in the design and implementation of NREG, PADP and FLEGT/VPA. Only two recommendations were made for the transport sector: <ul style="list-style-type: none"> ○ To develop transport master plans for the country and major cities (to increased energy consumption efficiency). ○ To support the development of bio-diesel. • The national master plan was taken on board as a pivotal element of the support for the sector, whereas the second recommendation was not taken on board. • The EU Delegation monitored EIA recommendations during the project period. During EU audits environmental indicators are also monitored, and the EPA regularly monitors the implementation of environmental standards by contractors and sanctions implementations in case of continued non-compliance. No specific follow up actions are currently implemented or planned by the EUD. Available interim audit reports for an EU funded road project showed challenges, but with improvements over time. The EPA reports that the Ministry of Roads and Highways are insistent on the implementation of indicators, and an available interim audit reports for a road project shows improvements over time in terms of implementing environmental measures. • The transport/roads sector was supported with a project approach. Environment mainstreaming was not promoted in direct relation to the transport/road sector policies, indicators or budgets (neither in programming nor policy dialogue). But a study on transport and climate was funded, in order to inform government planning. • However, NREG supported overall environment and climate change policy and governance reform and promoted mainstreaming across sectors. • There were no environment and climate change indicators for the general budget support (although an unsuccessful attempt at this was made by the ENR Sector WG) or for the sector budget support for the health sector.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
<p>Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;</p>	<p>Ghana does not provide evidence to verify or falsify this hypothesis, as policy dialogue did not promote mainstreaming. The NREG programme and FLEGT demonstrates that programmatic support can significantly influence policy and governance systems.</p>
<p>The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;</p>	<p>It would be plausible to conclude that the CEP had an effect on the design of the interventions in that many recommendations were implemented.</p>
<p>An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of environment and cc;</p>	<p>Not relevant for Ghana, as agro-infrastructure was not supported under the 2008-2013 country programme.</p>

Overall desk hypotheses	Evidence from Ghana's case study
When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).	Not confirmed and not entirely applicable in Ghana. EU support for environment and climate change has focused mainly on governance under NREG and FLEGT/VPA – and while there is evidence that EU has contributed to strengthening governance it has not (yet) manifested itself in tangible environmental improvements. Mainstreaming in the transport/road sector was not stated as explicit objectives/outcomes.

	Ghana desk answers
Sectors	Infrastructure
SPSP/SBS (Y/N)	N (mainly project support)
I 911	
Has CEP been prepared? (Y/N)	Y
Good Quality CEP? (Y/N)	N
I 912	
SEA screening done for SPSP? (Y/N)	Y
SEA found necessary? (Y/N)	Y
SEA done for SPSP? (Y/N)	Y
Env screening/ EIA/CC risk screening done for projects? (Y/N)	Y
I-913	
SPSP support policy reform? (Y/N), if yes:	N (mainly project support)
Does it promote mainstreaming? (Y/N)	-
As general statement or concrete measures? (GS/CM)	-
SPSP require env/cc indicators (Y/N)	N
SPSP call for env and CC items in sector budget? (Y/N)	N
I-921	
Does CSP reflect CEP recommendations? (Y/N)	Y
If not, is an explanation provided? (Y/N)	-
I 922	
Were SEA indicators monitored? (Y/N)	Y
Were SEA recommendations implemented? (Y/N)	Y (included in SMTDP with indicators, but the progress on the indicators is not known by evaluation team)
Were EIA indicators monitored? (Y/N)	Y (by EPA)
If yes, did they show improvements? (Y/N)	Y
Were EIA recommendations implemented? (Y/N)	Y (by EPA)
I-923	
Is policy dialogue addressing env and CC? (Y/N)	N
Are policy reform measures for env and CC implemented? (Y/N)	-
Are env and CC indicators reported on? (Y/N)	-
Is EU asking for data on env and CC indicators? (Y/N)	N
Are there env and CC items in sector budget? (Y/N)	-
Evidence that EU promoted env and CC budget items? (Y/N)	N

5.10 EQ 10: Complementarity



Context – The EU support for environment in Ghana is provided through both ENRTP and geographic instruments. By volume, the support under geographic instruments (EDF) is far more significant. In relation to FLEGT, both instruments are involved, but otherwise, the support under the two instruments is largely provided for different themes. ENRTP support is largely through multi-country projects implemented by international organisations, which report to Brussels, not the EUD, the exception being ENRTP calls for proposals, where the EUD plays a role.

<p>EQ10 Complementarity <i>To what extent has EU used its available instruments in a way that enhances complementarity in support of the overall EU goals of a healthy environment, sound natural resource management and strong environmental and climate governance in developing countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • ENRTP projects are often multi-country projects implemented by international organisations, which stimulate cross-country learning and sharing, unlike actions funded by EDF under the country programme. • In Ghana there is only a clear link between ENRTP and geographic actions in relation to FLEGT. Synergy with the EU country programme is not a selection criterion for ENRTP calls for proposals, and the projects selected are not always those found most relevant by the EUD. • EU (through ENRTP and geographic funding) and other donors contribute to the FLEGT/VPA process, so there are strong synergies between EU ENRTP, EU geographic funding, and other donors. • Interventions of other donors (e.g. USAID) are building on the CREMA community-based approach developed under PADP.
<p>JC 101 Uniqueness and relevance of ENRTP instrument <i>ENRTP has enabled the EU to address environment and climate change issues, which could/would not have been better, or equally well, addressed through its geographical instruments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The only clear difference found between ENRTP and geographic actions are that some ENRTP action are multi-country projects implemented by international organisations, which stimulate cross-country learning and sharing (i.e. the FLEGT Facility, the Green Economy and Social and Environmental Entrepreneurship in Africa Project/SEED grants and SWITCH Africa Green).
<p>JC 102 Synergies – ENRTP and Geographic instrument <i>Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • In relation to FLEGT/VPA there are strong synergies between ENRTP and geographic actions. ENRTP makes a global link and supports sharing between FLEGT countries, while geographic actions ensure that FLEGT is embedded in national systems. • Otherwise, in Ghana there is no other clear link between ENRTP and geographic actions. EUD is mainly involved in ENRTP calls for proposals, but synergy with the EU country programme is not a selection criterion, and the projects selected are not always those supporting best the country programme.
<p>JC 103 Synergies – ENRTP and other donors <i>Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU and other donors (DfID and the Dutch) contribute to the FLEGT/VPA process, so there are strong synergies between EU ENRTP, EU geographic funding, and other donors. • Interventions of other donors (e.g. USAID) are building on the CREMA community-based approach developed under PADP.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ghana's case study
<p>ENRTP adds value in different ways: a) It enables support for global process; b) it allows EC to engage in important global environmental issues that cannot be tackled at the national level; c) it generates innovations and new approaches and knowledge; and d) it enables EU to engage in important environmental issues in countries where this is not possible under geographic instruments, albeit at a much lower scale. (JC101)</p>	<p>e. Is supported by the Ghana case, with the UNFCCC Secretariat support for Ghana f. Is supported in relation to UNFCCC/climate change g. Is supported with FLEGT as a prominent example h. No evidence of this in Ghana</p>
<p>There are sometimes overlaps in the types of</p>	<p>Generally not the case in Ghana.</p>

<i>Overall desk hypotheses</i>	<i>Evidence from Ghana's case study</i>
actions financed by ENRTP and geographic instruments. (JC101)	
Complementarity between actions under ENRTP and geographic instruments has with the exception of some notable examples (e.g. FLEGT) not been taken advantage on in a systematic manner. Nonetheless, a number of actions do take advantage of complementarities. (JC102)	The first part of hypothesis is supported in Ghana. FLEGT is the only example of systematic synergies in Ghana. The second part is not supported; FLEGT is the only convincing example of synergies achieved between ENRTP and geographic instruments found in Ghana.
Due to the global and catalytic focus on ENRTP, it is more common that ENRTP provides benefits to geographical actions than vice-versa. (JC102)	The hypothesis is not supported in Ghana – the FLEGT related benefits are mutual.
Complementarity between ENRTP actions and actions of other donors has with the exception of some notable examples (e.g. FLEGT) not been taken advantage on in a systematic manner. Nonetheless, some actions do take advantage of complementarities. (JC103)	The first part of hypothesis is supported in Ghana. FLEGT is the only example of systematic synergies in Ghana. The second part is not supported; FLEGT is the only convincing example of synergies between ENRTP and other donors found in Ghana. However, there are good examples of synergies between geographic actions and actions of other donors, as evidenced by the used of the CREMA approach from PADP in USAID and World Bank projects.
It is difficult in practical terms to effectively pursue complementarity between actions under different instruments and even more so with other donors. Better coordination and strengthened guidance to delegations could help enhancing complementarity. (JC102 and JC103)	Partly correct in Ghana. There are examples of synergies between different donors, e.g. in relation to FLEGT/VPA and CREMA. However, as evidenced by the ENRTP calls for proposals and SWITCH Africa Green, a stronger involvement of EUDs could enhance the scope for synergies/complementarity between ENRTP and geographic instruments.

6 Annexes

Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
Alfred Kwasi Opoku	Energy Commission	National Coordinator, Sustainable Energy for All Project	Ghana
Antwi-Boasiako Amoah	EPA	PPO, Climate Change	Ghana
Carman Rebecca	UNDP LECB Global Support Unit	LECB Climate Technical Specialist	New York
Chris Beeko	FC, TVD	Director	Ghana
Dr. Sam Adu-Kumi	EPA	Focal Person, CCW	Ghana
Efua Effah	Ministry of Roads and Highways	Senior Engineer	Ghana
Eric Okore	MESTI	Focal Person CBD	Ghana
Fred Smiet	Netherlands Embassy	First Secretary water and climate	Ghana
Fredua Agyeman	MESTI	Director Environment	Ghana
George ORTSIN	UNDP-GEF/SG	National Coordinator	Ghana
George Addison	Ministry of Roads and Highways	Principal Engineer	Ghana
Herve Delsol	EUD	Programme Officer, ISD	Ghana
Isaac Mensah-Bonsu	NDPC	Director, Plan Coordination	Ghana
Kenneth Owusu	NDPC	Senior Policy Analyst	Ghana
Kwabena Nketiah	Tropenbos	National Coordinator	Ghana
Kyekyeku Opong-Boadi	EPA	Chief Programme Officer, UNFCCC Focal Person	Ghana
Nana KOFI Adu-Nsiah	FC	Executive Director, Wildlife Division. (CMS, CITES)	Ghana
Opon Sasu	FC	Donor Relations, Coordinator	Ghana
Robert Buzzard Jnr.	USAID-Ghana	Snr. Natural Resource Management and Energy Advisor	Ghana
Robert Bamfo	FC	Head! Climate Change Unit/REDD+ Secretariat	Ghana

Annex 2: List of documents consulted

- CARE Ghana (2011): Mid Term Review of the GIRAF Project.
- EU-Ghana (2014): National Indicative Programme 2014-2020.
- European Union (2003): EUEI – UNEP Capacity Enhancement and Mobilisation Action for Energy in Africa (CEMA). Contribution Agreement between the European Union and United Nation Environment Program.
- European Union (2007): Ghana Country Strategy Paper 2008-2013.
- European Union (2007-2014): External assistance management reports (EAMR) for Ghana for the years 2007-2014. European Union (2008): Grant Agreement between the European Union and Stichting FERN Ensuring a Seat at the Table: Supporting NGO Coalitions to Improve Forest Governance using FLEGT.
- European Union (2008): Grant Agreement between the European Union and Università Degli Studi Di Sassari.
- European Union (2009): Financing agreement between the European Union and the Republic of Ghana. Support to Transport Sector Development Program.
- European Union (2010): Annex 1: Description – Green Economy and Social and Environmental Entrepreneurship in Africa.
- Ghana's Ministry of Environment, Science, Technology and Innovations (2013): National Climate Change Policy.
- Ghana's Ministry of Lands and Natural Resources (2012): Forest and Wildlife Policy 2012.
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- Government of Ghana (2005): Growth and Poverty Reduction Strategy (GPRS II) 2006-2009.
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- Government of Ghana (2010): Ghana Shared Growth and Development Agenda (GSGDA) 2010-2013. Vol. I & II.
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- Royal Netherlands Embassy (No date): Midterm Review of the NREG Programme.
- Survey to EUDs conducted by Particip GmbH in 2014.
- World Bank (2008): Programme Document for a Proposed Credit in the Amount of SDR 12.5 Million to the Republic of Ghana for a NREG First Development Policy.
- World Bank (2012): Project Appraisal Document for NREG.
- World Bank et al. (2007): Ghana – Country Environmental Analysis.

Annex 3: List of the projects and programmes specifically considered

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
NREG (Natural Resource and Environmental Governance) Sector Policy Support Programme	2009 – 2016	15,000,000 €	Country wide	WB, AFD, DFID, The Netherlands Embassy	"GoG (Forestry Commission, Environmental Protection Agency and Minerals Commission)"	The programme seeks to contribute to the implementation of the sector strategy and address issues in the inter-related sub-sectors of forestry and wildlife, mining, and environmental protection. Through a sector budget support the programme supports policy changes aimed at improving management of revenues and financial flows and securing livelihoods in the forestry, wildlife, and mining sub-sectors; reinforcing cross-sectoral linkages and country systems to enhance environmental protection; and supporting existing and expanded civil society engagement in natural resource governance issue
GHANA: Supporting the integration of legal and legitimate domestic timber markets into Voluntary Partnership Agreements	Apr 2011 – Mar 2015	1,999,265 €	Ghana (Ashanti and Brong Ahafo) and Guyana	NA	Stichting Tropenbos International	The Overall Objective is "to: (1) promote viable livelihoods in poor forest-dependent communities; (2) ensure adequate supply of legal timber on the domestic market in conformity with the sustainable production capacity of the forest resources and the socio-economic development of forest dependent communities; and (3) to improve consistency between the objectives of Forest Law Enforcement, Governance and Trade Voluntary Partnership Agreements (FLEGT VPAs) and those of socio-economic development of actors dependent on timber production and trade.
Governance Initiative for Rights & Accountability in Forest Management (GI-RAF) (under FLEGT)	2009 – 2013	999,973 €	30 districts in Ghana	CARE Denmark Fund	CARE Denmark	The project's Overall Objective (OO) is to ensure that forest resources in Ghana are sustainably managed and contributing to poverty reduction. The Project Purpose (PP) is to support the development of dialogue skills and structures for increased transparency and accountability in resource management through the contributions of civil society (NGOs and Community Based Organisations (CBOs)), Industry Associations and

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
						local authorities to the FLEGT process.
Support to the Transport Sector Development Programme (TSDP) (Western Corridor)	2008-2012	79,000,000 €	Western Region		Ghana Highway Authority	The main project purpose is to establish a South – North transport corridor in the west of Ghana, linking the timber and mineral rich areas, and neighbouring countries located West and North of Ghana, to the deep water port of Takoradi. The proposed trunk road intervention is designed to result in improvement of the remaining missing links between Tarkwa and Asawinso (at the Inter Regional Road (IR8) and the northern extent of the IR8 with the National Road N10; following up on EDF's earlier commitment to finance the Axim Junction –Tarkwa (8 th EDF) and Awaso –Nobekaw and Nobekaw –Gambia No .2 Roads (7 th EDF)
Eastern Corridor Road Project	2007-2015	32,310,000 €	Volta Region		Ghana Highway Authority	The main project purpose is to establish a Western and Eastern transport corridor in the East of Ghana, linking the east to the North and neighbouring countries located east of Ghana
Provision of modern, affordable and sustainable energy services to rural poor communities in West African countries from <i>Jatropha curcas</i> oil: an integrated approach based on technological transfer and capacity building improvement	Jan 2011 – Nov 2015	1,653,903€	Northern region (West Mamprusi District)	NA	Spallanzani Technologies	Working in collaboration with the Università Degli Studi Di Sassari project implemented in the same region

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Energy Facility"						
Ghana: Capacity building in Water Quality Monitoring and Surveillance Water Facility	Dec 2011 – Nov 2014	822,000€	Accra, Takoradi and Kumasi	NA	Vitens Evides	
Strengthening the capacity of community based forest stakeholders and key actors in the wood supply chain in three major wood producing areas in Ghana for the implementation of EU timber regulations and the new domestic market policy	Dec 2013 – Dec 2014	287,386€	3 Districts in the Western region of Ghana (Bibiani, Juabeso, and Sefwi Wiawso)		Working Group On Forest Certification LBG	Project working together with the Forestry Commission of Ghana to strengthen the capacity of forest communities to play active part in the implementation of FLEGT VPA and to benefit from it.
Strengthening civil society, informal sector and private sector participation in forest law enforcement and governance (SCIPFLEG)	Dec 2013 – Dec 2016	336,208 €	Western, Eastern, Ashanti and Brong Ahafo regions of Ghana	NA	Friends Of The Earth Ghana LBG	

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Governance Initiatives for Rights and Accountability in Forest Management II (GIRAF II)	2013 – 2016	360,000 €	Western, Eastern and Ashanti Regions of Ghana	NA	Civic Response LBG	The project builds on the achievements of GIRAF phase I and is aimed to increase the participation of forest fringe communities and resource based groups in forest policy dialogue through forest forums.
Use of Jatropha plant to improve sustainable renewable energy development and create income-generating activities: an integrated approach to ensure sustainable livelihood conditions and mitigate land degradation effects in rural areas of Ghana	2008 –	1,916,863.14 €	West Mamprusi District	TCC-KNUST, CSIR-SARI Tamale	Universita Degli Studi Di Sassari	Project aims to afford rural communities in Ghana access to modern and renewable energy services and opportunity for communities based groups, reduce the effects of desertification by the use of Jathropha plants and improve their livelihoods by implementing participatory approaches.
Strengthening Civil Society and Private Sector Participation in Forest Law Enforcement and Governance for Sustainable Forest Management (CISoPFLEGT)	Jan 2014 – Dec 2016	1,500,000 €	Regional Project: Cote d'Ivoire, Ghana, Cameroon and DRC		Friends of the Earth Ghana LBG	
Supporting intermediaries with information and guidance to comply with the Legality Assurance System (LAS) and engage in policy advocacy on the domestic market reform in Ghana	Dec 2013 – Dec 2015	375,219 €	Ghana: nationwide		The Tropenbos Ghana Programme LBG	Working with stakeholders in forest sector to ensure their voice in policy dialogue supporting stakeholder platforms for advocacy.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Green Economy and Social and Environmental Entrepreneurship in Africa	27 months starting June 2010	3 200 000 €	Burkina Faso, Kenya, Ghana, Ghana, Rwanda, Senegal and South Africa	UNEP	The project will benefit national governments and public institutions, sectors of the economy that are targeted for green investment, business groups and environmental and social entrepreneurs in the countries covered	The overall objective of the action is to advance a transition to a green economy and promote social and environmental entrepreneurship in Africa. This will be done by generating knowledge and awareness that can encourage governments and stakeholders to refocus policies and investment in green economic sectors, and to enhance social and environmental entrepreneurship with a view to strengthening local capacities, delivering green jobs, and contributing to sustainable development and poverty reduction.
Bamboo as sustainable biomass energy: A suitable alternative for firewood and charcoal production in Africa	2009 – 2013	1,330,000 €	Ethiopia and Ghana (In Ghana located in the Mpohor Wassa District of Western Region)		INBAR, FORIG and BARADEP	The Overall Objective (OO) is: “to increase the use of bamboo as a source of energy for the poor of Ethiopia and Ghana thereby providing a more sustainable, environmentally friendly and economical option to firewood and charcoal.”
EUEI-UNEP Capacity Enhancement and Mobilisation Action for Energy in Africa (CEMA)	2008 - 2012	1600000 €	All African Countries		The project is run by the UNEP Risoe Centre, based in Denmark, as part of the Technical University of Denmark.	CEMA is a project, set up as a 'think tank', in response to a call from the Council of African Energy Ministers of 14 May 2007. The purpose of the project is Strengthened capacity of African regional and national institutions, mobilising and utilizing existing expertise, in areas that underpin sound and appropriate energy policies and interventions, in particular participation in dialogue with development partners including EC and EU Member States. And also Improved capacity of key African energy stakeholders to mobilise financing for energy investments, including the financing opportunities associated with the AEEP.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Ensuring a Seat at the Table: Supporting NGO Coalitions to Improve Forest Governance using FLEGT	Oct 2008 – Oct 2011	960,000	Multi-country: (Cameroon, Republic of Congo, Gabon, Ghana, Liberia, Malaysia)	NA	Stitching FERN	The overall objective of the project is to reduce illegal logging by strengthening community tenure rights and improving governance within the framework of the EU FLEGT process through legal, institutional and policy reform. Project Purpose: To establish strong coalitions in (mainly) six VPA countries, which can participate effectively in the FLEGT VPA process to secure institutional or policy reform.
Strengthening African Forest Governance through high level national illegal logging meetings and mid-level awareness raising and training (Ghana)	2011 - 2015	1,890,608 €	Ghana and Cameroon	NA	University of Wolverhampton	Promote transparency in the forest sector and 2) create awareness of international initiative to combat illegal logging". The Project Purpose (PP) are: 1) Improve awareness and engagement of Civil Society in forest governance; 2) Improve awareness of FLEGT amongst private sector companies; 3) engagement of indigenous people's organisations in multi-stakeholder processes leading to VPA.

Country Note – Kenya

by Kris Prasada Rao and Violet Matiru on field mission from 19-23 January 2015.

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List of Acronyms

ACP	African, Caribbean and Pacific countries
AfDB	African Development Bank
ASAL	Arid and Semi-Arid Lands
ASCU	Agricultural Sector Coordination Unit
BMU	Beach Management Unit
CBD	Convention Biodiversity
CC	Climate Change
CDI	Community Development Initiatives
CDM	Cleaner Development Mechanism
CDTF	Community-Development Trust Fund
CEEC	Centre for Energy Efficiency and Conservation
CEF	Community Environment Facility
CEP	Country Environmental Profile
CFA	Community Forestry Association
CITES	Convention for International Trade of Endangered Species
CM	Concrete Measure
COP	Conference of Parties
CSO	Civil Society Organisation
CSP	Country Strategy Paper
DCI	Development Co-operation Instrument
DFID	Department for International Development
DG	Directorate General
DG CLIMA	Directorate General Climate Action
DG DEVCO	Directorate General Development and Co-operation
DG ENER	Directorate General Energy
DG ENV	Environment
DMEAS	Director of MEAs
DNA	Designated National Authority
DP	Development Partner
DPFII	Director of Policy Formulation, Interpretation and Implementation
DPPSI	Director of Programmes, Projects and Strategic Initiatives
EaP	Eastern Partnership
EC	European Commission
ECN	Energy research Centre of the Netherlands
EDF	European Development Fund
EIA	Environmental Impact Assessment
EIB	European Investment Bank
EMCA	Environmental Management and Coordination Act
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Environment Natural Resources Thematic Programme
EQ	Evaluation question
EU	European Union
EUD	European Union Delegation
FiTs	Feed in Tariffs
FLEGT	Forest Law Enforcement, Governance and Trade

GCCA	Global Climate Change Alliance
GDP	Gross Domestic Product
GE	Green Economy
GEEREF	Global Energy Efficiency Renewable Energy Fund
GEF	Global Environment Facility
GHG	Green House Gases
GOK	Government of Kenya
GoK	Government of Kenya
GS	General Statement
HQ	Headquarters
ICS	Interim Coordinating Secretariat for rehabilitation of the Mau Forest Ecosystem
IFAD	International Fund for Agricultural Development
IKI	International Climate Initiative
IPCC	International Panel on Climate Change
JC	Judgment Criterion
KAM	Kenya Association of Manufacturers
KCCWG	Kenya Climate Change Civil Society Working Group
KCIC	Kenya Climate Innovation Centre
KEPSA	Kenya Private Sector Alliance
KFS	Kenya Forest Service
KNCPCC	Kenya National Cleaner Production Centre
KWS	Kenya Wildlife Service
KWTA	Kenya Water Towers Agency
LDC	Lesser Developed Countries
LECB	Low Emission Capacity Development
LED	Light Emitting Diode
MEA	Multilateral Environmental Agreement
MEWNR	Ministry of Environment, Water and Natural Resources
MIKE	Monitoring Illegal Killing of Elephants
MRV	Monitor, Verify and Report
MTEF	Medium Term Expenditure Framework
MW	Megawatt
NAMA	Nationally Appropriate Mitigating Action
NAP	National Action Plan
NAPA	National Adaptation Plan of Action
NBSAP	National Biodiversity Strategies and Action Plans
NCCAP	National Climate Change Action Plan
NCCRS	National Climate Change Response Strategy
ND-GAIN	Notre Dame Global Adaptation Index
NEMA	National Environment Management Authority
NET	National Environment Tribunal
NGO	Non-Governmental Organisation
NIE	National Implementation Entity
NIP	National Indicative Programme
PCC	Public Complaints Committee
PEI	Poverty-Environment Initiative

PMR	Programme for Market Readiness
PoWPA	Programme of Work in Protected Areas
PPP	Public-Private Partnership
PS	Project Synopsis
QA	Quality Assurance
REDD	Reducing emissions from deforestation and forest degradation
SBS	Sector Budget Support
SCA	Swiss College of Agriculture
SCP	Sustainable Consumption and Production
SDG	Sustainable Development Goal
SEA	Strategic Environmental Assessment
SIDS	Small Island Developing States
SME	Small and Medium Enterprises
SPSP	Sector Policy Support Programme
SRA	Strategy for Revitalizing Agriculture
ToR	Terms of Reference
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Fund
UNEA	United Nations Environmental Assembly
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
USAID	United States Agency for International Development
USD	US Dollar
WB	World Bank
WG	Working Group
WRMA	Water Resources Management Authority
WRUA	Water Resource Users Association
WSTF	Water Services Trust Fund

Note: The Evaluation uses the common acronym "EC" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

The cooperation between Kenya and EU in 2008-2013 was defined by the CSP agreed with the GoK. While environment was not specified as a focal sector, one of the objectives for the agriculture and rural development focal sector is related to environmental sustainability. Climate change was not addressed in the CSP, but climate change adaptation was a central element of a number of the projects implemented.

Kenya has increasingly prioritised environmental sustainability and especially climate change adaptation as evidenced by the establishment of NEMA and the Climate Change Secretariat and recent restructuring of the Ministry of Environment. EIAs are a legal requirement and SEA is likely to become so. Kenya has also been contributing more to global environmental and especially climate change governance and is recognised by EU as providing important and constructive contributions to the UNFCCC negotiation process. Stakeholders agree that the environment policies are very conducive. However, the political interest still appears somewhat low with insufficient implementation the policies, with the exception of the focus on climate change adaptation and national parks which generate significant incomes.

The support of EU (and of other donors) has contributed to the improved environmental governance framework; a particularly notable contribution from the EU is the long-standing support for the CTDF, which has been a particularly important funding mechanism for promoting improved and community-based management of natural resources on the ground as well as enhanced climate change resilience in the ASALs. However, while the programmatic support has made important contributions, policy dialogue has focused on specific programmatic issues and has not effectively addressed environment and climate change in relation to overall economic development or the performance and strategic choices of economic sectors. The most significant input to policy processes in relation to environment during the period under evaluation is probably a) the SEA of the National Sugar Adaptation Strategy, and b) Support to NEMA for its five-year strategic plan to enhancing the legal and institutional framework for addressing climate change mitigation and adaptation. Nonetheless, geographic instruments using project support as well as regional projects and support through the ENRTP have all contributed to increasing readiness and reacting to the new political prioritisation for environment and climate change.

In conclusion:

EQ 1 – EU policy aims – EU policy aims on environment and climate change have been supported through the operations in Keyna. Although the environment and climate change situation has worsened in absolute terms since 2007, the EU support has to some extent contributed to building a stronger national policy and governance framework, which is necessary to reverse the negative trends, although the implementation of environment policies remain a challenge. Kenya is also contributing actively to global environment and especially climate governance.

EQ 2 – Low emission – EU has directly contributed to the development of three NAMAs with MRVs through LECB, and indirectly to the development of other NAMAs, the overall MRV and GHG inventory through LECB capacity building and support for GoK, and the support for the UNFCCC Secretariat. LECB has also contributed to building the national capacity, including the in-house capacity of GoK, especially the CC Secretariat.

EQ4 – Biodiversity – EU support has directly strengthened the management of one protected area (the Mau Forest) and the establishment of community wildlife conservation areas.

EQ5 – Green economy – Kenya is making initial steps towards a green economy, with SCP priority actions in the National Climate Change Action Plan launched in 2013, the Kenya National Cleaner Production Centre from 2000, and the Kenya Climate Innovation Centre. EU's support for GE has been limited, and only provided through ENRTP funding for Green Economy and Social and Environmental Entrepreneurship in Africa Project, incl SEED grants. Some SEED supported enterprises have raised funding for upscaling, but it is reportedly still difficult to attract commercial funding for upscaling of eco-innovations. A full framework of economic instruments is not in place, although solar panels are tax exempted.

EQ6 – Environmental governance – There has been limited support through the ENRTP /UNEP on strengthening implementation of Multilateral Environmental Agreements. Although the regional and sub-regional workshops held and guidelines developed were useful and has helped Kenya in engaging in international negotiations as well as the ongoing NBSAP revision, Kenyan partners found that further support is necessary to ensure that the biodiversity MEA implementation is consolidated.

UNEP Global: With ENRTP support, UNEP has improved the coordination of MEAs (in relation to waste and chemicals and biodiversity) and built the capacity of developing countries to engage in negotiations and implement their commitments.

EQ7 – Climate governance – The support provided by UNFCCC and financed in part by the ENRTP is found useful and has led to a build-up of capacity in Kenya for the preparation of climate policies, NAMAs, MRVs as well as institutional structures, such as the CC Secretariat. Moreover, EU support for the Cartagena dialogue has been a critical factor enabling Kenya's proactive engagement in UNFCCC negotiations.

EQ8 – Mainstreaming approach – The many policies and communications make it difficult for EUDs to get a clear overview of what is required/expected. The mainstreaming guidelines have been used and were found useful for SEA contracting, but not for environmental screening in relation to infrastructure capacity building.

The EUD's capacity for mainstreaming is generally good, but not always sufficient to move beyond EIAs and into broader, more strategic issues. At the global level, EU's overall structure seems not conducive for cross-sectoral work, and there is not yet a full buy-in to the environmental mainstreaming agenda from all EU staff members.

EQ9 – Mainstreaming practice – Environment and climate change has generally been mainstreamed in to EU programme planning and implementation; in the agriculture and rural development sector, environment and especially CC adaptation were prominent features. But there is still room for improvement; Environment mainstreaming was not promoted in relation to sector policies (with the exception of the SEA for the National Sugar Adaptation Strategy). The SEA was of good quality, but the SEA recommendations have not been implemented by GoK. EIAs are applied by GoK on all EU funded road projects, but there can be issues with the quality.

UNEP global: PEI, focuses on ensuring that environmental concerns are integrated into national development planning and sectoral planning.

EQ10 – Complementarity – In Kenya there is only a clear link between ENRTP and geographic actions in relation to the Mau Forest Project (ENRTP funded) and the upcoming Water Towers Project, where strong synergies are anticipated between ENRTP, EU geographic funding, and other donors' actions. There is a general disconnect between ENRTP and the EU country programme for Kenya, one reason being that the thematic foci are different. Synergy with the EU country programme is not a selection criterion for ENRTP calls for proposals, and the projects selected are not always those supporting best the country programme.

UNEP global: ENRTP has enabled EU to engage in the global and regional dimension of environment and to strengthen international processes. It has also enabled EU to tap into international best practice on mainstreaming.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The **mandate and scope** of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU's support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (**ENRTP**) and through the **geographic instruments**;
- To evaluate the support of the EU to strengthening global environment and climate **governance**, provided under ENRTP and channelled mainly through international organisations;
- To assess the EU support for **mainstreaming environment and climate change** issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically **focus on outcome and impacts** of the EU actions in environment and climate change. Furthermore, the evaluation should identify **key lessons and best practise** and produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of **temporal scope**, the evaluation covers aid implementation over the period 2007-2013. The **geographical scope** includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The **purpose of the evaluation** is to provide the EU and a wider public with an **overall independent assessment on the EU action** in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving out-

comes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, were carried out.

The field visits have the following objectives:

- p) To complete the data collection in order to answer the agreed evaluation questions;
- q) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- r) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

2.3 Reasons for selecting this country as a case study country

Kenya was selected as one of four countries in Africa because of the prominent focus on environment and climate change in the support for the agriculture and rural development focal sector, the presence of infrastructure as a focal sector, and the location of the UNEP Headquarters in Nairobi. This allows evaluation of across all EQs, except EQ3. The cooperation in Kenya was intended in the CSP for 2008-2013 to comprise both budget support and project approach modalities, but in the implementation only the project approach modality was used. Kenya has during the period of evaluation made significant progress in the transition from low-income country to lower mid-income country.

Due to the location of the UNEP Headquarters in Nairobi, the visit to Kenya not only served the purpose of collecting evidence from the national context in Kenya, but also to gather evidence on the results and added value of ENRTP funding to UNEP. Therefore, this report also captures the main global level findings emanating from the discussions with UNEP staff.

3 Data collection methods used (including limits and possible constraints)

The country mission started with a review of all available desk based information. A long list of relevant stakeholders in the public and private sectors was drawn up and key stakeholders were identified during the mission with the help of the EU Delegation and national partners. It was possible to meet many, but not all, stakeholders identified, and when the key stakeholder was not available other representatives of the relevant institution were met instead. Four stakeholders were met by the national consultant after the mission of the international consultant. Two meetings were conducted over Skype after the mission.

Both EU delegations officials and national partner officials working on the same operation were interviewed, where possible. The interviews were conducted as semi-structured interviews, where key questions and discussion topics had been prepared in advance for each meeting, while leaving room for adjustments and additions as the interviews progressed.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

Kenya is a medium-sized country on the eastern coast of Africa with an area of 582,600 km² and a total population of about 40 million (38.6 million in 2010 and projected to be 60 million in 2030)⁶⁴. About half of Kenya's estimated 38.5 million people are poor, and some 7.5 million people live in extreme poverty, while over 10 million people suffer from chronic food insecurity and poor nutrition. In recent years, it is estimated that at any one time about two million people require assistance to access

⁶⁴ Kenya National Bureau of Statistics (2010): *Kenya: 2009 Population and Housing Census*.

food. During periods of drought, heavy rains and/or floods, the number of people in need could double. The recent government strategies have yielded some positive results in that in 2006, the number of absolute poor was reduced from 56% to 46% of the population. However, in ASALs the poverty incidence has been on the rise rather than decline.⁶⁵

The 2009 population census indicated that 67% of Kenyans (approximately 26 million people) lived in rural areas, where access to basic goods and services such as water and sanitation is lower than in the urban areas. Rural-urban migration, driven by people's search for employment opportunities, puts a strain on the already over-stretched services within urban areas, especially water and sanitation.

In Kenya, agriculture is the pillar of the country's economy, accounting for approximately 30% of the Gross Domestic Product (GDP), 60% of income from exports (mainly coffee and tea) and 75% of the working population. The agriculture sector has been identified in Vision 2030 as one of the key drivers through which the envisaged target of 10% annual economic growth rate will be achieved.⁶⁶ According to the NCCAP (National Climate Change Action Plan 2013) the livestock, agriculture and forestry sectors are the largest emitters of GHGs in Kenya, accounting for 67% of emissions in 2010.

4.1.1 ENV/CC situation in the country

About 80% of the total land area of Kenya is classified as arid and semi-arid (ASAL). Kenya is highly affected by the negative effects of climate change. Although the country only contributes about 0.1%⁶⁷ of the total Greenhouse Gas (GHG) emissions, according to the ND-GAIN Index⁶⁸, out of a total of 189 countries, Kenya is the 33rd most vulnerable country and the 23rd least prepared country to deal with the effects of climate change.

The government has singled out energy as one of the key enablers of Vision 2030 since expensive energy hinders competitiveness. Further, the largest absolute growth in emissions is expected in energy and transport, with energy emissions increasing from 10MtCO₂e in 2010 to 33 MtCO₂e in 2030. In 2013, the Ministry of Energy and Petroleum Development launched the 5,000+ MW programme for transforming Kenya by scaling up power generation and reducing the cost of power by over 40%. The Ministry, in conjunction with the Kenya Association of Manufacturers (KAM) established the Centre for Energy Efficiency and Conservation (CEEC) to assist companies identify energy waste and put in place energy saving measures. The Climate Innovation Centre was established in 2005 and supports innovations in the areas of energy, water, agriculture and waste management.

4.1.2 ENV/CC national policies, legal framework

The 2010 Constitution defined the devolved system of government with 47 autonomous counties. Under this new system, the national government is responsible for the protection of the environment and natural resources with a view to establishing a durable and sustainable system of development. The county governments are responsible for implementing specific national government policies on natural resources and environmental conservation, including soil and water conservation and forestry. Each county is required to prepare the Integrated County Strategic Plan, and some counties are mainstreaming environment and climate change into these plans.

The 2007 Vision 2030 is the government's blueprint to transform Kenya into a newly industrialised, middle-income country in a clean and secure environment. The vision is anchored on the three pillars of economic, social and political governance and it is implemented through 5-year Medium Term Expenditure Frameworks (MTEFs). Environment is under the Social Pillar that has the objective of investing in the people of Kenya in order to improve their quality of life. Specific environmental Flagship Projects are the development of a waste management system, rehabilitation and protection of indigenous forests in the Five "Water Towers", preparation of a National Spatial Plan and securing wildlife corridors and migratory routes.

The Environmental Management and Coordination Act (EMCA) of 1999 is the framework law on the environment, which also established key institutions such as the National Environment Management Authority (NEMA), the Public Complaints Committee (PCC) and the National Environment Tribunal (NET).

In 2010, Kenya launched the National Climate Change Response Strategy (NCCRS) which was followed by the National Climate Change Action Plan 2013-2017, which aims at operationalising the strategy through eight inter-related thematic areas/components; Long-term National Low Carbon Development Pathway; Enabling Policy and Regulatory Framework; National Adaptation Plan (NAP); Nationally Appropriate Mitigations Actions (NAMAs); National Technology Action Plan; National Per-

⁶⁵ Republic of Kenya (2011) "National Food and Nutrition Security Policy" Agricultural Sector Coordination Unit (ASCU). Nairobi.

⁶⁶ Ministry of Agriculture, Livestock and Fisheries (2014)

⁶⁷ According to data from the World Resources Institute

⁶⁸ ND-GAIN is the Notre Dame Global Adaptation Index; see <http://index.gain.org/ranking>

formance and Benefit Measurement; Knowledge Management and Capacity Development; and Financial Mechanism.

A Climate Change Policy has been developed and approved by Cabinet, while the Climate Change Bill is in the process of being approved by Parliament, having undergone its first and second readings in 2014. All sector-specific policies and laws are currently being reviewed to align them with the new Constitution and the devolved system of government. Some of the laws that have been enacted after the Constitution include the Wildlife Conservation and Management Act of 2013. Other relevant policies and laws are:

- The 2010 Integrated National Transport Policy provides for transport solutions that have relevance for climate change mitigation.
- The National Disaster Management Policy of 2012 institutionalizes disaster management and mainstreams disaster risk reduction in the country's development initiatives, while decreasing the vulnerability of communities to hazards. It is implemented through the Drought Management Authority that was established in 2011.
- The Energy Policy of 2004 and the Energy Act of 2006 encourage implementation of indigenous renewable energy sources to enhance the country's electricity supply capacity. Climate change mitigation is to be achieved through energy efficiency and promotion of renewable energy. The Feed in Tariffs (FiTs) policy was revised in 2012 to promote generation of electricity from renewable sources including geothermal, wind, small hydro, solar and biomass.
- The Agricultural Sector Development Strategy 2010-2020 promotes sustainable food production and agroforestry.

4.1.3 ENV/CC institutional framework (who does what)

Government: The Ministry of Environment, Water and Natural Resources (MEWNR), has two Directorates each headed by a Principal Secretary (PS); Environment and Natural Resources and that of Water. Headed by the Environment Secretary, the Directorate of Environment is responsible for the overall coordination of environment issues and includes the three Directors: the Director of MEAs (DMEAS); the Director of Policy Formulation, Interpretation and Implementation (DPFII); and the Director of Programmes, Projects and Strategic Initiatives (DPPSI). The Climate Change Secretariat is also part of the Environment Secretariat.

The MEWNR has several key state corporations (parastatals) including the Kenya Forest Services, (KFS), the Kenya Wildlife Service (KWS), the Kenya Water Towers Agency (KWTA), the National Environment Management Authority (NEMA), the Water Resources Management Authority (WRMA) and the Water Services Trust Fund (WSTF).

NEMA is the Designated National Authority (DNA) for CDM and it was accredited as the National Implementation Entity (NIE) to access funding from the Adaptation Fund.

In 2013, the President appointed the Task Force on Parastatal Reforms which presented its recommendations in 2014 that a total of 42 parastatals, mostly in the agricultural sector, be dissolved, 28 others to be merged, while 22 others will have their roles transferred to other institutions and 21 others will be re-classified as professional bodies. Notably, the Task Force has also recommended the merging of KWS, KFS and the KWTA – a process that is currently under way.

The Ministry of Planning and Devolution coordinates the 47 counties.

In 2011, the Ministry of Finance established a carbon trading unit to explore the potential of attracting funding through the clean development mechanism for planned investments, such as the Lake Turkana Wind Power project.

In 2004, the Ministry of Agriculture, Livestock and Fisheries launched the ten-year (2004-2014) Strategy for Revitalizing Agriculture (SRA). Created in 2005, the Agricultural Sector Coordination Unit (AS-CU) is an inter-ministerial Secretariat to the agricultural and rural development sector ministries.

The Ministry of Transport and Infrastructure includes 18 State Corporations, such as the Kenya Roads Board, the Kenya National Highways Authority, the Kenya Urban Roads Authority, the Kenya Ports Authority and the Transport Licensing Board. Transport's contribution to GHG emissions is expected to triple from 2010 to 2030.

Civil Society: Kenya has a vibrant civil society sector with many NGOs operating in the environment and climate change sectors at the policy advocacy level and also directly implementing project interventions. The Kenya Climate Change Civil Society Working Group (KCCWG) is an active network of over 300 agencies including local, national and international CSOs, research institute, media and private sector organizations. The KCCWG is civil society organizations that has nine thematic groups; water; energy; agriculture, livestock and fisheries; tourism, trade and industry; conservation, pastoral-

ism and NRM conflicts; health; forestry; urbanization, housing and infrastructure; and the education thematic groups.

Community: As part of the ongoing process to promote more community participation in the management of natural resources, the various sectors have developed institutional frameworks for community engagement in NRM. The Forestry Act of 2005 allowed for the establishment of Community Forestry Associations (CFAs); the Water Act of 2002 created the legal framework for the establishment of Water Resource Users Associations (WRUAs) and the Fisheries Rules of 2009 allowed for the establishment of Beach Management Units (BMUs). These community institutions are legally recognised and have the mandate of regulating the use of the respective natural resources while promoting benefit-sharing schemes with the respective government agencies.

Private Sector: The private sector institutions are organised under two key umbrella bodies: the Kenya Association of Manufacturers (KAM) and the Kenya Private Sector Alliance (KEPSA). These two associations actively lobby for a conducive policy and legal environment for the private sector, promote corporate social responsibility and assist their members to mainstream environment and climate change considerations, such as by helping companies identify energy wastage and put in place appropriate technologies to make them more environmentally responsive and profitable.

Development Partners: All key funding agencies are currently in Kenya with the key ones in the environment and climate change sectors being EU, Denmark, UK, Sweden, USA, Finland, France, Germany, and the Netherlands and multilateral agencies such as the WB, AfDB, UNEP, UNDP and IFAD. The development partners are in the process of aligning their donor coordination structure to be in line with the new government/ministry structure. Aligned with the new structure of MEWNR, there are now two working groups, on 1) Environment and Natural Resources, and on 2) Water. Sector specific sub-groups have been created under these two working groups, e.g. on forests, wildlife, and climate change. The ToR for these working groups have been submitted to the government for approval. The working groups are jointly chaired by the government (Cabinet Secretary) and two development partners through a troika system, where there is both an incoming and an outgoing DP co-chair to maintain continuity.

The EU member countries have also developed the draft “EU Joint Cooperation Strategy in Support of Kenya’s Medium-Term Plan 2014-2017” that is aimed at enhancing cooperation and joint programming of the EU DPs.

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

For the 2007-2013 period, the European Union’s support to Kenya was guided by the 2003-2007 Country Strategy Paper and the 2008-2013 Country Strategy Paper and Indicative Programme. During the 2003-2007 period, the EC concentrated its support on the two focal sectors that were identified as priorities in the PRSP of agriculture and rural development, and physical infrastructure with a focus on roads. During the preparation of the 2008-2013, two focal sectors were identified: Regional economic integration by means of transport infrastructure and agriculture and rural development. Non-focal sectors supported capacity building for; i) improving governance and strengthening non-State actors; ii) economic growth through trade and private sector development.

In the agriculture and rural development focus areas, the EU has supported programmes aimed at reducing poverty, especially in the ASALs by means of substantial and sustainable improvements in rural livelihoods. Environment and climate change are specific objectives of the agriculture and rural development sector, especially due to the vulnerability of ASALs to climate change, necessitating programmes that promote sound environmental conservation principals and climate smart interventions that can reduce vulnerability of the communities, such as efficient water management, marketing, processing and husbandry, improvement of livestock productivity and diversification of plant and animal breeds and food preservation for improved food and nutrition security.

In the infrastructure programme, the prevention of environmental degradation caused by construction has been a priority of EU support to Kenya, i.e. by ensuring that EIA’s are carried out in a satisfactory manner and that sufficient mitigation measures are implemented. Further, it is considered to be in the interest of stakeholders to mainstream water infrastructure and hand it over to the communities along the funded roads.

In 2006 the EU supported the preparation of a Country Environment Profile (CEP), highlighting the key environmental challenges, policies, strategies and possible programme options. It established key linkages between the environment and poverty reduction, hence constituting a major source of baseline data for policy makers.

4.3 Overview of EU-funded interventions

EU support to Kenya included rural development; agriculture; infrastructure development (mainly roads), and climate change mitigation and adaptation. At the international level, EU support to MEA Secretariats and UNEP has contributed to enhancing Kenya's participation at various environmental and climate change governance institutions and processes.

Climate Change Mitigation and Adaptation: Support has been provided towards enhancing the legal and institutional framework for addressing climate change mitigation and adaptation through support to key institutions, such as NEMA to promote participatory environmental planning at the district level and for NEMA to prepare and implement its five-year strategic plan. Based on a request by the government, the EC has also provided support towards the rehabilitation of the Mau complex and other key water towers through institutional support to the lead agencies, such as the Interim Secretariat on the Mau, the Kenya Water Towers Agency, KWS and KFS and support for community livelihoods and programmes to address the root causes of forest destruction in the country.

Rural Development: Through the Community Development Programme, the EU provides for a demand-driven mechanism, the Community Development Trust Fund, through which communities can apply for funding to implement both socio-economic infrastructure, such as schools, water infrastructure, hospitals, rural access roads and small bridges and conservation activities, such as the rehabilitation of forests, wetlands and rangelands. Environment and climate change is specifically addressed in the Community Environment Facility (CEF) interventions, and also mainstreamed into Community Development Initiatives (CDI).

Under the Kenya Rural Development Programme, the EU is focusing on the ASAL areas to increase the capacity of the communities to effectively manage drought and improve resilience through climate smart interventions. Specific projects include the Northern Corridor rehabilitation programme, Agroecology based aggradation-conservation agriculture that includes innovations to combat soil degradation and food insecurity in semi-arid areas, conservation agriculture, strengthening climate change adaptation strategies through improved management at the livestock-wildlife-environment interface, and support for pastoralist value chains.

Agriculture: In addition to the ASALs, EU has provided support to the sugar sector with the objective of helping enhancing its competitiveness through improvement of efficiencies and reduction of production costs. EU support has also been provided for the commercialisation of seaweed farming and bee-keeping and improvement of the cereals sub-sector.

Infrastructure: EU support focused on roads to enhance access in rural and urban areas and tourist zones, but also included small-scale renewable energy actions, including cookstoves and solar and water and sanitation infrastructure.

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context – The cooperation between Kenya and EU is defined by the Country Strategy Paper (CSP) and the National Indicative Programme (NIP). For the 11th EDF (2014-2020), the priority sectors have been selected on the basis of a dialogue with GoK and Kenya's Vision 2030. While the CSP under the 10th EDF (2008-2013) does not specify environment as a focal sector, one of the objectives for the agriculture and rural development focal sector is related to environmental sustainability. Climate change is not addressed in the CSP for 2008-2013, but climate change adaptation is a central element of a number of the pro-

grammes and projects that were implemented, and is a specific area of focus in the new NIP (2014-2020). The cooperation in Kenya was intended in the CSP to comprise both budget support and project approach modalities; but in the implementation only the project approach modality was used.

EQ 1 Achievement of EU policy aims	Main findings
<p><i>To what extent has EU support to environment and climate change across different instruments contributed to the EU's overall environment and climate change policy aims?</i></p>	<ul style="list-style-type: none"> • There has been a contribution in Kenya towards the overall EU policy aim of improving environment and climate change in third countries. However, visible physical improvements in the environmental situation in Kenya are so far only seen in relation to specific actions at the local level. The EU support has to some extent contributed to the strengthened national policy and governance framework, although policy implementation is generally weak and the prioritisation of environment and climate change hence appears uneven. • Kenya is an active player in MEA negotiations, and EU and Kenya recognise each other as has having similar positions and being constructive in UNFCCC negotiations. ENRTP support for environment and climate governance through

<p>JC 11 National partner prioritisation of environment and climate change <i>EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>the UNFCCC Secretariat and support through UNEP has assisted in strengthening the participation and engagement of Kenya in global governance.</p> <p>Findings</p> <ul style="list-style-type: none"> • There has been an increase in priority – as evidenced by the establishment of NEMA and the Climate Change Secretariat and recent restructuring of the Ministry of Environment. Moreover, EIAs are a legal requirement and SEA is likely to become so. Donors and stakeholders agree that the environment policies are very conducive. However, the political interest still appears somewhat low, with the exception of climate change adaptation, as evidenced by the insufficient implementation of the policies. • The main factor influencing the choice of sectors (agriculture and rural development, transport infrastructure) in the CSP for 2008-2013 is GoK's preferences. Environmental issues, especially those that affect agriculture and rural development sector support, one of its objectives being: <i>promote conservation of the environment and natural resources by means of sustainable land use</i>. Climate change was not mentioned in the CSP, but CC adaptation was a central element of several actions, due to GOK's strong interest on reducing vulnerability in arid and semi-arid lands (ASALs). • EU has therefore contributed to environment and climate change related issues in the country, but primarily at the project level, i.e. with funding at the local level for climate change adaptation and improved natural resource management in, e.g. in the ASALs and the Mau Forest. Policy dialogue in the environment and CC related sector working groups has mainly focused on programmatic issues and information sharing rather than prioritisation in development policy ad strategies. • The EUD has recently held meetings with member states to define joint programming, but the progress on this appears somewhat limited. • During the period under evaluation, environment and climate change dialogue took place in 5 different sector working groups (WGs): Climate change, environment, forestry, wildlife, and water. It was decided in 2014 to reorganise the working groups and align them with the restructuring of the new GoK (elected in April 2013) had done of the ministries, where the above areas were merged into the Ministry of Environment, Water and Natural Resources (MEWNR). So the intention is to establish a single environment, water and natural resources WG with 2 sub-sector groups on 1) environment and natural resources and 2) water. Moreover, 2 issues groups have been established, with EUD chairing the Forestry Issues Group. The activity level of the WGs was reduced in 2014, but the WGs are anticipated to resume their prior level of activity, once restructured. • However, policy dialogue has mainly focused at programmatic issues and sharing information, rather than discussing policy issues. A key policy theme is how DPs can support the ongoing devolution process. • Nonetheless, EUD and GoK have had bilateral policy discussions in relation to UNFCCC and CITES COPs (but not for CBD) and on the SDGs, initiated from Brussels. The focus of these meetings has been on sharing information on the positions of Kenya and the EU. Both GoK and EUD appreciate this dialogue. However, EC outreach missions before UNFCCC COPs come in too late in the year (shortly before the COPs) to have real influence on GoK positions. • <u>UNEP Global</u>: The ENRTP funded UNDP-UNEP Poverty-Environment Initiative (PEI) seeks to engage with ministries of finance or planning to ensure that environmental concerns are given higher priority in the development agenda and mainstreamed.
<p>JC 12 Use of instruments to enhance achievement of policy aims <i>The extent to which ENRTP and geographic instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Due to the vulnerability of the ASALs, GoK is now giving high priority to CC adaption (as evidenced with the establishment of the National CC Secretariat in 2010), but other environmental issues remain less prominent on the agenda, with the exception of: a) wildlife in national parks, due to the economic importance of the tourism sector, and b) the protection of five "water towers", mountains and forest, which are the sources for Kenya's major rivers. Nonetheless, the mandate and technical capacity of the Ministry of Environment has been enhanced since 2007, as evidenced with the establishment of NEMA (the National Environmental Management Agency), and the recent enhancement of the Ministry's mandate to cover environment, water and natural resources. Moreover, EIAs are a legal requirement and SEA is likely to become so. While there is generally a conducive policy and legal framework for environmental management, many sector stakeholders feel there is insufficient implementation of the policies due to limited priority given from the political level.

	<ul style="list-style-type: none"> • EU's environment and CC support was well aligned with national priorities; with a strong emphasis on climate change adaption in ASALs and support to manage specific water towers more sustainably. For the agriculture and rural development sector, the emphasis is now (2014-2018 NIP) on CC resilience. The Mau Forest project and the upcoming project on Water Towers are also aligned with GoK priorities. The decision to focus on Mt. Elgon and Cherangani Hills was based on a feasibility study and GoK's own formulation of the programme (scope, geographical focus and implementing agencies). • EU support for the Community-Development Trust Fund (CDTF) appears to have been a contributing factor to the attention now given to CC adaptation. EU support has thus contributed to bringing attention to the needs of people in the ASALs, their vulnerability to environmental degradation, and not least options for addressing environmental issues as a means to improve livelihoods. While GoK is not cofunding CDTF it provides a significant and instrumental in-kind contribution. EU will under the 11th EDF pay specific attention to the climate proofing of infrastructure. This is therefore in line with EU policies to enhance CC adaptation and conserve natural resources. • Kenya is an active player in MEA negotiations. For example, Kenya is a member of the Standing Committee on Climate Finance, the Technical Executive Committee, and the Adaptation Fund Committee. Kenya is also on the board of the Warsaw International Mechanism for Loss and Damage. • The EU and Kenya recognise each other as has having similar positions and being constructive in UNFCCC negotiations. Moreover, both have climate change mainstreaming on their policy agenda. • Support for environment and climate governance through the UNFCCC Secretariat and support through UNEP has assisted in strengthening the participation and engagement of Kenya in global governance.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
The priority given by national partners to environment and climate change issues has gradually increased. (JC11)	The priority given to climate change adaptation has increased significantly. For environment, the picture appears more mixed; the legal and institutional framework has improved, but implementation is lagging behind.
Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)	Too little evidence to confirm or reject the hypothesis. Most dialogue is done through the formal mechanisms.
MEA processes have influenced national policy debates. (JC12)	Kenya is committed to being an active and constructive player in relation to international agreements and negotiations. UNFCCC features quite prominently on the agenda, but CBD and other MEAs are far less visible.
Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)	The support for environment and climate change is fully aligned with national priorities.
ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)	There is no evidence supporting this hypothesis. The most important ENRTP action in Kenya was the Mau Ecosystem Rehabilitation project, which was implemented by UNEP on behalf of GoK. The agreement was signed by EU and GoK.
Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)	Not assessed for the country mission.

5.2 EQ 2: Low emission



Context – EU support to Kenya focuses on CC adaptation and mitigation is mainly supported via ENRTP. EU support to low emissions in Kenya is primarily provided through the UNFCCC Secretariat and through a global UNDP implemented Low Emission Capacity Development Project (LECB) where Kenya is one of the participating countries, although tree planting and forest rehabilitation also contributes. UNFCCC Secretariat support is evaluated under EQ7 (International climate change governance). The Ministry of Environment, Water and Natural Resources (MEWNR) is the lead institution for low emission and the lead partner

for EU support.

<p>EQ 2 Low emission <i>To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU involvement in MRV is only through ENRTP support for LECB and for the UNFCCC Secretariat. EU has directly contributed to the development of three NAMAs with MRVs through LECB, and indirectly to the development of other NAMAs, the overall MRV and GHG inventory through a) LECB capacity building and support for GoK (CC Secretariat, Ministry of Energy and Ministry of Transport) and b) the support for the UNFCCC Secretariat. LECB has also contributed to building the national capacity, including in-house capacity of GoK. • The USAID funded EC-LED project, which builds on LECB, will provide further support for NAMA/MRV and the NCCAP implementation.
<p>JC 21 Monitoring, Reporting and Verification <i>Increased capacity to Monitor, Verify and Report (MRV)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • An overall MRV system for its National Climate Change Action Plan (not supported by EU) called MRV+, a greenhouse gas inventory and a NAMA registry have been developed, but data collection has not started yet. LECB contributed to this with the establishment of a prototype inventory and brining in a junior team for documenting and archiving. • A forest inventory system has been established under UN-REDD (not with EU support). • It is planned to develop specific MRV systems for each NAMA. • EU involvement in MRV is only through ENRTP support for a) the development of three NAMAs under LECB, and b) for the UNFCCC Secretariat.
<p>JC 22 NAMAs and LEDS <i>Availability of strategies and actions that support a low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU involvement is only through ENRTP support for LECB and for the UNFCCC Secretariat • Three NAMAs were supported by LECB (EU funded), but still to be finalised: sustainable waste management, transport, and renewable energy for off-grid rural communities. LECB has provided capacity building support and helped to identify institutions that can provide financing. The NAMA on renewable energy is a pilot NAMA focusing on solar light and cook stoves in rural areas and will into a bigger energy NAMA. The sustainable waste management NAMA was submitted to the NAMA Facility for support, but without success. The other two NAMAs are anticipated to be completed before mid 2015 • Three NAMAs, including the LECB supported sustainable waste were submitted unsuccessfully to the NAMA Facility for funding. • Other NAMAs are also being developed (not with EU support): <ul style="list-style-type: none"> ○ The German International Climate Initiative (IKI) will support the development of a NAMA on renewable energy in low-income urban areas. ○ The Ministry of Agriculture is working on a NAMA for the dairy industry, but progress is reportedly limited. • Kenya does not have a LEDS. Instead it has the NCCAP, which includes mitigation action plans. This was not EU supported, but the new USAID funded Enhancing Capacity for Low Emission and Climate Resilient Development Project (EC-LED) will support the NCCAP's implementation, create a GHG inventory, support the establishment of a Climate Change Council, provide training and enhance coordination of CC activities. In Kenya, EC-LED is implemented by UNDP and it builds on LECB as the LECB team implements it.
<p>JC 23 Capacity for low emission development <i>Increase in knowledge on implementing low emission</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • UNFCCC Secretariat support and LECB training as well as support from other donors has contributed to increased knowledge and in-house capacity of GoK, as evidenced by the progress on NAMA and MRV development. An

<i>development.</i>	<p>issue in Kenya has been that consultants prepared inventories and UNFCCC national communications, which little capacity development within GoK. LECB therefore focused on training GoK staff, with 4 trainings and a guidance manual on data collection and management to build in-house capacity.</p> <ul style="list-style-type: none"> • The off-grid sustainable energy NAMA focuses on building community capacity through the schools system and training of local artisans on maintenance. • The 2014 Green Economy Assessment Report for Kenya that is part of the Green Economy and Social and Environmental Entrepreneurship in Africa Project uses the Threshold 21 (T21) tool which allows insight into the potential impacts of different investments on key sectors, thereby facilitating the development of low emissions strategies. • NAMAnet is not yet operational in Kenya and has only done some initial consultation, but will become operational in 2015.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
In-country coordination efforts work and are likely to offer a good partial solution to the coordination effort;	The CC Secretariat in the Ministry of Environment, Water and Natural Resources play a coordinating role. A challenge is reportedly that donors do not always take existing results and achievement into consideration in their project designs. Reportedly the only agencies involved in supporting NAMA/MRV development is currently LECB, the follow-up USAID funded EC-LED implemented by the LECB team, and German funded support via ECOFYS (Dutch consulting firm) and ECN (Energy research Centre of the Netherlands) for the geothermal NAMA.
NAMAs developed so far likely to be bankable or attract private sector finance;	The NAMAs submitted so far have been unsuccessful in securing funding from the NAMA Facility. It is too early to tell. Most NAMAs are still under preparation and have not been submitted yet and, while the submitted NAMAs did not get funding from the NAMA Facility, this was in general the case for African submissions.
The NAMAnet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;	The NAMAnet is not yet operational in Kenya (and was not known about in Kenya by the people consulted), but will become operational in 2015.
The PMR market readiness approach is attracting the private sector to be engaged;	Not applicable in Kenya
The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;	No actions from the Green Diplomacy Network, it mainly provides information to the EUD and calls for démarches in relation to MEA COPs. There appears to be no link to mitigation actions in Kenya.
The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.	No evidence collected in Kenya that confirms or rejects this hypothesis.

5.3 EQ 3: Sustainable energy



GEEREF has not been active in Kenya. For this reason this evaluation question was not evaluated in Kenya. The EU support for sustainable energy in Kenya during the period under evaluation is:

- A small-scale project under CDTF/CEF (Community Environment Fund) to produce fuel from propolis (an invasive species) at the community level.
- Interventions to promote energy efficient stoves, solar panels, and jatropha oil production.
- Lake Turkana Windmills is a large-scale (300-500 megawatt, USD 600 million investment) private initiative, which is receiving funding from several sources. EIB is providing a concessional loan. Construction is still to commence.

5.4 EQ 4: Biodiversity



Context – EU's support has not focused explicitly on biodiversity, but has nonetheless supported biodiversity conservation through a) CDTF/CEF funded projects on community-based wildlife conservation areas (usually linked with promotion of ecotourism) and fencing of conservation areas (to reduce human-wildlife conflicts) and b) support for improved management of a block of the Mau Forest (UNEP implemented with ENRTP funding).

<p>EQ 4 Biodiversity <i>To what extent has EU support (via the ENRTP and geographic instruments) helped improving the capacity of partner countries to prevent/reduce the loss of biodiversity?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Support has not been provided at country level by the EU in Kenya to build the national capacity. • EU support has directly strengthened the management of one protected area (the Mau Forest) through institutional and capacity-building support to the Interim Coordinating Secretariat for the Mau (ICS Mau) and rehabilitating degraded forest lands. • EU also provided funding under the Community Development Trust Fund (CDTF) for the establishment of community wildlife conservation areas on off-reserve community lands. • EU support for the global MIKE (monitoring illegal killing of elephants) project has increased the capacity of Kenya to gather data and information on elephant poaching, which can be used to guide anti-poaching efforts.
<p>JC 41 Implementation of Commitments <i>Enhanced capacity of partner countries to implement their commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Kenya's 2000 NBSAP is currently being revised to align it to the 2010 Constitution and the CBD strategic plan. There appears to be more progress with the implementation of CITES than CBD. There is inadequate political will and financial support to implement the NBSAP, which is moreover currently outdated. Ecological degradation continues in many biodiversity-rich ecosystems in Kenya except where there are clear political gains (as in the case of the Mau Forest). • EU support in this framework has been through ENRTP to the CITES Secretariat for the global MIKE project, which is also implemented in Kenya. MIKE has introduced a system for monitoring elephant populations and illegal killing and provided capacity building on its use. • EU support has not engaged at the country level in building the national capacity to implement CBD and CITES. • CDTF/CEF has influenced CITES policy in Kenya: CDTF supported KWS in mapping and determining the amount of wild Aloe and potential for sustainable harvesting which culminated in the establishment of the 2007 Regulations on Aloe species. As a result Kenyan Aloe species were downgraded from CITES 2 to CITES 3 and it became possible to domesticate Aloe in certain areas. KWS/KEFRI now has an officer who monitors Aloe on a full-time basis.
<p>JC 42 Ability to conserve biodiversity <i>Strengthened national capacity to conserve habitats/ecosystems</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has directly contributed to: <ul style="list-style-type: none"> ○ Establishing community managed wildlife conservation areas, with funding for projects for wildlife conservation/management and ecotourism in community lands under the Community Development Trust Fund (CDTF). CDTF has also funded fencing of protected areas, thereby reducing human-wildlife conflict. ○ Strengthening the national framework to manage the Mau Forest under the ENRTP funded Innovative Approaches Towards Rehabilitating the Mau Ecosystem project implemented by UNEP through: development of a management plan, rehabilitation of degraded forests, and promoting sustainable livelihood for forest adjacent communities to reduce the extraction of forest resources. The Interim Coordinating Secretariat for the Mau (ICS-Mau) was provided with support for the compilation of a register and livelihood handbook for the Ogiek (a forest dependent community); equipping and training of a joint agency enforcement team; formation of a Mau stakeholder forum; and the development of a Strategic Plan for the ICS-Mau, which in 2012 was established as the Water Towers Agency. • The follow up EU funded "Watershed Protection and Climate Change Mitigation and Adaptation Programme" seeks to address the root causes

	<p>of the destruction of the Mau and other watershed areas in the country, such as forest excisions, weak institutional capacities and adverse impacts of climate change."</p> <ul style="list-style-type: none"> • The new Water Towers project in Mt Elgon and Cherangani Hills is planned to build on the results from the Mau Forest project and to promote payment for ecosystem services. • In terms of surface of protected areas receiving EU support for improved protection/ management, the Mau complex covers over 4,000 km². EU support under the "Innovative Approaches Towards Rehabilitating the Mau Ecosystem" focused on the rehabilitation of five blocks in the Northern Mau (Nabkoi, Tinderet, Northern Tinderet, Timboroa and Maji Mazuri). The institutional support to the Interim Coordinating Secretariat for the Mau (ICS-Mau) benefited the whole complex. • CDTF/CEF: Support to CFAs (Community Forestry Associations), WRUAs (Water Resource Users Associations) and other community-based organisations for the rehabilitation and protection of forests, riparian areas, rangelands and wetlands; the total area is unknown.
<p>JC 43 Knowledge and Information on Biodiversity <i>Improved availability of, and access to, knowledge and information on biodiversity</i></p>	<p>Findings EU only engaged in this with the support through ENRTP for MIKE project (see JC41).</p>

Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
Biodiversity issues are now mainstreamed (including increase in budgets) into the new lot of CSP. Tools developed are applied	Biodiversity is not specifically addressed in new NIP.
EU innovative approaches to habitat/ecosystem management are applied in PPP	Community-based wildlife conservancies were established under CDTF/CEF.
EU SPSP for protection of biodiversity at national level is on the increase	SPSP was not provided in Kenya.
Research programmes (show-cases/results) are used for the development – formulation of country strategies, programmes, projects financed by ENRTP-EDF-geographical instruments.	EU did not support Biodiversity research in Kenya during the period under evaluation.

5.5 EQ 5: Green economy



Context – EU support for the green economy (GE) in Kenya was provided through ENRTP and UNEP for the Green Economy and Social and Environmental Entrepreneurship in Africa Project, and since mid-2014 also through SWITCH Africa Green. No support was provided for GE through geographic instruments.

GoK has established SCP related centres, but these were not supported by EU:

- The Kenya National Cleaner Production Centre (KNPCPC) promotes resource efficiency and cleaner production through training, awareness creation, project implementation and policy advice. Established in 2000 by the Ministry of Trade and Industry, UNDP and UNIDO.
- The Kenya Climate Innovation Centre (KCIC) was established with support from Denmark, DFID and the WB has supported more than 100 enterprises and there are plans to upscale and commercialize some of them.

<p>EQ 5 Green economy <i>To what extent has the EU support enhanced sustainable and resource-efficient production and consumption policies and practices⁶⁹ and therefore contributed to the greening of</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU support for GE has been through ENRTP funding for the Green Economy and Social and Environmental Entrepreneurship in Africa Project and its SEED awards in the areas of waste recycling, agriculture and biomass energy. • The EU support has helped stakeholders identify opportunities and
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⁶⁹ SCP interventions are the main scope. Natural resources management interventions are not considered.

<p><i>the economy of supported countries?</i></p>	<p>constraints through the 2014 Green Economy Assessment Report for Kenya that was conducted under the Green Economy and Social and Environmental Entrepreneurship in Africa Project.</p> <ul style="list-style-type: none"> • Some SEED (EU funded) supported enterprises have raised funding for upscaling from both commercial and non-commercial international and domestic sources. But it is reportedly still difficult to attract commercial funding for upscaling of eco-innovations. • Kenya is making initial steps towards a green economy, with SCP priority actions in the National Climate Change Action Plan launched in 2013, the Kenya National Cleaner Production Centre from 2000, and the Kenya Climate Innovation Centre. But this was not supported by EU. • A full framework of economic instruments is not in place, although solar panels are tax exempted.
<p>JC 51 Green economy capacity <i>Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has only engaged in GE through ENRTP funding for UN agencies: Green Economy and Social and Environmental Entrepreneurship in Africa Project and SWITCH Africa Green, of which the latter has not yet begun implementation. No evidence was found on the use of EU specifically as a source of standards and expertise. • As part of the Green Economy and Social and Environmental Entrepreneurship in Africa Project, UNEP facilitated the formation of the "Inter-Ministerial Committee on Green Economy" to lead the green economy in the country. The Committee comprised members from various government ministries and the private sector organizations • The Green Economy Assessment study used the Threshold (T21) simulation tool, which allows insight into the potential impacts of different investments on key sectors; information that is useful for policy makers. • The EU has not supported SCP mainstreaming in policies and regulatory frameworks, although the National Climate Change Action Plan launched in 2013 highlights priority actions for promoting SCP.
<p>JC 52 Green economy implementation <i>Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has through Green Economy and Social and Environmental Entrepreneurship in Africa Project/SEED funded 16 small-scale innovative enterprises, e.g. in establishing the production/selling of green products, or in strengthening the business management of green enterprises (fence poles made from recycled plastic and sawdust, solar lamps, biomass energy technologies and agriculture), • These award winners were also trained on business and organisational skills and business plan development and provided opportunities to link to other SEED award winners, policy-makers, institutions and investors at international SEED symposia in South Africa or Kenya. • Some SEED supported enterprises have been able to attract significant funding for upscaling from both commercial and non-commercial international and domestic sources e.g. by linking to investors met at SEED symposia. However, it was not possible to get an aggregation of the amount of support the award winners have been able to attract to date. • A full framework of economic instruments related to green products is not in place. The only example of an economic instrument for GE found is that solar panels are tax exempted (and GoK at one point began taxing solar panels but due to complaints this was stopped). No incentives are provided for waste recycling. • <u>UNEP Global</u>: SWITCH Africa Green was delayed, since the project still had to go through UNEP's internal QA approval procedure after DEVCO had approved the project. Hence, the project is still in its inception phase and implementation has not started yet. Staff have been recruited in the countries and the first call for proposals has been announced in 3 out of 6 countries: Kenya, Ghana, and Uganda.

Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?	Not applicable in Kenya
Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from	It is too early to tell, but SWITCH Africa Green is developed on the basis of the experiences from SWITCH Asia. SWITCH Africa

Overall desk hypotheses	Evidence from Kenya's case study
SWITCH-Asia and how has this changed the programmes?	Green is in initial stages and has only launched a call for proposals in Kenya.
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa programmes?	The EUD has seemingly not played a role in relation to the Green Economy and Social and Environmental Entrepreneurship in Africa project. The role in relation to SWITCH-Africa Green is also very limited. Kenya is not part of PAGE.
Have capacity building activities on SEA in Ukraine increased the quality of SEAs?	Not applicable in Kenya.
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	Some SEED supported enterprises have been able to attract funding for upscaling. But no quantitative data was available to the mission team.
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not applicable in Kenya.
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	Not applicable in Kenya.
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	Not applicable in Kenya. But national climate change and environment policies and medium-term development planning guidelines call for mainstreaming and green economy into sector policies and plans.
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	EU standards as such have not been transferred but approaches. SWITCH Africa Green has not yet started project implementation in Kenya.

5.6 EQ 6: Environmental governance



Context – The support to international environmental governance has been channelled through UNEP and the MEA Secretariats it hosts since 2007 and especially since 2010.

<p>EQ 6 Environmental governance</p> <p><i>To what extent has ENRTP contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) and UNEP-related processes?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> Capacity building, guidelines and publications from biodiversity MEA secretariat are seen as useful and have enhanced the ability of Kenya to a) engage in MEA negotiations and b) revise its NBSAP. The various biodiversity conventions are independent and there are challenges of limited coordination and information sharing among them, and parties have to submit separate annual reports for different biodiversity MEAs. There have been attempts in Kenya to consolidate the biodiversity MEAs, but there has not been enough financial support for this. <u>UNEP Global</u>: Some MEA secretariats are small and with limited capacity to support parties in implementing their commitments and some MEAs do not have any funding mechanisms. With ENRTP support, UNEP has improved the coordination of MEAs (in relation to waste and chemicals and biodiversity) and built the capacity of developing countries to engage in negotiations and implement their commitments.
<p>JC 61 International institutional framework</p> <p><i>Extent to which EU support to UNEP and its MEA Secretariats has strengthened the MEA related international institutional framework and processes in relation to biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> Capacity building workshops organised by the MEA Secretariats have assisted the country to understand the MEA processes and priority issues and also how to domesticate the MEAs, e.g. in relation to NBSAP revision. The various biodiversity conventions are independent and there are challenges of limited coordination and information sharing among them. There have been some attempts to consolidate the conventions on biodiversity, but there has not been enough financial support for this. Support for COP attendance was helpful but insufficient, with only one delegate supported and sometimes not even support for this is provided.

	<p>Various government ministries provide additional support and the official Delegation at CBD COPs is now normally made up of 1-5 delegates. The CBD Focal point observed that it is now not conceivable for Kenya not to send an official delegation to the major COPs, even if there is no external funding because the country understands their importance.</p> <ul style="list-style-type: none"> • Capacity building from MEA Secretariats has helped Kenya articulate its priorities but this is an on-going process that needs to be upscaled and sustained so that Kenya can effectively participate in the negotiations. • For the CBD, Kenya reports biannually and sometimes gets support from the GEF (usually \$20,000) for preparing the obligatory reports to the convention, with GoK supporting the necessary technical inputs and providing logistical support for the stakeholder workshops during which the reports are prepared. • In relation to CITES, Kenya has been able to articulate its reservations regarding the legalisation of trade in ivory because of the general low capacities of many African countries to monitor and stem illegal trade, and since some Southern African countries have advocated to be allowed to trade in ivory. • Due to the upsurge of poaching of elephants and rhinos in Kenya, and in the African region, Kenya is among eight countries that were given an ultimatum by CITES to come up with more effective systems to rein in the illegal trade in ivory and rhino horn and this has prompted GoK to increase surveillance and the prosecution of high level sponsors of the illegal trade and not just the poachers. • <u>UNEP Global</u>: UNEP is hosting (but not managing) several MEA Secretariats, including: CBD, CITES, CMS, Basel-Rotterdam-Stockholm, and the Ozone Secretariat (Vienna Convention/Montreal Protocol). Some MEA secretariats are small and with limited capacity to support parties in implementing their commitments and some MEAs do not have any funding mechanisms. With ENRTP support, UNEP has implemented projects aiming at a) improving coordination of MEAs related to biodiversity and MEAs related to water and chemicals, b) building the capacity of developing countries to engage in negotiations, and c) developing the capacity of developing countries to implement their commitments. These are: <ul style="list-style-type: none"> ○ The MEA focal point points project (2012-2014); where regional focal points provide capacity building and advice for MEA parties (countries). ○ Synergies between the 5 major biodiversity MEAs project (CBD, CITES, CMS, Ramsar, the International Treaty on Plant Genetic Resources for Food and Agriculture, approved in 2013) – builds on the success with enhancing coordination of the waste-chemicals MEAs. ○ www.informea.org, a one-stop shop with information on 50+ MEAs, including COP decisions ○ Waste and chemical synergies and financing project, which lead to the establishment of a single joint secretariat for the Basel, Rotterdam and Stockholm conventions. A follow-up project was approved in Mid 2014 ○ ACP MEAs project (EU, but not ENRTP funded) provides capacity building for MEA implementation at the national level for ACP countries in regional clusters. • UNEP thereby promotes synergies between the different MEAs, and strengthens the ability of parties to engage and to implement. UNEP thus helps the MEA secretariats, many of which do not have the capacity to carry out such support.
<p>JC 62 Greater knowledge <i>Extent to which EU support to UNEP and its MEA Secretariats has improved access to knowledge on biodiversity and biodiversity conservation (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • According to the CBD Kenya country profile, overall, being a party to the CBD and other biodiversity conventions, has improved the financial, human, scientific, technical and technological capacities of Kenya to implement the conventions, but more still needs to be done in the area of technology transfer. • Support to the participation in MEA COPs and workshops has also provided access to new knowledge, e.g. Kenya was supported to attend the Nagoya Protocol on access and benefit sharing of genetic resources and a staff member from KWS attended a workshop on the same topic. • Monitoring systems are embedded in most agreements, but the coordination is an issue, with parties having to submit separate annual reports for different MEAs. There has not been any UNEP/EU financed interventions on biodiversity monitoring in Kenya in 2007-2013, other than MIKE (see EQ4).

<p>JC 63 Capacity for policy and planning <i>Extent to which EU support to UNEP and its MEA Secretariats has enhanced developing countries' capacity to engage effectively in biodiversity related policy formulation and planning to meet their commitments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The 2000 NBSAP is currently being revised to align it to the 2010 national Constitution and the CBD Strategic Plan. The training CBD Secretariat's workshops have been useful for the preparation of the NBSAP, together with the CBD guidelines on NBSAP preparation and review, benefit sharing and taxonomy. Kenya intends to address the issue of national target setting through national consultations and create awareness of the Aichi Biodiversity Targets. The workshops have benefited staff from various government agencies, including MEWNR, NEMA, KWS, National Museums of Kenya and the Kenya Marine and Fisheries Institute. • The EU funded MIKE Project is enhancing skills at the national level for CITES monitoring (see JC41).
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Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
The EU support for participation in CBD-PoWPA-CITES-Chemicals agreement processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC61, JC62)	The training and capacity building has assisted Kenya to articulate its priorities in relation to CBD, and also in relation to revising its NBSAP.
Developing countries have become more organised and vocal at CBD-PoWPA-CITES-Chemicals negotiation processes. (JC61)	As above.
The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in CBD-PoWPA-CITES-Chemicals related agreements. (JC61)	Not applicable, Kenya is neither an LDC or an SIDS.
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC62)	Kenyan stakeholders access new data, knowledge, methodologies, guidelines/manuals and tools through the training workshops and publications provided by the MEA Secretariats.
That the ENRTP support to UNEP- MEA Secretariats under new priority 3.3 and old priority 4 has resulted in (JC63): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national biodiversity policies, NBSAPs, PoWPA (inter-linked to EQ4 on biodiversity).	The MEA Secretariats have organised relevant training sessions that have benefited a range of professionals from different institutions, such as the National Museums of Kenya on taxonomy, and on benefit-sharing schemes for Kenya Wildlife Service and NBSAP review for MEWNR/CBD focal point.

5.7 EQ 7: Climate governance



Context – EU does not have a long history of supporting climate change in Kenya. Climate change did not feature in the CSP for 2007-2013, but climate change adaptation was nonetheless central element of a number of the actions under the agriculture and rural development focal area, especially in the ASALs. Climate change adaptation features very prominently in the NIP for 2014-2020. Moreover, Kenya benefited from support provided under ENRTP at the global level for the UNFCCC Secretariat, for UNEP projects, and for the UNDP implemented LECB project.

<p>EQ 7 Climate governance <i>To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU has through ENRTP provided funding for the UNFCCC Secretariat), and thereby contributed to a) the activities and workshops implemented by the UNFCCC Secretariat, including the Cartagena Dialogue, to enhance the capacity and participation of developing countries, b) funding for participation in COP, intersessional and workshops, and c) support for UNEP's activities to strengthen MEA participation and implementation, and d) UNDP LECB. (see Desk Report) • Participation in COPs, intersessionals, and the Cartagena Dialogue is seen as critical for Kenya's engagement in UNFCCC negotiations. • The tools and capacity building provided by the UNFCCC Secretariat are found useful, e.g. for the preparation of climate policies, NAMAs, MRVs as well as institutional structures, such as the CC Secretariat. • Kenyan delegates have an increased awareness and capacity. A key factor has been the establishment of the national CC Secretariat. The UNFCCC Secretariat's capacity building has also helped. Kenya is active in various UNFCCC groups. • It is not currently a major disadvantage to be a non-LDC country in terms of accessing funding, although there is a trend in that direction. Kenya has recently received a grant from the Adaptation Fund. • Kenya is active in various UNFCCC groups.
<p>JC 71 International institutional framework <i>Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has through ENRTP provided funding for the UNFCCC Secretariat, and thereby contributed to a) the activities and workshops implemented by the UNFCCC Secretariat, including the Cartagena Dialogue, to enhance the capacity and participation of developing countries, and b) funding for participation in COP, intersessional and workshops (one person in the intersessionals and workshops and two in the COP meetings). (see Desk Report) • MEWNR funds the participation of staff with its own resources, but cannot always afford to do so (i.e. towards the end of the financial year). Kenya does not have enough people at COPs to follow all negotiations, so they coordinate participation with other countries from the G77 and Africa Groups. • Participation in the intersessional is seen as critical, as that is where the technical work is done, which is then adopted at the COPs. • The EU funded Cartagena Dialogue is an important forum for developing countries for analysis, for developing technical papers, and for enhancing their negotiating capacity. Other forums are also seen as useful in this regard; such as the International Partnership on Mitigation and MRV and the Low Emission Global Partnership, which brings in the technical perspective on the implementability of COP outcomes. • Much has changed in the UNFCCC process, with increased awareness and capacity of Kenyan delegates. For example, Kenya did not have a national position before arriving at Cop16 (Cancun 2010), whereas Kenya now has a team, which includes some lead negotiators for the Africa Group. A key factor has been the establishment of the national CC Secretariat, which has enabled Kenya to institutionalise its participation and obtain a clearer understanding of the process. The UNFCCC Secretariat's capacity building also has helped. • Kenya has not so far felt it was a major disadvantage to be a non-LDC country in terms of accessing funding, although GoK staff do see a trend moving in that direction. Most donor programmes are tailor-made for LDCs. The most important thing is to be organised and well-prepared in seeking funding. Kenya has recently had one Adaptation Fund project approved.

<p>JC 72 Greater knowledge <i>Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Kenya is active in various UNFCCC groups, and a number of Kenyan experts are involved in the IPCC and UNFCCC expert groups. EU has through ENRTP provided funding for the UNFCCC Secretariat WMO/IPCC and thereby contributed to the funding for participation (see Desk Report). • The IPCC Secretariat is consistently funding the participation of the national IPCC Focal Point in workshops. Only people from the Meteorological Department have been trained by WMO. EU has through ENRTP provided funding for WMO/IPCC and thereby contributed to the funding for participation (see Desk Report). • Kenya has also established a CC Secretariat and a GHG inventory with staff assigned. The Meteorological Department and the CC Secretariat will be a one-stop shop for data and information, when the CC Resource Centre is established with support from the LECB and the EC-LED follow-up project funded by USAID. Other countries have visited Kenya to learn from this experience. • Kenya is active in various UNFCCC groups. Kenya is a member of the Technology Executive Committee and Kenya has since 2014 been on the board of the Warsaw International Mechanism for Loss and Damage. Kenya is also a member of the Consultative Group of Experts on National Communication. • IPCC has made a contribution to CC information on Kenya, but there are still data gaps. There is still a missing link from technical work to policy and there is not enough effort to reach decision-makers with IPCC work beyond recommendations made at COPs. Hence, there is no direct integration of IPCC's 5th Assessment Report into national and sub-national policies.
<p>JC 73 Capacity for policy and planning <i>Extent to which EU support to international entities has enhanced developing countries' capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Kenya has participated in a number of UNFCCC trainings and workshops. The skills obtained are for example applied in the preparation of NAMAs and policies (see below). • Kenya has established a dedicated CC Secretariat and a GHG inventory with staff assigned. Other countries have visited Kenya to learn from this experience. • Kenya has hosted meetings, e.g. the Cartagena Dialogue in 2012. • Kenya has developed: <ul style="list-style-type: none"> ○ National Climate Change Action Plan ○ A draft Climate Change Policy and Climate Change Bill ○ A GHG inventory ○ An overall MRV system ○ A NAMA registry ○ A forest inventory system ○ Three submitted (unsuccessful) NAMA ○ Moreover, at least 5 NAMAs are under development • EU has directly contributed to the development of three NAMAs with MRVs as well as strengthening the NAMA Registry through LECB (see E Q2), and indirectly to the development of other NAMAs, the overall MRV and GHG inventory through the support for the UNFCCC Secretariat.

Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)	There is evidence of increased capacity with the CC Secretariat, the National Climate Change Action Plan, GHG inventory and progress on NAMAs and MRV. The level of participation and proactive role Kenya plays in the UNFCCC processes and the appreciation by the EUD of Kenya as a positive contributor to the UNFCCC process is encouraging. The support provided by the UNFCCC Secretariat (with funding from EU) has been a contributor.
Developing countries have become more organised and vocal at climate negotiation processes. (JC71)	
The needs and priorities of LDCs and SIDSS are increasingly being heard and taken into account in UNFCCC related agreements. (JC71)	Not applicable for Kenya as a non-LDC country. Ghana views EU's role in the negotiations as being very positive and generally in line with Ghana's priorities.

Overall desk hypotheses	Evidence from Kenya's case study
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC72)	There is evidence in the form of the establishment of the CC Secretariat, the new policies, the GHG inventory, progress on MRV and NAMAs, and with the new National Climate Change Action Plan.
That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).	

5.8 EQ 8: Mainstreaming approach



Context – DEVCO has made mainstreaming support available for EUDs and to a lesser extent to national counterparts; with an increasing emphasis on mainstreaming in EU policies in general and for development cooperation, mainstreaming guidelines, training on mainstreaming, and technical advice for EUDs. The availability of support during 2007-2013 was particularly prominent with the Environmental Helpdesk up till the end of 2009. After 2009, the Helpdesk was closed, but mainstreaming training courses are still offered. However, the budget for training has been reduced significantly during the period evaluated. The EUD

in Kenya appears not to have used the available support to a significant extent in 2008-2013, although a CEP was prepared in 2008. In 2014 the Kenya EUD hosted a regional mainstreaming course.

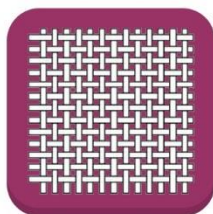
<p>EQ 8 Mainstreaming approach <i>To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Many policies and communications make it difficult for EUDs to get a clear overview of what is required and expected. • The mainstreaming guidelines have been used and were found useful for SEA contracting, but not for environmental screening in relation to infrastructure capacity building. The CEP was found useful. Some EUD staff feel that they lack adequate mainstreaming tools. • The EUD hosted in 2014 a regional climate change mainstreaming course and several EUD and GoK staff participated from different sectors. The course was found very good. • The EUD generally has good mainstreaming capacity, but less capacity to move beyond EIAs and into broader, more strategic issues. • At the global level, EU's overall structure seems not conducive for cross-sectoral work, and there is not yet a full buy-in to the environmental mainstreaming agenda from all EU staff members.
<p>JC 81 Guidelines and tools <i>Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Many policies and communications make it difficult for EUDs to get a clear overview of what is required and expected. A one-stop policy with the key policy points is absent. • The 2007 mainstreaming guidelines have been used for the 10th EDF programming. The 2009 mainstreaming guidelines have been used for the preparation of SEA contracts and environment screening of an infrastructure capacity building programme. The SEA contracting template is very useful, but the screening guidance was not fully relevant for the programme screened. • The CEP for the 10th EDF was found useful and providing a good overview, but for the 11th EDF a CEP was not prepared and the EUD instead used GOK's Vision 2030 and NEMA's SoE report. • Some EUD staff feel that they lack adequate tools and approaches for effective mainstreaming. One staff member suggested learning from the World Bank's safeguards approach to SEA, EIA, mitigation measures and follow-up on the implementation of safeguards.
<p>JC 82 Delegation capacity <i>Increased capacity developed within the Delegations to mainstream environment and CC in their operations</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The Helpdesk's technical support was never used by the agriculture or infrastructure teams at the EUD. In relation to infrastructure support requests were always directed to DEVCO C5, which is very responsive to requests (whether C5 has received inputs from the Helpdesk or C2 to help Kenya is not known by the EUD). In relation to agriculture/rural

	<p>development, the EUD team did not experience issues, where support from the Helpdesk or C2 was needed.</p> <ul style="list-style-type: none"> • The EUD hosted in 2014 a regional climate change mainstreaming course and several EUD staff (infrastructure, agriculture and rural development, governance) and GoK staff (MEWNR, KFS, KWS, Ministry of Planning, Treasury, NEMA, the Meteorological Department) participated from different sectors. The course was found very good. • The EUD generally has good mainstreaming capacity: <ul style="list-style-type: none"> ○ Agriculture and rural development: one SEA was conducted, and environment and especially CC adaptation is a focus in several actions. ○ Infrastructure: Good capacity to monitor and follow up on EIAs, and ensuring that the direct environmental impact of infrastructure construction is mitigated, but less capacity to handle broader environmental issues, such as how roads can make it easier to encroach forest areas (there appears to be a genuine interest to become better at that). • However, EU's overall structure seems not conducive for synergies and cross-sectoral work, and it can thus be difficult to bring in environmental mainstreaming if not an explicit objective in EU's country programme. There is not yet a buy-in to the environmental mainstreaming agenda from all staff members within DEVCO and EUDs. There can thus be a tendency of referring all environmental mainstreaming issues to the environment team within delegations, which is not conducive for mainstreaming. There can also still be a tendency of addressing environment by merely "ticking off a box", e.g. putting a brief line in reports saying that "environment has been taken care off".
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Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)	The evidence from Kenya only partly supports this hypothesis. Policies are too numerous and policy positions scattered.
Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)	Training was taken very good advantage of in mid 2014. HQ support has not really been utilised.
The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)	Not fully supported by the evidence from Kenya. EUD staff understand well the importance of mainstreaming. It is impossible to fully assess the understanding of national counterparts in the sectors. Sector policy dialogue has not really addressed mainstreaming. Mainstreaming has taken widely place in the agriculture and rural development sector, but mainly at the project level.

5.9 EQ 9: Mainstreaming practice



Context – The period 2007 to 2013 saw a stronger emphasis given to the integration of environmental and especially climate change concerns in Kenya’s development agenda, as evidenced by the establishment of NEMA, the National Climate Change Secretariat, the National Climate Change Action Plan, and draft Climate Change Policy and Climate Change Bill. EIAs are a legal requirement, and permits issued by NEMA is mandatory for industries and enterprises. SEA is likely to become a legal requirement. In Kenya, a CEP was prepared in connection with the elaboration of the CSP for 2008-2013. An SEA was carried out of the National Sugar Adaptation Plan and EIAs have been done for road construction supported by EU.

<p>EQ 9 Mainstreaming practice</p> <p><i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Environment and climate change has generally been mainstreamed in to EU programme planning and implementation, but there is still room for improvement. • The CEP was rated by the Environment Helpdesk as being “good”. The key CEP recommendations for programming were included. A CEP was not prepared for the new NIP, instead existing overviews were used. • A quality SEA of the Sugar Strategy was carried out in 2012, but the SEA recommendations have not been implemented by GoK. • EIAs are applied by GoK on all EU funded road projects, but there can be issues with the quality. • EIA recommendations were monitored during the project period by the EUD, NEMA and international supervisors doing technical audits. • Environment mainstreaming was not promoted in relation to sector policies (with the exception of the SEA for the National Sugar Adaptation strategy), indicators or budgets. • In the agriculture and rural development sector, environment and especially CC adaption were prominent features of many programmes. • <u>UNEP global</u>: PEI, focuses specifically on engaging with ministries of financing or planning to ensure that environmental concerns are integrated into national development planning and sectoral planning.
<p>JC 91 Incorporation in design</p> <p><i>Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector budget support modalities (throughout the programme cycle)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The CEP was rated by the Environment Helpdesk as being “good”. A CEP was not prepared for the new NIP, instead existing overviews were used. • EIAs are required by law and should present costed mitigation measures. SEAs are likely to become a legal requirement if a new draft bill is adopted. • Agriculture: an SEA of the Sugar Strategy was carried out in 2012. The EUD finds it of very good quality. All CDTF projects must have an environmental component. • Infrastructure: No SEA was done, nor were any environment or climate related studies. EIAs are applied by GoK on all EU funded road projects and the EUD monitors them. However, there can be issues with the quality and rigour of the EIAs. • Kenya was not supported with budget support but with a project approach. There were no plans to influence national sector frameworks vis-à-vis mainstreaming into policy reform, sector indicators, or sector budgets. • <u>UNEP global</u>: EU is supporting PEI, a global UNDP-UNEP programme that focuses specifically on engaging with ministries of financing or planning to ensure that environmental concerns are integrated into national development planning and sectoral planning. PEI has also enhanced the in-house understanding in UNEP that in order to promote a green economy the ministry of finance/planning should lead rather than the ministry of environment, as the former has a much better ability to convene sector ministries. The consistency and volume of EU support makes EU a particularly important donor and critical for PEI’s success.

<p>JC 92 Incorporation in implementation <i>Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU supported the sectors with a project approach. Environment mainstreaming was not promoted in direct relation to sector policies (with the exception of the SEA for the National Sugar Adaptation strategy), indicators or budgets (neither in programming nor policy dialogue). • Many CEP recommendations were not directly applicable for the programming. The key CEP recommendations for programming, such as having food security and agriculture as focal sector, were included. Recommended topics to address were generally covered by the interventions funded. The recommendation to continue working on roads and expanding into ASALs was followed. • The sugar sector is facing major difficulties overall and SEA recommendations have not been implemented to a significant degree. • EIA recommendations were monitored during the project period by the EUD and international supervisors/consultants doing technical audits. NEMA also inspects although they are constrained by capacity limitations. An example of an EIA recommendation that was implemented is a road that passes across seasonal rivers. Instead of building bridges, improved fords were constructed in order to reduce dry-season runoff for the benefit of local communities. • In the infrastructure sector, mainstreaming was mainly through the use of EIAs. But in the 11th EDF, climate change proofing of infrastructure will be central. • In the agriculture and rural development sector, environment and especially CC adaption were prominent features of many programmes. For example, all CDTF projects were required to have an environmental component (e.g. rooftop water harvesting in schools, tree planting, biogas from human waste). The CDTF/CEF focused specifically at environmental actions, such as wildlife conservation, climate-smart agriculture, tree planting, energy efficient stoves, and renewable energy. Other programmes, such as the Mau Forest, focused on land rehabilitation and improved forest governance. • Kenya was a PEI country, but the results were limited compared to other PEI countries, with the Terminal Evaluation observing that PEI Kenya “has not been effective nor efficient in achieving the objectives, outcomes and outputs with the available resources. Overall the project implementation was also found to be Marginally Satisfactory.”
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Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;	Kenya does not provide much evidence to verify or falsify this hypothesis, as policy dialogue did not promote mainstreaming.
The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;	It would be plausible to conclude that the CEP had an effect on the design of the interventions since the key recommendations were implemented.
An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of environment and cc;	Confirmed in relation to small-scale infrastructure under CDTF. Several environment and climate change related actions were implemented under the agriculture and rural development focal sector.
When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).	Confirmed for agriculture and rural development sector. EU programming had several programmes with an explicit focus on environment and CC adaption tangible results have been achieved at the local level. Mainstreaming in the infrastructure sector was not stated as explicit objectives/outcomes.

	Kenya answers	
Sectors	Infrastructure	Agriculture and rural development
SPSP/SBS (Y/N)	N	N
I 911		
Has CEP been prepared? (Y/N)	Yes – but this was not done for the new programming period as it was not a compulsory annex.	
Good Quality CEP? (Y/N)	Yes	
I 912		
SEA screening done for SPSP? (Y/N)	-	-
SEA found necessary? (Y/N)	-	N/A – but an SEA was done for the the National Sugar Adaptation Strategy
SEA done for SPSP? (Y/N)		
Env screening/ EIA/CC risk screening done for projects? (Y/N)	Yes, EIAs are required by law	Yes, when required by law
I-913		
SPSP support policy reform? (Y/N), if yes:	-	-
Does it promote mainstreaming? (Y/N)	-	-
As general statement or concrete measures? (GS/CM)	-	-
SPSP require env/cc indicators (Y/N)	-	-
SPSP call for env and CC items in sector budget? (Y/N)	-	-
I-921		
Does CSP reflect CEP recommendations? (Y/N)	Yes	
If not, is an explanation provided? (Y/N)	-	-
I 922		
Were SEA indicators monitored? (Y/N)	-	N
Were SEA recommendations implemented? (Y/N)	-	N
Were EIA indicators monitored? (Y/N)	Y, annual audits are required by law	Y, annual audits are required by law
If yes, did they show improvements? (Y/N)	Y – there has been gradual improvements	Y
Were EIA recommendations implemented? (Y/N)	Y	Y
I-923		
Is policy dialogue addressing env and CC? (Y/N)	N	N
Are policy reform measures for env and CC implemented? (Y/N)	-	-
Are env and CC indicators reported on? (Y/N)	-	-
Is EU asking for data on env and CC indicators? (Y/N)	N	N
Are there env and CC items in sector budget? (Y/N)	-	-
Evidence that EU promoted env and CC budget items? (Y/N)	N	N

5.10 EQ 10: Complementarity



Context – The EU support provided for environment in Kenya is provided through both ENRTP and geographic instruments. By volume, the support under geographic instruments (EDF) is far more significant. The support under the two instruments is largely provided for different topics. ENRTP support is primarily through multi-country projects implemented by international organisations, which report to Brussels not the EUD, the exceptions being the Mau Forest project and ENRTP calls for proposals launched in Kenya.

EQ10 Complementarity	Main findings
<i>To what extent has EU used its available instruments in a way that enhances complementarity</i>	<ul style="list-style-type: none"> There are some examples of synergies between the different instruments, but there are only few examples of concerted efforts to enhance synergies between instruments and opportunities are missed in

<p><i>in support of the overall EU goals of a healthy environment, sound natural resource management and strong environmental and climate governance in developing countries?)</i></p>	<p>this regard. The same applies to achieving synergies with actions of other donors.</p> <ul style="list-style-type: none"> • ENRTP projects are often multi-country projects implemented by international organisations, which stimulate cross-country learning and sharing. The Mau Forest project under ENRTP could just as well have been under geographical instruments. • There is a general disconnect between ENRTP and the EU country programme for Kenya. The EUD is mainly involved in ENRTP calls for proposals, but synergy with the EU country programme is not a selection criterion. The only clear synergy example is the ENRTP funded Mau Forest Project (the only ENRTP project managed by the EUD), which will inform the new Water Towers project. • There are no clear examples in Kenya of synergies between ENRTP and actions of other donors during 2007-2013. <p><u>UNEP global:</u></p> <ul style="list-style-type: none"> • ENRTP has enabled EU to engage in the global and regional dimension of environment and to strengthen international processes. It has also enabled EU to tap into international best practice on mainstreaming.
<p>JC 101 Uniqueness and relevance of ENRTP instrument <i>ENRTP has enabled the EU to address environment and climate change issues, which could/would not have been better, or equally well, addressed through its geographical instruments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Little evidence is available in Kenya – except that ENRTP projects are often multi-country projects implemented by international organisations, which stimulate cross-country learning and sharing. An example of this is LECB, where cross-country learning and sharing for good practice takes place. • The Mau Forest project under ENRTP could just as well have been under geographical instruments. <p><u>UNEP global:</u> ENRTP enables EU to:</p> <ul style="list-style-type: none"> • Engage more in the global and regional dimension of environment. EU is an active member of the Committee of Permanent Representatives and in UNEA and generally speaks on behalf of its member states. EU plays a major role in negotiating UNEP's medium-term strategic plan. • Strengthen international organisations like UNEP through consistent support, thereby enhancing their capacity to support and strengthen international environment and climate governance. Funding from EU is important for the planning and implementation of UNEP projects. While EU still approves each project, the Strategic Cooperation Agreement (SCA) brings in reliability and enhanced coherence with UNEP's programme of work (although at least one programme manager feels that the SCA has added a layer of bureaucracy and made the processing of applications overly time consuming, with a lag of 1.5 years from applying to getting the answer). UNEP would still prefer less earmarking and that EU would not ask for separate reporting but use UNEP's own reporting and performance monitoring as some donors do. • Some delays caused by UNEP introducing a quality control system for the projects – sometimes EU funding has been approved prior to UNEP quality approval. • Tap into the technical expertise of international organisations like UNEP (e.g. on forests, ecosystem approach) for specific inputs informing global governance processes (e.g. COPs) as well as projects; • Tap into the global and regional perspective (e.g. on transboundary issues) • Tap into the credibility and neutrality of the UN system, which is owned by all UN member states – and linking to the high-level representation of all countries at UNEA (UN Environment Assembly)
<p>JC 102 Synergies – ENRTP and Geographic instrument <i>Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Kenya only had few ENRTP projects. The EUD feels there is a general disconnect between ENRTP and the EU country programme for Kenya. The EUD is mainly involved in ENRTP calls for proposals, but synergy with the EU country programme is not a selection criterion. The projects selected are not always those that supports best the country programme according to the EUD. The EUD did in one case try encourage an NGO who had support from ENRTP to use this support to build the capacity of CSOs and communities to access CDTF funding – but it did not work in practice, since the NGO was not successful in securing the funds. • The only deliberate and clear synergy example is the ENRTP funded Mau Forest Project (the only ENRTP project managed by the EUD), which will inform the new Water Towers project. However, linking the two

	<p>projects has proven difficult due to differences between EU and UNEP contractual procedures.</p> <ul style="list-style-type: none"> One reason for limited synergies appears to be that the ENRTP funded projects like LECB have a different thematic focus than the actions under the EU country programme for Kenya. Thus, ENRTP enables EU to engage in environmental issues that are not addressed in the CSP. <p><u>UNEP global:</u></p> <ul style="list-style-type: none"> The EU mainstreaming guidelines drew on the approach outlined in the PEI mainstreaming handbook. DEVCO has been keen on linking PEI with EU's geographic programmes and some PEI countries (but not in widely) there have been collaboration and synergies between PEI project and EU actions. The GCCA has also incorporated elements of the PEI approach and PEI cooperates with EU Capacity4dev. The collaboration seems in part to be driven by personal relations with a former PEI staff moving to DEVCO. The connection appears to be stronger at HQ level than in individual countries, at the country level the contact is mainly through participation in sector WGs. The ENRTP funded SWITCH Africa Green will build on the methodology developed by the geographic instrument funded SWITCH Asia. A major difference is the SWITCH Africa Green is managed by UNEP, whereas EU managed SWITCH Asia.
<p>JC 103 Synergies – ENRTP and other donors <i>Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> There are no clear examples from Kenya of synergies between ENRTP and actions of other donors during 2007-2013. But there is a couple of post-2013 synergies: i) LECB work will be followed up on with USAID funding under the EC-LED project (refer to JC 22), and ii) the Water Towers project will build on both the ENRTP funded Mau project and a Finnida project in Cherangani Hills. <u>UNEP global:</u> PEI has achieved synergies with the actions of other donors in a number of countries, for example in Bhutan, where PEI built on the results and structures established under a large Danida environment sector programme. The volume of support, consistency in the EU support over time and proactive engagement makes EU a particularly important donor for PEI. PEI is a flagship example of joint UNDP-UNEP programming.

Summary of hypotheses

Overall desk hypotheses	Evidence from Kenya's case study
<p>ENRTP adds value in different ways: a) It enables support for global process; b) it allows EC to engage in important global environmental issues that cannot be tackled at the national level; c) it generates innovations and new approaches and knowledge; and d) it enables EU to engage in important environmental issues in countries where this is not possible under geographic instruments, albeit at a much lower scale. (JC101)</p>	<ul style="list-style-type: none"> Supported by the Kenya case, with the UNFCCC Secretariat support for Kenya. Supported in relation to UNFCCC/climate change and MEA synergies. Partly supported, with the Mau Forest project hopefully informing the Water Towers project. No evidence of this in Kenya. Supported by the global support for UNEP. Support by the UNEP case, which is strengthening MEA processes internationally and at county level. Supported by the PEI case. Supported by the UNEP case, UNEP's engage is not defined by EU country strategies.
<p>There are sometimes overlaps in the types of actions financed by ENRTP and geographic instruments. (JC101)</p>	<p>Yes, the Mau Forest project could probably just as well have been funded under geographic instruments.</p>
<p>Complementarity between actions under ENRTP and geographic instruments has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, a number of actions do take advantage of complementarities. (JC102)</p>	<p>The first part of hypothesis is supported in Kenya, with the exception of the attempted Mau-Water Tower synergies.</p> <p>The second part is partly supported, depending on how the Water Towers project evolves.</p> <p>The first part is supported by the UNEP case, links between UNEP support and EU country actions could be strengthened, but there still are examples of synergies between UNEP and EUD actions.</p>
<p>Due to the global and catalytic focus on ENRTP, it is more common that ENRTP pro-</p>	<p>This hypothesis is not supported in Kenya – the potential synergies do not appear to be derived from a global or catalytic focus</p>

Overall desk hypotheses	Evidence from Kenya's case study
vides benefits to geographical actions than vice-versa. (JC102)	of ENRTP. The Hypothesis is partly supported by the UNEP case; PEI has influenced EU's approach to mainstreaming. But at the country level, benefits would be mutual.
Complementarity between ENRTP actions and actions of other donors has with the exception of some notable examples (e.g. FLEGT) not been taken advantage on in a systematic manner. Nonetheless, some actions do take advantage of complementarities. (JC103)	The first part of hypothesis is supported in Kenya. There are no examples in Kenya of systematic complementarity between ENRTP and actions of other donors in 2007-2013. The second part is partly supported; with LECB work being built on in the USAID funded EC-LED project, which in Kenya is implemented by the UNDP CO and LECB team. However, there are good examples of potential synergies between geographic actions and actions of other donors, as evidenced by the planned synergies between the Water Towers project in Cherangani and Finnish support to a development plan in the same area.
It is difficult in practical terms to effectively pursue complementarity between actions under different instruments and even more so with other donors. Better coordination and strengthened guidance to delegations could help enhancing complementarity. (JC102 and JC103)	Correct in Kenya as evidenced by: a) the difficulties with linking the Mau Forest and the Water Towers projects, and b) the unsuccessful attempt to use ENRTP funding for NGOs to support communities to apply for CDTF support. Not fully correct for UNEP, PEI has achieved complementarity with other donors, e.g. in Bhutan.

6 Annexes

Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
Alex Forbes	UNEP	PEI-Africa, Programme Officer	Kenya
Amélie Heuër	SEED	Programme Manager	London
Anne Angweni	Royal Danish Embassy	Programme Officer, NRM	Kenya
Anne Chaussavine	EUD	Programme Manager, Infrastructure Section	Kenya
Arkadiy Levintanus	UNEP	Chief, MEAs Implementation Support Branch, DELC	Kenya
Caroline Wacera	Business Development	Renewable Energy Ventures (K) Ltd.	Kenya
Elisabeth Folkunger	Embassy of Sweden	First Secretary, Senior Programme Manager, Water and Humanitarian Assistance	Kenya
Elizabeth Matioli	Royal Danish Embassy	Programme Officer, NRM	Kenya
Erik Habers	EUD	Minister Counsellor, Head of Cooperation	Kenya
Fatuma Hussein	National Climate Change Secretariat, MEWNR	Acting Director	Kenya
Francis Ole Nkako	Kenya Water Towers Agency	Acting Chief Executive Officer	Kenya
Hjördis D'Agostino Ogendo, PhD	EUD	Head of Social Affairs and Environment	Kenya
Juliet Chelimo	EUD	Assistant Programme Manager, Infrastructure Section	Kenya
Keith Alverson	UNEP	Coordinator, Climate Adaptation and Terrestrial Ecosystems	Kenya
Kizito Ojaamong	EUD	Programme Manager, Infrastructure Section	Kenya
Laban Ng'eno	Ecopost Ltd.	Marketing Manager	Kenya
Mamadou Kane	UNEP	Programme Officer/MEAs Liaison, ACP-MEAs Programme Manager	Kenya
Maria Christina Zucca	UNEP	Coordinator, Environmental Governance	Kenya
Meg Seki	UNEP	Acting Deputy and Scientific Officer, Ozone Secretariat	Kenya
Michael Carbon	UNEP	Evaluation Officer, Evaluation Office	Kenya
Moses Omedi Jura, Eng.	National Climate Change Secretariat, MEWNR	Acting Deputy Director	Kenya
Nicholas Ngece	Embassy of Sweden	Programme Manager, Env., NR and CC, Kenya Development Cooperation Section	Kenya
Parkinson Ndongye	MEWNR	Deputy Director, MEAs (CBD Focal Point)	Kenya
Pascal Ledroit	EUD	Programme Manager, Rural Development Sector	Kenya
Patrick Mwesigwe	UNEP	Regional Coordinator, Energy Efficiency, ROA	Kenya
Pekka Muuttomaa	Embassy of Finland	Counsellor, Natural Resources	Kenya
Priscah Kaino	National Climate Change Secretariat, MEWNR	Intern	Kenya
Rebecca Carman	UNDP	LECB Climate Technical Specialist	New York
Rebecca Sumba	EUD	Programme Assistant, Infrastructure Section	Kenya
Serah Nderitu	Kenya Climate Innovation Center	Research and Policy Officer	Kenya
Sheila Aggrawal-Khan	UNEP	Programme Manager, Head, Strate-	Kenya

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
		gic Planning	
Stephen King'uyu	National Climate Change Secretariat, MEWNR	Coordinator – Kenya Climate Change Action Plan	Kenya
Stephen Kosgei	Renewable Energy Ventures (K) Ltd.	Sales and Logistics	Kenya
Steve Wathome	EUD	Programme Manager, Agriculture and Rural Development	Kenya
Sunita Kapila	EUD	Programme Manager, Governance, Private Sector Development and Trade	Kenya
Thomas Yatich	EUD	Programme Manager, Social Affairs and Environment	Kenya
Timothy Ranja	UNDP	Programme Analyst, Energy, Environment and Climate Change Unit	Kenya
Victoria Luque	UNEP	Programme Officer, Poverty-Environment Initiative	Kenya

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Annex 3: List of the projects and programmes specifically considered

DECISION INFORMATION							
Sector	Domain	Decision Year	Decision Number	Zone benefiting from the action	Decision Title	Delegation In Charge	Decision Amount (EUR)
Agriculture/Rural Development	DCI-SUCRE	2009	21090	Kenya	Annual Action Programme 2009 under the Accompanying Measures for the Sugar Protocol countries for Kenya	Kenya	6,979,644.00
Agriculture/Rural Development	FED	2009	21115	Kenya	Community Development Programme Phase 4	Kenya	32,400,000.00
Agriculture/Rural Development	FED	2010	22067	Kenya	Kenya Rural Development Programme (KRDP)	Kenya	86,400,000.00
Agriculture/Rural Development	FED	2010	22156	ACP Countries	Reinforcing Veterinary Governance in Africa	Kenya	30,000,000.00
Agriculture/Rural Development	DCI-SUCRE	2012	23290	Kenya	AAP 2012 under the Accompanying Measures for the Sugar Protocol countries for Kenya	Kenya	6,754,000.00
Agriculture/Rural Development/Environment	ADM-MULTI	2011	23607	Sub-Saharan Africa	Participation of African Nations in Sanitary and Phytosanitary Standard Setting Organizations – Consolidation phase	Kenya	
Agriculture/Rural Development/Environment	FED	2013	24208	Kenya	Watershed Protection and Climate Change Mitigation and Adaptation Programme (WPCCMAP)	Kenya	31,000,000.00
Agriculture/Rural Development/Environment	FED	2013	24236	Kenya	SHARE Kenya	Kenya	40,000,000.00
Agriculture/Rural Development/Environment	DCI-ENV	2010	21846	Kenya	Innovative Approaches Towards Rehabilitating the Mau Ecosystem	Kenya	2,300,000.00
infrastructure	FED	2006	18582	Kenya	Northern Corridor Rehabilitation Programme Phase III	Kenya	24,000,000.00
infrastructure	FED	2006	18582	Kenya	Northern Corridor Rehabilitation Programme Phase III	Kenya	57,000,000.00
infrastructure	FED	2009	21655	Kenya	10th EDF- Regional Economic Integration by means of Transport Infrastructure – Regional Roads Component (Merille – Marsabit Road)	Kenya	88,200,000.00
infrastructure	FED	2009	21663	Kenya	Regional Economic Integration by means of Transport Infrastructure -Support to the Road Sector Policy Support Programme 10th EDF (Capacity Building and Studies)	Kenya	7,550,000.00
infrastructure	FED	2011	22951	Kenya	KENYA/ACP/Regional Economic Integration by means of Transport Infrastructure – Urban Roads	Kenya	31,000,000.00
infrastructure	FED	2011	22952	Kenya	KENYA – Regional Economic Integration by means of Transport Infrastructure – Tourist Roads Component	Kenya	13,000,000.00

DECISION INFORMATION							
<i>Sector</i>	<i>Domain</i>	<i>Decision Year</i>	<i>Decision Number</i>	<i>Zone benefiting from the action</i>	<i>Decision Title</i>	<i>Delegation In Charge</i>	<i>Decision Amount (EUR)</i>
					(Galana River Bridge)		
infrastructure	FED	2012	23571	Kenya	Support to Road Sector Policy: 10th EDF Rural Roads Rehabilitation Project in Kenya	Kenya	14,850,000.00
Agriculture/Rural Development	DCI-ENV	2009	151545	Kenya	Wire Hills forest conservation and sustainable management	Kenya	610,860.00
Agriculture/Rural Development	DCI-FOOD	2010	230224	East Africa Region	Adaptation and Dissemination of the 'Push-Pull' Technology (ADOPT): a conservation agriculture approach for small-holder cereal-livestock production in drier areas to withstand climate change	Kenya	2,000,000.00
Agriculture/Rural Development	DCI-FOOD	2010	230224	East Africa Region	Adaptation and Dissemination of the 'Push-Pull' Technology (ADOPT): a conservation agriculture approach for small-holder cereal-livestock production in drier areas to withstand climate change	Kenya	999,976.00
Agriculture/Rural Development	DCI-FOOD	2010	230178	Sub-Saharan Africa	Agro-ecology based aggradation-conservation agriculture (ABACO): Targeting innovations to combat soil degradation and food insecurity in semi-arid Africa	Kenya	3,000,000.00
Agriculture/Rural Development	DCI-NSAPVD	2010	227848	Kenya	Commercialisation of Seaweed Farming and Beekeeping in Msambweni	Kenya	598,862.00
Agriculture/Rural Development	DCI-FOOD	2009	225999	Sub-Saharan Africa	Livestock for Livelihoods: Strengthening Climate Change Adaptation strategies through improved Management at the Livestock-Wildlife-Environment Interface	Kenya	4,683,500.00
Agriculture/Rural Development	DCI-FOOD	2010	250711	Sub-Saharan Africa	Regional Initiative in Support of Vulnerable Pastoralists and Agro-pastoralists in the Horn of Africa	Kenya	4,880,000.00
Agriculture/Rural Development	DCI-FOOD	2012	301124	ACP Countries	Participation for change: Strengthening local participation in policy processes to improve food security in dryland areas of East Africa	Kenya	1,068,618.40
Agriculture/Rural Development	DCI-FOOD	2013	317983	East Africa Region	Enhance Opportunities of Eastern Africa Farmer Organisations in effective policy dialogue engagement for food security governance and improvement of rural livelihood	Kenya	1,119,220.00
Agriculture/Rural Development	DCI-FOOD	2013	313659	Sub-Saharan Africa	African Reference laboratory (with satellite stations) for the Management of pollinator bee diseases and pests for food security	Kenya	8,312,000.00

DECISION INFORMATION							
<i>Sector</i>	<i>Domain</i>	<i>Decision Year</i>	<i>Decision Number</i>	<i>Zone benefiting from the action</i>	<i>Decision Title</i>	<i>Delegation In Charge</i>	<i>Decision Amount (EUR)</i>
Agriculture/Rural Development	DCI-FOOD	2013	330416	Sub-Saharan Africa	African Reference laboratory (with satellite stations) for the management of pollinator bee diseases and pests for food security	Kenya	4,808,000.00
Agriculture/Rural Development	DCI-FOOD	2013	319541	Sub-Saharan Africa	Strengthening the capacity of African countries for conservation and sustainable utilisation of african animal genetic resources	Kenya	14,529,000.00
Agriculture/Rural Development	DCI-FOOD	2013	334637	Kenya	Support for Responsible Land and Natural Resource Governance in Communal Lands of Kenya	Kenya	2,500,000.00
Agriculture/Rural Development	DCI-FOOD	2009	200240	Kenya	Support to ICIPE: Validation and Initiation of Diffusion of Pro-poor and Poor Environment Tsetse Repellent Technology.	Kenya	1,500,000.00
Infrastructure/Energy/Water and Sanitation	DCI-NSAPVD	2010	258962	Kenya	Construction, rehabilitation, provision of acaricides for cattle dips, training and Capacity Building within OI Kalou	Kenya	132,505.00
Infrastructure/Energy/Water and Sanitation	FED	2011	232479	Kenya	Solar energy for rural Kenya	Kenya	959,883.46
Infrastructure/Energy/Water and Sanitation	FED	2011	232620	Kenya	Support to and expansion of Malindi Bio – Fuel Cluster – Jatropha farming	Kenya	610,969.00
Infrastructure/Energy/Water and Sanitation	FED	2011	231870	Kenya	The Improved Cook Stoves for Households and Institutions Project	Kenya	1,195,330.00
Infrastructure/Energy/Water and Sanitation	FED	2011	231578	Kenya	Community Based Green Energy Project	Kenya	1,740,000.00
Infrastructure/Energy/Water and Sanitation	FED	2011	243663	Kenya	Turkana Millenium Development Goals WASH programme	Kenya	2,311,355.00
Infrastructure/Energy/Water and Sanitation	FED	2011	244502	Kenya	Water, sanitation, and hygiene programme to reduce water-borne diseases for the most vulnerable communities in rural areas of northern Kenya	Kenya	1,864,794.00
Infrastructure/Energy/Water and Sanitation	FED	2011	243666	Kenya	The Isiolo Water, Sanitation and Hygiene Community Project for Drought-Prone Arid and Semi-Arid Lands	Kenya	2,487,677.00
Infrastructure/Energy/Water and Sanitation	FED	2011	243750	Kenya	Improving Access to Water and Sanitation in Matungulu and Masinga Districts	Kenya	1,855,510.00
Infrastructure/Energy/Water and Sanitation	FED	2012	311089	ACP Countries	Scaling up access to electricity in Kenya	Kenya	5,000,000.00
Infrastructure/Energy/Water and Sanitation	FED	2011	256444	ACP Countries	Partnership for Performance enhancement of Water and Sanitation Utilities in Kenya through Benchmarking and	Kenya	892,767.00

DECISION INFORMATION							
<i>Sector</i>	<i>Domain</i>	<i>Decision Year</i>	<i>Decision Number</i>	<i>Zone benefiting from the action</i>	<i>Decision Title</i>	<i>Delegation In Charge</i>	<i>Decision Amount (EUR)</i>
					Collective Learning		
Infrastructure/Energy/Water and Sanitation	FED	2011	256486	Kenya	Partnerships for Capacity Building in Sustainable Development and Maintenance of Water Infrastructure in Kisumu and Nakuru, Kenya	Kenya	983,359.00
Infrastructure/Energy/Water and Sanitation	FED	2012	300858	Kenya	Demonstrating and upscaling an innovative sanitation value chain for the (peri) urban low income areas in Nakuru County, Kenya	Kenya	2,499,262.00
Infrastructure/Energy/Water and Sanitation	FED	2013	335502	Kenya	Nairobi Water Distribution Programme	Kenya	5,000,000.00

Country Note – Rwanda

by Kris Prasada Rao and George Nkulanga on field mission from 26-29 January 2015.

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List of Acronyms

ACP	African, Caribbean and Pacific countries
BASIC	Brazil, South Africa, India and China
BCC	Budget Call Circular
CBD	Convention Biodiversity
CBFF	Congo Basin Forest Fund
CC	Climate Change
CCIOU	Climate Change and International Obligations Unit
CDM	Cleaner Development Mechanism
CEP	Country Environmental Profile
CITES	Convention for International Trade of Endangered Species
CM	Concrete Measure
COP	Conference of Parties
CSP	Country Strategy Paper
DCI	Development Co-operation Instrument
DDP	District Development Plan
DfID	Department for International Development
DG	Directorate General
DG CLIMA	Directorate General Climate Action
DG DEVCO	Directorate General Development and Co-operation
DG ENER	Directorate General Energy
DG ENV	Environment
DMU	Disaster Management Unit
DNA	Designated National Authority
DP	Development Partner
DRC	Democratic Republic of Congo
EAC	East African Community
EaP	Eastern Partnership
EC	European Commission
EDF	European Development Fund
EDPRS	Economic Development and Poverty Reduction Strategy
EIA	Environmental Impact Assessment
ENPI	European Neighbourhood Partnership Instrument
ENR	Environment and Natural Resources
ENRSSP	Environment and Natural Resources Sector Strategic Plan
ENRTP	Environment Natural Resources Thematic Programme
EQ	Evaluation question
ETWG	Environment Thematic Working Group
EU	European Union
EUD	European Union Delegation
EWS	Early Warning System
FLEGT	Forest Law Enforcement, Governance and Trade
GBP	British Pound
GCCA	Global Climate Change Alliance
GE	Green Economy
GEEREF	Global Energy Efficiency Renewable Energy Fund

GEF	Global Environment Facility
GHG	Green House Gases
GIZ	Gesellschaft für Internationale Zusammenarbeit
GoR	Government of Rwanda
GS	General Statement
HDI	Human Development Index
HQ	Headquarters
ICT	Information and Communication Technology
IPCC	International Panel on Climate Change
IWRM	Integrated Water Resources Management
JC	Judgment Criterion
LDC	Lesser Developed Countries
LECB	Low Emission Capacity Development
LPG	Liquefied Petroleum Gas
MEA	Multilateral Environmental Agreement
MIKE	Monitoring Illegal Killing of Elephants
MINAGRI	Rwanda's Ministry of Agriculture and Animal Resources
MINIRENA	Rwanda's Ministry of Natural Resources
MRV	Monitor, Verify and Report
MTR	Mid-Term Review
NAMA	Nationally Appropriate Mitigating Action
NAP	National Action Plan
NAPA	National Adaptation Plan of Action
NAPA	National Adaptation Plan of Action
NBF	National Biosafety Framework
NBSAP	National Biodiversity Strategies and Action Plans
NGO	Non-Governmental Organisation
NIN	NAMA Information Note
NIP	National Indicative Programme
NSCCLCD	National Strategy for Climate Change and & Low Carbon Development
PEI	Poverty-Environment Initiative
PMR	Programme for Market Readiness
PoWPA	Programme of Work in Protected Areas
PPP	Public-Private Partnership
RDB	Rwanda Development Board
RDC	République Démocratique du Congo
RDTA	Rwanda Transport Development Authority
REDD	Reducing emissions from deforestation and forest degradation
REMA	Rwanda Environment Management Authority
RMS	Rwanda Meteorological Service
RNRA	Rwanda Natural Resources Authority
RRECPC	Rwanda Resources Efficient and Cleaner Production Centre
RSB	Rwanda Standards Board
SBS	Sector Budget Support
SCP	Sustainable Consumption and Production
SDG	Sustainable Development Goal

SEA	Strategic Environmental Assessment
SIDS	Small Island Developing States
SME	Small and Medium Enterprises
SPAT	Strategic Plan for Agricultural Transformation
SPSP	Sector Policy Support Programme
TA	Technical Assistance
TEC	Technology Executive Committee
ToR	Terms of Reference
TWG	Thematic Working Group
UN	United Nations
UNDP	United Nations Development Fund
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USD	US Dollar
WG	Working Group
WMO	World Meteorological Organization

Note: The Evaluation uses the common acronym "**EC**" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

The cooperation between Rwanda and EU in 2008-2013 was defined by the CSP agreed with the GoR. While environment was not specified as a focal sector, one of the objectives for the agriculture and rural development focal sector was related to environmental sustainability. Climate change was not addressed in the CSP, but climate change adaptation was an element of the actions implemented under the Strategic Plan for Agricultural Transformation (SPAT), the SWAp for which EU provided budget support.

Compared to other countries, Rwanda has consistently given high priority to environmental sustainability and climate change adaptation as evidenced by the requirement of integrating environment and climate change in sector- and districts development plans with costed measures. EIAs are a legal requirement and SEAs have recently become so, following the experience with the first SEA (agriculture sector), which was funded by EU. Stakeholders also agree that the environment policies are very conducive. However, while the political commitment is high and REMA is a strong agency, there are still capacity gaps in relation to implementing the environmental aspirations, and some challenges related to, a) ensuring that environment is adequately taken into consideration in sector implementation, when not part of the sector performance contract, and b) balancing environmental sustainability with socio-economic priorities, such as increasing agricultural production and incomes in a densely populated country with little land and a fragile hilly environment. Rwanda also participates in global environmental and especially climate change governance processes.

The support of EU and other donors have contributed to the improved environmental governance framework; where particularly notable contributions from the EU include a) support for PEI which has contributed to the development and implementation of GoR's mainstreaming agenda, and b) demonstrating the value SEAs. The policy dialogue with Rwanda in sector WGs has been fruitful and has in relation to the agriculture sector also contributed to addressing environment and climate change concerns, as GoR is open to dialogue with DPs on both strategic and programmatic issues – the EU funded SEAs have been important inputs in this regard.

Geographic instruments using a mix of general budget support, sector budget support and project support as well as regional projects and support through the ENRTP have all contributed to increasing readiness and the ability of GoR to implement its ambitious commitment to achieving sustainable development and green growth.

In conclusion:

EQ 1 – EU policy aims – EU policy aims on environment and climate change have been supported through the operations in Rwanda. GoR is strongly committed to promoting sustainable development and green growth, and already engaged in ensuring that environment and climate change considerations are integrated in development planning and implementation across sectors. EU support has contributed to enhancing the ability of GoR to implement its sustainability agenda. Rwanda's focus is mainly on domestic actions and Rwanda appears less active in global MEA negotiations.

EQ 2 – Low emission – EU only provided limited indirect support for low emissions through ENRTP funding for the UNFCCC Secretariat.

EQ 4 – Biodiversity – EU did not engage at the country level in biodiversity conservation, but EU's support for the CITES Secretariat's MIKE project also benefitted Rwanda.

EQ 5 – Green economy – Rwanda is committed to green growth, as evidenced by its mainstreaming agenda, and has a Green Growth and Climate Resilience Strategy for low carbon. Rwanda has applied some economic instruments, but a full framework is not in place (not funded by EU). EU's support for GE has been limited, and only provided through ENRTP funding for Green Economy and Social and Environmental Entrepreneurship in Africa Project, incl. SEED grants.

EQ6 – Environmental governance – There has been limited support through the ENRTP /UNEP on strengthening implementation of Multilateral Environmental Agreements. The regional and sub-regional workshops held and guidelines developed were useful and has helped Rwanda and the group of African countries in engaging in international negotiations in relation to biodiversity MEAs, and helped Rwanda in planning community-based projects. However, GEF funded UNEP projects have been a more important factor than ENRTP support in relation to enabling Rwanda to translate MEAs into national level implementation.

EQ7 – Climate governance – The capacity of GoR has increased, with the Green Growth and Climate Resilience Strategy, significant mainstreaming efforts, and the reportedly high proportion of climate projects, but this appears more to be related to national processes, and is thus not easily attributable to EU support for international climate governance. Considering the good progress with climate change mainstreaming, but at the same time the seemingly moderate engagement in the UN-

FCCC process internationally, perhaps an opportunity is partly missed to inspire other countries to learn from Rwanda's experience.

EQ8 – Mainstreaming approach – The many policies and communications make it difficult for EUDs to get a clear overview of what is required/expected. The mainstreaming guidelines and technical support were found helpful for the SEAs, but mainstreaming training was found too basic considering the current level of mainstreaming in Rwanda. The EUD's capacity for mainstreaming is generally good.

EQ9 – Mainstreaming practice – GoR is dedicated to environment and climate change mainstreaming in district and sector development plans. PEI (ENRTP funded) provided important contributions to the rollout of GoR's strong mainstreaming agenda in relation to awareness, capacity and methodology. There was thus not a need for the EUD to promote mainstreaming but rather to help GoR addressing capacity constraints and institutional gaps. The EUD engaged in strategic discussions on mainstreaming in relation to agriculture and more recently energy infrastructure, but only to a limited extent in relation to the transport/roads sector. EU funded SEAs for the agriculture and energy sectors, and as a result of the experience with the agriculture SEA, GoR now requires the use of SEA on all policies and programmes. However, the recommendations for the agriculture sector were not really been taken on board in SPAT 3. Some GoR priority actions under SPAT promote environmental sustainability, but others could have negative environmental impacts. Some EUD supported actions in the agricultural and rural development sector have addressed environmental or climate issues.

EQ10 – Complementarity – ENRTP enabled EU to engage in multi-country initiatives and bring in international best practice like PEI, which has been an important contributor to building GoR's capacity to ensure environmental integration, which has also been of benefit to the EU support through geographic instruments. However, the connection between ENRTP and geographic actions was weak and the only clear example of deliberate synergies between ENRTP and geographic actions (and actions of other donors) is the GCCA/ENRTP funded support for land registration.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The **mandate and scope** of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU's support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (ENRTP) and through the **geographic instruments**;
- To evaluate the support of the EU to strengthening global environment and climate **governance**, provided under ENRTP and channelled mainly through international organisations;
- To assess the EU support for **mainstreaming environment and climate change** issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically **focus on outcome and impacts** of the EU actions in environment and climate change. Furthermore, the evaluation should identify **key lessons and best practise** and produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of **temporal scope**, the evaluation covers aid implementation over the period 2007-2013. The **geographical scope** includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The **purpose of the evaluation** is to provide the EU and a wider public with an **overall independent assessment on the EU action** in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving outcomes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, were carried out. From a long list of 35 countries selected in the

inception phase for a desk analysis, 11 were further selected for a more detailed analysis. Even though Rwanda was not among these, it was considered useful to include it among the list of countries to be visited, after considering a number of alternatives, because it offered examples of mainstreaming in the agriculture and energy sectors, that were lacking in the other selected countries.

The field visits will have the following objectives:

- s) To complete the data collection in order to answer the agreed evaluation questions;
- t) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- u) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

2.3 Reasons for selecting this country as a case study country

As mentioned before, Rwanda was selected as one of four countries in Africa because of the prominent attention the country pays to mainstreaming environment and climate change across sectors, and since both the agriculture and rural development focal sector and the infrastructure sector were focal sectors for the 10th EDF. Moreover, the EUD funded SEAs of both the agriculture and energy sectors, and there was a good policy dialogue between GoR and DPs and donors were well coordinated. This allowed for a focused evaluation of especially EQ1, 8, and 9, but also of EQ10. The cooperation in Rwanda has used general budget support, sector budget support, and project approach modalities, and in the agriculture sector GoR and the development partners, including EU are using a sector-wide approach (SWAp).

3 Data collection methods used (including limits and possible constraints)

The country mission started with a review of all available desk based information as well as the responses provided by the EUD to the survey circulated to selected EUDs as part of the evaluation. A long list of relevant stakeholders in the public and private sectors was drawn up and key stakeholders were identified during the mission with the help of the EU Delegation and national partners. It was possible to meet many, but not all, stakeholders identified, and when the key stakeholder was not available other representatives of the relevant institution were met instead. The national consultant met two stakeholders after the mission of the international consultant. One meeting was conducted over Skype after the mission.

Both EU delegations officials and national partner officials working on the same operation were interviewed, where possible. The interviews were conducted as semi-structured interviews, where key questions and discussion topics had been prepared in advance for each meeting, while leaving room for adjustments and additions as the interviews progressed.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

Rwanda, like most of sub-Saharan African countries, is categorised as poor, with 60% of its population living in absolute poverty. In 2009 Rwanda ranked 167th out of 182 countries on the UN Human Development Index (HDI) (UNDP). Rwanda is highly dependent on natural resources and agricultural growth is critical for pro-poor growth. Rwanda's economy is heavily dependent on the agriculture sector, and is identified as one of the main vehicle for growth under Vision 2020 and the Economic Development and Poverty Reduction Strategy (EDPRS). Rwanda has a relatively small mineral industry and the mineral industry is reported to contribute to 38% of export revenues (Republic of Rwanda, 2011). Government plans to increase jobs in mining, from 20,000 in 2011/2012 to 60,000 by 2017/2018. This would require higher growth in total investment in the sub-sector from USD 150 million in 2011/2013 to USD 400 million by 2017/2018. The drive to increase mining activities, both artisanal mining and larger scale mining activities entails risks and opportunities that need to be managed. Mining is an environmental risk as it demands high energy and water consumption and impose a negative impact on the surrounding environment and biodiversity through emissions (to air, water and soil). Alternative liveli-

hoods and private sector development (manufacturing, mining, ICT, tourism) are to be generated in part through investments in transport network and improved energy supply.

The contribution of biomass to the national energy balance remains high; while it was as much as 95% some 20 years ago, today the contribution is still around 85%, and is expected to be 50% in 2020 (GIZ). Biomass remains by far the largest source of energy used in the country especially for domestic cooking and it is likely that this will continue for some years to come. Biomass provides an affordable source of energy for the Rwandese population, at least relative to the alternatives. These are either less convenient (such as agricultural residues) or (much) more expensive (such as electricity and LPG, which is currently heavily taxed).

The total national emissions are currently very low in Rwanda, and due to forest sequestration, Rwanda is currently a net sink of GHG emissions. Consistent with economic development, emissions are projected to rise significantly across all sectors. Energy related emissions are currently low, but are increasing, primarily due to transport growth. Total national level emissions are dominated by the agricultural sector and are also projected to grow rapidly, such that Rwanda will become a net emitter in a few years' time. For instance Rwanda has very low energy related per capita emissions, at around 0.2t CO₂ per person. These are amongst the lowest in the world. Energy emissions are dominated by transport sector. However, while emissions are rising, the sector is becoming less carbon intensive. Despite the overall increase in emissions, the carbon intensity per unit of generation (grams of CO₂ per kWh supplied) is falling, thus the Rwandan electricity generation is broadly on a low carbon trajectory (DfID, 2009).

From studies conducted by the Rwanda Resources Efficient and Cleaner Production Centre in key industries in Rwanda (RRECPC 2014), it was observed that a number of them were discharging waste above the limit for the Maximum tolerance limit for industrial wastewater to be discharged in the environment by the Rwanda Standards Board (RSB) and almost all of them were above the EAC Green Standards for the four polluting parameters that were analyzed, namely Nitrates, Phosphates, BOD and COD.

Rwanda has an estimated 700,000 hectares of forest covering 28.8 percent of land in the country. Rwanda has 6 protected areas (nationally designated and internationally recognised) covering around 2 500 km², or 10% of its total land area. The main potential for REDD+ lies in Gishwati Forest and potentially Nyungwe and Volcano National Parks. However, potential in the national parks will most likely be restricted as REDD+ seeks to protect forests that would otherwise be deforested or managed poorly. The national parks of Rwanda are already well protected; however, there may be some scope under REDD+ for eligible projects in conservation areas. To date, there has been limited work on REDD+ in Rwanda. However, there is the potential that work will begin soon, under the funding of the Congo Basin Forest Fund (CBFF).

4.1.1 ENV/CC situation in the country

Rwanda is very vulnerable to disasters related to climate variability that impact on agricultural productivity, especially floods and droughts. There has been a sustained increase in flood frequency over the past decade, such as the flood events of the Nyabarongo and Akanyaru rivers and its tributaries in 1963, 1979, 1998, 2001, 2002, 2006 and 2007 (UNEP 2011). The droughts also are a serious threat in the east and southeast parts of the country, mainly triggered by a prolonged dry season or a delay in the onset of the rainy season. The impacts and economic costs of current climate variability and events are already significant, and likely to increase with climate change (SEI, 2009). The effects of climate variability and climate change are especially felt in the agriculture sector, which is highly vulnerable. A weather insurance system, operated through the Banque Populaire, is available to farmers, albeit yet to a limited extent, but under expansion. Weather insurance is potentially very powerful as a climate variability and climate change adaptation measure (EU-SEA, 2011).

The Government of Rwanda (GoR) has promoted awareness on the challenges from climate variability and climate change, which is already reflected in the institutional set-up and in the approval of the NSCCLCD. As well there are various initiatives in progress that will allow Rwanda to narrow the gap for climate variability and climate change adaptation. These initiatives include projects aimed at rehabilitating meteorological stations, which will permit better weather forecasting, as well as the further development of an Early Warning System (EWS) (being developed with UNEP/UNDP). The expansion of the weather insurance for farmers will increase their adaptation to climate variability and climate change (EU, 2011). Strategies in the agriculture and ENR sectors promote activities that are convergent with climate change adaptation efforts, contributing to reducing the adaptation gap. To give but a handful of examples, SPTA 2 promotes expansion of irrigated agriculture, rainwater harvesting, increased land productivity, soil erosion control; ENRSP promotes afforestation; Nevertheless the degree of integration of climate change into sectoral policies remains weak, as evidenced by a recent review undertaken commissioned by DfID (*Dyszynski, et al, 2011*).

Rwanda has developed the National Strategy for Climate Change and & Low Carbon Development (NSCCLCD) in 2011 and the green growth strategy, and through PEI environmental issues mainstreaming in District Development Plans (DDPs) has taken place. Through the support of EU- SEA for the agriculture sector and Energy sector have been conducted.

Awareness of the challenges from climate variability and climate change is being promoted, which is already reflected in the institutional set-up and in the approval of the NSCCLCD. As well there are various initiatives in progress that will allow Rwanda to narrow the gap for climate variability and climate change adaptation. These initiatives include projects aimed at rehabilitating meteorological stations, which will permit better weather forecasting, as well as the further development of an Early Warning System (EWS) (being developed with UNEP/UNDP). The expansion of the weather insurance for farmers will increase their adaptation to climate variability and climate change (EU, 2011).

Issues that deserve attention are mainly related to the strengthening of capacities and the enhancement of coordination, as no aspects of major importance are present (as could be, e.g. important gaps in environmental governance, or important duplication of functions). However, also the environmental regulatory framework remains weak in Rwanda, although it is subject of attention and advances are gradually being made. Especially challenging are the effectiveness of the EIA regulatory system.

4.1.2 ENV/CC national policies, legal framework

Rwanda is a signatory to international conventions such as the Ramsar Convention on Wetlands of International Importance (1971 ratified in (2003), the Vienna Convention for the Protection of the Ozone Layer (1985) ratified in 2003, Montreal Protocol on Substances that Deplete the Ozone Layer, 1987 ratified in 2003, the Convention on Biological Diversity and its Habitat of (1992) ratified in 1995, Cartagena Protocol on Biosafety (2000) ratified in 2003, the United Nations Framework Convention on Climate Change (1992) ratified in 1995, the United Nations Framework Convention on Climate Change (1992) ratified in 2004, the Kyoto Protocol to the Framework Convention on Climate (1997), the Stockholm Convention on Persistent Organic Pollutant ratified in 2002, Basel Convention on the Control of Trans-boundary Movements of Hazardous Wastes and their Disposal (1989) ratified 2003 among many other international treaties. In the context of the UNFCCC it has prepared its National Adaptation Programme of Action (NAPA) and two National Communications. The NAPA defines priority areas for adaptation. In October 2011, it approved its National Strategy for Climate Change and Low Carbon Development (NSCCLCD). Rwanda has put in place a solid set of institutions dealing with the environmental aspects of the agriculture sector, including arrangements for inter-sectoral and inter-institutional coordination. Issues that deserve attention are mainly related to the strengthening of capacities and the enhancement of coordination, as no aspects of major importance are present (as could be, e.g. important gaps in environmental governance, or important duplication of functions). However, the environmental regulatory framework remains weak in Rwanda, although it is subject of attention and advances are gradually being made. Especially challenging are the effectiveness of the EIA regulatory system.

4.1.3 ENV/CC institutional framework (who does what)

Responsibilities for climate change related issues are shared amongst different institutions. REMA has created the Climate Change and International Obligations Unit (CCI OU), which also acts as Designated National Authority (DNA) for carbon market activities. In 2009 a Climate Change Unit was set up within the Rwanda Environmental Management Authority (REMA), overseeing the Designated National Authority (DNA) to coordinate carbon market activities. The Rwanda Meteorological Service (RMS), recently been designated as an autonomous agency, is responsible for collection of meteorological data and weather forecasting. In terms of disaster management, there is a Disaster Management Unit (DMU) under the Ministry of Disaster Preparedness and Refugee Affairs, which carries out disaster risk assessment studies in the sensitive parts of the country.

REMA is the end institution legally responsible for the EIA. However the responsibilities for managing the EIA application and approval process on a day-to-day basis, including the issuing of EIA certificates, has been delegated to Rwanda Development Board (RDB). The Environment sub-sector strategy has been developed through a participatory process, which has included a series of consultative meetings at the Environment Thematic Working Group (ETWG) level. To ensure coherence and synergy in the programming, resource mobilisation and monitoring and evaluation performance at Ministerial level (MINIRENA), a Sector-Wide Approach (SWAp) framework has been developed. It is expected that the SWAp Secretariat of the ENR sector will assist in improving the cross-sectoral collaboration, and by bringing together all key stakeholders. There are five ENR sub-sector Thematic Working Groups (TWGs) falling under the five ENR sub-sectors i.e. Environment and Climate Change, Land, Forestry, IWRM and Mining (GoR, 2014). The ETWG is chaired by the Director General of REMA and Co-chaired by the Swedish International Development Cooperation Agency (Sida). The Pov-

erty Environment Initiative (PEI) project in REMA provided technical support in drafting the Strategy. Environment and climate change integration in strategic documents as a cross cutting issue such as the EDPRS II and as a result the inclusion of the issues in the Budget Call Circular (BCC) on a pilot basis for the productive sectors of Agriculture, Energy and Private sector during the 2010/2011 budget year on a pilot basis and subsequent scale up to other economic and social sectors is an important positive step (GoR, 2012). Also the, establishment of FONERWA (Sustainable Financing Mechanism for Environment and Climate change Initiatives in Rwanda) as a basket fund with various windows and corresponding eligibility criteria and at least 20% of funds targeting the private sector is another positive step. Currently, DfID has provided 22 Million GBP (funds announced in April 2013) to the fund (FONERWA) in addition to the operational support funds of 1.5 Million GBP.

Rwanda Environment Management Authority (REMA) and Rwanda Natural Resources Authority (RNRA) are the two implementing agencies of MINIRENA. REMA is responsible for supervising, follow-up and ensure that issues related to environment are regulated and mainstreamed in all national development plans. However, the main barriers to achieving the Environment and Natural Resources (ENR) sector objectives include; capacity building, a weak Monitoring and Evaluation system, coordination of civil society and private sector as well as effective mainstreaming climate and environment issues into national plans.

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

For the 2008-2013 period, cooperation between Rwanda and EU is by Country Strategy Paper (CSP) agreed by the Government of Rwanda (GoR) and the National Indicative Programme (NIP). 60% of the support under the 10th EDF was provided as general budget support. Environment and climate change were not selected as focal sectors for Rwanda; the main factor influencing the choice of focal sectors (rural development, infrastructure, and governance) in the CSP for 2008-2013 was the alignment with the Government of Rwanda's (GoR) Economic Development and Poverty Reduction Strategy (EDPRS).

Environmental issues, especially those that affect agriculture and livelihoods, were an important element of the agriculture and rural development sector support, one of its objectives being: *Ensuring environmental sustainability is an issue that cuts across the other three objectives*. Climate change was not mentioned explicitly as an area of intervention, but CC adaptation was an important element of some of the actions. In the infrastructure sector, the focus was mainly on transport/roads, albeit with some energy related interventions initiated by the DEVCO HQ. The environment was addressed through EIAs.

The For the 11th EDF (2014-2020), the priority sectors were selected on the basis of a dialogue with GoR and in line with donor coordination and the priorities of Rwanda's Economic Development and Poverty Reduction Strategy (EDPRS 2). The focal sectors are largely the same in the NIP for the 11th EDF, except a) that within the infrastructure, the focus will be on energy and transport will be discontinued, b) general budget support will be discontinued, and c) governance is lifted to become a focal sector. This change of focus is responding to GoR's preferences. In response to the "Agenda for Change" EU communication (2011), which requires that at least 20% of all actions must relate to environment, sustainability is now explicit in the focal sectors: 1) sustainable energy, and 2) sustainable agriculture and food security

While the CSP under the 10th EDF (2008-2013) does not specify environment as a focal sector, environment, one of the objectives for the agriculture and rural development focal sector was related to environmental sustainability. Climate change is not addressed in the CSP for 2008-2013, but climate change adaptation was an element of the actions implemented under the Strategic Plan for Agricultural Transformation (SPAT 3). In the NIP for the 11th EDF (2014-2018), sustainability is at the centre for both the support to the agriculture and infrastructure (energy) sectors.

4.3 Overview of EU-funded interventions

The overall objective of EC cooperation in the Rwanda was focused on rural development, infrastructure and governance, mainly supported by sector budget support and project support, for poverty reduction through improved food security and increased agricultural productivity and developing an environment conducive for rural economic development, in the context of sustainable development. The specific objectives of the interventions was to: a) strengthen agricultural productivity in order to ensure food security and increase incomes; b) develop rural infrastructure to provide a conducive environment for rural economic growth; c) promote off-farm employment; and d) ensure environmental sustainability and reduce pressure on scarce land resources. These objectives will be met largely through interventions at local government level. For **strengthening agricultural productivity**, interventions

financed by the EC aimed at improving the production of both food and cash crops. Special attention was given to adding value through improved quality (e.g. fully washed coffee) and through the use of marketing channels that promote fair trade, for example by promoting cooperatives. The **development of rural infrastructure** was to support local priorities as defined in local development plans, and was to include the construction and rehabilitation of rural feeder roads, rural energy infrastructure (mini-hydropower, biogas, solar energy), processing centres, storage sites, environmental protection and water management infrastructure (including irrigation and sustainable economic production in marshlands) and modern markets. This was planned to facilitate the circulation of goods and the provision of services, impact positively on the quality of production and reduce post-harvest losses.

Climate change and ensuring **environmental sustainability** is an issue that cuts across the other three objectives. Specific interventions to promote agricultural productivity (e.g. support for district extension services) or infrastructural development (e.g. water management infrastructure) were considered to contribute directly to environmental sustainability. Other activities would include creating a favourable environment for light industries concerned with waste management and recycling. Rural economic transformation, including the creation of off-farm employment, will indirectly help to reduce pressure on scarce land resources.

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context – The cooperation between Rwanda and EU is defined by Country Strategy Paper (CSP) agreed by the Government of Rwanda (GoR) and the National Indicative Programme (NIP). For the 11th EDF (2014-2020), the priority sectors were selected on the basis of a dialogue with GoR and in line with donor coordination and the priorities of Rwanda's Economic Development and Poverty Reduction Strategy (EDPRS 2). While the CSP under the 10th EDF (2008-2013) does not specify environment as a focal sector, environment, one of the objectives for the agriculture and rural development focal sector was related to environmental sustainability. Climate change is not addressed in the CSP for 2008-2013, but climate change adaptation was an element of the actions implemented under the Strategic Plan for Agricultural Transformation (SPAT). In the NIP for the 11th EDF (2014-2018), sustainability is at the centre for both the support to the agriculture and infrastructure (energy) sectors.

<p>EQ 1 Achievement of EU policy aims <i>To what extent has EU support to environment and climate change across different instruments contributed to the EU's overall environment and climate change policy aims?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • GoR is strongly committed to promoting sustainable development and green growth, and already engaged in ensuring that environment and climate change considerations are integrated in development planning and implementation across sectors. While this agenda is mainly driven by GoR itself, EU support has contributed to enhancing the ability of GoR to implement its sustainability agenda, through budget support for the agriculture sector, introducing the SEA concept, and through UNDP-UNEP Poverty-Environment Initiative's (PEI) technical support for mainstreaming across sectors. • While Rwanda is strongly committed to environmental sustainability and climate resilience, the focus is mainly on undertaking concrete actions domestically, whereas Rwanda appears to be less active than other countries in global MEA negotiations. While there is already international recognition of Rwanda's results in relation to climate change adaptation, a stronger presence in UNFCCC COPs could create further awareness of Rwanda as a best practice case and inspire other countries.
<p>JC 11 National partner prioritisation of environment and climate change <i>EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Rwanda is generally giving high and growing priority to environment and climate change as evidenced by development policies with a green growth focus and the requirement that sector ministries and districts mainstream environment and climate change in their planning. EU's engagement in the agriculture sector SWAp and project support for PEI has contributed to this, but the primary driver is domestic political commitment. The dialogue with GoR is very good and there was not a need for policy dialogue on prioritising environment and climate change as such, but rather on how to do it in practice. • Environment and climate change were not selected as focal sectors for Rwanda. The main factor influencing the choice of focal sectors (rural development, infrastructure, governance) in the CSP for 2008-2013 was the alignment with the Government of Rwanda's (GoR) Economic Development and Poverty Reduction Strategy (EDPRS). • Environmental issues, especially those that affect agriculture and livelihoods,

	<p>were an important element of the agriculture and rural development sector support, one of its objectives being: <i>Ensuring environmental sustainability is an issue that cuts across the other three objectives</i>. Climate change was not mentioned explicitly as an area of intervention, but CC adaptation was an important element of some of the actions.</p> <ul style="list-style-type: none"> • In the infrastructure sector, the focus was mainly on transport/roads, albeit with some energy related interventions initiated by the DEVCO HQ. The environment was addressed through EIAs. • The focal sectors are largely the same in the NIP for the 11th EDF, except a) that within the infrastructure, the focus will be on energy and transport will be discontinued, b) general budget support will be discontinued, and c) governance is lifted to become a focal sector. This change of focus is responding to GoR's preferences. In response to the "Agenda for Change" EU communication (2011), which requires that at least 20% of all actions must relate to environment, sustainability is now explicit in the focal sectors: 1) sustainable energy, and 2) sustainable agriculture and food security. • Environment and climate change was not among the six indicator areas (private sector development, education, health, agriculture, water and sanitation) for the general budget support. Hence, environment did not play a significant role in the dialogue with GoR in this regard. Nonetheless, the EUD indicates that general support had also been provided in relation to the MDGs, where dialogue also covered the 6th MDG on environment. Moreover, the ENRTP funded PEI has since 2005 engaged proactively in policy, by carrying out studies to inform GoR about environmental issues and their economical impact and engaging in dialogue and awareness raising. • The EUD is active in a number of sector WGs, incl. agriculture, energy, transport and environment; environment and climate change issues have been on the agenda in these groups, but in transport it has been limited to concrete cases of infrastructure construction and not related to policy or strategy, other than advising GoR to reduce the width of new feeder roads from 7 meter to 6 meters to reduce erosion on hillsides. • EUD and GoR have had bilateral policy discussions in relation to MEA COPs and the SDGs, initiated from Brussels. However, the responsible ministries are not those the EUD normally work with, which limited the ability to engage.
<p>JC 12 Use of instruments to enhance achievement of policy aims <i>The extent to which ENRTP and geographic instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU's environment and CC support was well aligned with national priorities with a strong emphasis to general budget support and sector budget support for the agriculture SWAp. In particular, support to environmental issues and climate change adaption in agriculture is supportive of GoR priorities as evidenced by Government policies and the Ministry of Finance and Economic Planning's (MINECOFIN) guidance for sector and district planning, which promotes mainstreaming. Interventions in the road and energy sectors are also in line with GoR priorities and supportive of policy goals, e.g. for increasing energy access and Rwanda's Sustainable Energy for All Action Agenda. PEI provided important support to GoR on how to promote mainstreaming in practice. EU funded SEAs of the agriculture and energy sectors provided important knowledge. EU support has thus contributed to GoR's ambitious mainstreaming agenda, which is in line with EU policies and their emphasis on sustainable development. • Rwanda is generally giving high priority to environment, climate change and green growth/mainstreaming. However, this seems only to be partly linked to global processes, in which Rwanda appears be less active than other countries. The policy and legal framework for environmental management is generally conducive, and GoR is trying to implement this, but still facing capacity constraints – and it is challenging to balance economic development and environment as an LDC with a high population density and a hilly terrain. While this development cannot be attributed to EU, EU has funded specific actions, which has contributed to this process, such as: • EU funded the first SEA in Rwanda (agriculture sector, 2012); which received a lot of attention and Rwanda is now committed to carry out SEAs for all policy and programme development – one indicator in the EDPRS 2 is the number of SEAs carried out and the guidelines from MINECOFIN for sectors include SEA. EU has in 2014 funded an SEA for the energy sector. • PEI has supported the inclusion of environment in EDPRS, supported MINECOFIN in relation to mainstreaming in budget guidelines, provided evidence of the economic cost of environmental degradation, e.g. in relation to the encroachment of the Rughezi Wetlands and its impact on hydropower production, (the wetlands have since been rehabilitated). PEI has also initiated the establishment of three green villages to demonstrate mainstreaming on the

	ground; GoR now plans to establish at least one green village in all districts.
JC 13 Inclusion of environment and CC in EU policies and strategies <i>Level of inclusion of environment and CC in EU policies and strategies with third countries and regions</i>	Not relevant for field visits.

Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
The priority given by national partners to environment and climate change issues has gradually increased. (JC11)	The priority given environment and climate change adaptation has increased significantly, and Rwanda shows a significant political commitment to green growth, although the implementation capacity and awareness is still not sufficient at the lower levels of Government.
Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)	A significant amount of dialogue takes place through the formal mechanisms, such as the sector WGs. However, DPs also engage in informal dialogue, which is useful since it allows for more in-depth discussions.
MEA processes have influenced national policy debates. (JC12)	MEA processes have probably had some influence on the national debates, e.g. on climate change, but the environment agenda in Rwanda is mainly driven by national ambitions and processes.
Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)	The support for environment and climate change is fully aligned with national priorities.
ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)	The evidence in Rwanda does not fully support this hypothesis. The land registration project was supporting a GoR initiative. PEI supports GoR's own mainstreaming aspirations – although PEI probably was an important contributor to getting mainstreaming on GoR's agenda, prior to the period under evaluation.
Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)	Not assessed for the country mission.

5.2 EQ 2: Low emission



Context – EU support to Rwanda focuses on CC adaptation and mitigation was supported via ENRTP in 2007-2013, and only through the UNFCCC Secretariat. The only other action with a relation to low emissions was a small grant to the for the implementation of the BamBu district led project promoting bamboo planting with the intention to reduce pressure on forest and wetland resources and which would also sequester some carbon. Carbon emission levels for Rwanda are low, even by African standards.

EQ 2 Low emission <i>To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i>	Main findings <ul style="list-style-type: none"> EU involvement in MRV and NAMA is only through ENRTP funding support for the UNFCCC Secretariat for developing country participation and capacity building; some of which included MRV and NAMA guidance
JC 21 Monitoring, Reporting and Verification <i>Increased capacity to Monitor, Verify and Report (MRV)</i>	Findings <ul style="list-style-type: none"> EU has not supported this in Rwanda. LECB is not operating in Rwanda. No NAMAs have been completed yet and MRV development has not yet commenced, but is planned to take place after NINs (NAMA Information Notes) have been developed. No MRV system is under development.

<p>JC 22 NAMAs and LEDS <i>Availability of strategies and actions that support a low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has not supported this in Rwanda. • LEDS development is currently not happening. • LECB is not operating in Rwanda. • No NAMAs have been completed yet. Rwanda has developed NAMA guidelines to guide the NAMA formulation process and carried out studies to analyse emissions from different sectors. At least 7 NAMA Information Notes are anticipated to be developed and submitted to the NAMA Registry for funding
<p>JC 23 Capacity for low emission development <i>Increase in knowledge on implementing low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Rwanda has only to a limited extent participated in capacity building on low emission development: it has participated in one workshop held by the NAMA Regional Centre in Kampala, and received some support, but on CDM rather than NAMA.

Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
In-country coordination efforts work and would be likely to offer a good partial solution to the coordination effort;	No evidence gathered on this in Rwanda. Seemingly not a relevant hypothesis for Rwanda.
NAMAs developed so far likely to be bankable or attract private sector finance;	Too early to say.
The NAMAnet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;	No evidence gathered on this in Rwanda.
The PMR market readiness approach is attracting the private sector to be engaged;	Not applicable in Rwanda.
The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;	There appears to be no link to mitigation actions in Rwanda.
The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.	No evidence collected in Rwanda that confirms or rejects this hypothesis. Rwanda has very low levels of emissions.

5.3 EQ 3: Sustainable energy



GEEREF has not been active in Rwanda. For this reason this evaluation question was not evaluated in Rwanda.

EU provided some, but not much, support for small-scale renewable energy during the period under evaluation. Sustainable energy is a focal sector in the NIP for the 11th EDF

5.4 EQ 4: Biodiversity



Context – EU's support did not focus on biodiversity, and the only indirect contribution was a grant to the BamBu district led project promoting bamboo planting with the intention to reduce pressure on forest and wetland resources.

<p>EQ 4 Biodiversity <i>To what extent has EU support (via the ENRTP and geographic instruments) helped improving the capacity of partner countries to prevent/reduce the loss of biodiversity?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • EU did not engage at the country level in biodiversity conservation. • EU's support for the CITES Secretariat's global Monitoring of Illegal Killing of Elephants (MIKE) project also benefitted Rwanda.
<p>JC 41 Implementation of Commitments <i>Enhanced capacity of partner countries to implement their</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU did not engage at the country level in building the national capacity to implement CBD and CITES. • EU supported through ENRTP the CITES Secretariat's global Monitoring

<p><i>commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES</i></p>	<p>of Illegal Killing of Elephants (MIKE) project, which is also implemented in Rwanda (Akagera National Park).</p> <ul style="list-style-type: none"> • The NBSAP was revised in 2014 with support from UNEP (scheduled to be adopted in 2015), but not with EU funding (GEF funded). • There is satisfaction with the implementation of the previous NBSAP. A three-year action plan is in place for the national parks. A strong Wildlife Act is in place. A comprehensive policy framework for biodiversity and ecosystems has been put in place: • National Biosafety Framework (NBF), including the National Biotechnology-Safety Policy and National Biosafety Bill. • Rwanda Biodiversity Policy of 2011 (supported by UNDP/GEF). • Biodiversity Law, Forestry Law, Protected Areas Law, New Land Law, Rwanda Wildlife Policy (all from 2013).
<p>JC 42 Ability to conserve biodiversity <i>Strengthened national capacity to conserve habitats/ecosystems</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU did not support national institutional frameworks related to identification and management of protected areas in Rwanda. • Rwanda's national parks are well managed and poaching is limited. • Rwanda has made good progress in establishing a Centre of Excellence in Biodiversity and Natural Resources Management and a CBD steering Committee. There is still insufficient technical capacity on biodiversity and insufficient staff resources to coordinate NBSAP implementation. • EU supported the Bam Bu local authority project on community/on-farm bamboo cultivation to reduce the pressure on wood resources and erosion in the buffer zones of the Virunga National Park and the Rugezi Wetlands (Ramsar site), and reduce illegal bamboo cutting in the National Park and the wetlands
<p>JC 43 Knowledge and Information on Biodiversity <i>Improved availability of, and access to, knowledge and information on biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU did not engage in this. • Nonetheless, PEI was instrumental in providing the necessary economic analysis and data (which identified the economic costs of lost hydropower generation due to wetland degradation), which led to the restoration efforts of the Rugezi Wetlands by GoR.

Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
Biodiversity issues are now mainstreamed (including increase in budgets) into the new lot of CSP. Tools developed are applied	Biodiversity is not specifically addressed in the new NIP.
EU innovative approaches to habitat/ecosystem management are applied in PPP	EU did not engage in this in Rwanda.
EU SPSP for protection of biodiversity at national level is on the increase	SPSP has not been provided for biodiversity/environment in Rwanda.
Research programmes (show-cases/results) are used for the development – formulation of country strategies, programmes, projects financed by ENRTP-EDF-geographical instruments.	Biodiversity research not supported in Rwanda by EU during the period under evaluation under ENRTP or geographic instruments.

5.5 EQ 5: Green economy



Context – EU support for the green economy (GE) in Rwanda was provided through UNEP for the Green Economy and Social and Environmental Entrepreneurship in Africa Project/SEED project (ENRTP funded). No support was provided for GE through other ENRTP funded actions or through geographic instruments.

<p>EQ 5 Green economy <i>To what extent has the EU support enhanced sustainable and resource-efficient produc-</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Rwanda is committed to green growth, as evidenced by its mainstreaming agenda, and has a Green Growth and Climate Resilience Strategy for low carbon development (2011), but this was not established with EU support.
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<p><i>tion and consumption policies and practices⁷⁰ and therefore contributed to the greening of the economy of supported countries?</i></p>	<ul style="list-style-type: none"> • Rwanda has applied some economic instruments, but a full framework is not in place (not funded by EU). • EU only engaged in GE to a limited extent through the Green Economy and Social and Environmental Entrepreneurship in Africa Project.
<p>JC 51 Green economy capacity <i>Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has only engaged in GE through ENRTP funding for the Green Economy and Social and Environmental Entrepreneurship in Africa Project/SEED, implemented by UNEP and other UN agencies. • No evidence was found on the use of EU specifically as a source of standards and expertise. • Rwanda does not have a full-fledged policy and regulatory framework for SCP, but some policies, laws and programmes are in place (not supported by EU), incl.: • Rwanda has a Green Growth and Climate Resilience Strategy for low carbon development (2011) • Rwanda has a charcoal policy to reduce the use of charcoal. • The use of plastic bags is banned in Rwanda • The National Domestic Biogas Programme, Improved Cook Stove Programme, Clean Development Mechanism, Resource Efficient and Cleaner Production Programme and Rwanda • A National Sustainable Consumption and Production (SCP) Programme was developed and validated in 2013 with support from UNEP
<p>JC 52 Green economy implementation <i>Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EU has not engaged in SCP in Rwanda, other than through the Green Economy and Social and Environmental Entrepreneurship in Africa Project/SEED. This project has provided small awards (SEED) for small-scale innovative enterprises (e.g. household biogas production systems) and NGOs promoting rural eco-enterprises (e.g. mushroom cultivation to reduce demand and pressure for agricultural land, improved stoves and improved charcoal making to reduce firewood needs), but these contributions were insignificant compared to other funding sources. However, these award winners were also trained on business and organisational skills and business plan development and provided opportunities to link to other potential partners (SEED award winners, policy-makers, institutions and investors at international SEED symposia in South Africa or Kenya). • As part of the Green Economy and Social and Environmental Entrepreneurship in Africa project, UNEP initiatives such as protection of mountain gorilla and wetland restorations efforts in the Nyabarongo and Akagera network and Rugezi are being supported and are beginning to provide environmental, economic and employment benefits. • Rwanda has developed a National Sustainable Consumption & Production Programme (SCP action plan) with support from UNEP (not EU funded). • Rwanda has applied some economic instruments related to promoting a green economy, such as a) subsidies and financing for SMEs selling solar lamps, b) for the purchase of biodigesters, GoR subsidise 40% of the price and 30% can be raised as loan from SACCOs, and c) charcoal is taxed (GoR gets 5% of its total revenues from charcoal), but a full framework is not in place (not funded by EU). • It is difficult to access funding for green enterprises from commercial banks. Limited funding appears mainly to be available from international donors and FONERWA (while established by GoR, the FONERWA funding mechanism for climate change adaptation is mainly DfID funded).

Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
<p>Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?</p>	<p>Not applicable in Rwanda</p>
<p>Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from SWITCH-Asia and how has this changed the</p>	<p>Not applicable in Rwanda</p>

⁷⁰ SCP interventions are the main scope. Natural resources management interventions are not considered.

Overall desk hypotheses	Evidence from Rwanda's case study
programmes?	
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa programmes?	The EUD has seemingly not played a role in relation to the Green Economy and Social and Environmental Entrepreneurship in Africa project. PAGE does not support Rwanda.
Have capacity building activities on SEA in Ukraine increased the quality of SEAs?	Not applicable in Rwanda
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	Financing is still a major constraint in Rwanda.
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not applicable in Rwanda
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	Not applicable in Rwanda
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	Not applicable in Rwanda (non-SWITCH country) But there is a Green Growth and Climate Resilience Strategy
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	Not applicable in Rwanda

5.6 EQ 6: Environmental governance



Context – The support to international environmental governance has been channelled through UNEP and the MEA Secretariats it hosts since 2007 and especially since 2010

<p>EQ 6 Environmental governance <i>To what extent has ENRTP contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) and UNEP-related processes?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • UNEP capacity building support under the EU funded ACP MEAs project has played an important role in relation to building the capacity to engage in MEA negotiations. • Africa is now more organised and has a stronger voice in relation to CITES, even if they do not always agree with each other and the implementation capacity is still insufficient. • In Rwanda, the capacity building for national implementation of MEAs was mainly built by UNEP with GEF funding, which has facilitated the establishment of a comprehensive biodiversity policy framework. EU support MEA Secretariats (e.g. CMS, CITES, Ramsar) did not to the same extent built national capacity, although useful guidelines were developed and used, e.g. for community project development.
<p>JC 61 International institutional framework <i>Extent to which EU support to UNEP and its MEA Secretariats has strengthened the MEA related international institutional framework and processes in relation to biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • UNEP support (e.g. capacity building, workshops for preparation for negotiations (e.g. for CBD and for UNFCCC), activities for the preparation of the national communications related to the CBD (and UNFCCC), hosting) under the EU funded ACP MEAs project has played an important role in relation to building the capacity to engage in negotiations. • Support for MEA COP attendance was helpful but insufficient, with only one delegate supported and sometimes not even support for this was provided. To rectify the inability to follow all negotiation streams and debates, the African Group meets to share information at the COPs. • The support provided by the CITES Secretariat was not sufficient to help with establishing national framework and building the capacity to implement CITES.

	<ul style="list-style-type: none"> • Africa is now more organised as a group in the CITES COPs, e.g. in the African Elephant Coalition, and now having a strong voice. UNEP's hosting of the African Elephant Coalition/Action Plan is thus found useful for promoting African views in relation to elephant protection and poaching. However, the countries do not always agree, with East Africa advocating for a continued ban on ivory trade, whereas Southern Africa advocates for controlled trade to sell their stockpiles. • 5 national reports have been submitted to the CBD Secretariat (most recently in 2014), all with support from UNEP, but not with EU support (GEF funded).
<p>JC 62 Greater knowledge <i>Extent to which EU support to UNEP and its MEA Secretariats has improved access to knowledge on biodiversity and biodiversity conservation (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • CITES, CBD and Ramsar manuals, handbooks and publications are found to be useful, e.g. for the development of community-based conservation project and community tourism initiatives. CBD publications have been helpful for the development of learning and teaching materials (e.g. handbook, starter pack, funfairs) related to biodiversity, which have been distributed in schools neighbouring protected areas. • Global and regional biodiversity and ecosystem monitoring is not well coordinated and is still weak. However, there are sub-regional initiatives such as the well working gorilla monitoring collaboration between DRC, Rwanda and Uganda. But EU does not support this.
<p>JC 63 Capacity for policy and planning <i>Extent to which EU support to UNEP and its MEA Secretariats has enhanced developing countries' capacity to engage effectively in biodiversity related policy formulation and planning to meet their commitments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The NBSAP was revised in 2014 with support from UNEP (scheduled to be adopted in 2015), but not with EU support (GEF funded). There is satisfaction with the implementation of the previous NBSAP. (See JC-41) • The Ministry of Natural Resources (MINIRENA) has established a MEA coordination unit, but there are still some challenges in coordinating the different MEAs, with focal points sitting in different ministries and agencies (e.g. CBD and Ramsar focal points are in the Rwanda Environmental Management Agency (REMA), while the CITES Focal Point is in the Rwanda Development Board (RDB)). The Focal Points meet periodically, but coordination is still a challenge for focal points, e.g. in relation to developing and implementing the biodiversity action plan.

Indicator	Evidence and findings
I-631. Evidence of application, by national stakeholders and decision makers of skills and knowledge transferred/promoted by EU supported international entities	<p>Focal points for conventions sit in different ministries and agencies, e.g. CBD and Ramsar focal points are in the Rwanda Environmental Management Agency (REMA), while the CITES Focal Point is in the Rwanda Development Board (RDB). The Ministry of Natural Resources (MINIRENA) has a coordination unit (1-2 years old), which is responsible for the coordination of all MEA Focal Points. The Focal Points meet periodically, but coordination is still a challenge for focal points, e.g. in relation to developing and implementing the biodiversity action plan.</p> <p>UNEP has supported the establishment of a comprehensive biodiversity policy framework, but the implementation and coordination capacity is still constrained (see I-413 and I-421). This was not support by EU (GEF funded).</p>
I-632. Quality, outreach and application by national stakeholders and decision-makers of the skills provided through capacity-building and TA provided by UNEP and its MEA Secretariats	

Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
The EU support for participation in CBD-PoWPA-CITES-Chemicals agreement processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC61, JC62)	In relation to CBD and CITES, there is support for participation, but capacity building support is found insufficient.
Developing countries have become more organised and vocal at CBD-PoWPA-CITES-Chemicals negotiation processes. (JC61)	The African Group has become more organised and has a strong voice at CITES COPs.
The needs and priorities of LDCs and SIDSS are increasingly being heard and taken into account in CBD-PoWPA-CITES-Chemicals related agreements. (JC61)	The African Group has become more organised and has a strong voice at CITES COPs.

Overall desk hypotheses	Evidence from Rwanda's case study
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC62)	This is happening when in relation to CITES, and Ramsar.
That the ENRTP support to UNEP- MEA Secretariats under new priority 3.3 and old priority 4 has resulted in (JC63): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national biodiversity policies, NBSAPs, PoWPA (inter-linked to EQ4 on biodiversity).	CITES related skills are applied due to project funding (MIKE, see JC41), but training from the CITES Secretariat and UNEP is insufficient and has not really made a difference. Rwanda has in 2014 revised its NBSAP, but this was not supported under ENRTP but by UNEP/GEF.

5.7 EQ 7: Climate governance



Context – The EU does not have a long history of supporting climate change in Rwanda. Climate change did not feature in the CSP for 2007-2013, but climate change adaptation was nonetheless addressed through the agriculture sector budget support for the implementation of SPAT 3, which includes adaptation activities, and indirectly with the sector budget support for land regularisation (LTR), which created the enabling environment for farmers to invest in climate change adaptation measures. Climate change features prominently in the NIP for 2014-2020 with its focus on a) sustainable agriculture and food security and b) sustainable energy. Rwanda has also benefited from support provided under ENRTP at the global level for the UNFCCC Secretariat.

<p>EQ 7 Climate governance <i>To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Rwanda does not appear to be as visible in UNFCCC negotiations as other countries, but seems to focus on in-country action. • There is evidence of increased capacity with GoR, with the Green Growth and Climate Resilience Strategy, MINECOFIN's guidance on sector and district development plan (DDP) mainstreaming, and the reportedly high proportion of climate projects. • The capacity increase appears more to be related to national processes and programmes than to support for UNFCCC processes, and is thus not easily attributable to EU support for international climate governance. • Considering the good progress Rwanda has made domestically with climate change mainstreaming, but at the same time the seemingly moderate engagement in the UNFCCC process internationally, perhaps an opportunity is partly missed to promote Rwanda's good results and inspire other countries to learn from Rwanda's experience.
<p>JC 71 International institutional framework <i>Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Rwanda does not appear to be as visible in UNFCCC negotiations as other countries, but seems to focus on action in Rwanda. In 2014, Rwanda only had a total of four COP delegates from Government, of which three were funded through the UNFCCC Secretariat. Burundi had larger delegation than Rwanda. Moreover, Rwanda is not represented in any UNFCCC expert groups or working groups (although previously Rwanda was represented at the Technology Executive Committee). Rwanda, like other African countries, does not have enough people at COPs to follow all negotiation streams, so they coordinate participation with other countries from the G-77, the Africa Groups and the BASIC countries. • Nonetheless, UNFCCC appears to be used by Rwanda as a forum to mobilise technical support, e.g. to pursue funding for climate projects. • A change has been noticed in terms of increased developing country capacity and engagement, but capacity building, e.g. in negotiation skills, is still needed. There is an issue with support for capacity development and transfer of skills, where an agreement has not yet been reached at the COPs. • UNEP has under the EU funded ACP MEAs supported the participation of some African countries, incl. Rwanda, in the meetings (e.g. Eastern Africa Subregional meetings) to support the development of the African Common negotiations position. • Rwanda has a challenge with accessing mitigation funding, since Rwanda's emissions are very low.

	<ul style="list-style-type: none"> The first project with funding from the Adaptation Fund is being implemented in Northwest Rwanda. GoR has established a funding mechanism for adaptation, FONERWA, for which DfID is providing the bulk of the funding.
<p>JC 72 Greater knowledge <i>Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> Rwanda is not represented in any UNFCCC expert groups or working groups. Previously Rwanda was represented at the Technology Executive Committee (TEC). The IPCC focal point has participated in many, but not all, IPCC meetings. Rwanda is not represented in any of the IPCC working groups. The Rwanda Meteorological Service is not currently able to coordinate inputs from Rwandan scientists to the IPCC assessment reports, due to restructuring, but has supported submitted its national communications to IPCC. Rwanda has not participated in trainings provided by the IPCC Secretariat or WMO. Most meteorological data in Rwanda is digitised, with support from UNECA and WMO (not EU funded). Rwanda is covered by 206 functional weather stations. Green Growth and Climate Resilience Strategy and mainstreaming is informed by science from IPCC/UNFCCC.
<p>JC 73 Capacity for policy and planning <i>Extent to which EU support to international entities has enhanced developing countries' capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> There is evidence of increased capacity with GoR, with the Green Growth and Climate Resilience Strategy, guidance on sector and DDP mainstreaming and a high proportion of climate projects (Rwanda reportedly implements more UNFCCC related project than other countries in the region). But this capacity increase appears more to be related to national processes and programmes than to support for UNFCCC processes, and thus not easily attributable to EU support for international climate governance. Through the EU funded ACP MEAs project (see Kenya country note), UNEP has assisted African countries incl. Rwanda in engaging in the global carbon market. This included the transfer of CDM knowledge and experience from the UNEP Risoe Centre and regional CDM centres of excellence through capacity building activities and workshops. UNEP also under the ACP MEAs project contributed to operationalising of the Designated National Authority (DNA) in Rwanda. As an LDC, Rwanda has a NAPA. As a low-emitting country, it is not surprising that Rwanda has not yet submitted any NAMAs, although the ambition is to submit 7+ NAMAs. Rwanda has developed NAMA guidelines to guide the NAMA formulation process and carried out studies to analyse emissions from different sectors (see EQ 2).

Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)	There is evidence of increased capacity with GoR, with the Green Growth and Climate Resilience Strategy, guidance on sector mainstreaming and the NAMA guidelines and a high proportion of climate projects. But this capacity increase appears more to be related to national processes and programmes than to support provided in the context of UNFCCC processes.
Developing countries have become more organised and vocal at climate negotiation processes. (JC71)	
The needs and priorities of LDCs and SIDSs are	The formulation of the African Group common negotiation posi-

<i>Overall desk hypotheses</i>	<i>Evidence from Rwanda's case study</i>
increasingly being heard and taken into account in UNFCCC related agreements. (JC71)	tion is seen in Rwanda as an important step in the right direction and has led to some improvement in terms of the consideration given to African positions at COPs, but it still needs to be further strengthened. This process is expected to continue during UNFCCC COPs.
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC72)	There is evidence of increased capacity with GoR, with the Green Growth and Climate Resilience Strategy, guidance on sector mainstreaming and the NAMA guidelines and a high proportion of climate projects. But this capacity increased appears more to be related to national processes and programmes than to support provided by the UNFCCC Secretariat – although the international UNFCCC related process also appears to have informed Rwanda.
That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).	

5.8 EQ 8: Mainstreaming approach



Context – DEVCO has made mainstreaming support available for EUDs and to a lesser extent to national counterparts; with an increasing emphasis on: mainstreaming in EU policies in general and for development cooperation, mainstreaming guidelines, training on mainstreaming, and technical advice for EUDs. The availability of support during 2007-2013 was particularly prominent up till the end of 2009, with the Environmental Helpdesk. After 2010, the Helpdesk was closed but mainstreaming training courses are still offered. However, the budget for training has been reduced significantly during the period evaluated. The EUD

in Rwanda has used the available technical support for the process of initiating two SEAs. In 2013 the Rwanda EUD hosted a regional mainstreaming course.

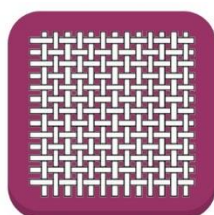
<p>EQ 8 Mainstreaming approach <i>To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Many policies and communications make it difficult for EUDs to get a clear overview of current EU positions and priorities re mainstreaming. • The mainstreaming guidelines and the technical support from DEVCO HQ (e.g. for the SEAs) were useful and of good quality. • However, the mainstreaming training was too basic compared to where Rwanda is now on mainstreaming. • The EUD has good mainstreaming capacity.
<p>JC 81 Guidelines and tools <i>Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Many policies and communications make it difficult for EUDs to get a clear overview of current EU positions and priorities re mainstreaming. A one-stop policy with the key environment and climate change policy points is absent. • The 2009 mainstreaming guidelines have been used for the agriculture and energy SEAs and were found very useful. The earlier version of the guidelines were used for the 10th EDF programming. • A CEP was prepared for the 10th EDF but not for the 11th EDF, as SEAs have been elaborated for the two most critical focal sectors and provide the needed background information and recommendations.
<p>JC 82 Delegation capacity <i>Increased capacity developed within the Delegations to mainstream environment and CC in their operations</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The mainstreaming training (in Rwanda in 2013 and in Uganda in 2011) was too basic compared to where Rwanda is now on mainstreaming. • The experience with technical support from the DEVCO HQ in relation to the SEAs was very positive; the support was useful and of good quality and helped the SEA process, e.g. in relation to the ToRs. • The EUD has good mainstreaming capacity, as evidenced by the SEAs, policy dialogue, the capacity to follow up on EIAs, and the choice to focus on sustainability in the 11th EDF: • Agriculture and rural development: good capacity, one SEA was conducted, and some actions in this sector have an element of environment and CC adaptation. Some staff members have environmental academic

	<p>backgrounds. The staff has the capacity to engage proactively in environment and climate change policy dialogue.</p> <ul style="list-style-type: none"> • Infrastructure: good capacity to monitor and follow up on EIAs and ensuring that the direct environmental impact of infrastructure construction is mitigated, unless the issues are complicated and there is a need for consultant support. A SEA was conducted for the energy sector. The staff has the capacity to engage proactively in environment and climate change policy dialogue in the energy sector.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)	The evidence from Rwanda only partly supports this hypothesis. While no issues are found with the policies per se, they are too numerous to be easily consulted and thus do not provide easily accessible guidance.
Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)	Training was taken advantage of, especially in 2013 with mainstreaming training conducted in Rwanda. HQ support was utilised for the two SEAs.
The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)	Not supported by the evidence from Rwanda. EUD staff understand well the importance of mainstreaming and have also engaged in environment and climate change policy dialogue in relation to agriculture and energy. The two SEAs address the policy/strategy level.

5.9 EQ 9: Mainstreaming practice



Context – Rwanda showed a strong commitment throughout the period under evaluation to the integration of environmental and climate change concerns in Rwanda's development agenda, as evidenced by the Green Growth and Climate Resilience Strategy, and especially the requirement to include mainstreaming and costed environmental and climate actions in district and sector development plans. EIAs are a legal requirement, and permits issued by RDB is mandatory for industries and infrastructure construction (these permits were previously issued by REMA). SEA has recently become a legal requirement. In Rwanda, a CEP

was prepared in connection with the elaboration of the CSP for 2008-2013. SEAs were carried out by the EUD for the agriculture sector (2012) and the energy sector (2014).

<p>EQ 9 Mainstreaming practice</p> <p><i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • GoR is dedicated to environment and climate change mainstreaming in district and sector development plans, although challenges remain. PEI (ENRTP funded) provided important contributions to the rollout of GoR's strong mainstreaming agenda in relation to awareness, capacity and methodology. • There is not so much a need for the EUD to promote mainstreaming but rather to help GoR in achieving its mainstreaming objectives, mainly by addressing capacity constraints and institutional gaps and helping with balancing conflicting objectives and needs. • The EUD engaged in strategic discussions related mainstreaming in relation to agriculture and more recently energy infrastructure, but only to a limited extent in relation to the transport/roads sector, and not in relation to general budget support. • An environment indicator was used in the 10th EDF for agriculture, but neither for infrastructure nor for general budget support. For the 11th EDF the EUD intends to promote environmental indicators and link these to disbursements; and for sector budget support for the energy sector will be provided for energy efficiency and sustainable energy. • One challenge with SBS/sector reform contract is that it can be difficult to ensure that all the intended objectives are receiving a sufficient proportion of the funds. It can thus be useful to maintain complementary measures managed by EUDs to fund studies, capacity building, and innovative pilots. • EU has funded two SEAs for agriculture (2012) and for energy (2014). All
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	<p>stakeholders find them as being of very good quality. As a result of the experience with the agriculture SEA, GoR now requires the use of SEA on all policies and programmes. However, the recommendations for the agriculture sector have not really been taken on board in SPAT 3. A number of energy SEA recommendations are reportedly already included in GoR's Energy for All strategy.</p> <ul style="list-style-type: none"> • EIA recommendations were monitored during the project period by the EUD as well as quarterly visits by MININFRA, and the Rwanda Transport Development Authority (RDTA) contracts supervisors/consultants to conduct technical audits. • Some GoR priority actions under SPAT promote environmental sustainability, but others could have negative environmental impacts, unless care is taken. Some EUD supported actions in the agricultural and rural development sector have addressed environmental or climate issues
<p>JC 91 Incorporation in design <i>Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector budget support modalities (throughout the programme cycle)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • EIAs and SEAs are required by law. However, there can be issues with the quality of the EIAs. GoR guidelines now require that environment and climate changes are mainstreamed into both sector and district development plans with indicators and costed budget items. • The CEP (CSP 2008-2013) was rated by the Environment Helpdesk as being "insufficient". A CEP was not prepared for the new NIP, nor was an environmental annex, instead the SEAs for the agriculture and energy sectors informed its content. • EU has funded 2 SEAs, for agriculture (2012) and for energy (2014). The agriculture SEA was the first to be conducted in Rwanda. All stakeholders find them as being of very good quality and an important contribution. GoR deployed its environmental mainstreaming specialist to participate in the SEA synthesis. As a result of the experience with the agriculture SEA, GoR is now requiring the use of SEA on all policies and programmes and the number of SEAs conducted is an indicator in EDPRS-II. • Infrastructure: EIAs are applied by GoR on all EU funded road and energy projects. • The EIA responsibility was transferred from REMA to RDB, and some stakeholders report that this has weakened the rigour of the EIA process, since the RDB overall mandate is economic development, not environmental protection. The EIA unit with RDC only has 7 staff for the entire country. Some stakeholders report that the EIAs are not always of a sufficiently good quality. • The guidelines from MINECOFIN are requiring that environment and climate changes are mainstreamed into district and sector development plans with indicators and costed budget items. • There were no specific plans to influence national sector frameworks vis-à-vis mainstreaming into policy reform, sector indicators, or sector budgets under the 10th EDF. For the agriculture sector budget support there was one environment related indicator (the percentage of land protected against soil erosion; continued for the 11th EDF, where an indicator has also been added on the use of improved cook stoves), but no environmental indicators were included for the general budget support or for the transport/infrastructure sector. For the roads sector, mainstreaming was generally limited to EIAs, and there was limited dialogue on environment and climate change at the sector or strategic level. • For the 11th EDF it is an intention of the EUD to promote environmental indicators and link these to disbursements, such as assessing the implementation of the SEA recommendations during the MTR; and for the energy sector, sector budget support will be provided for the implementation of Rwanda's Sustainable Energy for All Action Plan. The latter will focus on promoting the use of sustainable energy sources (e.g. geothermal energy) and discouraging/reducing the use of carbon-based energy sources, which can have negative environmental impacts (e.g. peat, charcoal), and to promote energy efficiency (e.g. to support reducing electrical grid losses in Kigali with a target for EU funding to reduce losses from 23% to 17%). It is considered to include forest management issues and energy efficiency in the sector indicators. • One challenge with SBS is that there can be difficult to ensure that all the intended objectives are receiving a sufficient proportion of the funds. The decision of keeping a proportion of the funds with the EUD to fund studies

	<p>and capacity building to address bottlenecks that can affect the performance of the budget support, and innovative pilots is being considered, as this was found a useful approach for the 10th EDF. But both EU HQ and GoR prefer that the totality of the funding is provided as budget support.</p>
<p>JC 92 Incorporation in implementation <i>Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • GoR is already mainstreaming environment and climate change in district and sector development plans, including indicators and costed budget items. MINECOFIN has issued guidelines on mainstreaming with help from MINIRENA, and REMA assesses plans submitted and provides feedback. Nonetheless, some challenges remain, such as: <ul style="list-style-type: none"> ○ Capacity constraints in GoR. Currently the ministries do not have in-house expertise on environment and climate change, but rely on interns/junior professionals provided by PEI. Some ministries are planning to recruit environmental experts. Similarly, the capacity to implement plans is limited. ○ Districts and ministries are measured on their delivery against their performance contracts. If environmental mainstreaming is not part of the performance contract, it is not prioritised. Performance targets can be contradictory or a disincentive to mainstreaming and cross-sectoral coordination, e.g. when MINAGRI has a performance target on irrigation or rice production, while REMA has one on protecting wetlands. ○ With a high population density and scarcity of land, it is difficult to balance the need for economic development with environmental sustainability. ○ Data availability and monitoring of environmental indicators is in general a challenge. • In relation to the agriculture and environment sectors, and more recently the energy sector (infrastructure), the EUD has engaged in strategic discussions related mainstreaming, but not for general budget support and only to a limited extent for the transport/roads sector. <ul style="list-style-type: none"> ○ <u>Agriculture</u>: EU supports the implementation of MINAGRI's SPAT strategy. SPAT includes actions aimed at improving environmental sustainability, such as erosion control, but in other areas, SPAT actions could have negative environmental impacts, e.g. in relation to input (fertiliser) supply schemes or rural infrastructure (but in such cases EIAs would be often be conducted). ○ With GCCA funds (ENRTP), EU has also provided sector budget support for the Land Tenure Regularisation (LTR) programme to create an enabling environment for farmers to invest in land productivity (e.g. erosion control) and climate resilience. The land registration has been successfully completed. The EUD is planning to provide support for the next phase of the programme, where the land administration is fully decentralized and the registration system is consolidated. ○ <u>Infrastructure</u>: Other than the discussion on the width of rural feeder roads, the EUD only engaged to a limited extent in discussions on environment and climate change integration in the transport sector. It is too early to assess the contribution of EUD to mainstreaming to implementation in the energy sectors (11th EDF). ○ <u>PEI</u>: PEI has since 2005 supported mainstreaming into the MINECOFIN guidelines for sector and district planning, including specific indicators, costed budget items. PEI support has a) raised awareness and knowledge through studies and dialogue, b) helped with the development of the MINECOFIN/REMA guidelines for mainstreaming in development plans, c) posted interns/young environment professionals in MINECOFIN and sector ministries to enhance their mainstreaming capacity and support planning and implementation, and d) established model green villages to demonstrate mainstreaming in practice – it is now GoR's intention to establish at least one green village in every district. • The recommendations of the SEA for the agriculture sector have not really been taken on board in SPAT 3. Some GoR priority actions under SPAT clearly promote environmental sustainability, but others could have negative environmental impacts, unless care is taken. Some EUD supported actions in the agricultural and rural development sector have addressed environmental or climate issues, such as sector budget support (GCCA/ENRTP) for the land regularisation (LTR) programme aiming at creating an enabling environment for farmers to invest in land productivity

	<p>and climate resilience.</p> <ul style="list-style-type: none"> • The SEA in agriculture, the first in Rwanda, was very well received by all stakeholders and led GoR to now require that SEAs are done for sector policies and large programmes. The SEA has reportedly led MINAGRI to review the implementation of its policies and programmes, but the SEA recommendations are reportedly only reflected in SPAT 3 to a limited extent. However, GoR and the EUD have agreed that MINAGRI and REMA will carry out a joint assessment in 2015 of the progress in implementing the SEA recommendations. • The SEA of the energy sector was recently completed and it is too early to assess its implementation, but a number of recommendations are reportedly already included in GoR's energy for all strategy. • EIA recommendations were monitored during the project period by the EUD as well as quarterly visits by MININFRA, and the Rwanda Transport Development Authority (RTDA) contracts supervisors/consultants to conduct technical audits. Technical audits check whether environmental safeguards are adequately implemented. REMA also issues permits for infrastructure development and inspects construction, and is reportedly a strong agency.
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Summary of hypotheses

<i>Overall desk hypotheses</i>	<i>Evidence from Rwanda's case study</i>
Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;	Mainstreaming in Rwanda is primarily led by GoR. Policy dialogue in the agriculture and energy sectors has contributed, as have the SEAs funded by EU.
The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;	It would be plausible to conclude that the CEP had some effect on the design of the interventions in that EUD specific recommendations were implemented. However, the high priority given to environment and climate change by GoR was a far more important factor.
An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of environment and cc;	Confirmed in relation to the plans for engagement in sustainable energy in the 11 th EDF. But to a limited extent in relation to roads constructed under the 10 th EDF.
When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).	Partly confirmed for agriculture and rural development sector, where the CSP indicated that environment was a crosscutting objective, but where the main driver for environment-related actions under budget support were GoR's own policies and priorities. Due to data gaps, the measurement on environmental indicator has proven difficult. Mainstreaming in the infrastructure sector was not stated as explicit objectives/outcomes for the 10 th EDF.

	<i>Rwanda answers</i>	
Sectors	Infrastructure	Agriculture and rural development
SPSP/SBS (Y/N)	N	Y
I 911		
Has CEP been prepared? (Y/N)	Yes – but this was not done for the new programming period, as it was not a compulsory annex.	
Good Quality CEP? (Y/N)	No	
I 912		
SEA screening done for SPSP? (Y/N)	-	No
SEA found necessary? (Y/N)	Not for 10 th EDF, but 2014 Energy SEA done for 11 th EDF	Not for 10 th EDF planning, but SEA was done in 2012
SEA done for SPSP? (Y/N)		
Env screening/ EIA/CC risk screening done for projects? (Y/N)	Yes, EIAs are required by law	Support mainly provided as SBS, not projects. EIA is a legal

	Rwanda answers	
		requirement
I-913		
SPSP support policy reform? (Y/N), if yes:	-	Y
Does it promote mainstreaming? (Y/N)	-	N – GoR already requires mainstreaming
As general statement or concrete measures? (GS/CM)	-	GoR requires concrete measures
SPSP require env/cc indicators (Y/N)	-	Y – one ENV indicator
SPSP call for env and CC items in sector budget? (Y/N)	-	N – GoR requires this
I-921		
Does CSP reflect CEP recommendations? (Y/N)	Yes	
If not, is an explanation provided? (Y/N)	-	-
I 922		
Were SEA indicators monitored? (Y/N)	Too early to say	EU-GoR joint assessment planned for 2015
Were SEA recommendations implemented? (Y/N)	Too early to say	To a limited extent
Were EIA indicators monitored? (Y/N)	Y	-
If yes, did they show improvements? (Y/N)	Y	-
Were EIA recommendations implemented? (Y/N)	Y	-
I-923		
Is policy dialogue addressing env and CC? (Y/N)	N – limited ENV/CC dialogue only one specific example found	Y
Are policy reform measures for env and CC implemented? (Y/N)	Y, by GoR, but not supported by EU in 10 th EDF	Y, by GoR, EU has supported this (land registration)
Are env and CC indicators reported on? (Y/N)	-	Y
Is EU asking for data on env and CC indicators? (Y/N)	N	N
Are there env and CC items in sector budget? (Y/N)	Y – GoR requires this	Y – GoR requires this
Evidence that EU promoted env and CC budget items? (Y/N)	N – only through PEI	N – only through PEI

5.10 EQ 10: Complementarity



Context – The EU support provided for environment in Rwanda is provided through both ENRTP and geographic instruments. By volume, the support under geographic instruments (EDF) is far more significant. The support under the two instruments is largely provided for different topics, where geographic funding under the 10th EDF was mainly for budget support and the majority of project funding was for road construction, while ENRTP support was mainly for multi-country projects implemented by international organisations, which reported to Brussels. The exception was the budget support for REMA under GCCA for the land regularisation process, which was managed by the EUD.

<p>EQ10 Complementarity <i>To what extent has EU used its available instruments in a way that enhances complementarity in support of the overall EU goals of a healthy environment, sound natural resource management and strong environmental and climate governance in developing countries?)</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • ENRTP enabled EU to engage in multi-country initiatives and bring in international best practice, which would have been difficult to support systematically through geographic instruments, like PEI and the Green Economy and Social and Environmental Entrepreneurship in Africa Project/SEED. • In general, the connection between ENRTP and geographic actions in Rwanda appears weak as evidenced with the limited coordination between the EUD and PEI. • The only clear example of deliberate synergies between ENRTP and geographic actions is the GCCA/ENRTP funded support for land regularisation (an ENRTP action managed by the EUD), which contributed to creating an enabling environment for investments in land productivity. • PEI (ENRTP funded) has been an important contributor to building GoR's capacity to ensure environmental integration, which has also been of benefit to the EU support through geographic instruments
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<p>JC 101 Uniqueness and relevance of ENRTP instrument <i>ENRTP has enabled the EU to address environment and climate change issues, which could/would not have been better, or equally well, addressed through its geographical instruments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • In Rwanda, there was a clear difference between the use of funds from geographic instruments (EDF) and ENRTP. The former was mainly used for general and sector budget support, except for road construction projects, some NGO projects and studies (incl. SEAs). ENRTP enabled EU to engage in multi-country processes/initiatives, which would have been difficult to support systematically through geographic instruments – for example the PEI support for mainstreaming, or engagement in green entrepreneurship. This global support also allowed EU to bring in international best practice and facilitated sharing of experience across countries (e.g. for mainstreaming). • The only exception is the GCCA funded sector budget support implemented by RNRA (Land Department) for land tenure regularisation (LTR), which could have been done under geographic instruments, provided that space had been made for it under the CSP.
<p>JC 102 Synergies – ENRTP and Geographic instrument <i>Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There was some synergy between PEI and the geographic actions. PEI has been an important contributor to building GoR's capacity (developing tools and methodologies) to ensure environmental integration, which has also been of benefit to EU support (as well as support provided by other donors), as PEI's input has enhanced GoR's ability to address potentially negative environmental impacts and to benefit from potentially positive environmental contributions including ministries and agencies receiving direct support from EU. One example is PEI support for the inclusion of sustainable agriculture objectives and indicators in the EDPRS and the SPAT. PEI also supported REMA in the liaison with EU in relation to the preparation of the agriculture SEA. • However, while both EUD and PEI are committed to help GoR in mainstreaming they had no dialogue on how synergies could be enhanced and taken advantage of in a systematic manner. GoR and UNDP CO stakeholders were mostly unaware that PEI was funded by EU and the EUD were not fully aware of the activities of PEI, so the visibility of EU in relation to PEI is low in Rwanda. This could prevent the 11th EDF, which intends to further integrate environment and climate change concerns, from fully benefitting from PEI. • In general, the connection between ENRTP and geographic actions in Rwanda appears weak. One project was selected in Rwanda under the ENRTP calls for proposals: the ABAKIR (Water Basin Authority, IWRM) programme. • The only clear example of deliberate synergies between ENRTP and geographic actions is the GCCA/ENRTP funded support for land registration (the only ENRTP project managed by the EUD), which contributed to the agriculture and rural development programme by creating an enabling environment for investments in land productivity, control of land degradation, and climate change adaptation
<p>JC 103 Synergies – ENRTP and other donors <i>Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • PEI has provided benefits for the actions of other donors in the same way it has for EU geographic actions, by contributing with capacity and tools for GoR to better integrate environmental concerns in development. • GCCA funding for the land registration process has complemented the actions by other donors (DfID being the main donor for the process), but only by providing additional funds, not by bringing in new perspectives in terms of technical inputs or a stronger climate change angle, although EU was the only donor to provide the support as budget support instead of contributing to the DfID administered multi-donor fund. • While criticised by the GCCA evaluation for not being directly linked to improved climate change adaptation (the purpose of GCCA) early evidence suggests that the land registration has led to farmers investing in land productivity and adaptation measures. Indeed, the land registration was intended to create the land tenure security necessary for farmers to invest in adaptation measures on their land. The link between the land registration and climate resilience thus hinges on the assumption that improved land tenure will inspire farmers to invest in their land, and that in a way, which enhances resilience. The World Bank is carrying out studies of this, and early results reportedly indicate that the assumption is valid. The EUD is planning to provide support for a second phase to consolidate the land registration system established.

Summary of hypotheses

Overall desk hypotheses	Evidence from Rwanda's case study
<p>ENRTP adds value in different ways: a) It enables support for global process; b) it allows EC to engage in important global environmental issues that cannot be tackled at the national level; c) it generates innovations and new approaches and knowledge; and d) it enables EU to engage in important environmental issues in countries where this is not possible under geographic instruments, albeit at a much lower scale. (JC101)</p>	<ul style="list-style-type: none"> • Partly supported by the Rwanda case, but Rwanda has only to a limited extent benefitted from the support for global governance • As a) above, but Rwanda also benefitted from ENRTP support to the trilateral basin authority for Lake Kivu and River Ruzizi, named ABAKIR (Rwanda, Burundi, DRC), focusing on Integrated Water Resource Management • Supported, as evidenced by the PEI approach to country-led mainstreaming • GCCA funding enabled support for the land registration process (with anticipated environmental benefits), which was not reflected in the CSP
<p>There are sometimes overlaps in the types of actions financed by ENRTP and geographic instruments. (JC101)</p>	<p>Yes, the land registration process could probably just as well have been funded under geographic instruments, if taken into account during the programming of the 10th EDF</p>
<p>Complementarity between actions under ENRTP and geographic instruments has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, a number of actions do take advantage of complementarities. (JC102)</p>	<p>The hypothesis is supported in Rwanda, as evidenced by:</p> <ul style="list-style-type: none"> • The limited connection made between PEI and the EUD's programming. • That PEI support has contributed to GoR's mainstreaming capacity, which in turn has been beneficial for geographic actions.
<p>Due to the global and catalytic focus on ENRTP, it is more common that ENRTP provides benefits to geographical actions than vice-versa. (JC102)</p>	<p>This hypothesis is supported in Rwanda; PEI's mainstreaming support has subsequently benefitted geographic actions. Benefits in the opposite direction appear less prominent, although the SEAs have strengthened the mainstreaming agenda.</p>
<p>Complementarity between ENRTP actions and actions of other donors has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, some actions do take advantage of complementarities. (JC103)</p>	<p>The first part of hypothesis is supported in Rwanda; there are no examples in Rwanda of systematic complementarity between ENRTP and actions of other donors in 2007-2013, other than cofunding from GCCA. The second part is partly supported; with PEI's mainstreaming support contributing to GoR's mainstreaming capacity, which also is likely to have benefitted other donors.</p>
<p>It is difficult in practical terms to effectively pursue complementarity between actions under different instruments and even more so with other donors. Better coordination and strengthened guidance to delegations could help enhancing complementarity. (JC102 and JC103)</p>	<p>Partly correct in Rwanda: Donors to a given sector are well coordinated in Rwanda as evidenced by the support to the land registration process, and EU support is to a large extent budget support. But at the same time, the connection between the EUD and PEI has not been sufficient to fully ensure synergies.</p>

6 Annexes

Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
Achim Tillessen	EU	EUD, Head of Cooperation	Rwanda
Aimable Rusingizandekwe	MINAGRI	Technical Assistant in Decentralization & HIMO	Rwanda
Amélie Heuër	SEED	Programme Manager	London
Bicamumpaka Aloys	ARECO-RWANDA NZIZA	Administration & Finance	Rwanda
Chantal Nyiramanyana	AVVAISCO	Project Coordinator	Rwanda
Dancilla Mukakamali	ARECO-RWANDA NZIZA	National Coordinator	Rwanda
Diego Zurdo	EU	EUD, Rural dev Section, Head of Section	Rwanda
Fabien Kayitare	SNV	Renewable Energy Adviser	Rwanda
Fatina Mukarubibi	MINIRENA	Permanent Secretary MINIRENA	Rwanda
Francois Nezerwa	DASSY ENTERPRISE	Managing Director	Rwanda
Habimana Jacques	ARECO-RWANDA NZIZA	Program Assistant	Rwanda
Hussain Djumapili	AVVAISCO	Project Assistant	Rwanda
John Semafara	Rwanda Meteorological Services /MINIRENA	DG/IPCC Focal point	Rwanda
Leoncia Mukamwiza	MININFRA	External Links Transport Sector	Rwanda
Marc Buchmann	EU	EUD, Infrastructure Section, Head of Section	Rwanda
Marie Ange Inagabire Hakiba	MINECOFIN	EDF/ National Authorizing Officer	Rwanda
Mudakikwa Antoine	RDB	GoV/CITES Focal Point	Rwanda
Mukankomeje Rose	REMA	Director General	Rwanda
Olivier Machiels	EU	EUD, Rural dev Section	Rwanda
Philbert Iragena	MININFRA	Environmental Focal point (PEI)	Rwanda
Raphael Rurangwa	MINAGRI	DG Planning & Policy	Rwanda
Samuel Fell	MININFRA	Economist	Rwanda
Sarah Love	DfID	Climate Change & Low Carbon Development Advisor	Rwanda
Sébastien Dusabeyezu	RDB	GoV /UNFCCC Focal Point	Rwanda
Steven Nzaramba	MININFRA	Director of Planning	Rwanda
Tarik Kubach	EU	EUD, Rural Development	Rwanda
Theobald Mashinga	Embassy of Sweden (SIDA)	Environment, Natural Resources & Climate Change (National Program Coordinator)	Rwanda

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Annex 3: List of the projects and programmes specifically considered

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Mainstreaming environment for poverty reduction and pro-poor growth (Poverty-Environment Initiative – PEI)	5 Years	-	Rwanda	UNDP/UNEP REMA	All sectors in terms of mainstreaming	Global Decision on targeted projects priority 1,2,3,4,5 of ENRTP.
Green Economy and Social and Environmental Entrepreneurship in Africa (SEED)	-	3,200,000 EUR		UNEP	SMEs	Contribution Agreement with UNEP "Green Economy, Social & Environmental Entrepreneurship in Africa" (It concerns 7 Countries in Africa).
Integrating Climate Change Finance into Sustainable Land Management Investment Strategies	4 Years	2,300,000 EUR	Rwanda	GM is implementing the contract	Local farms and cooperatives	Grant to IFAD which is hosting the Global Mechanism (GM) of UNCCD (United Nations Convention to Combat Desertification)
Sector Budget Support for Environment & Natural Resources "Global Climate Change Alliance" GCCA.	3 Years	4,555,000 EUR	Rwanda	Rwanda Natural Resources Authority (RNRA)	Entire populations through efficient land regularisation	Sector Budget Support for Environment and Natural Resources "Global Climate Change Alliance" 2009 AAP ENRTP. The fund contributed to land regularisation and demarcation process geared towards proper land use planning and use.
Appui à la promotion du bambou pour la protection de l'environnement, la lutte contre la pauvreté et le changement climatique dans les zones du Parc National des Volcans (PNV) et du Marais de Rugezi au Nord du Rwanda.	3 Years	473,000 EUR	Northern Part of Rwanda	Burera District & ARECO Rwanda Nziza.	Local community members as project implementers through cooperatives. Virunga National Park & Rugezi wetland as buffer zones of bamboo.	This project is focused on climate change adaptation & mitigation, biodiversity Conservation. This project is implemented through a partnership between local Authorities and CBOs such as ARECO-Rwanda Nziza through planting Bamboo along Rugezi wetland and Virunga National Park (VNP) buffer zones.
Empowering Civil Society and Abunzi to mediate land disputes	12 Months Programme	120,000 EUR	Rwanda	EU-UN partnership on Natural Resources & conflict management	Rural Initiative for Sustainable Development (RISD)	The one year project funded under the EU – UN Partnership on Land, Natural Resources and Conflict Prevention program lasted between December 2013 and November 2014. The project area covered two Rwandan districts of Kamonyi a peri-urban area and Musanze which is largely rural.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Plantwise 9 target Countries in sub Saharan Africa (Kenya, Uganda, Sierra Leone, Malawi, Zambia, Ethiopia, Rwanda, Ghana & Burkina Faso) implemented by the CAB International (CABI)		-	Rwanda	MINAGRI/ RAB, CABI	Local farmers	Plantwise is a knowledge bank that provides plant doctors, other agricultural extension workers and researchers with an array of resources to assist small holding owners with diagnosis and plant disease management. Plantwise clinics are currently focusing on training local farmers in Rwanda to think of non-pesticide control options first such as use of resistant varieties, rotation, spacing, and burning, timely planting, solarisation, early ploughing, nutrient management and other cultural methods.
PEPAPS – Water & Sanitation Programme in Southern Province (Programme d'Eau Potable et Assainissement en Province du Sud")	5 years	4.311.259EUR	Rwanda/ Southern Province	MININFRA Belgian Technical Cooperation	Southern Province	The PEPAPS (Program for Drinkable Water and Sanitation in Southern Province), launched by the Ministry of Infrastructure, aims to provide clean water supply to more than 400,000 residents in Runyinya, Nyaruguru and Huye districts by 2012 through construction or rehabilitation of 500 kilometers of water pipe
OWASUPI: Capacity building for the optimization of water supply using performance indicators with the aim of reduction of chemical use, increase of energy efficiency and reduction of technical possesses in the distribution system	3 years	560,000 EUR		HAMBURG WASSER, its consulting unit CONSULAQUA Hamburg (CAH), the DVGW (EWSA), and (KIST).		Water & sanitation sector project grant under the 10 th EDF ACP-EU Water facility. The overall objective of the action is to contribute to enhanced and secured long supply of clean drinking water to the population of Rwanda. As specific objective the implementation of modern optimization strategies for public water supply based on capacity building and enhancement of technical efficiency is pursued.
IREAPP- Increase Rural Energy Access in Rwanda through PPP.	-	-	Rwanda	MININFRA COFORWA	Energy Sector	The European Union and the ACP EU Energy Facility support for private participation and investments in the energy sector
Contrat des travaux de réhabilitation de la route KIGALI-GATUNA	-	32.000.000 EUR	Rwanda		Rwanda	Rehabilitation of the Kigali-Gatuna road (78 km) has been signed in May 2010 for 32 M EUR. A first rider to FA has been signed in December 2010 for an amount of 15 M EUR with an additional 14 M EUR for the works, i.e. 39.5 M EUR in total for the works.

<i>Name of the Project</i>	<i>Duration</i>	<i>Allocated Funds / Grants</i>	<i>Location</i>	<i>Partners</i>	<i>Beneficiaries</i>	<i>Description of the project</i>
Marché de contrôle et surveillance des travaux de réhabilitation de la route Kigali-Gatuna	1 year	1.690.972,00 EUR	Rwanda	MININFRA	Rwanda	Le marché de service pour le contrôle et surveillance des travaux inclura une obligation de: (1) Fourniture d'un film / reportage sur les réalisations, relatant la situation avant et après projet, les moyens mis en œuvre et l'impact économique et social.
Lot 2: Travaux de réhabilitation de la voirie urbaine de Cyangugu (1.5 km: de l'aérodrome de Kamembe au carrefour dit "Pendeza")	2 years	742.389,96 EUR	Rwanda	MININFRA	Rusizi District	EU support for the rehabilitation of Cyangugu urban road to the Kamembe airport
Réhabilitation, renforcement et extension de réseaux d'eau potable – (Lot A1) – Gisagara District	2 years	1.451.292,82 EUR	Rwanda	MININFRA	Gisagara District	Work contract under PEPAPS
Sector Budget Support for Decentralised Agriculture	2 years	20.000.000,00 EUR	Rwanda	MINAGRI	Local farmers	EU support to decentralised agriculture in Rwanda. The majority of farmers in Rwanda are
Sector Budget Support for Agricultural Intensification	2 years	15.600.000,00 EUR	Rwanda	MINAGRI	Famers Cooperatives	This is EU support for the on-going crop intensification program in the agriculture sector in Rwanda where key crops are cultivated on a large scale such as maize, beans, soya etc

Country Note – Ukraine

by Bjorn Bauer, David Watson and Victor Karamushka in March 2015.

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List of Acronyms

AA	Association Agreement
AAU	Assigned Amount Unit
AP	Action Plan
AR Crimea	Autonomous Republic of Crimea
CBC	Cross-Border Cooperation
CBD	Convention Biodiversity
CC	Climate Change
CCS	Carbon Capture and Storage
CEP	Country Environmental Profile
CITES	Convention for International Trade of Endangered Species
DG CLIMA	Directorate General Climate Action
CM	Concrete Measure
COP	Conference of Parties
CSP	Country Strategy Paper
DABLAS	Danube-Black Sea
DCI	Development Co-operation Instrument
DG DEVCO	Directorate General Development and Co-operation
DG	Directorate General
EaP	Eastern Partnership
EBRD	European Bank for Reconstruction and Development
EC	European Commission
EDF	European Development Fund
EE	Energy Efficiency
EIA	Environmental Impact Assessment
EIB	European Investment Bank
DG ENER	Directorate General Energy
ENP	European Neighbourhood Policy
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Environment Natural Resources Thematic Programme
DG ENV	Environment
EQ	Evaluation question
ES	Ukrainian Environmental Strategy
ETS	Emissions Trading System
EU	European Union
EUD	European Union Delegation
EUR	Euro
FLEGT	Forest Law Enforcement, Governance and Trade
GDP	Gross Domestic Product
GE	Green Economy
GEEREF	Global Energy Efficiency Renewable Energy Fund
GEF	Global Environment Facility
GHG	Green House Gases
GoU	Government of Ukraine
GPP	Green Public Procurement
GS	General Statement

IFI	International Financial Institution
IPCC	International Panel on Climate Change
IUCN	International Union for Conservation of Nature
JC	Judgment Criterion
JI	Joint Implementation
LDC	Lesser Developed Countries
MAPF	Ukrainian Ministry of Agrarian Policy and Food
MEA	Multilateral Environmental Agreement
MENR	Ukrainian Ministry of Ecology and Natural Resources
MERP	Municipal Energy Reform Project
MHC	Ukrainian Ministry of Health Care
MRP	Market Readiness Proposal
MRV	Monitor, Verify and Report
MW	Megawatt
NAMA	Nationally Appropriate Mitigating Action
NAPA	National Adaptation Plan of Action
NAP	National Action Plan
NBSAP	National Biodiversity Strategies and Action Plans
NCEI	National Centre for GHG Emissions Inventory
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Co-operation and Development
OSCE	Organization for Security and Co-operation in Europe
PA	Protected Areas
PCA	Ukraine-EU Partnership and Cooperation Agreement
PETER	Project on Preparing for Emissions Trading
PMR	Programme for Market Readiness
PoWPA	Programme of Work in Protected Areas
PPP	Public-Private Partnership
REC	Regional Environmental Center
RES	Renewable Energy Sources
SBS	Sector Budget Support
SCP	Sustainable Consumption and Production
SEA	Strategic Environmental Assessment
SEI	State Ecological Inspection of Ukraine
SEIA	State Environmental Investment Agency
SEMS	State Environmental Monitoring System
SES	State Emergency Service
SFRA	State Forest Resources Agency
SIDA	Swedish International Development Cooperation Agency
SIDS	Small Island Developing States
SLRA	State Land Resources Agency
SME	Small and Medium Enterprises
SPS	Sanitary and Phytosanitary Issues
SPSP	Sector Policy Support Programme
SSA	Swaziland Sugar Association
SSGSS	State Service of Geological and Subsurface Survey of Ukraine

SWRA	State Water Resources Agency of Ukraine
TACIS	Technical Aid to the Commonwealth of Independent States
ToR	Terms of Reference
UHI	Ukrainian Hydro-meteorological Institute
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Fund
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
USD	US Dollar
USELF	Ukraine Sustainable Energy Lending Facility
WB	World Bank
WWF	World Wide Fund for Nature

Note: The Evaluation uses the common acronym "**EC**" to refer to either the "Commission of the European Union" (post-Lisbon Treaty) or the "European Commission" (pre-Lisbon Treaty), as applicable.

1 Abstract and main findings

The direction of assistance provided by the EU in Ukraine on environment and climate issues has been largely defined by successive strategic neighbourhood agreements between the parties. During the first part of the evaluation period, the relevant strategy was the European Neighbourhood Plan of Action signed in 2005, in the aftermath of the Orange Revolution. During the second part of the evaluation period the guiding strategy was the Association Agreement (AA) between EU and Ukraine. The AA was not signed until after the evaluation period, due to internal changing geopolitical allegiances. However, drafts of the AA had been available and initialled already in 2012 and had an influence on Ukrainian environmental policy, and not least on the focus of EU support, long before the signature date.

The key priority of the successive strategies with respect to environmental protection has been 'gradual approximation of Ukrainian legislation to the EU environmental *Acquis*. Successive EU-Ukraine agreements have strengthened this focus and the AA sets out a concrete timetable for approximation to each Directive in the *Acquis*. Priority is given to Directives related to EIA and SEA, public access to information, public participation, air quality limits, fuel quality, waste and wastewater treatment, water quality and water resource management, the marine environment, birds and habitats, and industrial pollution and permits.

Additional priorities have concerned mainstreaming of environmental protection into sectoral policy, adhering to the Aarhus Convention, and close cooperation on cross-border and international environmental themes such as the Danube and the Black Sea. The AA also requires Ukraine to develop an action plan on climate change including adoption of an Emissions Trading Scheme and other market-based instruments.

It should be noted that EU assistance towards environmental protection and climate has been overshadowed by economic and democratic reform and EU border security priorities, and this has been visible in Country Strategy Papers for Ukraine.

The largest chunks of environmental and climate-relevant assistance during the evaluation period have been provided in the form of direct budgetary support, rather than project related assistance. SBS have been provided for assisting implementation of Ukraine's Environmental Strategy 2011-2020 and associated Action Plan, a Strategy on Energy Efficiency and Renewables, and the Energy and Transport Strategies. The latter two SBS and that for the Transport Strategy in particular, have limited environmental focus due in part to a lagging progress in mainstreaming of environmental issues, and a traditional lack of cooperation between ministries.

This has also inhibited progress in implementation of cross-cutting elements of the ES and associated AP. Progress has generally been more rapid in areas where the MENR has sole responsibility such as approximation to water quality and water resource management directives. However, lack of capacity in MENR to meet transparency requirements in the use of EU SBS funds have led to delays and eventual cancellation of funding from the EU. This, the constant changing of organisational structures and responsibilities not least at ministerial level, and difficulties of passing legislation through parliament, have inhibited the effective use of EU support and that of other donors. The SBS support to MENR has also had to cope with reducing national budgets for the environmental field and associated reductions in institutional capacity.

Although with a much smaller budget, ENRTP support appears to have been more effective, focussing as it has on practical projects such as capacity building and technical assistance in habitat and protected area management.

In conclusion:

EQ 1 – EU policy aims –neighbourhood and association agreements between EU and Ukraine have been key drivers of reform in environmental and climate policy, and have guided EU assistance in these areas. Approximation of Ukraine legislation to the EU environmental *Acquis* has been the key priority of direct budgetary support.

EQ 2 – Low emission – Ukraine has yet to adopt an LEDS despite assistance in this area from several donors including the EU. Nor has much progress been made in sectorial NAMA with the exception of the energy sector. The national Environment Strategy includes the target by 2015 of developing a LEDS/NAMA but so far has not been backed by much real action. Development of GHG inventories have been of importance to Ukraine due to the country's potential to sell substantial levels of AAUs and engage in JIs. Much needed improvements in GHG-monitoring, reporting and verification has been assisted by EU and other donors and will enjoy further support via the recently agreed support under the Partnership for Market Readiness.

EQ 4 – Biodiversity – The EU has helped build capacity for nature and biodiversity protection in Ukraine via key ENRTP support programmes for habitats and networks of protected areas of regional

and national importance. The support has assisted in increasing the area of protected areas in the country, introducing novel management concepts meeting of Aichi targets despite dwindling national budgets for wildlife protection. The EU has done little to strengthen national biodiversity monitoring systems and databases in the country or central databases on donor-supported projects which is otherwise a key element of biodiversity conservation.

EQ 5 – Green economy – Ukraine has as yet no crosscutting GE/SCP strategy or action plan. Awareness on opportunities of GE is low and there is a lack of appropriate governmental structure to allow easy adoption of crosscutting development strategies. The EaP Green programme is the first EU intervention that aims directly at assisting Ukraine in developing GE policy. Capacity building efforts have not had much impact yet but the government is currently developing a concept paper on GE. Some issues such as green public procurement are beginning to be addressed via drafting of legislation as one activity under EaP Green and may begin to catalyse a wider interest in GE/SCP.

EQ6 – Environmental governance – Ukraine has had active representation at almost all relevant MEAs COPs and scientific expert meetings during the evaluation period and has contributed positively to MEA meeting outcomes using national experience. Ukraine has also enjoyed direct support via MEA secretariats for capacity building on policy development and implementation, for example via participation at training sessions and for providing tools and methodologies for developing management plans for Protected Areas.

EQ7 –Climate governance – Ukraine’s activities at recent UNFCCC COPs have gone against the EU line due to Ukraine’s continued focus on taking economic advantage of the country’s high GHG emission in 1990, rather than adopting ambitious GHG reduction targets. The EU has funded Ukrainian NGO participation at COPs and assisted them in applying pressure on the Ukrainian delegation to move closer to the EU line, but with limited success. The EU has been instrumental in improving climate modelling and scenario-building in Ukraine via formal and informal technical assistance, and has also assisted in the improvement of GHG monitoring systems.

EQ8 – Mainstreaming approach – Although identified as an element of the CSP for Ukraine, mainstreaming has not been prioritised within individual EU interventions in Ukraine, due in part to EUD perception that governmental structures are not yet sufficiently in place to allow inter-ministerial cooperation which is essential for successful mainstreaming. EUD capacity in mainstreaming is also weak.

EQ9 – Mainstreaming practice – Mainstreaming has been prioritised in EU neighbourhood and association agreements with Ukraine and the national Environment Strategy 2011-2020 whose implementation was supported by an SBS, includes a Strategic Objective on integrating environmental policy into all other policy areas. However, this has been inhibited by lack of inter-ministerial cooperation and the low importance of MENR in the government. The only sectors where EU assistance directly highlights mainstreaming is in Energy and Water. SEA and EIA legislation and capacity are also lagging behind in Ukraine, due in part to parliamentary resistance.

EQ10 – Complementarity – ENRTP and geographic interventions have had little overlap in Ukraine: ENRTP support has focussed on cross-border issues such as support to Steppe habitats, the Danube, the Black Sea, and the Tzisa river basin, while geographic instruments have mostly assisted in approximation of Ukraine legislation to the EU Acquis or on technical assistance exchanges. ENRTP interventions have been criticised for risking a one-size fits all approach but this does not seem to have been the case for the majority of the interventions in Ukraine. Complementarity and cooperation between the EU and other donors has been strong.

2 Introduction

2.1 Mandate, scope and purpose of the evaluation

The **mandate and scope** of the evaluation are given in the Terms of Reference (ToR). The evaluation has three main specific research objectives, namely:

- To assess EU’s support to environment and climate change in third countries through the Thematic Programme for Environment and Management of Natural Resources including Energy (**ENRTP**) and through the **geographic instruments**;
- To evaluate the support of the EU to strengthening global environment and climate **governance**, provided under ENRTP and channelled mainly through international organisations;
- To assess the EU support for **mainstreaming environment and climate change** issues into EU external aid programmes. This should be done exemplarily through the analysis of two key sectors: infrastructure (including energy) and agriculture/rural development.

This assessment should specifically **focus on outcome and impacts** of the EU actions in environment and climate change. Furthermore, the evaluation should identify **key lessons and best practise**

and produce recommendations in order to improve the current and future EU strategies, policies and actions.

In terms of **temporal scope**, the evaluation covers aid implementation over the period 2007-2013. The **geographical scope** includes all third regions and countries under the mandate of DG DEVCO that are covered by the thematic programme ENRTP and by the DCI, EDF and ENPI geographic instruments. Also interventions co-financed and managed by DG ENV, ENER or CLIMA are included if the funds are provided by DG DEVCO.

The **purpose of the evaluation** is to provide the EU and a wider public with an **overall independent assessment on the EU action** in the above mentioned fields. The objective is to assess the extent to which the Commission strategies, programmes and projects have contributed to 1) achieving outcomes and impacts on environment and climate change in partner countries and 2) promoting EU environment and climate change (CC) policies.

2.2 Purpose of the note

This note is framed within the field phase of the evaluation. Prior to this phase, an inception phase, aiming at developing the evaluation framework (reconstruction of the EU's intended intervention logic of its support to environment and climate change in third countries and definition of the Evaluation questions (EQs)), and a desk phase, aiming at giving a preliminary answer to the EQs and at proposing the list of countries to be visited, were carried out. From a long list of 35 countries selected in the inception phase for a desk analysis, 11 were further selected for a more detailed analysis. Out of these, 8 countries were selected for the field phase. Ukraine was one of them.

The field visits have the following objectives:

- v) To complete the data collection in order to answer the agreed evaluation questions;
- w) To validate or revise the preliminary findings and hypotheses formulated in the desk report;
- x) To assess whether there is need for further research and interviews to prepare the synthesis report, and in particular the conclusions and recommendation chapter.

The present country note is simply aimed at providing country specific examples on a set of issues and hypotheses that are relevant for the worldwide evaluation exercise. Therefore, it cannot be considered as a country evaluation in itself but rather as one of the inputs for the elaboration of the final synthesis report.

2.3 Reasons for selecting this country as a case study country

Ukraine was selected as one of the two countries in the neighbourhood region because it is the main ENP recipient country. The cooperation takes place mainly in the energy (efficiency) sector, in climate change mitigation and in support to the national environmental strategy. Furthermore, infrastructure is a focal sector, which allows an assessment of the success of mainstreaming of environment and climate change. The cooperation in Ukraine has also used both budget support and project approach modalities.

3 Data collection methods used (including limits and possible constraints)

The country mission started with a review of the entire desk based information. A list of relevant stakeholders in the public sector, private sector and civil society was drawn up and discussed with the EU delegation and national partners. Based on this a final list of stakeholders was drawn up. The local consultant made arrangements to meet the identified partners or best alternatives during the country visit. In some cases it was not possible to meet the identified stakeholders.

A meeting was held with the EU Delegation at the beginning and end of the country visit. Further meetings were held with national counterparts, NGOs and other donors. Despite effort taken it wasn't possible to meet with anyone from the Ministry of Transport and only a single short meeting was possible with the State Agency on Energy Efficiency and Energy Saving due to lack of prioritisation by the agency. Information on the outcomes of EU assistance within energy efficiency is therefore incomplete. A full list of meetings is given in Annex 1.6.

A structured list of questions was assembled tailored to the cooperation undertaken in Ukraine by the teams involved in the elaboration of each evaluation questions. This list was supplemented by the list of hypothesis for each evaluation question and the list of missing information and data that was identified during the desk study that could be found at country level. These lists combined to provide the basis for a structured question list for each interview.

The interviews were supplemented by e-mail correspondence where further information was considered necessary. This was particularly the case with the Ministry of Ecology and Natural Resources (MENR) for which it was only possible to arrange one meeting attended by 12 MENR staff. It was not possible to obtain answers to all the relevant questions during this meeting. Questions were followed up by a large quantity of e-mail correspondence to a number of the staff.

4 Country context

4.1 Overall description of country political, legal, and development context in relation to environment and climate change (context in which the EU intervenes)

Ukraine is a lower middle-income country located in Eastern Europe, bordering the Black and Azov Seas, and 7 neighbouring countries. The population is approx. 45 million people. Ukraine is divided into 24 provinces (oblasts), 1 autonomous republic (Crimea), and 2 municipalities with oblast status (Kiev, its capital and largest city, and Sevastopol). AR Crimea and the city of Sevastopol are currently under occupation by the Russian Federation.

Ukraine gained independence in 1991, but has experienced a difficult transition to democracy and a free-market economy, made worse by a series of political and economic crises. Between 2000 and 2008, Ukraine enjoyed a high period of economic growth with GDP increasing annually by on average 7.5% placing it amongst the most vibrant economies in Europe. However, Ukraine was hit hard by the economic crisis which also led to the election of an eastward-looking president in 2010.

The collapse of the Yanukovich regime in February 2014 has provided Ukraine with a historic opportunity to transform Ukraine into a country governed by democratic values and the rule of law. Newly elected President Petro Poroshenko, signed the EU-Ukraine Association Agreement in August 2014 and Ukraine's parliament and the new government have committed to implementing real democratic and economic reforms in line with its European aspirations.

4.1.1 ENV/CC situation in the country

Ukraine is the second largest country in Europe with total area 603,700 km². The mountainous areas cover 5 % of Ukraine's territory, while most of the country is rolling upland plain. A lowland region of wooded bogs and swamps, called the Polissya or the Prypyat Marshes, is located in northern Ukraine. Much of this marshland region has been drained and cleared for agriculture. Low-lying plains are found in southern Ukraine in the lower Dnipro River Basin and the Black Sea coastal region. The landscape of fertile plains, steppes and plateaus is crossed by rivers and dotted by more than 3,000 lakes, which cover about 4 per cent of the country's territory. Ukraine's longest, and Europe's third longest, river, the Dnipro, runs 1,121 kilometres of its total length of 2,290 kilometres within the country's borders and forms a river network covering up two third of the country's territory.

Agriculture contributes around 10% to the national economy and agricultural land cover 71% of its territory. Typical steppe landscapes, which covered 40% of the country's territory in the past, now cover only 3%. Forests are covering around 16 %. Unsustainable use of land and forest resources has resulted in irreversible losses in biodiversity. Many years of intensive production and unsustainable agricultural practice resulted in depletion, acidification, salinization and other form of deterioration of fertile black soils.

Use of fertilizers and other agrochemicals decreased significantly during the 1990s, however, pesticides are still contaminating agricultural lands and water bodies. Nutrient runoff still reduces the quality of water bodies of national and international importance. On the positive side, 280 thousand ha of arable lands are farmed organically (0.7% of total) and is growing.

The Donetsk Basin (Donbas) in the southeast has large deposits of coal and coal continues to be a major energy source for the country, in combination with oil and gas. Generation of electricity using renewable sources of energy is developing rapidly however the proportion of electricity generated by such sources is still small. As of January 1, 2013, the capacity of renewable power generation units was 645,05 MW ("green tariff" generators).

The central area (Dnipropetrovsk Region) is rich in iron ore. Ukraine also has some of the world's largest manganese deposits, located in southern Ukraine at Nikopol'. Metallurgy, chemical industry, and heat- and energy generation units are key polluters of air, surface water and land. Waste generation by communal, industrial and agricultural sectors is increasing and waste management is a key problem in Ukraine. Most communal solid wastes are deposited on disposal dumps including multiple illegal landfills spread over the country.

Many environmental problems are exacerbated by inefficient governing systems (misbalance between central and regional / local authorities; complicated and controversial administrative system; voluntarism and ineffective law enforcement system; corruption; restricted public information and participation in decision making, etc.).

Climate Change

Ukraine is an Annex I party to the United Nations Framework Convention on Climate Change (UNFCCC) and in 2006, the National System of Assessment of Anthropogenic Emission and Adsorption of Greenhouse Gases was created. The System is subordinated to the National Agency of Environmental Investments (established in 2008), which is responsible for running national inventories of greenhouse gas (GHG) emission and adsorption, national registry of property (selling/transferring) on GHGs quotas, national reporting to the UNFCCC Secretariat as well as for coordination of the GHGs trade and exchange projects (joint implementation projects and green investments projects).

Under the first tranche of the Kyoto Protocol, Ukraine was committed to keeping GHG emissions below 1990 levels. Due to economy recession and restructuring in the 1990s, Ukraine met this target with considerable surplus and therefore has focused on selling of GHGs quotas to Japan and Spain. However in 2010, the National System of GHG accounting was found to be wanting and it became clear that Ukraine had not channelled money from sales of GHG quotas back into GHG mitigation.

The energy intensity (i.e. energy consumption per unit GDP) of Ukraine is still much higher than in the EU and 3 to 5 times higher than other Eastern European countries, and there is huge room for improvement. The approaches to reduce GHGs emissions that have been undertaken in Ukraine have focused on municipalities and the agricultural sectors (most Joint Implementation (JI) projects are focused here), as well as on the reconstruction of heating and water supply systems, industrial and other facilities and replacement of out-dated technologies and equipment.

4.1.2 ENV/CC national policies, legal framework

The framework Law On Environmental Protection was adopted in 1991, followed by the Law On Air Protection (1992), Law On the Provision of Sanitary and Epidemiological Wellbeing of Population (1994), the Water Code (1995), Law On Ecological Expertise (1995), Law On Waste (1998), the Land Code of Ukraine (2001), the Law On the Ecological Network of Ukraine (2004). The Law On Environmental Protection introduced the procedures of Environmental Impact Assessment of planned activities, however still there is no legal basis for Strategic Environmental Assessment (SEA).

Ukraine is also a signatory and Party to key international environmental conventions and treaties as well as a legal successor to certain conventions signed by the former USSR. All of them are an integral part of national legislation.

In 2010, an Environmental Strategy for Ukraine 2011-2020 was adopted by Law. The Strategy was supplemented by the National Environmental Action Plan for 2011-2015 approved by the Cabinet of Ministers of Ukraine in 2011. Moreover, in 2010, the Cabinet of Ministers approved the State Target Economic Program of Energy Efficiency and Development of Renewable and Alternative Sources of Energy for 2010 – 2015. Key objectives of these legal acts as well as a number of others governmental decisions develop and implement measures and projects aimed at:

- prevention of air, water and soil pollution,
- increasing energy efficiency and energy conservation,
- increasing number and capacity of renewable energy installations, and others.

Enforcement of environmental regulations is effected through the action of the authorities responsible for environmental protection. State Ecological Inspection and its regional and local branches are key players in the field of enforcement and control of environmental legislation. They have power to apply administrative sanctions in the case of violation of laws and regulation (issuing prescriptions). Violation of prescription may cause application of criminal sanctions through the Office of Public Prosecutor (it has special environmental department dealing with violation of environmental rights and regulation) and Court of Justice.

In the case of violation of limits on natural resources extraction / use, waste water discharge and gas emission as well as the prescriptions contained in administrative permits, the administrative authority (the MENR, State Ecological Inspection, others respected authorities) may issue penalty or a notice containing a warning and an order to comply with specific requirements within a certain time-frame. If the violator does not comply with the prescriptions within the specified time, the permits or limits can be suspended or revoked. In the case of serious violations (sufficient pollution of the environment) the State Ecological Inspection has the power to suspend the activity of enterprises.

4.1.3 ENV/CC institutional framework (who does what)

Environmental Authorities

The main central body for environmental issues is the Ministry of Ecology and Natural Resources (MENR). The mission of the MENR is presented in the box below.

The MENR is responsible for issuing sub-legal acts (regulations of a secondary level subordinated to the primary laws), specifying technical or operational aspects of the environmental legal regime, as well as guidelines and methodological recommendations for governing authorities and actors of economic activity and entrepreneurship at regional / local levels, through which national requirements are implemented and enforced. The MENR approves limits on natural resources use (water, living resources, raw materials) and issues permits on natural resources, water discharges and gas emissions.

There are number of central government executive authorities, which are governed and coordinated by the Cabinet of Ministers of Ukraine via MENR including:

- **State Ecological Inspection of Ukraine, SEI:** central agency of executive power, which is responsible for enforcement of environmental legislation and state control in the field of environmental protection, rational use, renewal and protection of natural resources. SEI has local branches in all 24 regions (oblasts). Three marine inspections are responsible for the state control of environmental law implementation in the Black and Azov Seas Regions.
- **State Service of Geological and Subsurface Survey of Ukraine, SSGSS:** responsible for the state policy in the field of geological survey and rational use of minerals.
- **State Water Resources Agency of Ukraine, SWRA:** responsible for the state policy in the field of water resources monitoring, use and protection. SWRA has local branches in 19 regions, AR Crimea and the city of Kyiv, as well as 10 River Basin Departments of water Resources.
- **State Agency of Ukraine of the Exclusion Zone** is responsible for the state policy and management of the Chernobyl Exclusion Zone.
- **State Environmental Investment Agency, SEIA:** was responsible for the state of policy in the field of climate change issues but has recently been dissolved.

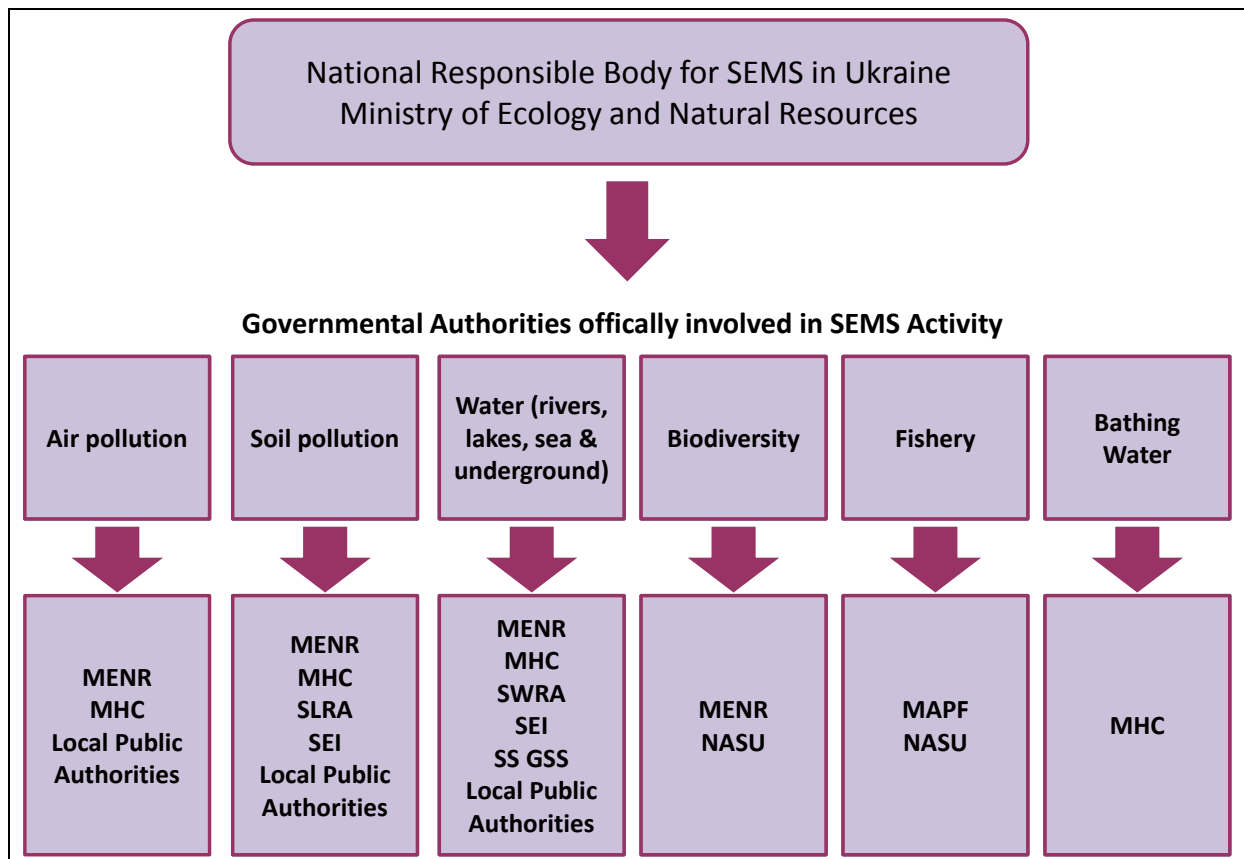
Environmental matters are also subject to regulation by other ministries and state authorities namely:

- **Ministry of Agrarian Policy and Food, MAPF** (prevention of negative impact of agricultural activities on environment, management of agricultural chemicals, management of agricultural landscapes, food quality, etc.);
- **Ministry of Energy and Coal Industry** (energy efficiency, regulation of emission of green gases, coal sector impact on environment, etc.);
- **Ministry of Health Care, MHC** (monitoring of air and water quality, sanitary-epidemiological state of environment, environmental health issues, etc.);
- **Ministry of Regional Development, Construction and Communal Housing** (territorial planning, solid waste management, water supply, discharge and purification, etc.);
- **State Emergency Service, SES** (emergency forecasting, monitoring and respond, weather forecast, negative impact prevention and consequences liquidation of natural phenomena and disasters, etc.);
- **State Forest Resources Agency, SFRA** (state forestry policy and regulation);
- **State Land Resources Agency, SLRA** (state policy in the field of land monitoring, protection, rehabilitation and rational use);
- **State Space Agency of Ukraine, SSA** (satellite monitoring of land surface).

At regional and local levels environmental matters are subject to monitoring, control, regulation, and management by regional (local) representations of central governmental authorities (ministries, agencies and services) as well as by respective units of regional / district / city state administrations.

The basic Law of Ukraine "On Environmental Protection" (1991) stipulated the establishment of the State Environmental Monitoring System (SEMS) for monitoring of environmental processes and pollution of the environment. The institutional framework of SEMS is presented in the scheme below.

Figure 2 Institutional framework of SEMS



Source: Own elaboration by the evaluation team.

Key participants of the monitoring system include central state bodies as well as institutions, enterprises and private and public polluting organizations. Specific state agencies and organizations are involved in conducting of some other kinds of monitoring. These include:

6. **Biodiversity monitoring** – specifically relates to the conservation objectives and favourable conservation status of species, populations and ecosystems. Biodiversity monitoring is carried out by administrations of protected areas and specific research institutions (e.g., institutes of National Academy of Sciences, research centres of universities etc.).
7. **Compliance monitoring** is irregular (by needs) checking the relevance of water quality and air quality and discharge/emissions levels against standard norms established by MENR. This type of monitoring is running mostly by governmental controlling agencies (e.g., departments of the State Ecological Inspection).
8. **Operational monitoring** relates to the real time monitoring of some parameters of the environment. Operation monitoring is conducting by different bodies and includes but not restricted to real-time collection of data by satellites, radars, automatic devices working for radiation control etc. Specific system of radiation monitoring has been established around nuclear power stations.

According to the OECD the national budget for environmental protection is relatively low compared to other countries and has been decreasing in recent years. The OECD suggests that the low capacity of MENR to prepare, cost and implement economically robust long term budget plans may be one of the reasons why they have been less successful than other ministries in securing budget.

The OECD also identifies that the necessary cross-sectoral nature of environmental budget plans and programmes, and lack of coordination or allocation of responsibilities has seriously undermined programme implementation. The situation is further aggravated by a lack of sufficient capacity of MENR to appraise and select the most environmental and cost-effective projects for funding.

This can have implications for the effectiveness of direct budget support, rather than project support which is increasingly favoured by EU in external support projects.

4.1.4 Environmental International Cooperation and Technical Assistance

Ukraine has established bilateral (with partner countries and international institutions) and multilateral (in the framework of MEAs) environmental cooperation. Key areas of cooperation are following:

- protection of biological and landscape diversity
- protection of transboundary waters
- protection of air and ozone layer
- climate change mitigation
- transboundary environmental impact assessment
- waste management
- land degradation
- environmental safety

Over 50 bilateral agreements have been concluded by Ukraine. Major areas for cooperation include information exchange, conservation of biological and landscape diversity (incl. establishment of the Pan-European Ecological Network), reduction of transboundary pollution, climate change and energy efficiency. Special actions to protect the Black Sea are undertaken in cooperation with other Black Sea littoral states. Cooperation with many countries is facilitated through international technical assistance.

Ukraine is a party to key environmental conventions and agreements. To implement provisions of MEAs, Ukraine has established and benefits from cooperation with international organizations and institutions, including the World Bank, the European Union, OSCE and UNDP. In the framework of European Integration process, environmental issues were integrated in the Agreement on Association with EU. Section "Environment" of the Agreement is focused on the environmental protection, energy and climate change issues.

Ukraine benefits from cooperation with donor countries such as Canada, USA, Denmark, Sweden, Switzerland, UK and many others. The Ministry of Economy is appointed as the body responsible for collecting proposals from all interested national authorities and organizations on the main regional and sectoral priorities for cooperation. These proposals create the base of annual cooperation programmes.

4.2 Description of EU strategic priorities for the country, especially in the areas of environment and climate change

In 1998, Ukraine and EU concluded the Ukraine-EU Partnership and Cooperation Agreement (PCA), which creates legal grounds of current EU-Ukraine cooperation. Until end-2006 EC assistance to Ukraine was provided under the Technical Assistance to the Commonwealth of Independent States (TACIS) program. From 1 January 2007 onwards TACIS was replaced by the European Neighbourhood and Partnership Instrument (ENPI) to promote implementation of the European Neighbourhood Policy (ENP). and Eastern Partnership The ENP and associated Instruments are focused on the development of an area of prosperity and close cooperation between the European Union and partner countries including Ukraine.

Following the Orange revolution (2005), Ukraine proclaimed an agenda of ambitious reforms aimed at strengthening democracy, market economy and approaching to European Union. EU assistance was focused on developing closer relationships with Ukraine in economic, political and other sectors.

The CSP for Ukraine for 2007 – 2013 for ENP Instrument determines priority areas of cooperation according to the country needs and provisions of the National Indicative Program for 2007-2010. These priorities relate to:

1. democratic development and good governance;
2. regulatory reform and administrative capacity building;
3. infrastructure development, in particular in transport, energy and environment sectors, in close collaboration with the EIB, EBRD and other IFIs.

The CSP emphasizes the crucial role of democratic and economic transformations through formulation and implementation of sectoral strategies and policies, which are approximated to EU policies and legislation. Importantly the environment is mostly considered as a priority stand-alone instead of a crosscutting sector, closely connected with other sectors (energy, transport, agriculture, etc.), although mainstreaming is mentioned in the CSP.

In December 2011, the Parties finalized negotiations with regard to a new EU-Ukraine Association Agreement (the process started in March 2007). However, signature of the Association Agreement was suspended until after the revolution and presidential change in 2014. Following the revolution the

dominating vector of country development again became focused on moving closer to the EU. However, Russian occupation of Crimea and interventions in Eastern Ukraine are a serious factor hindering EU integration.

The Ukraine-EU Association Agenda is focused on supporting Ukraine to prepare and implement EU acquis specified in the respective Annexes to the Association Agreement. Therefore, key areas of cooperation in 2007-2013 related to following issues:

- implementation by Ukraine of the National Environment Strategy for the period till 2020 and the National Environment Action Plan for 2009–2012;
- strengthening of the administrative capacity at national, regional and local levels, including development of effective inspection and enforcement capacities;
- further development and implementation of Ukrainian environmental legislation, strategies and plans (in particular on environmental impact assessment, strategic environmental assessment, access to environmental information, and public participation) harmonized with EU legislation and policies;
- strengthening national implementation instruments in line with multilateral environment agreements signed and ratified by Ukraine and the EU;
- implementing the Kyoto Protocol through a dialogue within the Joint EU-Ukraine Working Group on Climate Change on a new post 2012 agreement on climate change, and on developing measures to mitigate and adapt to climate change;
- promoting sustainable development and greening economy;
- active participation in the Danube-Black sea (DABLAS) Task Force;
- working together to implement the roadmaps for achieving the water-related Millennium Development Goals and Integrated Water Resources Management targets, using the national policy dialogue under the EU Water Initiative;
- promoting the implementation of the Bucharest Convention and its Protocols and working together with the Parties of this Convention to promote the accession of the European Union to the Convention;
- maintain a dialogue on Ukraine's participation in selected Environment Agency activities on information collection and dissemination such in the activities aiming at establishing the Shared Environmental Information System;
- investigating possibilities of establishing a REC office in Ukraine, inter alia to raise environmental awareness and promote the role of the civil society on environmental matters.

As well as establishing a high-level dialogue on environment protection issues, the EU and Ukraine also cooperated on a variety of bilateral and multilateral levels. The Eastern Partnership Road Map containing such bilateral and multilateral dimensions was approved on 23 July 2012, at the meeting of Ministers of EU Member-States and Eastern Partnership partner countries. The objectives for Ukraine were to achieve visible progress in terms of preparation to convergence with key EU legislation.

4.3 Overview of EU-funded interventions

In 2007-2013, EU provided support to Ukraine within regional and national programs and instruments such as Thematic Programme for Environment and Management of Natural Resources including Energy (ENRTP) and European Neighbourhood Policy Instruments (ENPI). During this period the EU provided technical and financial assistance to Ukraine in the form of a number of sectoral programs and projects. The key approach was the implementation of the Sector Budget Support (SBS) of Sector Policy Support (SPS) programmes and strategies designed to support government's sector in Ukraine. This assistance was supplemented with contributions of other donors including governments of EU member states.

Key EU interventions in 2007-2013 in the field of Environment and Climate Change are listed in Annex 5.3.

As earlier mentioned, one of the most significant EU interventions in the environment sector was the Sector Budget Support Programme (2011–2013) aimed at implementation of the Environmental Strategy of Ukraine to 2020 and the National Environment Action Plan 2011-2015. The SBS was focused as well on the environmental objectives of the Eastern Partnership Road Map and in particular on approximation of environmental legislation, in particular those elements specified in the Annexes of the Association Agreement (see above). The maximum value of the Programme was EUR 35 million. Euro

The disbursement of the SBS fund was arranged in three tranches on the basis of evaluation and assessment of some agreed general conditions:

- Satisfactory progress in the implementation of the National Environment Strategy of Ukraine including the National Action Plan for its implementation for the period 2011-2015;
- Satisfactory progress in the maintenance of a stability-oriented macroeconomic policy;
- Satisfactory progress in the reform of public finance management.

Special conditions are also applied to decision-making process concerning disbursement of the second two variable tranches. The amount of variable tranches is determined each year based on the fulfilment of specific agreed indicators. Ukraine was not successful in achieving these indicators and therefore only qualified for two delayed tranches totalling EUR 23.4 million. In 2014 the SBS Programme was cancelled by EU due to violation of agreed criteria and procedures.

In parallel to the SBS Programme, EU has funded the Project “Support to the Ministry of Ecology and Natural Resources of Ukraine for the sector budget support implementation” with total budget EUR 3,277,600. The overall objective of the Project is to support the MENR in the implementation of national environmental policy and in particular, to achieve objectives of the National Environmental Strategy until 2020 and National Environmental Action Plan for 2011-2015. Adoption of a harmonization plan towards the EU *Acquis* is one of key Project components.

In addition, the Sweden International Development Agency (Sida) allocated EUR 10 millions for capacity building and institutional strengthening of MENR. Sida agreed as well to provide expertise on legal approximation in the waste management, including hazardous waste, chemicals, radiation safety, climate change and energy savings.

Support in development and implementation of national policies and strategies in energy (Project “Support to the implementation of Ukraine's energy policy”) and transport (Project “Support to the Implementation of the transport strategy of Ukraine”) sectors were additional large ENPI budget interventions of the EU, which have some relevance to environment and CC issues in the country.

The EU has also supported national efforts to raise public awareness and strengthen public participation in decision-making processes via the “Building environmental democracy in Ukraine”, 2013-2015 (EU contribution € 194,942).

Biodiversity protection / conservation in Ukraine has been a further focus area of more moderate environmental assistance under ENRTP. During 2007 – 2012 EU supported:

- Project ‘Support for the implementation of the Convention on Biological Diversity (CBD)'s Programme of Work on Protected Areas in the EU Neighbourhood Policy East Area and Russia’ (EU contribution € 1,484,000); the project was aimed at identifying important habitats for key species and ecosystems, as part of a broad European network of habitats and assisting in the establishment of protected areas within or encompassing these habitats.
- Project “Integrating climate change into vulnerable ecosystems management: natural parks in wetlands and forest areas”, 2010-2012 (EU contribution € 798,125); the project is devoted to the preservation of vulnerable wetlands ecosystems in North of Ukraine, development of a Local Climate Action Plan, promotion of green tourism etc.), and
- Project “Protection of steppe biodiversity”, 2010-2015 (EU contribution € 1,447,305); the project is aimed at overcoming threats for and protection of steppe biodiversity in Southern regions of Ukraine).

Further ENRTP projects include the “Climate Forum East”, 2013-2014 (EU contribution € 825,000) is aimed at improving global policy-making processes on Climate Change and Civil Society development in Eastern Partnership countries, but which also has had a nature conservation impact in Ukraine via preservation of peat lands (the draining of which causes release of significant GHG emissions), and the Partnership for Market Readiness programme administered by the World Bank. This latter project aims at improving GHG reporting and at introducing market-based instruments to reduce GHG emissions.

5 Field mission findings, by relevant EQ

5.1 EQ 1: Achievement of EU policy aims



Context – Ukraine and the EU agreed a 3-year European Neighbourhood Plan of Action in 2005, in the aftermath of the Orange Revolution that marked a change in the geopolitical and democratic position of the country. The Action Plan amongst other things provided the impetus for much of Ukraine's environmental policy and also defined priorities for EU support in environmental and climate-related themes. The enlargement of the EU and the new position of Ukraine as an immediate neighbour encouraged a shift in long-term objectives towards gradual economic integration and a deepening of political cooperation.

With respect to environmental issues, the most important element of the European Neighbourhood Plan of Action was agreement on 'gradual approximation of Ukrainian legislation, norms and standards with those of the European Union; further reinforcing administrative and judicial capacity'.

Additional environment-related priorities concerned mainstreaming of environmental protection into sectoral policy, ensuring access to environmental information in accordance with the Aarhus Convention, adoption of procedures for environmental impact assessment of projects and plans, action on sustainable development in line with commitments made in Johannesburg and close cooperation on cross-border and international environmental themes including protection of the Danube and the Black Sea, implementation of Kyoto commitments, and tackling transboundary air pollution.

Negotiations on the successor to the Neighbourhood Plan of Action began in 2007, but the resulting Association Agreement (AA) between EU and Ukraine was not finally signed until June 2014. The delays to signing of the AA were caused by reversals in geo-political alliances following the presidential elections in 2010, and the election of an eastward-looking president. It was not until the 2014 revolution and subsequent reestablishment of a European political perspective that enabled the AA to be signed. However, drafts of the AA had been available and initialled already in 2012 and thereby have had an influence on Ukrainian environmental policy, and not least on the focus of EU and other donors support, long before the signature date.

The AA continues the environmental priorities of the European Neighbourhood Plan of Action, and lays down stringent timetables for the adoption of directives related to Environmental Impact Assessment (EIA), SEA, public access to information, public participation, air quality limits, fuel quality, waste and wastewater treatment and management, water quality and water resource management, marine environment, birds and habitats, industrial pollution and permits, an emissions trading scheme etc. The AA also requires Ukraine to develop an action plan for mitigation of, and adaptation to, climate change.

<p>EQ 1 Achievement of EU policy aims <i>To what extent has EU support to environment and climate change across different instruments contributed to the EU's overall environment and climate change policy aims?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Successive strategic agreements between the EU and Ukraine have been key drivers of reform in the country, with the environment, and climate in the area of energy efficiency, being included as important areas for assistance and development. • The chief priority of EU support, has, however, been economic and democratic reform and cross-border security and these have overshadowed environmental issues. This was also the case for the Country Strategy Paper (CSP) relevant to the evaluation period. Nevertheless, both strategic neighbourhood agreements and EU interventions have given weight to environment and climate issues and, in particular, to approximation of Ukrainian law to the EU environmental <i>Acquis</i>. • A 35 million Euro SBS environmental budget was made conditional on MENR adopting an Environmental Strategy (ES) 2011-2020 and a subsequent Action Plan 2011-2015. The ES and Action Plan were developed with strong EUD input and consultation with a wide range of Ukrainian stakeholders. The ES has a strong focus on approximation to the EU <i>Acquis</i> in particular with respect to water, waste, industrial pollution. It is strong on nature protection, but relatively weak on climate issues. • By design, EU interventions have been responsive to country needs and priorities, which also reflect EU policy priorities. However, the effective use of the SBS has been hindered by violation of agreed procedures causing serious delays and eventually cancellation of the SBS after only EUR 23.4 million Euro had been paid. A further issue was a lack of ability of MENR to ensure that other ministries implemented mainstreaming of environmental issues into sectoral policies. Despite these issues, 70% of required level of implementation under SBS was achieved in 2011 and 50% in 2012. • Ukraine was committed to keeping its GHGs under 1990 levels under the first
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	<p>Kyoto tranche. Ukraine easily met its commitment with a large surplus and has focused on selling AAUs and engaging in JI projects, but the funds have not been channelled into GHG mitigation. Ukraine has also followed a line which is not compatible with the EU's at recent UNFCCC COPs, negotiating an exception from the Doha amendments.</p> <ul style="list-style-type: none"> • Since national priorities are often driven by neighbourhood agreements with the EU one can say that ENRTP instruments are in line with national priorities. However, this is not the same as saying that they would be aligned with priorities that would have arisen internally without influence of agreements with the EU. • The ENRTP instruments on Vulnerable Ecosystems and on Steppe Biodiversity have been well aligned to country needs and conditions, given the high level of biodiversity and pressures on these ecosystems within the country. The ENRTP funded and WB implemented Partnership for Market Readiness had limited influence in the country during the evaluation period.
<p>JC 11 National partner prioritisation of environment and climate change <i>EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change:</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The focus of EU priorities for cooperation with Ukraine in the wake of the Orange revolution was on economic and democratic reform and cross-border security. As a result environmental issues had a fairly low visibility within the CSP, being squeezed in along with climate and sustainable development into a third general infrastructure priority. However, the EU gave weight to environment and climate issues and, in particular, to approximation to the EU environmental <i>Acquis</i> as UoG commitment to this showed signs of wavering. • A 35 million Euro SBS environmental budget was made conditional on MENR adopting an Environmental Strategy (ES) 2011-2020 and a subsequent Environmental Plan of Action (Action Plan) 2011-2015. These were developed with strong input from the EU Delegation in Ukraine (EUD). A draft ES had been in the pipeline for a number of years but commitment had not been strong. The ES and Action Plan were developed in consultation with a wide range of Ukrainian stakeholders and monitoring of its implementation has been carried out both by an internal monitoring group and externally by a group of non-governmental organisations (NGOs). The ES covers most environmental media, has a strong focus on approximation to the EU <i>Acquis</i> e.g. in water, waste, industrial pollution etc. and is strong on nature protection but is weak on climate issues. Reforestation is emphasised as is the aim of introducing economic instruments to encourage more sustainable forms of transport, and to penalise more polluting industries. However, no other emissions mitigation measures are included. Nor does Ukraine have any other GHG emissions reduction strategy (see also under EQ2). • In Ukraine informal policy dialogues between the EUD and MENR, State Energy Agency and others can be as important as the formal policy dialogues. This is particularly true for dialogue with other donors i.e. Sida and the German UBA. The formal dialogue is often the confirmation of the informal discussions with beneficiaries.
<p>JC 12 Use of instruments to enhance achievement of policy aims <i>The extent to which ENRTP and geographic instruments enable EU to engage in environment and climate change in a relevant manner at the country and regional level and enhance achievement of the EU's environmental and climate change policy</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • On paper EU interventions have been responsive to country needs and priorities, which also reflect EU policy priorities. EU support has been targeted at development of sectoral and regional environmental policies, approximation of Ukrainian legislation to the EU <i>Acquis</i>, capacity building in Ukrainian institutions to allow implementation of the ES and EaP and implementation in key environmental themes including air quality, water resource, waste management and protection of biodiversity. • However, the effective use of the SBS has been hindered by a number of factors: including no ranking of the importance of the 280 actions in the Action Plan, delays in payment of EU assistance due to issues of lack of transparency of financial transactions. Ukraine only qualified for two delayed tranches totaling EUR 23.4 million and in 2014 the EU cancelled the SBS Programme due to violation of agreed criteria and procedures. No payment was secured from the 35 million SBS until towards the end of 2013, with the gap being partially filled by assistance from Sweden's SIDA. • A further issue was a lack of ability of MENR to ensure that other ministries implemented mainstreaming of environmental issues into sectoral policies. This is a result of both the silo approach to policy making in Ukraine and also a relatively weak and unstable ministry with the post of Minister of Ecology having been filled by 5 different politicians since 2010. • Despite these issues, 70% of required level of implementation under SBS was achieved in 2011 and 50% in 2012. The 2013 assessment is yet to be completed. In general technical assistance has been better used for biodiversity protection and water basin management than on climate issues.

	<ul style="list-style-type: none"> Ukraine is an Annex 1 Party to the UNFCCC and committed to keeping its GHGs under 1990 levels. However, due to economic restructuring and recession in the 1990s, Ukraine easily met its commitment with a large surplus. Ukrainian climate-related activities have, therefore, focused on selling Assigned Amount Units (AAU) and engaging in Joint Implementation projects, but the funds have not been channelled into GHG mitigation Ukraine's position at recent UNFCCC COPs have been on negotiating an exception from the Doha amendments, and on the retention of its right to sell AAUs during the second commitment period, a line which goes against the EU's position at COPs. The EU has funded NGOs participation at COPs and assisted them in applying pressure on the Ukrainian delegation to move closer to the EU line, but with limited success. The ENRTP instruments on Vulnerable Ecosystems and on Steppe Biodiversity have been well aligned to country needs and conditions, given the high level of biodiversity and pressures on these ecosystems within the country. The instruments have achieved some success in improving protection of these ecosystems. The ENRTP Partnership for Market Readiness had limited influence in the country during the evaluation period. Funding for preparation of a Market Readiness Proposal began during the period responding to a need for improved MRV and the establishment of an ETS as agreed under drafts of the EU Association Agreement. This proposal was accepted in 2014.
<p>JC 13 Inclusion of environment and CC in EU policies and strategies</p> <p><i>Level of inclusion of environment and CC in EU policies and strategies with third countries and regions</i></p>	<p>Findings</p> <ul style="list-style-type: none"> As described in the introduction to EQ1, strategic agreements between the EU and Ukraine have important drivers of legislative and institutional reform in the country and have encapsulated EU policies and strategies This is not least the case for environment and, to a lesser extent, climate issues. With respect to the environment, the focus of EU-Ukraine agreements have been on approximation to the EU Environmental Acquis. Successive EU-Ukraine agreements have strengthened the priorities for approximation and the Association Agreement between EU and Ukraine signed in 2014 but drafted much earlier sets out a concrete timetable for approximation for each Directive in the Acquis.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
The priority given by national partners to environment and climate change issues has gradually increased. (JC11)	On paper, the Ukrainian government has committed to improving environmental protection, strongly encouraged by requirements under neighbourhood agreements with the EU. However, the degree to which these commitments have been matched by real commitments and action on the ground have been strongly hindered by political instability and lack of continuity at ministerial and institutional level.
Policy dialogue discussions are only partially reflected in documents – much of it happens informally and this informality is important to make sure that national partners feel comfortable to discuss issues in an open and frank manner. (JC11)	No strong evidence for the hypothesis. In Ukraine, policy dialogue is formalised through demands from the EU in return for SBS. There are also informal contacts but they do not substitute the formal arrangements.
MEA processes have influenced national policy debates. (JC12)	Ukraine has mainly used UNFCCC instruments for economic gain via trading of AAUs and engaging in JIs, but without feeding these gains back into GHG reduction. However, NGO pressure on government to act on climate has been influenced by MEA processes. There is also evidence that the CBD has had an influence on policy debates with respect to nature protection.
Interventions under geographic instruments are well aligned with national priorities, as a result of the CSP planning process. (JC12)	The focus of EU priorities for cooperation with Ukraine has been on economic and democratic reform and cross-border security. Environmental issues had a fairly low visibility within the CSP. However, commitments under neighbourhood agreements with EU, in particular the requirement to approximate to the EU environmental Acquis have been a strong driver for national priorities, and geographic instruments been well reasonably well aligned with this approximation process.
ENRTP is not always fully aligned with national priorities, but considering its global and innovative nature, this is justified, as it plays	Since national priorities are often driven by neighbourhood agreements with the EU (most recently the Association Agreement), one can say that ENRTP instruments are fully in line with

Overall desk hypotheses	Evidence from Ukraine's case study
an important role in bringing new themes on the agenda and raising awareness and commitment on often under-prioritised environmental issues. (JC12)	national priorities. However, this is not the same as saying that they would be aligned with priorities that would have arisen internally without influence of agreements with the EU. The Steppe and Vulnerable Ecosystem instruments are, however, strongly aligned to national needs.
Environment and climate change have become increasingly prominent in EU policies, and the ambitions level has increased. (JC13)	Not assessed for the country mission.

5.2 EQ 2: Low emission



Context – Ukraine has received support from various donors on improving monitor, verify and report (MRV) systems for GHG and on the development of strategies and sectoral actions for reducing GHGs. These include a UNDP project funded by Germany on developing an LEDS, a USAID project and EBRD funding for ETS scoping. Direct EU support has been mainly provided by SBS support to development and implementation of an Environmental Strategy and Action Plan which include commitments to develop an LEDS, and more recently support under the Partnership for Market Readiness, though this only began towards the end of the evaluation period. The EU has also provided significant financial support under an SBS on implementing the country's energy efficiency and renewable energy strategy. Ukraine isn't eligible for NAMA funding – this is aimed towards poorer countries. So an eventual NAMA in Ukraine would be autonomous – and not registered with the UN.

<p>EQ 2 Low emission</p> <p><i>To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for climate resilient low emissions development?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Developing a robust GHG inventory system has been of particular importance to GoU due to its significant potential for sales of AAUs, which required robust calculations and verification of GHG shortfalls. The quality of GHG data has however been questioned in recent years, particularly on whether a systematic approach to collection of emissions data from organisations, and also quality control is in place. • Efforts to establish an improved MRV have been carried out by other donors but MRV legislation drafted in 2012 did not proceed through parliament. More recently Ukraine received support under the ENRTP Partnership for Market Readiness to develop a (recently approved) proposal to establish an MRV. While the proposal builds substantially on other donors work, the degree of national buy-in to the proposed MRV system is not clear. • Ukraine has yet to adopt an LEDS despite assistance in this area from several donors. UNDP has Identified policies and measures for low carbon growth in Ukraine with significant stakeholder consultation. Various donors have also assisted in practical assistance in reduction of GHGs from sectors. These have increased capacity for eventual development of sectoral NAMAs. • It isn't clear what the GoU commitment is to the general concept of an LEDS or NAMA. The national Environment Strategy does include the target by 2015 of developing a LEDS/NAMA but so far has not been backed by much real action. • The Energy Strategy and in particular the Energy Efficiency and Renewable Energy Strategies do contain measures to reduce GHG emissions in the energy sector. However, policy in other sectors is very limited. Ukraine's Transport Strategy to which the EU is providing assistance under an SBS, does not include anything which could be construed as a NAMA for the sector.
<p>JC 21 Monitoring, Reporting and Verification</p> <p><i>Increased capacity to Monitor, Verify and Report (MRV)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Ukraine is an Annex 1 party to the UNFCCC and therefore requires accurate monitoring of GHG emission. This is of particular importance to the Government of Ukraine due to its significant potential for sales of AAUs, which required robust calculations and verification of GHG shortfalls. • The National Centre for GHG Emissions Inventory (NCEI), which is responsible along with the Interinstitutional Commission on Ensuring Implementation for GHG monitoring, has been assisted in its work by a number of EU interventions including the Clima East project which has assisted in developing the LULUCF element of the national inventory accounting system.

	<ul style="list-style-type: none"> • The quality of GHG inventory data is of reasonable quality but there is confusion over the responsibilities of the various actors, and a lack of thoroughly systematic collection and processing of data. Efforts to establish an improved MRV have been carried out by other donors (e.g. UNDP financed by the German UBA) but MRV legislation drafted in 2012 did not proceed through Parliament. • More recently Ukraine received support under the Partnership for Market Readiness to develop a Market Readiness Proposal (MRP) to establish an MRV. However, it is not clear the extent of buy-in by national responsible institutions to the proposals, which were developed by external consultants
<p>JC 22 NAMAs and LEDS <i>Availability of strategies and actions that support a low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Ukraine has yet to adopt an LEDS despite assistance in this area from several donors. • An EU twinning project between Germany and Ukraine which began in 2012, aims at establishing of an operational system of effective legislation and policy in the sphere of energy efficiency. No information has been gained so far on the progress of this project to date. • More direct assistance in the development of a LEDS has come from other donors. UNDP has identified policies and measures for low carbon growth in Ukraine and assessment of their mitigation potential, with significant stakeholder consultation, which could form the central elements of a LEDS. A USAID Municipal Energy Reform Project (MERP) that began in 2013 is also aiming at assisting the Ukraine in developing a LEDS with focus on the energy sector. Finally, the EBRD has assisted with capacity building on a cap and trade based ETS system. • Similarly to the situation for LEDS, Ukraine does not yet have a NAMA. Various donors including the EU have assisted in concrete projects that aim to reduce GHGs from various sectors (see under JC23). However, these are practical projects rather aimed at developing sectoral policy on GHG reductions. Nevertheless, the outcomes of these projects may eventually assist in development of sectoral policies in GHG mitigation. • It isn't clear what the GoU buy-in is to these various emissions reduction projects and the general concept of an LEDS or NAMA. The national climate focus to date has been on selling of AAUs and engaging in JI projects, rather than mitigating its own GHG emissions. The national Environment Strategy does include the target by 2015 of developing a LEDS/NAMA but so far has not been backed by action. • The SBS for assisting in implementation of the Ukraine's Energy strategy in the area of energy efficiency and renewable sources of energy, included a number of actions which can together form essential elements of both LEDS and NAMA. This included introduction of mandatory metering at household level, assisting with the introduction of tax incentives or energy efficiency, R&D in renewables and introducing energy efficiency into sectoral development programmes. It has not been possible to gain any information on how successful this SBS has been • The Ukraine's Transport Strategy, to which the EU is providing assistance under an SBS, does not include anything, which could be construed as a NAMA for the sector. The Energy Strategy and in particular the Energy Efficiency and Renewable Energy Strategies on the other hand do contain measures to reduce GHG emissions in the energy sector. However, policy in other sectors is very limited. • The Environmental Strategy commitment to adoption of LEDS/NAMA has recently been cemented by a similar requirement under the Ukraine-EU Association Agreement signed in June 2014, but drafted much earlier. This will put further pressure on UoG to act.
<p>JC 23 Capacity for low emission development <i>Increase in knowledge on implementing low emission development.</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • An EU twinning project between Germany and Ukraine which began in 2012, has transferred German knowledge on effective legislation and policy in the sphere of energy efficiency aligned to the requirements of EU legislation. • EU SBS funding for implementation Ukraine's Energy strategy in the area of energy efficiency and renewables aimed among other things at strengthening capacity within Institutions responsible for designing and promoting energy efficiency and renewable energy policy. Capacity building activities were financed in the State Agency on Energy Efficiency and Energy Saving but it is not known whether these have had an effect in more effective policy implementation.

	<ul style="list-style-type: none"> Several donor projects have developed practical solutions for low emissions development in Ukraine e.g. EU's 'Energy efficiency in public buildings of Zorynsk' project, GEF's 'Improving Energy Efficiency and Promoting Renewable Energy in the Agro-Food and other Small and Medium Enterprises (SMEs)' project and the Swiss 'Promoting Energy Efficiency in Ukraine's Residential Housing' project and EU's 'Low-carbon opportunities for industrial regions of Ukraine' which focuses on carbon capture and storage (CCS).
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Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
In-country coordination efforts work and would be likely to offer a good partial solution to the coordination effort;	There is evidence of in-country coordination in Ukraine between various donors including Germany, USAID, EBRD and the EU. However, to date these have not resulted in adoption of a sufficient MRV/LEDS/NAMA.
NAMAs developed so far likely to be bankable or attract private sector finance;	Not applicable in Ukraine
The NAMAnet builds capacity at the national level or concentrate it in the (temporary) centres of excellence;	Not applicable in Ukraine
The PMR market readiness approach is attracting the private sector to be engaged;	There is little evidence of yet in private sector engagement in PMR funded developments. This may change as Ukraine moves into the implementation stage of the PMR.
The Green Diplomacy network contributes to mitigation actions and there are not significant missed opportunities;	Not known actions from the Green Diplomacy Network
The de-linking of support from climate negotiations provides for technical and even political progress in advancing mitigation.	Ukraine is actively engaged in sale of AAUs and not eligible for NAMA support and thus hypothesis is not directly relevant.

5.3 EQ 3: Sustainable energy



GEEREF has not been active in Ukraine and for this reason this evaluation question is not answered. Sustainable energy has been an element in the cooperation with Ukraine not through the ENRTP but through support to the energy sector.

The Ukrainian government introduced a favourable feed-in tariff for renewables in 2008 and has tax exemptions for renewable energy sources, biofuel producers, the sale of energy-saving equipment of own production (on 80% of the income), and the implementation of energy-saving projects (on 50% of the income). The EBRD has also established the Ukraine Sustainable Energy Lending Facility

(USELF), an investment facility of up to €140 million for fostering renewable energy projects in Ukraine.

5.4 EQ 4: Biodiversity



Ukraine has 35 % of European biodiversity. Biodiversity is therefore of key importance for donor assistance, though with relatively small sums compared to other programs. A number of biodiversity related EU interventions were financed during the period including the Integrating Climate Change into Vulnerable Ecosystems Management: natural parks in wetlands and forest areas project, the Enhanced Economic & Legal Tools for Steppe Biodiversity Conservation and Climate Change Adaptation and Mitigation project and more general SBS support for implementation of the Ukrainian Environmental Strategy and Action Plan

which include a number of goals and actions relevant to biodiversity protection. Moreover, cross-border supported projects such as those for the Danube, Carpathian Mountains and Black Sea also have biodiversity elements.

EQ 4 Biodiversity <i>To what extent has EU support (via the ENRTP and geographic instruments) helped improving the capacity of partner countries to prevent/reduce the loss of biodiversity?</i>	Main findings <ul style="list-style-type: none"> The current Ukrainian NBSAP was developed as part of the Environment Strategy under EU SBS support. EU-supported projects have contributed to addressing some Aichi targets on the regional level and 42% of targets under the CBD had been implemented by end 2013. One objective of EU SBS financing was that Protected Areas should increase from 5.4% of Ukraine's total area in 2009, to 5.9% in 2012 and 6.9% in 2013. These targets have been partially achieved and Ukraine
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	<p>scores above average for most PoWPA indicators. The EU's Emerald Network assistance in part through assisting the development of a national law on establishing a network, of habitats, have been instrumental in achieving some of these targets.</p> <ul style="list-style-type: none"> • Several ENRTP projects have improved protection for more than 39.000 ha of peat land and steppe habitat. This has been achieved in part via strengthening capacity in the development of site management and monitoring plans, training staff in implementing these plans and provision of technical support through twinning projects, and finally through assistance in the development of new innovative concepts. • One example of the latter is the approach developed under the Clima East project to establish systems by which local farmers and populations could gain value from the sustainable management of peat land. • Although information has been well disseminated from EU-supported projects, MENR does not have a well-maintained central database system for gathering and presenting experiences and reports from bio-diversity related projects. This has inhibited continuity and learning between projects and has weakened the capacity building function of EU support. • Ukraine established a system for environmental monitoring in the 1990s which was backed legally by the Ukraine Environmental Strategy. However, there is a general feeling that the system for monitoring of species and ecosystem health could be improved though this does not seem to have been a subject of EU support.
<p>JC 41 Implementation of Commitments <i>Enhanced capacity of partner countries to implement their commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The current Ukrainian NBSAP was developed as part of the Environment Strategy which itself was set in motion under EU SBS support (see under EQ1). Ukraine is currently revising the NBSAP to include the Aichi targets. EU supported projects have contributed to addressing some Aichi targets on the regional level. 42% of targets under the CBD had been implemented by end 2013. • The recent loss of control of the Crimean Peninsula has challenged biodiversity targets in Ukraine since the peninsula has some of the richest habitats in the country. • One objective of EU SBS financing was that Protected Areas should increase from 5.4% of Ukraine's total area in 2009, to 5.9% in 2012 and 6.9% in 2013. The 2012 target was achieved but not the 2013. This was achieved with important assistance from the ENRTP Emerald Network assistance program. • There is evidence that the new protected areas may not be enjoying much protection in practice, due to cuts in national funding. EU and other donors' support in protected areas management have assisted in strengthening capacity building to reduced the impact of these cuts. • Provided financing is in place, implementation of biodiversity actions have been easier to achieve than climate change actions, due to lower resistance from the public and from business, a long tradition in protection of wildlife and the relative ease of communication on the issue. • Ukraine is a major transit area for trade in CITES species. Birds of prey are exported to Arabic countries. However, little has been done in Ukraine to stop the trade and neither ENRTP nor geographic instruments have targeted this issue. • The only assistance that Ukraine receives concerning CITES is informal support via MENR's membership in the Wildlife Trade Monitoring Network run by WWF and IUCN.
<p>JC 42 Ability to conserve biodiversity <i>Strengthened national capacity to conserve habitats/ecosystems</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The EU's "Steppe biodiversity" geographic instrument has significantly strengthened the conservation management of 23 000 hectares of steppe ecosystems. The project has assisted in developing site management plans and training of protected area staff to implement these and through provision of technical support. • The "Integrating Climate Change into Vulnerable Ecosystems Management" project has strengthened institutional frameworks by developing monitoring plans for vulnerable ecosystems in the Polissya Pas. • The GEF project 'strengthening governance in environmental protection in Ukraine' established the only professional PA-related NGO in Ukraine:

	<p>the Association of Protected Areas. This is self-funded via fees grants and therefore not dependent on continued EU funding. This is a GEF project. GEF is funded by individual EU Member States along with other developed countries i.e. the EU does not contribute to GEF as an entity.</p> <ul style="list-style-type: none"> • The EU's Clima East pilot projects have also strengthened capacity for management of 16 000 hectares of peat land. This project began towards the end of the evaluation period. • These projects have developed several innovative approaches to biodiversity management. One example is the approach developed under the Clima East project to establish systems by which local farmers and populations could gain value from the sustainable management of peat land. The project established farming cooperatives which then reintroduced non-intensive grazing and milk production, cut hay from the peat grasslands and produced fuel briquettes from wood waste from forestry. Eco-tourism was also promoted. • Ukraine has a PoWPA Action Plan and scores above average for most PoWPA indicators. It scores well for establishment of protected areas and for integrating these into a wider network of habitats. This work has been supported by implementation of the Ukrainian Law on the National Ecological Network and the EU's Emerald Network assistance program for assisting in the implementation of the CBD.
<p>JC 43 Knowledge and Information on Biodiversity <i>Improved availability of, and access to, knowledge and information on biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • A State Environmental Monitoring System was established in the 1990s and further strengthened legally by the State Program on Environmental Monitoring of Ukraine for 2008-2012. These include monitoring of biodiversity. However, it has not been possible to establish the adequacy and frequency by which species, and eco-system health is monitored. The SBS on implementation of Ukraine's Environment Strategy included action on improving the monitoring system as the current was considered inadequate. However, it hasn't been possible to gain any information from MENR on progress in this area. i • Data and experiences from EU-supported conservation projects have been collected and disseminated. For example, the Steppe project included production of two toolkits gathering information from the project itself and similar projects elsewhere on management of Steppe habitats. • However, again, the Ministry of Ecology and Natural Resources does not appear to have a well-maintained database system for gathering and presenting experiences and reports from bio-diversity related projects. This has inhibited continuity and learning between projects and has weakened the capacity building function of EU support.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
Biodiversity issues are now mainstreamed (including increase in budgets) into the new lot of CSP. Tools developed are applied	These were not mainstreamed in the CSP 2007-2013.
EU innovative approaches to habitat/ecosystem management are applied in PPP	Yes, a number of innovative approaches were implemented in EU supported projects. Twinning projects were particularly useful in introducing innovative approaches that had been tested in other countries.
Research programmes (show-cases/results) are used for the development – formulation of country strategies, programmes, projects financed by ENRTP-EDF-geographical instruments.	EU-supported biodiversity projects have tended to be regionally focussed and practical-based rather than attempting to influence national policy.

5.5 EQ 5: Green economy



Context – Green economy and SCP has not been on the political radar screen in Ukraine until relatively recently. Neighbourhood agreements with the EU of the last decade have focussed on approximation of Ukrainian law to EU Directives, but since EU Directives only touch on some more peripheral elements of GE/SCP such as environmental management systems in companies, and eco-design of products, the Government of Ukraine has not been obliged to consider GE/SCP. Nor has it been a focus of the EU's CSP's for the country. The EaP Green program focuses on GE/SCP issues with the ultimate aim of encouraging

adoption of a GE strategy plus emphasis on adoption and use of mainstreaming tools. However, EaP Green only began towards the end of the evaluation period.

<p>EQ 5 Green economy <i>To what extent has the EU support enhanced sustainable and resource-efficient production and consumption policies and practices⁷¹ and therefore contributed to the greening of the economy of supported countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Ukraine has as yet no crosscutting GE/SCP strategy or action plan. Awareness on opportunities of GE is low and there is a lack of appropriate governmental structure to allow easy adoption of crosscutting development strategies. Opportunities for economic transitions following the financial crisis were not recognised and short-term economic thinking prevails. • The EaP Green programme is the first EU intervention that aims directly at assisting Ukraine in developing GE policy. Capacity building efforts seem not to have had much impact yet. The Ministry of Economy and MENR are currently developing a short concept paper on GE, which has primarily been driven by the national counterpart for EaP Green. However, Ukraine still lags far behind its neighbours. • The EaP Green project is attempting to drive SEA and EIA forward in the country but was still at an early stage by end 2013. Previous attempts by other donors to have SEA and more comprehensive EIA legislation adopted by parliament have largely failed. • Some issues such as green public procurement are beginning to be addressed via drafting of legislation as one activity under the EaP Green. Instruments like GPP may begin to catalyse a wider interest in GE/SCP. SME's are also gradually being introduced to GE concepts via energy efficiency and assistance with developing GE business plans. • Due to EU-Ukraine agreements for approximation of Ukrainian law to EU Directives, there are many examples of the use of EU as a source for standards and legislation
<p>JC 51 Green economy capacity <i>Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There is a very low awareness of SCP/Green economy issues and opportunities amongst ministries and businesses in Ukraine. Nor has there been demand for SCP/GE or green products from the public. Some NGOs are more aware of international SCP/GE agendas. • The EU's EaP Green workshops and capacity building efforts seem not to have had an impact: workshops were attended by civil servants of only medium ranking and limited influence. • Short-term thinking has been compounded by political instability. Opportunities for economic transitions following the financial crisis were not recognised. A silo approach to policy making limits cross-ministerial cooperation and there is little evidence of mainstreaming of SCP/GE issues into sectoral policies or strategies such as transport, agriculture, rural development. • SEA legislation has been developed under a Twinning project with Austria. However, the legislation has been before Parliament for more than two years and is yet to be ratified due to limited government commitment. EU. There is some transposition of EIA requirements into law but this requires improvement. Again drafted three suggested legislation improvements have not been adopted. • The EaP Green project is attempting to drive SEA and EIA forward in the country but was still at an early stage by end 2013. Moreover, the Association Agreement signed in June 2014 prioritises adoption of SEA and EIA legislation. • Some issues such as green public procurement are beginning to be addressed via drafting of legislation as one activity under the EaP Green. Instruments like GPP may begin to catalyse a wider interest in GE/SCP. • Due to the close association between Ukraine and the EU, not least in the

⁷¹ SCP interventions are the main scope. Natural resources management interventions are not considered.

	<p>requirements under EU-Ukraine agreements for approximation of Ukrainian law to EU Directives, there are many examples of the use of EU as a source for standards and legislation e.g. energy labelling on appliances and buildings, use of the EU flower label, use of the EU organic label, standards for energy using products etc. Adoption of EU energy labels and standards were accelerated by inclusion of Ukraine on the European Energy Community in 2010.</p>
<p>JC 52 Green economy implementation <i>Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Ukraine has as yet no crosscutting GE/SCP strategy or action plan. Awareness on opportunities of GE is low and there is a lack of appropriate governmental structure to allow easy adoption of crosscutting development strategies. Moreover, the EU-Ukraine Association Agreement has no requirement on development of a crosscutting GE/SCP strategy. • The EaP Green programme is the first EU intervention which aims directly at assisting Ukraine in developing GE policy. The Ministry of Economy and MENR are currently developing a short GE concept paper on GE, which has primarily been driven by the national counterpart for EaP Green. • Although only directly supported by the EU, a GEF project (Improving Energy Efficiency and Promoting Renewable Energy in the Agro-Food and SMEs) is supporting energy efficiency and renewable energy in SME's both via direct assistance in installing energy efficient technologies, assistance with business plan development, and training at technical and managerial level. • Meanwhile one of EaP Green's 3 components concerns demonstration projects within resource efficiency and cleaner production, GPP and organic agriculture. • EaP Green is also assisting in tackling lack of affordable finance for green technology and eco-innovation investments for SMEs. The interest rates for these kinds of investments currently lie at 25%. An OECD expert has been here to discuss financing. EBRD is also working on this issue and aims to provide guarantees for Ukrainian banks to back loans for green innovation. • Economic instruments are currently not used on a wide scale in Ukraine. One exception is the feed-in tariff for renewable electricity which has been successful in promoting wind energy in the country. • On the other hand, in GHG terms, this is more than offset by the huge levels of subsidies for the coal industry driven by a wish to protect the mining jobs in the eastern part of the country and also to prevent an increase in dependence on Russian gas. It has not been possible to confirm whether the EU sees removal of coal subsidies as a priority for Ukraine.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
Has the Network Facility in SWITCH-Asia led to increased awareness of lessons learnt from Grant projects? Has this directly led to scaling up?	Not applicable in Ukraine
Have SWITCH Med and SWITCH Africa Green adopted any lessons learnt from SWITCH-Asia and how has this changed the programmes?	Not applicable in Ukraine
Has the EU any direct or indirect influence over the PAGE and Green Economy and Social and Environmental Entrepreneurship in Africa in Africa programmes?	Not applicable in Ukraine
Have capacity building activities on SEA in Ukraine increased the quality of SEAs?	It seems that there is very little use of SEA in Ukraine and no evidence that the capacity building had any effect. The EUD has no knowledge of these events taking place
Has access to finance for green technologies and eco-innovation become easier during the evaluation period – and are SMEs taking up opportunities to a greater extent?	No evidence of this as yet though the EaP Green project is attempting to address this issue.
Is Extended Producer Responsibility viewed as an economic instrument under EaP GREEN and why?	Not known

Overall desk hypotheses	Evidence from Ukraine's case study
Have SCP priorities been developed under SWITCH-Asia for the region as a whole and for each country? Have these been used when assessing grant applications? Do grant projects reflect these priorities?	Not applicable in Ukraine
Is there any evidence that SCP/RE/Green economy has been mainstreamed into sectoral policies in SWITCH-Asia and EaP countries?	None
When EU standards have been transferred within SWITCH Grant projects what has the adaptation process been? Are there good and bad examples?	Not applicable in Ukraine

5.6 EQ 6: Environmental governance



Context – The support to environmental governance has mostly been channelled via the Special Voluntary Trust Funds under the CBD earmarked to assist transition, developing and small island economies in attending COPs and in implementing the CBD and related Conventions. These Funds are split between the BZ Fund which is earmarked to assist in attending COPs and the BE Fund for assistance on implementing the CBD and preparing for COPs⁷². The EU has directly contributed 234,000 USD to the BZ Fund and 639,000 USD to the BE Fund since 2010⁷³. The value of BZ and BE Fund support allocated to Ukraine is

not known.

<p>EQ 6 Environmental governance <i>To what extent has ENRTP contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) and UNEP-related processes?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> Ukraine has had active representation at almost all relevant MEAs COPs and scientific expert meetings during the evaluation period and has contributed strongly to MEA meeting outcomes using national experience. Participation has been in part financed via the CBD Secretariat, but also by donor countries in the EU. Ukraine has also hosted training events and meetings under MEA. Ukraine has also enjoyed direct support via MEA secretariats for capacity building on policy development and implementation, for example via participation at training sessions and for providing tools and methodologies for developing management plans for Protected Areas. The implementation of the CBD and Carpathian (Kyiv) Convention are progressing well, in part via EU support. There is strong evidence that the skills imparted by UNEP and/or CBD by guidelines and tools and training programmes have been applied in development of national policy, regulations, and national plans/programs. For instance the establishment of law and program for the establishment of a National Ecological Network, development of management plans for protected areas .
<p>JC 61 International institutional framework <i>Extent to which EU support to UNEP and its MEA Secretariats has strengthened the MEA related international institutional framework and processes in relation to biodiversity</i></p>	<p>Findings</p> <ul style="list-style-type: none"> Ukraine has had active representation at almost all relevant MEAs COPs and expert meetings during the evaluation period, in part financed via the CBD Secretariat, under the Special Voluntary Trust Fund but also by donor countries in the EU. Participation has been ensured by appointment of country focal points for the various MEAs. Ukrainian representatives have also been chairs on scientific committees and working groups, and have thus contributed strongly to MEA meeting outcomes using national experience. MENR representatives have also been involved in training, and Ukraine has for example hosted training in wetland protection under the Ramsar convention. Ukraine has also had direct support via MEA secretariats for capacity building on implementation, for example via participation at training sessions and for providing tools and methodologies for developing management plans. The implementation of the CBD and Carpathian (Kyiv) Convention are progressing well, in part via EU support.

⁷² <http://www.cbd.int/convention/parties/contributions.shtml#tab=0>

⁷³ <http://www.cbd.int/convention/parties/contributions.shtml#tab=4>
<http://www.cbd.int/convention/parties/contributions.shtml#tab=5>

<p>JC 62 Greater knowledge <i>Extent to which EU support to UNEP and its MEA Secretariats has improved access to knowledge on biodiversity and biodiversity conservation (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • UNEP-MEA guidelines and activities have directly influenced policy and practice in Ukraine. The State Program and legal requirement for the development of a National Ecological Network have resulted directly from cooperation with UNEP-MEA-Council of Europe
<p>JC 63 Capacity for policy and planning <i>Extent to which EU support to UNEP and its MEA Secretariats has enhanced developing countries' capacity to engage effectively in biodiversity related policy formulation and planning to meet their commitments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There is strong evidence that the skills imparted by UNEP or CBD by officials and stakeholders have being applied in development national policy, regulations, and national plans/programs. For instance the establishment of the law and program for the establishment of a National Ecological Network. Ukraine has also developed a PoWPA Action Plan with CBD Secretariat direct and indirect assistance.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
The EU support for participation in CBD-PoWPA-CITES-Chemicals agreement processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC61, JC62)	This may be true but could not be confirmed
Developing countries have become more organised and vocal at CBD-PoWPA-CITES-Chemicals negotiation processes. (JC61)	Not applicable
The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in CBD-PoWPA-CITES-Chemicals related agreements. (JC61)	Not applicable
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC62)	Not applicable
That the ENRTP support to UNEP- MEA Secretariats under new priority 3.3 and old priority 4 has resulted in (JC63): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national biodiversity policies, NBSAPs, PoWPA (inter-linked to EQ4 on biodiversity).	Yes there is strong evidence that ENEP-MEA support has strengthened national capacity in formulating national biodiversity policy and action. Ukraine has also developed a PoWPA Action Plan with CBD Secretariat direct and indirect assistance.

5.7 EQ 7: Climate governance



Context –Ukrainian climate-related activities have focused on selling Assigned Amount Units (AAU) and engaging in Joint Implementation projects. Ukraine's position at recent UNFCCC COPs have been on negotiating an exception from the Doha amendments, and on the retention of its right to sell AAUs during the second commitment period, a line which goes against the EU's position at COPs.

Ukraine has received considerable assistance in the form of exchanges on expertise on climate modelling in part via inclusion in IPCC working groups, MRV systems, in the scoping of LEDS and sectoral emissions reduction concepts, though such strategies have yet to be adopted. No assistance has been provided by the UNFCCC Secretariat in attending COPs.

<p>EQ 7 Climate governance <i>To what extent has ENRTP contributed to strengthening international climate governance?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • It was reported that the UNFCCC Secretariat hadn't provided money or training for national representatives at UNFCCC COPs, but this could not be confirmed. • The EU has funded Ukrainian NGO participation at COPs and assisted them in applying pressure on the Ukrainian delegation to move closer to the EU line, but with limited success. • The EU has been instrumental in improving climate modelling and scenario-building in Ukraine via formal and informal assistance to the Ukrainian Hydro-meteorological Institute (UHI). This has included technical capacity building, access to models and provision of equipment. This has assisted the UHI in providing input to climate change adaptation programs. • The EU and other donors have provided assistance in improving GHG emissions inventories and MRV systems. However, in some cases this assistance has not as fruitful as could be hoped due to resistance or lack of motivations at parliamentary level. As an example UNDP-drafted MRV legislation did not proceed through Parliament in 2012/13.
<p>JC 71 International institutional framework <i>Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • It was reported that the UNFCCC Secretariat hadn't provided money or training for national representatives at UNFCCC COPs, but this could not be confirmed. • The EU has funded Ukrainian NGO participation at COPs and assisted them in applying pressure on the Ukrainian delegation to move closer to the EU line, but with limited success. •
<p>JC 72 Greater knowledge <i>Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Ukrainian experts from the Ukrainian Hydro-meteorological Institute (UHI) are included in an IPCC working group and thereby contributing to international knowledge on climate change. • EU-funded projects have directly assisted the (UHI) via exchanges of expertise. Other less formal exchanges have been equally important in capacity building of the UHI e.g. provision of access to satellite data and to 15 different climate models. This has significantly assisted the UHI in developing climate models, which have for example been used in mitigation plans for river basins. Further assistance could be provided in the form of access to more advanced climate models.
<p>JC 73 Capacity for policy and planning <i>Extent to which EU support to international entities has enhanced developing countries' capacity to engage effectively in climate change policy formulation and planning to meet their commitments in relation to UNFCCC and new initiatives and/or responding to EU climate initiatives</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The UHI has made projections to assist with climate adaptation for the river Dniester River Basin under the EU 'Climate Change and Security in the Dniester River Basin cross-border cooperation (CBC) project (with Moldova). Similar modelling was carried out for Tsiza River basin – a tributary of the Danube. This modelling has directly made use of exchanges of technical expertise and data from Ispra and other European centres of climate modelling expertise. • In general UHI find that projects and flow of assistance are more effective when they have direct contact with donors, and EU institutions rather than assistance being channelled via MENR. • As noted under EQ2, the EU and other donors have provided considerable assistance in improving GHG emissions inventories and MRV systems. However, in some cases this assistance has not as fruitful as could be hoped due to resistance or lack of motivations at parliamentary level. As an example UNDP-drafted MRV legislation did not proceed through Parliament in 2012/13. Further assistance will be provided under the PMR program but implementation of this is yet to begin (see under JC21) • Ukraine is yet to adopt an LEDS but again capacity has been strengthened via UNDP and EU assistance, which has allowed the central elements of a LEDS to be drafted. (see under JC22).

Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities. (JC71, JC72, JC73)	There is evidence of increased capacity as outlined in the indicator analysis above as a direct result of EU formal and informal assistance. However, no assistance has been provided by UNEP to participate in UNFCCC COPs.
Developing countries have become more organised and vocal at climate negotiation processes. (JC71)	
The needs and priorities of LDCs and SIDSs are increasingly being heard and taken into account in UNFCCC related agreements. (JC71)	Not applicable to Ukraine.
That developing countries can (and do) access new data, knowledge, methodologies, guidelines/manuals, and tools. (JC72)	There is evidence in the form of climate modelling to assist in climate adaptation programmes, and in the improvement of GHG emissions inventories. More assistance from the ENRTP PMR program will further improve MRV. Considerable assistance has also been provided in building capacity for LEDS and NAMA though this has as yet to lead to adoption of an LEDS or NAMA for most sectors.
That the ENRTP support under new priority 3.2 and old priority 4 has resulted in (JC73): Increased awareness among decision-makers at the national level; The national stakeholders applying the skills and knowledge imparted; Good progress in formulating national climate policies, MRVs, NAPAs, NAPs, NAMAs (partly linked to EQ2 – mitigation).	

5.8 EQ 8: Mainstreaming approach



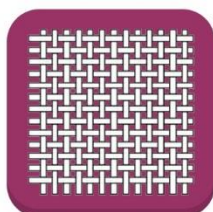
Context – Requirements for SEA and EIA have yet to be fully integrated into Ukrainian law. Nor are comprehensive, or well-disseminated guidelines for SEA, or mainstreaming of environmental considerations into sectoral policy available. Ukraine is being assisted under EaP Green in development of EIA and SEA legislation. With respect to mainstreaming, this has been identified as a key element of EU-Ukraine neighbourhood agreements, and was highlighted in the CSP for the evaluation period, but has not been included in ENRTP or geographic instruments.

<p>EQ 8 Mainstreaming approach <i>To what extent has the EU developed both an appropriate framework and an approach for environmental and climate change mainstreaming in its support to partner countries?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Although identified as an element of the CSP for Ukraine, mainstreaming does not appear to have been prioritised within individual EU interventions in Ukraine, due in part to EUD perception that governmental structures are not yet sufficiently in place to allow mainstreaming • The EUD is not aware of EU mainstreaming tools and methodologies, and no EUD staff in Ukraine have undergone mainstreaming training despite requests. There is no officer in EUD with responsibility for mainstreaming
<p>JC 81 Guidelines and tools <i>Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Although identified as an element of the CSP for Ukraine, mainstreaming does not appear to have been prioritised within individual EU interventions in Ukraine. This is a result of EUD perception that governmental structures are not in place to allow mainstreaming. Ukraine has a very silo-based approach to policy making which does not lend itself to mainstreaming. • The EUD has not been made aware of EU mainstreaming tools and methodologies, and as a result these tools have not been disseminated to national counterparts.
<p>JC 82 Delegation capacity <i>Increased capacity developed within the Delegations to mainstream environment and CC in their operations</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • Ukrainian EUD officers have not been provided with any training in SEA and other mainstreaming tools despite having made this request via Syslog over the past 4-5 years. • No EUD officers have been given the specific role of disseminating and engaging on mainstreaming with national counterparts.

Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
The strategies/policies for environmental and climate change mainstreaming to developing countries are consistent and conducive. (JC81)	Mainstreaming does not seem to have been targeted by EU interventions in Ukraine
Technical support towards Institutional capacity building on Environment and Climate Change mainstreaming has increased Delegation capacity. (JC82)	This hasn't happened in Ukraine
The focus of EU mainstreaming has mainly been from a programmatic point of view, rather than seeking systematically to build national mainstreaming tools and are seen by national counterparts and to some extent Delegations as formal EU requirements rather than important aspects of programming; as a result local ownership of the mainstreaming agenda and results is often low. (JC82)	This is supported by the evidence from Ukraine. Mainstreaming is identified as being of importance in EU neighbourhood agreements with Ukraine, and in the CSP for the evaluation period, but actual direct capacity building has been very limited both within the EUD and national counterparts.

5.9 EQ 9: Mainstreaming practice



Context – Mainstreaming of environmental issues into sectoral policy remains limited in Ukraine and has certainly not been prioritised by national counterparts, despite mainstreaming being highlighted in the European Neighbourhood Plan of Action 2005 and the subsequent EU-Ukraine Association Agreement. One significant hindrance has been the silo approach of sectoral policy making in the country. Use of SEA is also very limited.

<p>EQ 9 Mainstreaming practice</p> <p><i>To what extent has environment and climate change been mainstreamed throughout the programme and project cycle of EU support to a) agriculture and rural development and b) infrastructure?</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • Mainstreaming of environmental considerations into sectoral policy was one of three priorities identified under the theme of Sustainable Development in the EU-Ukraine Neighbourhood Plan of Action 2005. This is further reinforced by a commitment to mainstreaming in the later Association Agreement. • Ukraine's Country Environmental Profile (CEP) is included as brief Annex in the CSP. Mainstreaming is mentioned but is not identified as a priority for EU intervention in the CEP. The national Environment Strategy 2011-2020 whose implementation has been supported by an SBS, includes a Strategic Objective on integrating environmental policy into all other policy areas. However, this has been inhibited by lack of response by other ministries to MENR requests. • SEA and EIA legislation have been developed with assistance from donors but has not progressed through Parliament for several years. There are very few examples of SEA having been used voluntarily. The EaP Green project is attempting to drive SEA and EIA forward in the country but was still at an early stage by end 2013. • The only sectors where EU assistance highlights mainstreaming is in Energy and Water. EU assistance in implementation of the Transport Strategy includes no mainstreaming provisions.
<p>JC 91 Incorporation in design</p> <p><i>Extent to which mainstreaming provisions have been incorporated in the design of EU support to the agriculture and rural development sector and infrastructure sector in project and sector budget support modalities (throughout the programme cycle)</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The EU-Ukraine Neighbourhood Plan of Action 2005 includes mainstreaming of environmental considerations into sectoral policy as one of three priorities identified under the theme of Sustainable Development in the Action Plan • Ukraine's CEP is included as an Annex in the CSP. The CEP is very brief at just 3 pages. Mainstreaming is mentioned – noting that at the time (2007) there was a draft law aimed at integrating environmental considerations into all sectoral policies. This ended in the Ukrainian Environmental Strategy 2011-2020 (ES), which includes a Strategic Objective on integrating environmental policy into all other policy areas. This has been included as part of SBS support for implementation of the ES, but has been difficult for MENR to implement due to lack of inter-ministerial cooperation. • SEA and EIA legislation have been developed with assistance from EU. However, legislation has shown little progress through Parliament for several years. There are very few examples of SEA having been used

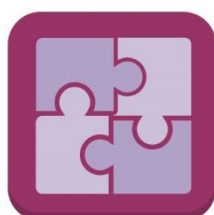
	<p>voluntarily when developing sectoral/regional/municipal strategies. The EaP Green project is attempting to drive SEA and EIA forward in the country but was still at an early stage by end 2013. Moreover, the Association Agreement signed in June 2014 prioritises adoption of SEA and EIA legislation.</p> <ul style="list-style-type: none"> • EU assistance in implementation of the Transport Strategy at a value of 65 million Euro does not include integration of environmental concerns into national transport planning/policy as a priority. In fact environmental protection within transport planning is not named. Nor are any environmentally related indicators included in the SBS monitoring plan. • The only sector where EU assistance highlights mainstreaming is in Energy and Water. SBSs for assisting on the implementation of the Energy Strategy, and the SBS for assisting on implementation of the Strategy on EE and RES, include air pollution control and climate considerations as central elements and goals. 2011 and 2012 saw two important water management laws adopted which approximate to a number of relevant EU Directives
<p>JC 92 Incorporation in implementation <i>Extent to which the policy dialogue with partner governments and sector stakeholders and other elements of environmental mainstreaming have promoted the integration of environment and climate change in the agriculture and rural development sector and infrastructure sector</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • The CEP made no recommendations with respect to mainstreaming, beyond referring to a mainstreaming action within the 2004 EU-Ukraine Action Plan. Moreover there is limited mainstreaming knowledge and capacity in EUD. Mainstreaming has therefore not been prioritised in EUD dialogues with MENR. • The national Environment Strategy 2011-2020 (ES) whose implementation has been supported by an SBS, includes a Strategic Objective on integrating environmental policy into all other policy areas (Objective 4). This includes energy, transport, industry, agriculture, construction and public services. However, this appears not to have been pursued to any great extent, and where attempts have been made by MENR to pursue this, other ministries have not actively responded to these requests. • The SBS support included a rather ambitious strategy that by end 2011, sectoral programmes fully compliant with the ES had been adopted. This objective was not achieved and mainstreaming of environmental concerns into sectoral policies remains weak in most sectors (with exception of water and energy) • However, NGOs report that the Ministry of Energy and Agriculture are beginning to open up to mainstreaming activities in their sectoral policies

Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
Policy dialogue can lead to mainstreaming of environment and climate change in national policies and be reflected in the national institutional arrangements;	This hypothesis can not be supported or opposed by Ukrainian experiences, since no policy dialogue appears to have been carried out with respect to mainstreaming, at least between EUD and ministries.
The development of specific CEPs have led to more awareness and consideration for the environment and CC by the EUDs and partner countries;	No, the Ukrainian CEP did not highlight mainstreaming as a goal for the CSP period.
An increase (2007-2013) in agro-infrastructure programmes/projects where sustainable development, environment and climate change are stated in objectives/outcomes, is evidence that EU has improved mainstreaming of environment and cc;	No. As far as we understand there have been no agro-infrastructure programmes/projects in Ukraine that demonstrate mainstreaming of environment and climate change
When stated in objectives/outcomes (sustainable development, environment and climate change), they lead to successful implementation in the field and produce tangible results in terms of environmental indicators (reduction of CO2 etc.).	No. Mainstreaming is very weak in Ukraine despite this being named as a priority in the CSP, EU-Ukraine Association Agreement and in Ukraine's own Environment Strategy from 2011. This may be a result of a lack of inclusion of mainstreaming at the practical level within individual EU-supported projects.

	Ukraine field answers	
Sectors	Infrastructure (answers also include SBS for Ukraine Environment Strategy)	Agriculture and rural development
SPSP/SBS (Y/N)	Yes	No
I 911		
Has CEP been prepared? (Y/N)	Yes, a short 3 page CEP was included as an annex to the CSP	
Good Quality CEP? (Y/N)	OK but brief. It mostly refers to environmental priorities identified in the EU-Ukraine Neighbourhood Plan of Action	
I 912		
SEA screening done for SPSP? (Y/N)	Not known	
SEA found necessary? (Y/N)	Not known	
SEA done for SPSP? (Y/N)	No	
Env screening/ EIA/CC risk screening done for projects? (Y/N)	Not known	
I-913		
SPSP support policy reform? (Y/N), if yes:	Yes (in many areas)	
Does it promote mainstreaming? (Y/N)	Yes	
As general statement or concrete measures? (GS/CM)	CM	
SPSP require env/cc indicators (Y/N)	No	
SPSP call for env and CC items in sector budget? (Y/N)	Yes	
I-921		
Does CSP reflect CEP recommendations? (Y/N)	No	
If not, is an explanation provided? (Y/N)	No	
I 922		
Were SEA indicators monitored? (Y/N)	na	
Were SEA recommendations implemented? (Y/N)	na	
Were EIA indicators monitored? (Y/N)	na	
If yes, did they show improvements? (Y/N)	na	
Were EIA recommendations implemented? (Y/N)	na	
I-923		
Is policy dialogue addressing env and CC? (Y/N)	Yes	
Are policy reform measures for env and CC implemented? (Y/N)	Some	
Are env and CC indicators reported on? (Y/N)	Yes	
Is EU asking for data on env and CC indicators? (Y/N)	Yes	
Are there env and CC items in sector budget? (Y/N)	Yes	
Evidence that EU promoted env and CC budget items? (Y/N)	Yes	

5.10 EQ 10: Complementarity



Context – The EU support provided for environment in Ukraine is provided through both EN RTP and geographic instruments. By volume, the support under geographic instruments is far more significant. The support under the two instruments is mostly provided for topics with limited overlap. EN RTP support has in some cases been through multi-country projects implemented by international organisations, i.e. in the case of PMR via the World Bank.

There are many donors that are active in environment and climate areas in Ukraine including the EU, individual EU countries, in particular Sweden, Netherlands and Germany, GEF, USAID, Switzerland, the World Bank and the EBRD. The EU is the biggest donor. The various donors tend to have a good cooperation to avoid overlapping projects and priorities and to ensure complementarity as far as possible.

<p>EQ10 Complementarity <i>To what extent has EU used its available instruments in a way that enhances complementarity in support of the overall EU goals of a healthy environment, sound natural resource management and strong environmental and climate governance in developing countries?)</i></p>	<p>Main findings</p> <ul style="list-style-type: none"> • ENRTP interventions in Ukraine have tended to focus on cross border or potentially cross-border issues such as support to management of habitats, river basins etc. i.e. Steppe habitats, the Danube, the Black Sea, the Tzisa river basin etc. • Geographic instruments have focused more on assisting or kick-starting existing national programmes/strategies in environment, energy efficiency etc. • ENRTP interventions have been criticised for following a one-size fits all approach, which may not be suited to existing systems and institutional structures. • On the other hand geographical instruments can suffer from lack of capacity within the EUD for driving these instruments towards common EU and national priorities. Geographic instruments are also limited in their ability to tackle cross-border environmental issues such as some key wildlife areas and river basins that Ukraine shares with neighbouring countries. • Few examples could be found of where geographic and ENRTP have supported one another, but mostly due to a lack of overlapping theme areas. The PMR ENRTP instrument has however gained from earlier work carried out other donors in Ukraine including EU geographic instruments in improving GHG emissions inventories.
<p>JC 101 Uniqueness and relevance of ENRTP instrument <i>ENRTP has enabled the EU to address environment and climate change issues, which could/would not have been better, or equally well, addressed through its geographical instruments</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • ENRTP interventions in Ukraine have tended to focus on cross border or potentially cross-border issues such as support to management of habitats, river basins etc. i.e. Steppe habitats, the Danube, the Black Sea, the Tzisa river basin etc. • These would otherwise have been difficult to address via geographic instruments. Ukraine has many examples of key wildlife areas and river basins that Ukraine shares with neighbouring countries, which make such ENRTP instruments of great importance. • Geographic instruments have focused more on assisting or kick-starting existing national programmes/strategies in environment, energy efficiency etc. • ENRTP interventions have been criticised for following a one-size fits all approach, which may not be suited to existing systems and institutional structures. On the other hand geographical instruments can suffer from lack of capacity within the EUD for driving these instruments towards common EU and national priorities. National priorities in some cases do not reflect EU interests. An example of the latter, is the use of part of the SBS on assistance on implementation of energy efficiency strategies, for giving economic incentives to households to replace natural gas-based heating systems with other types of systems including heating using electricity, oil or even coal. This is in the interests of reducing Ukrainian dependence on Russian gas but is directly counter-productive to energy efficiency.
<p>JC 102 Synergies – ENRTP and Geographic instrument <i>Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • There are few examples of synergies in Ukraine due to the different types of themes addressed by ENRTP and geographic instruments. The PMR ENRTP instrument has however gained from earlier work carried out other donors including EU geographic instruments e.g. the SBS instrument supporting the implementation of the Ukrainian Environment Strategy, which includes goals to improve GHG emissions inventories. However, such examples are fairly limited.
<p>JC 103 Synergies – ENRTP and other donors <i>Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other</i></p>	<p>Findings</p> <ul style="list-style-type: none"> • In general there is effective cooperation between the EU and other donors and actors to ensure that interventions compliment and support one another, rather than overlapping or conflicting. • The EU is the largest donor in the Ukraine and therefore all other donors tend to consult with EUD when developing their assistance programmes. This consultation takes place via formal and informal donor meetings. • Moreover, some donors include a formal evaluation of the complementarity of their activities with EU and other donors' activities, as part of their impact evaluations of new work programmes. • MENR and other beneficiaries are less often invited to donor coordination meetings. This could further improve the degree of coordination and integration of interventions and national work

	<p>programmes.</p> <ul style="list-style-type: none"> The Ukrainian Partnership for Market readiness (PMR) activities in the country to some extent appear to build on earlier geographic instruments, e.g. a UNDP project funded by Germany on capacity building on low carbon growth which included developing a roadmap for Emissions Trading Scheme for the country; and an EBRD funded project on preparing for emissions trading (PETER). Both of these projects began in 2012.
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Summary of hypotheses

Overall desk hypotheses	Evidence from Ukraine's case study
ENRTP adds value in different ways: a) It enables support for global process; b) it allows EC to engage in important global environmental issues that cannot be tackled at the national level; c) it generates innovations and new approaches and knowledge; and d) it enables EU to engage in important environmental issues in countries where this is not possible under geographic instruments, albeit at a much lower scale. (JC101)	<p>a) Yes – to a certain extent. The PMR project will assist Ukraine in reporting to UNFCCC and to reduce GHG emissions via for example ETS</p> <p>b) Not specifically</p> <p>c) Yes but not necessarily more so than geographic instruments</p> <p>d) Very much – Ukraine shares key important wildlife areas/habitats and river basins with neighbouring countries. These can best be protected via ENRTP rather than geographic instruments.</p>
There are sometimes overlaps in the types of actions financed by ENRTP and geographic instruments. (JC101)	Yes but these overlaps have mostly been limited to overlaps between PMR and some other donor interventions including EU geographic instruments
Complementarity between actions under ENRTP and geographic instruments has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, a number of actions do take advantage of complementarities. (JC102)	No specific examples of such complementarity have been found
Due to the global and catalytic focus on ENRTP, it is more common that ENRTP provides benefits to geographical actions than vice-versa. (JC102)	No evidence of this
Complementarity between ENRTP actions and actions of other donors has with the exception of some notable examples (e.g. FLEGT) not been taken advantage of in a systematic manner. Nonetheless, some actions do take advantage of complementarities. (JC103)	This may be true to some extent. There is close cooperation between other donors and the EUD in ensuring complementarity between geographic instruments and the work of other donors. EUD cannot determine activities under ENRTP projects but they can inform other donors of ENRTP planned activities provided that they themselves have been informed. Some evidence of this was found.
It is difficult in practical terms to effectively pursue complementarity between actions under different instruments and even more so with other donors. Better coordination and strengthened guidance to delegations could help enhancing complementarity. (JC102 and JC103)	This could certainly be true with respect to ensuring complementarity between ENRTP and other instruments including those of other donors

6 Annexes

6.1 Annex 1: List of people interviewed

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
Andriy Parinov	Embassy of Sweden in Kyiv	Program Officer, Development Cooperation	Ukraine
Grygoryi Parchuk	Ministry of Environment and Natural Resources of Ukraine (MENR)	Head of Division, Department of Protected Areas	Ukraine
Igor Ivanenko	MENR, RAMSAR and Bern Convention National Focal Point	Director, Department of Protected Areas	Ukraine
Irina Tolkachova	SAEI	Chief Specialist	Ukraine
Iryna Stavchuk	NGO National Ecological Centre of Ukraine	Climate Change Campaign Leader	Ukraine
Ivan Ivanets	MENR	Head, International Cooperation Division, Department of Legal and International Matters	Ukraine
Jean-François Moret	EU Delegation in Kyiv	Environment and Infrastructure Section	Ukraine
Leonid Portsenko	Council of Europe Projects in Ukraine	Director, Charity Fund InterEcoCentre, Implementer of GEF	Ukraine
Maria Storchylo	NGO National Ecological Centre of Ukraine	Climate Change Campaign Leader	Ukraine
Mykhailo Chizhenko	SAEI	Chief Specialist	Ukraine
Natalia Trofimenko	MENR (National Coordinator Clima East)	Head, Strategic Planning Division	Ukraine
Oleg Dudkin	Ukrainian Society for Birds Protection	President, Team Leader, Project Enhanced Economic & Legal Tools for Steppe Biodiversity Conservation and Climate Change Adaptation and Mitigation	Ukraine
Oleksandr Bondar	State Ecological Academy of Post-Graduate Education and Management	Rector	Ukraine
Oleksandr Klitko	EU Delegation, Ukraine, Kyiv	Environment and Infrastructure Section	Ukraine
Olena Balbekova	MENR	Advisor to the Minister	Ukraine
Olena Teliuk	Ministry of Economy, Trade and Development of Ukraine	Chief Specialist, EU Cooperation	Ukraine
Olexiy Yaroshevich	MENR	Team Leader, Project Complementary EU Support to the Ministry of Environment of Ukraine for the SBS Implementation	Ukraine
Oxana Demkiv	Minister of Environment	Technical Assistance Advisor	Ukraine
Oxana Dobrovolska	MENR	Chief Specialist, Ecosafety and Econetwork Division, Department of the Natural Resources Protection	Ukraine
Oxana Tarasova	MENR	Advisor to the Minister of Ecology and Natural Resources (2010-2014), Former Pollution Monitoring Officer of the Black Sea Commission (Istanbul)	Ukraine
Pavlo Kartashov	State Agency of Environmental Investments (SAEI)	Director, Department of International Cooperation, Joint Implementation and GG Inventory	Ukraine
Sergiy Kurykin	MENR	Advisor to the Minister, former Minister,	Ukraine
Sergiy Gubar	MENR	Deputy Director, Department of the Natural Resources Protection, CBD / Cartagena Protocol National Focal	Ukraine

<i>Name</i>	<i>Institution</i>	<i>Unit / Position</i>	<i>Where</i>
		Point	
Svitlana Karpyshyna	State Agency on Energy Efficiency and Energy Saving of Ukraine	Deputy Head, International and Investment Policy Department	Ukraine
Valentina Slivinska	State Center of GG Registration	Director	Ukraine
Vanda Baranovska	State Ecological Academy of Post-Graduate Education and Management	Pro-Rector	Ukraine
Vasyl Kostiusyn	EMBLAS Project (EU funded)	Manager	Ukraine
Vasyl Tolkachov	UNDP	Programme Officer, Manager ClimateEast Project	Ukraine
Volodymyr Domashlinets	MENR, CITES and ACCOBAMS National Focal Point	Head, Animal Protection Division, Department of the Natural Resources Protection	Ukraine
Volodymyr Osadchyi	IPCC National Focal Point	Director, Ukrainian Research Hydrometeorological Institute	Ukraine
Yaroslav Movchan		former Deputy Minister of Environment, 1993 – 2006	Ukraine
Yuriy Nabyvanets	Ukrainian Research Hydrometeorological Institute	Deputy Director	Ukraine
Zoriana Mishchuk	NGO MAMA-86	Director, Manager of the Project Building environmental democracy in Ukraine	Ukraine

6.2 Annex 2: List of documents consulted

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6.3 Annex 3: List of the projects and programmes specifically considered

<i>Category</i>	<i>Decision</i>	<i>Title</i>	<i>Financial volume in EUR</i>
Non ENRTP	ENPI/2008/019-595	Support to the implementation of Ukraine's strategy in the area of energy efficiency and renewable sources of energy	68 100 358
Non ENRTP	ENPI/2007/018-788	Support to the implementation of Ukraine's energy policy	72 551 572
Non ENRTP	ENPI/2009/020-398	Support to the implementation of an Environmental Strategy in Ukraine	35 000 000
ENRTP	DCI-ENV/2008/149-825	Support for the implementation of the Convention on Biological Diversity (CBD)'s Programme of Work on Protected Areas in the EU Neighbourhood Policy East Area and Russia	1 484 000
ENRTP	DCI-ENV/2012/024-588 DCI-ENV/2010/022-913	Partnership For Market Readiness (PMR) (World Bank)	
ENRTP	DCI-ENV/2009/020-656	Integrating Climate Change into Vulnerable Ecosystems Management: natural parks in wetlands and forest areas (Ukraine)	798 125
ENRTP	DCI-ENV/2009/020-656	Enhanced Economic & Legal Tools for Steppe Biodiversity Conservation and Climate Change Adaptation and Mitigation ("Steppe Biodiversity")	1 447 305
Non ENRTP	ENPI/2009/021-364	Twinning/Technical Assistance	16 000 000
Non ENRTP	ENPI/2009/020-399	Support to the Implementation of the transport strategy of Ukraine	65 000 000