



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
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The opinions expressed in this document represent the authors' points of view
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Thematic global evaluation of the EU support to environment and climate change in third countries (2007-2013)

Final Report

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List of acronyms and abbreviations

AAP	Annual Action Programme
AAU	Assigned Amount Units
ABS	Access and Benefit Sharing
ACP	African, Caribbean and Pacific countries
AEEP	Africa-EU Energy Partnership
AEWA	African-Eurasian Migratory Water Bird Agreement
AF	Action Fiche
AFD	Agence Française de Développement
AHJWG	Ad hoc Joint Working Group
AMCEN	African Ministerial Conference on the Environment
AOSIS	Alliance of Small Island States
ARSCP	African Roundtable on Sustainable Consumption and Production
ASAL	Arid and Semi-Arid Lands
ASEAN	Association of Southeast Asian Nations
ASEM	Asia-Europe Meeting
ATM	Air Traffic Management
AU	African Union
BASIC	Brasil, South Africa, India, China
BDS	Business Development Services
BIOPAMA	Biodiversity and Protected Areas Management Programme
BIP	Biodiversity Indicators Partnership
BON	Biodiversity Observation Network
BRIC	Brasil, Russia, India, China
CAF	Cancun Adaptation Framework
CB	Capacity Building
CBC	Cross-Border Cooperation
CBD	Convention on Biological Diversity
CBT	Community-Based Trainers
CC	Climate Change
CCA	Climate Change Adaptation
CCCR	Carbon Cities Climate Registry
CCM	Climate Change Management
CCS	Carbon Capture & Storage
CCT	Clean Carbon Technology
CDM	Clean Development Mechanism
CEA	Country Environment Assessment
CELAC	Community of Latin America and Caribbean states
CEP	Country Environmental Profile
CEPF	Critical Ecosystem Partners Fund
CG	Coordination Group
CGEI	Consultative Group of Experts
CIAO	Cooperation, Interoperability, Architecture, and Ontology
CITES	Convention for International Trade of Endangered Species
CLCDS	Colombian Low Carbon Development Strategy
CM	Concrete Measure

CMS	Convention on Migratory Species
COM	Communication of the European Commission
COMIFAC	Central African Forest Commission
COP	Conference of Parties
CP	Cleaner Production
CRA	Climate Risk Assessment
CRE	Clean and Renewable Energy
CREAM	Community organisation for Rural Enterprise Activity Management
CREMA	Community Resources Management Area
CRF	Common Reporting Format
CRIS	Common RELEX Information System
CSI	Corporate Social Investment
CSO	Civil Society Organisation
CSP	Country Strategy Paper
CSR	Country Strategy Review
CTF	Common Tabular Format
DCI	Development Co-operation Instrument
DC	Developing Country
DFID	Department for International Development UK
DG	Directorate-General
DG CLIMA	Directorate-General for Climate Action
DG DEVCO	Directorate-General for International Co-operation and Development
DG ENER	EU Directorate-General for Energy
DG ENV	EU Directorate-General for the Environment
DG RELEX	EU Directorate-General for External Relations
DNA	Designated National Authority
DOPA	Digital Observatory for Protected Areas
DRC	Democratic Republic of Congo
DRR	Disaster Risk Reduction
DTIE	UNEP's Division of Technology, Industry and Economics
DTU	Technical University of Denmark
EA	Expected Accomplishments
EAMR	External Assistance Management Report
EaP	Eastern Partnership
EAP	Eastern Partnership
EBRD	European Bank for Reconstruction and Development
EBSA	Ecologically or Biologically Significant marine Areas
EC	European Commission
ECBP	Environmental Capacity Building Programme
ECD	European Consensus on Development
ECE	Economic Commission for Europe
ECN	Energy Research Center of the Netherlands
ECOFAC	EU Conservation and sustainable management of Central Africa's forests programme (Ecosystèmes Forestiers en Afrique Centrale)
ECOWAS	Economic Community of West African States
EDF	European Development Fund
EEAS	European External Action Service

EEC	European Economic Community
EFI	European Forestry Institute
EG	Environmental Governance
EI	Energy Institute
EIA	Environmental Impact Assessment
EIB	European Investment Bank
EIF	European Investment Fund
EMAS	Eco-Management and Audit Scheme
EMG	Environmental Management Group
EMP	Environmental Management Plan
ENP	European Neighbourhood Policy
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy
ENVSEC	Environment and Security Initiative
EPA	Environmental Protection Authority
EPAP	European Platform Against Poverty and Social Exclusion
EPR	Extended Producer Responsibility
EPS	Ecosystem Services Partnership
EPU	Economic Planning Unit
EQ	Evaluation question
ESCO	Energy Services Company
ESG	Environmental, Social and Governance
ETS	Emissions Trading Schemes
EU	European Union
EUD	European Union Delegation
EUEI	EU Energy Initiative
EUR	Euro
EuropeAid	Directorate General International Cooperation and Development
EUWI	EU Water Initiative
ExCOP	Extraordinary Conference of the Parties
FAO	Food and Agriculture Organisation
FAS	Focal Area Set
FERN	Food and Environment Reporting Network
FLEGT	Forest Law Enforcement, Governance and Trade
FSC	Forest Stewardship certification
FSF	Fast-Start Finance
GA	General Assembly
GBIF	Global Biodiversity Information Facility
GBO	Global Biodiversity Outlook Report
GBS	General Budget Support
GCC	Global Climate Change
GCCA	Global Climate Change Alliance
GCF	Green Climate Fund
GCSS	Special Session of the Governing Council
GDN	Green Diplomacy Network
GDP	Gross Domestic Product

GE-AS	Green Economy Advisory Services
GEEREF	Global Energy Efficiency Renewable Energy Fund
GEF	Global Environment Facility
GEO BON	Group on Earth Observations Biodiversity Observation Network
GEOSS	Global Earth Observation System of Systems
GEREEF	Global Energy Efficiency and Renewable Energy Fund
GERIAP	Greenhouse Gas emission Reduction from Industry in Asia and the Pacific
GGCA	Global Gender & Climate Alliance
GHG	Green House Gases
GIRAF	Governance Initiative for Rights & Accountability in Forest Management
GIS	Geographic Information System
GIZ	Gesellschaft für Internationale Zusammenarbeit
GmbH	Gesellschaft mit beschränkter Haftung
GMEF	Global Ministerial Environment Forum
GMGSF	Scientific and Technological Community, Women, and Workers and Trade Unions
GOB	Government of Belize
GOC	Government of China
GOG	Government of Ghana
GOK	Government of Kenya
GoR	Government of Rwanda
GPP	Green Public Procurement
GREEN	Greening Economies in the Eastern Neighbourhood
GS	General Statement
GSF	Guiana Shield Facility
GSGDA	Ghana Shared Growth and Development Agenda
GSP	Global Sustainability Panel
GTZ	Gesellschaft für Technische Zusammenarbeit
HLM	High-Level Meeting
HQ	Headquarters
IAS	Institute for the Advanced Study of Sustainability
ICARE	China-EU Institute for Clean and Renewable Energy
ICCA	Initiative for Climate Change Adaptation
ICCN	Institut congolais de conservation de la nature
ICCWC	International Consortium on Combating Wildlife Crime
ICLEI	International Council for Local Environmental Initiatives (Local Governments for Sustainability)
ICMBio	Instituto Chico Mendes de Conservação da Biodiversidade
ICNP	Intergovernmental Committee for the Nagoya Protocol on Access and Benefit-Sharing
ICT	Information and Communications Technology
IDDRI	Institut du Développement Durable et des Relations Internationales
IEG	International Environment Governance
IFC	International Finance Cooperation
IFI	International Financing Institution
IGO	Intergovernmental Organisations
IISD	International Institute for Sustainable Development
IKM	MEA Information and Knowledge Management Initiative
ILO	International Labour Organization

INECE	International Network on Environmental Compliance and Enforcement
InforMEA	United Nations Information Portal on Multilateral Environmental Agreements
INRM	Integrated Natural Resources Management
INTERPOL	International Criminal Police Organization
IPBES	International Platform on Biodiversity & Ecosystem Services
IPCC	Intergovernmental Panel on Climate Change
IPP	Independent Power Producer
IRP	International Resource Panel
ISO	International Organization for Standardization
ITL	UNFCCC's International Transaction Log
ITTO	International Tropical Timber Organization
IUCN	International Union for Conservation of Nature
IWRM	Integrated Water Resources Management
JC	Judgment Criterion
JMA	Joint Mitigation and Adaptation Mechanism for Integrated and Sustainable Management of Forests
JRC	Joint Research Centre
JSP	Joint Support Programme
KfW	Kreditanstalt für Wiederaufbau
LA	Latin America
LAC	Latin American Countries
LAPA	Local Adaptation Plan for Action
LCA	Local Climate Action
LCAP	Local Climate Action Plan
LCEB	Low Carbon Emission Buses
LCM	Low Carbon Market
LDCs	Least Developed Countries
LDCF	Least Developed Countries Fund
LECB	Low Emission Capacity Development
LECBP	Low Emission Capacity Building Programme
LEDS	Low Emission Development Strategies
LEG	LDC Expert Group
LTR	Land Tenure Regularisation
MAP	Mitigating Action Plan
MDG	Millennium Development Goal
MDGs	Millennium Development Goals
MEA	Multilateral Environmental Agreement
MEPU	Mauritius' Ministry of Energy and Public Utilities
MEW	Ministry for Environment and Water
MIKE	Monitoring Illegal Killing of Elephants
MINAGRI	Ministry of Agriculture and Animal Resources
MINECOFIN	Ministry of Finance and Economic Planning of Rwanda
MINIRENA	Ministry of Natural Resources of Rwanda
MIP	Multi-annual Indicative Programme
MMA	Ministério do Meio Ambiente
MONEV	Monitoring and Evaluation system
MOT	Ministry of Transport

MoTC	Ministry of Transport and Communication
MoU	Memorandum of Understanding
MRP	Market Readiness Proposal
MRV	Monitor, Verify and Report
MRV	Monitor, Verify and Report
MTEF	Medium Term Expenditure Framework
MTR	Mid-Term Review
MW	Megawatt
MWH	Megawatt Hours
NAMA	Nationally-Appropriate Mitigating Action
NAP	National Action Plan
NAPA	National Adaptation Plan of Action
NASA	National Aeronautics and Space Administration
NBOs	National Biodiversity Observatory
NBSAP	National Biodiversity Strategies and Action Plans
NCCP	National Climate Change Programme
NEA	National Energy Administration
NEAP	National Environmental Action Plan
NEPAD	New Partnership for Africa's Development of African Union
NGO	Non-Governmental Organisation
NIF	Neighbourhood Investment Facility
NIP	National Indicative Programme
NP	National Park
NPIF	Nagoya Protocol Implementation Fund
NR	National Report
NREG	Natural Resource and Environmental Governance
NRM	Natural Resource Management
NSC	National Steering Committee
NWFP	North-West Frontier Province
OARE	Online Access to Research in the Environment
OCT	Overseas Countries and Territories
ODA	Official Development Assistance
ODI	Overseas Development Institute
OECD	Organisation for Economic Co-operation and Development
OFAC	Central African Observatory on Forests
PA	Protected Areas
PACSBIO	Programa de Apoyo a la Conservación Sostenible de la Biodiversidad (Support Programme for Sustainable Biodiversity Conservation)
PADP	Protected Areas Development Project
PAGE	Partnership for Action on Green Economy
PAs	Protected Areas
PBCCA	Performance-based Climate Change Adaptation
PCS	Policy Support Component
PDF	Philippines Development Forum
PEER	Public Environmental Expenditure Review
PEI	Poverty and Environment Initiative
PFM	Public Finance Management

PMO	Prime Ministers' Office
PMR	Programme for Market Readiness
PoWPA	Programme of Work in Protected Areas
PPCM	Project and Programme Cycle Management
PPP	Public-Private Partnership
PRSP	Poverty Reduction Strategy Papers
PSC	Policy Support Component
PWEPL	PWEPL has already acquired alternate land for the rehabilitation of affected
QSG	Quality Support Group
RAD	Provincial Action Plan
RAN	Indonesian National Action Plan
RAN-GRK	National Action Plan on GHG Emission Reduction (Rencana Aksi Nasional penurunan emisi Gas Rumah Kaca)
RAPAC	Network of Protected Areas of Central Africa
RBSAPs	Regional Biodiversity Strategies and Action Plans
RD	Rural Development
REAF	Renewable Energy Asia Fund
REC	Regional Environmental Centre
RECP	Africa-EU Renewable Energy Cooperation Programme
REDD	Reducing Emissions from Deforestation and Forest Degradation
REDPARQUE S	Red Latinoamericana de Cooperación Técnica en Parques Nacionales, otras Áreas Protegidas, Flora y Fauna Silvestres
REEDTE	Resource Efficiency and Eco-Innovation in Developing and Transition Economies
REIPPPP	Renewable Energy Independent Power Producer Procurement Programme
REMA	Rwanda Environment Management Authority
REP	Regional Environmental Profile
RF	Regional Fund
RFSF	Regional Funds Support Facility
RGP	Rural Growth Programme
RNR	Renewable Natural Resources
RoHS	Restriction of Hazardous Substances
ROM	Results Oriented Monitoring
RSPB	Royal Society for the Protection of Birds
RSP	Regional Strategy Paper
SAARC	South Asian Association for Regional Co-operation
SAR	Special Administrative Region
SBA	Societal Benefit Area
SBI	Subsidiary Body for Implementation
SBS	Sector Budget Support
SBSAP	Subnational Biodiversity Strategies and Action Plan
SBSTA	Subsidiary Body for Scientific and Technological Advice
SBSTTA	Subsidiary Body on Scientific, Technical, and Technological Advice
SCA	Strategic Co-operation Agreement
SCAF	Seed Capital Assistance Facility
SCCF	Special Climate Change Fund
SCP	Sustainable Consumption and Production
SDC	Swiss Agency for Development and Cooperation

SDG	Sustainable Development Goal
SDS	Sustainable Development Strategies
SEA	Strategic Environmental Assessment
SEED	Social and Environmental Entrepreneurship Development
SEIA	Social-Environmental Impact Assessments
SEIS	Shared Environmental Information System
SEMS	Social and Environmental Management System
SERNAP	Servicio Nacional de Áreas Protegidas
SGA	Sub-Global Assessment
SIDA	Swedish International Development Cooperation
SIDS	Small Island Developing States
SME	Small and Medium-sized Enterprise
SMTDP	Sector Medium Term Development Plan
SNAP	Servicio Nacional de Areas Protegidas
SNV	Netherlands Development Organisation
SoE	State of the Environment
SPAT	(Rwandan) Strategic Plan for Agricultural Transformation
SPREP	Secretariat of the Pacific Regional Environment Programme
SPSP	Sector Policy Support Programme
SRD	Rural Development Support
STAR	System for a Transparent Allocation of Resources
SWAp	Sector-Wide Approach
TA	Technical Assistance
TACIS	Technical Assistance to the Commonwealth of Independent States
TAIEX	Technical Assistance Information Exchange Instrument
TC	Technical Committee
TEC	Technology Executive Committee
TEEB	The Economics of Ecosystems and Biodiversity
TGE	(Bolivian) National Treasury
TIGP	Transport Integration Plan
ToR	Terms of Reference
TSPSP	Transport Sector Policy Support Programme
TWIX	European Union Trade in Wildlife Information eXchange
UCLG	United Council of Local Governments
UHI	Ukrainian Hydro-meteorological Institute
UK	United Kingdom
UN	United Nations
UNCCD	UN Convention to Combat Desertification
UNCED	UN Conference on Environment and Development
UNDAF	Development Assistance Framework
UNDESA	UN Department of Economic and Social Affairs
UNDP	UN Development Programme
UNEA	UN Environment Assembly
UNECE	UN Economic Commission for Europe
UNEP	UN Environment Programme
UNESCO	UN Educational, Scientific and Cultural Organization

UNFCC	UN Framework Convention on Climate Change
UNFCCC	UN Framework Convention on Climate Change
UNHabitat	UN Human Settlements Programme
UNIDO	UN Industrial Development Organization
UNITAR	UN Institute for Training and Research
UNU	UN University
URBAN-LEDS	Urban Low Emissions Development Strategy
US	United States of America
USA	United States of America
USAID	United States Agency for International Development
USD	US Dollar
VAT	Value-Added Tax
VPA	Voluntary Partner Agreement
VSLA	Village Savings and Loan Associations
WASH	Water, Sanitation and Hygiene
WAVES	Wealth Accounting and the Valuation of Ecosystem Services
WB	World Bank
WCMC	World Conservation Monitoring Centre
WDPA	World Data Base on Protected Areas
WEEE	Waste of Electrical and Electronic Equipment
WFD	Water Framework Directive
WGRI	Working Group on the Review of Implementation of the Convention
WHS	World Heritage Sites
WMO	World Meteorological Organisation
WRI	World Resources Institute
WWF	World Wide Fund for Nature
ZAR	Rand (South Africa's currency)

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

1 EQ 1: Policy & instruments



To what extent has EU support to environment and climate change across different instruments (geographic and thematic) contributed to the EU's overall environment and climate change policy aims?

Rationale

The question evaluates at an overall level the extent of EU policy and actual support to environment and climate change and seeks to understand if this support i) has been sufficient to achieve the EU policy aims and ii) has been implemented using modalities and approaches that have increased the likelihood that EU policy objectives have been achieved.

The rationale for selecting this area for an evaluation question is that the evaluation and inventory of EU support to environment and climate change:

- Gives an opportunity to reflect over the scope and reach of EU development policy in relation to environment and climate change and its influence in the international scene;
- Gives an opportunity to consider whether the volume of support and the modalities and instruments have been sufficient or likely to be sufficient to reach the EU policy aims;
- Is likely to provide insights that could be relevant for the formulation of future coherent EU policies and strategies on environment and climate change.

This evaluation question is related to and draws on the findings of the other EQs, especially EQ8 and EQ9 on mainstreaming and EQ10 on the complementarity of the ENRTP and geographic instruments – EQ1 will address the broader implications the findings under these EQs.

The rationale for selection of judgement criteria. Development cooperation is in principle driven by the priorities of national and regional partners. The degree to which EU support can achieve its priorities is thus strongly influenced by the extent to which national and regional partners prioritise environment and climate change. A variety of studies have shown a tendency in some countries to under-prioritise environment and climate change because:

- Environment and climate change are long term concerns and do not respond to shorter term political manifestos as well as other sectors (especially those that are involved in direct service delivery);
- Environment and climate change are wrongly perceived as not contributing to economic growth and in some cases as being detrimental to growth.

It is an explicit aim of the EU support, especially that provided through ENRTP, to provide evidence/information and trigger processes that change these perceptions so that environment and climate change are prioritised more highly. The first judgement criterion aims to explore whether the EU support has succeeded in increasing the priority given to environment and climate change. However, the scale and modality of the support should be effective in helping partners to achieve the greater ambitions; prioritisation without resources and capacity is not enough. The scale of EU support is relevant as it determines the extent to which EU can promote, and deliver on, its policy aspirations on environment and climate and support national process and the strengthening of national capacity. The proportion of EU support under geographic instruments directed to environment and climate change gives an indication of the extent to which partner countries prioritise these sectors, as EU's country and regional programme priorities are determined by national priorities. The extent to which Delegations have addressed environmental and climate change issues in its policy dialogue is another important element in this regard.

Moreover, ensuring sufficient resources is not simply a question of the volume of EU support, as the EU is only one of many donors and sources of finance. The key challenge is not so much to maximise external support but to maximise internal allocation and use of resources for ensuring environmental sustainability and climate resilience. Moreover, the strongest evidence of national prioritisation of environment and climate change, is the national policies; and the extent to which they share the priorities of EU policy is an indication of the effectiveness of their partnership with EU. Following these considerations, the second judgement criteria considers how well the EU support has enhanced the adoption of national policies that support EU policy positions on environment and climate change and how well EU's instruments allow an engagement that is relevant and responds to regional and national priorities.

The third judgement criterion assesses EU's development policies and strategies at global and regional levels and the extent to which environment and climate change is sufficiently considered and supportive of an effective engagement of EU in relation to this.

1.1 JC11. EU Environmental and Climate change policy and strategy have led, or paved the way, to national partners prioritising environmental and climate change

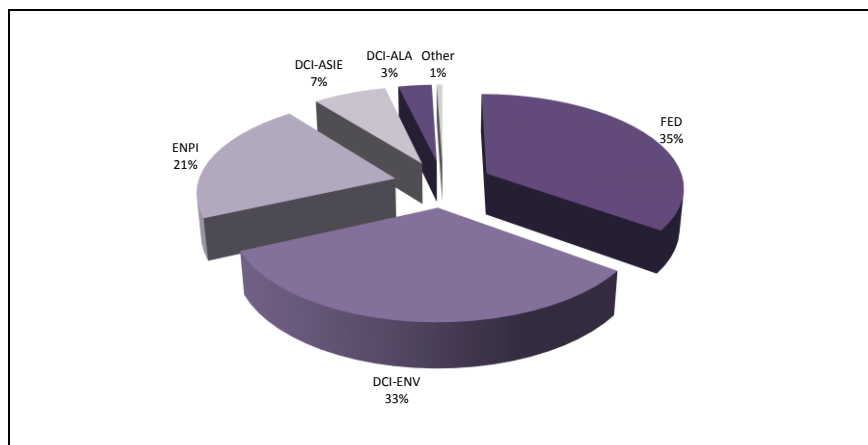
1.1.1 I-111. Volume of support to environment and climate change (as evidence of partner prioritisation), also compared to total amount of cooperation funds

Description: EU policies are ambitious in their targets for promoting environmental sustainability, significant GHG reductions and resilience to climate change impacts. A major tool for putting weight behind these aspirations and translating them into action is the provision of financial resources to developing countries to a) build their awareness and capacity to effectively develop environmentally sound policies and plans and implement these through incentives, regulation and investments, and b) to provide funding for tangible investments in environmental sustainability and climate resilience. In line with the Paris Declaration, EU support and focal sectors in a given country are based on the priorities of the national partners. Hence, in relation to geographic instruments (which, unlike ENRTP, do not have a thematic purpose pre-defined by EU), the volume of environment and climate change support compared to the total support provided by EU is an indicator of the extent to which partner countries had prioritised environment.

Findings: In 2007-2013, EU's funding for the environment and climate change related sectors amounted to EUR 2.8 billion¹. While this is a significant amount, it only constituted 6% of the total EU funding for development assistance during the period (see figure below).

As shown in the figure below, 38% of the environment and climate change funding was provided through the ENRTP (DCI-ENV) thematic programme earmarked by EU for environment and climate change. Hence, only EUR 1.7 billion was provided through geographic instruments (EDF, ENPI, DCI-ASIE, DCI-ALA), which only corresponded to 5.6% of EU's total spending on development assistance under geographic instruments (30.3 billion); so this figure indicates that environment and climate change still in general remains a relatively low priority for partner countries.

Figure 1 *EU support to environment and climate change: contracted amount by financing instrument in % (2007-2013)*



Source: CRIS, Particip analysis

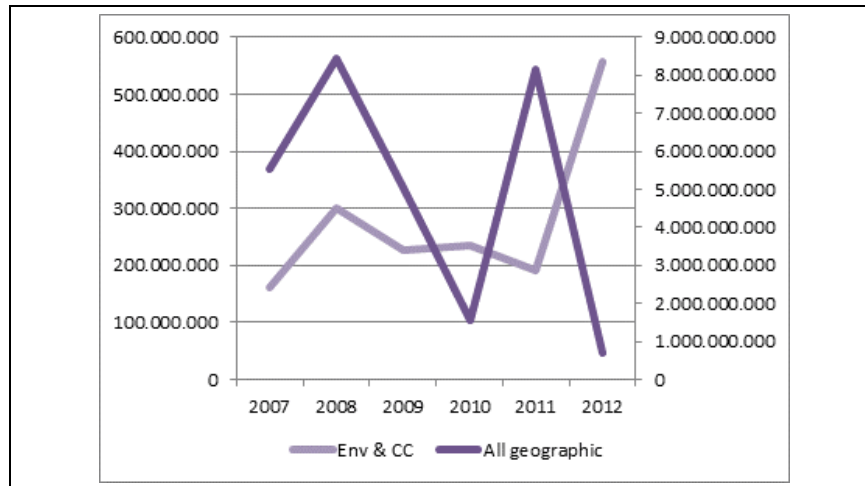
¹ While the Inception Report presented a global figure of EUR 3.3 billion, out of which EUR 1.3 million related to energy funding, it was decided during the desk phase to extract from this figure energy sub-sectors for which it was not possible to state their 100% relevance for the current exercise. Furthermore, these sub-sectors over-inflate the figures. These are: ACP-EU energy facility (EUR 175 million), Energy policy (EUR 271 million) and Energy: Other (EUR 40.8 million).

On the contrary, those energy sub-sectors that can be directly related to the scope of the present evaluation (they fund policy priorities – as reflected here below under JC 1.3 – and as such are also considered under EQ 2 and EQ 3) are kept in the inventory (and analysis). These are: Energy efficiency (EUR 128 million), GEEREF (EUR 125 million), Renewable energy (182 million) and Sustainable energy management (EUR 420.3 million).

This picture is further exacerbated by the fact that of the EUR 1.7 billion, more than EUR 600 million was allocated to the energy sector. Hence, all other aspects of environment and climate change do not appear to be prioritised by partner countries, as they combined only comprised 3.6% of the total EU funding for development assistance under geographic instruments.

However, while the priority given to environment and climate change appears to have been low, the funding increased significantly from 2011 to 2012; after showing a fluctuating trend in 2007-2011. During the same period, the total funding under geographic instruments has displayed dramatic fluctuations, and there appears to be no correlation between the environment and climate change funding and the total funding.

Figure 2 Development in overall annual funding and funding for environment and climate change through geographic instruments (2007-2012)



Source: CRIS, Particip analysis

1.1.2 I-112. Evidence of the reasons why environment and climate change were either chosen or not chosen as a focal (or non-focal) sector (throwing light on the reasons behind partner prioritisation being high or low)

Description: In line with the Paris Declaration, the key principle of EU development cooperation is to support national priorities and processes. Hence, when country strategies are prepared the choice of focal sectors is based on national development priorities. Therefore, geographic instruments can only support the environment and climate change directly and to a significant extent, if the national partners agree that these are priority sectors for them; i.e. by choosing environment and climate change as a focal sectors, b) to include environment and climate change as an element of another focal sector (e.g. by focusing on sustainable natural resource management in the rural development sector, or by promoting mainstreaming/integration of environment and climate change concerns in sector planning, budgeting and implementation), or c) by addressing environment as a non-focal sector ("other programmes" identified in the CSP); where option a) allows more emphasis on environment and climate change than b) and c). Hence, the extent to which environment and climate change are identified in the CSP is a good indicator of the extent to which partner countries prioritise environment and climate change (although it could also be the case that partner countries have chosen to work with a different donor instead of EU on environment and climate change).

Findings: In 2009, the Midterm Review of ENRTP found that; "very few geographical programmes (except the ENPI area) have environment as a priority, as the principles of the Paris Convention limit the number of intervention priorities."² However, as shown in the table below, while 22% of all partner countries have selected environment and climate change as focal sector in their CSPs, 71% of all countries are at least to some extent addressing environment and climate change considerations in their CSPs. Hence, while the proportion of funding under geographic instruments directed to the environment and climate change sectors remains modest, most countries do at least to some extent appear to prioritise addressing environment and climate change issues. Moreover, the fact that 37% of the countries had included environmental and/or climate change considerations as an element to cov-

² ENRTP MTR 2009

er in other sectors is an indication of an appreciation of environment and climate change as crosscutting issues, and an intention to mainstream these into other sectors.

Table 1 Inclusion of environment and climate change in country-level support through geographic instruments (2007-2013)

Environment and climate change coverage in CSP³	No of countries	Percentage
As focal sector	28	22%
Within focal sector	46	37%
As non-focal sector	15	12%
No environment and/or climate change coverage	44	35%
Total	125	100%

Source: Particip GmbH analysis

At regional level, it can be observed that with the exception of the Pacific, preference is generally given to integrating environment and climate change in another focal sector, rather than having environment and climate change as a standalone priority sector.

Table 2 Inclusion of environment and climate change in country-level support through geographic instruments, by region (2007-2013)

	ENV/CC Focal sector	ENV/CC Within a Focal sector	ENV/CC Non focal sector
ACP – Africa	6	14	12
ACP – Caribbean	2	3	
ACP – Pacific	9	1	1
Asia	4	6	2
Central Asia	1	6	
Eastern Europe & Russia		2	
Latin America	3	7	
Mediterranean	3	7	
Grand Total	28	46	15

Source: Particip GmbH analysis

Table 3 below provides a more detailed overview of the inclusion of environment and climate change in the CSP for the eight case countries chosen for this evaluation and a five additional countries chosen as desk cases. It depicts how environment is covered in each of the countries, and the main findings from the analyses of environment and climate change situation. It should be kept in mind that the countries were selected to ensure the evaluation has a good coverage of the various environment and climate change aspects covered in the EQs, so it does not include any of the countries, where environment and climate change is not covered.

³ In three countries, Azerbaijan, Cuba and Morocco, environment is present both as focal sector and within a focal sector. In Malaysia, Mali, Sierra Leone and South Africa, it is covered both within a focal sector and as non-focal sector. In Central African Republic, it is covered within a focal sector and as non-focal sector

Table 3 Inclusion of environment and climate change in CSPs (2007-2013) in 13 countries⁴

Country	Sector inclusion			Coverage	Explanation/argument/reasons given in CSP
	Focal	In focal	Non focal		
Bolivia	X			Sustainable NRM, in particular IWRM in int'l basins	<ul style="list-style-type: none"> • A rich biodiversity that is fairly well conserved; • An adequate regulatory framework, but insufficient capacity to implement it; • Bolivia remains economically dependent on the exploitation of natural resources; • Threats to the environment (fragile mountain eco- systems, desertification, erosion, periodic flooding, deforestation, pollution) and high levels of poverty means that every operation must include a component promoting sustainable NRM; • IWRM of three transboundary basins a particular challenge; • Vulnerable to CC: increasingly severe and frequent flooding and landslides, accelerated melting of glaciers. Predicted impacts: longer dry seasons and more frequent storms, new or intensified health threats from infectious diseases.
Brazil (desk study only)	X			Promoting env dimension of sustainable dev't (focus on forest protection)	<ul style="list-style-type: none"> • Positive experience from EU-Brazil coop on env; • Ongoing EU-Brazil sectoral dialogue on env : • Brazil is prioritising economic and social development, so makes sense for EU to support the strengthening of the env/sustainable dev't aspect; • Brazil committed to env and key global player on env, e.g. due to its mega-biodiversity and the Amazon.
Ukraine		X		Infrastructure dev't, incl. in env and energy sectors	<ul style="list-style-type: none"> • Air and water pollution, waste management, deforestation major issues; • Poor capacity to enforce env legislation; • Crosscutting assistance priorities include env (implementation of MEAs (especially UNFCCC/Kyoto Protocol, UN-ECE), water, waste, industrial risk, nature protection) and energy (efficiency).
Egypt		X		Sustainable dev't process, incl. env'l policies and NRM (water, waste, energy env governance reform and civil society)	<ul style="list-style-type: none"> • Mainstreaming of env an overall strategic objective of Egypt's env policy; • Env protection hampered by institutional weaknesses; • Water management system suffers from fragmented and weak legal/regulatory framework; • Water management, waste management, industrial pollution, renewable energy, energy efficiency identified as relevant areas for EU engagement.
Chad (desk study only)		X		Sust dev't of infrastructure and rural sectors – sustainable use of natural resources, env'l pro-	<ul style="list-style-type: none"> • Water pollution, erosion, declining soil fertility, deforestation; • Rural population depends on natural resources, and increased pressure is leading food insecurity and to rural-urban migration – contributing to instability and poverty; • Env protection is one of five priorities in PRSP;

⁴ 2007-2013 CSPs

Country	Sector inclusion			Coverage	Explanation/argument/reasons given in CSP
	Focal	In focal	Non focal		
				tection (incl. a protected area)	<ul style="list-style-type: none"> Focal sector 1: Good governance, local governance element includes integration of NRM in development plans. Also promotes use of SEA and EIA and enforcement of env regulations.
DRC (desk study and distance interviews only)			X	NRM, (forest management/FLEGT, biodiversity protection)	<ul style="list-style-type: none"> Importance of env issues described, but not clear why not then chosen as focal sector, but only as non-focal; Abundant natural resources; Mega-biodiversity, has more than 50% of Africa's dense forests; Forest degradation and deforestation; Nat'l objective to protect 15% of land area; Soil degradation, water pollution; Vulnerable to CC; Poor institutional capacity on env.
Senegal (desk study only)	X			Sanitation infrastructure (wastewater treatment)	<ul style="list-style-type: none"> The reason for the narrow focus of one very specific env issue not explained; Intention to address environment as crosscutting issue, i.e. EIAs for infrastructure investments; Natural resources degraded by pollution from agriculture, overexploitation of groundwater, deforestation, loss of biodiversity; Groundwater threatened by industrial waste and wastewater; CC vulnerability.
Ghana			X	NRM (incl. FLEGT), budget support for the NREG (natural resource and environmental governance) SWAp	<ul style="list-style-type: none"> Importance of env issues described, but not clear why not then chosen as focal sector, but only as non-focal; Intention to mainstream crosscutting issues, incl. env; Importance of natural resources for the economy and economic costs of poor NRM; CEP and Country env assessment recommend to focus on: env governance, policy/regulatory/institutional bottlenecks, high-level dialogue on mainstreaming, decentralising NRM.
Pakistan (desk study only)	X			Rural dev't and NRM in NWFP	<ul style="list-style-type: none"> Pakistan faces serious env problems, e.g. water shortage, deforestation, rangeland degradation and risk a downwards spiral with env degradation and poverty; NRM neglected in border areas.
China	X			Env, energy and CC	<ul style="list-style-type: none"> China major GHG emitter; Env'l development in China have global impacts; Increased view in China that env'l protection is a major challenge; Wish to learn from EU experience on env management; EU-China collaboration on energy and env has increased over time; 2005 EU-China summit commitment to collaborate on CC and clean energy/energy sector reform;

Country	Sector inclusion			Coverage	Explanation/argument/reasons given in CSP
	Focal	In focal	Non focal		
					<ul style="list-style-type: none"> • Energy sector reform would reduce demand on global market; • Other areas for cooperation, pollution control (China has severe air pollution), NRM (biodiversity, water); • Chinese interest in improved env'l legislation/standards.
Tonga (desk study only)	X			Energy (renewable)	<ul style="list-style-type: none"> • Part of multi-country programmes for Pacific island countries; • No explanation of why energy is the only focus considering all the different env problems identified, especially water, which is covered in neighbouring countries with same Delegation; • Strategically important sector for Pacific island countries, common interests with EC, area of EC expertise; • Heavy reliance on fossil fuels; • Pressure on natural resources, waste and air pollution, water scarcity, depletion of fish stocks, almost completely deforested; • Intention to mainstream crosscutting issues, incl. env.
Rwanda		X		Mainstreamed into agricultural sector. Sector budget support for Rwanda's Strategic Plan for Agricultural Transformation, which includes env'l measures	<ul style="list-style-type: none"> • Climate change impacts will affect agricultural production and food security (drought and floods) • Major problems identified by CEP: (i) soil degradation, (ii) deforestation, (iii) pressure on humid areas causing a reduced capacity to fight floods and sedimentation of lakes. CEP recommends mainstreaming into PRSP, actions on soil conservation, reforestation, etc. • One of four objectives for agric. support: ensure environmental sustainability and reduce pressure on scarce land resources
Kenya		X		Environment seen as a crosscutting issue an mainstreamed into agricultural sector, e.g. with funding for the Community Environment Facility under the Community Development Trust Fund	<ul style="list-style-type: none"> • Pressure on natural resources are leading to degradation which affects agricultural productivity and rural livelihoods • In arid and semi-arid lands degradation is leading to resource-based conflicts • Drought reduces agricultural productivity and affects food security • Environmental issues were an important element of the agriculture and rural development sector support, one of its objectives being: promote conservation of the environment and natural resources by means of sustainable land use. • 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).

In general, the documentation available only yield little information on the selection and especially the deselection, of environment and climate change as a focal sector, as well as the dialogue and decision process leading up to the CSP for both the 2007-2013 and the 2014-2020 programming cycles.

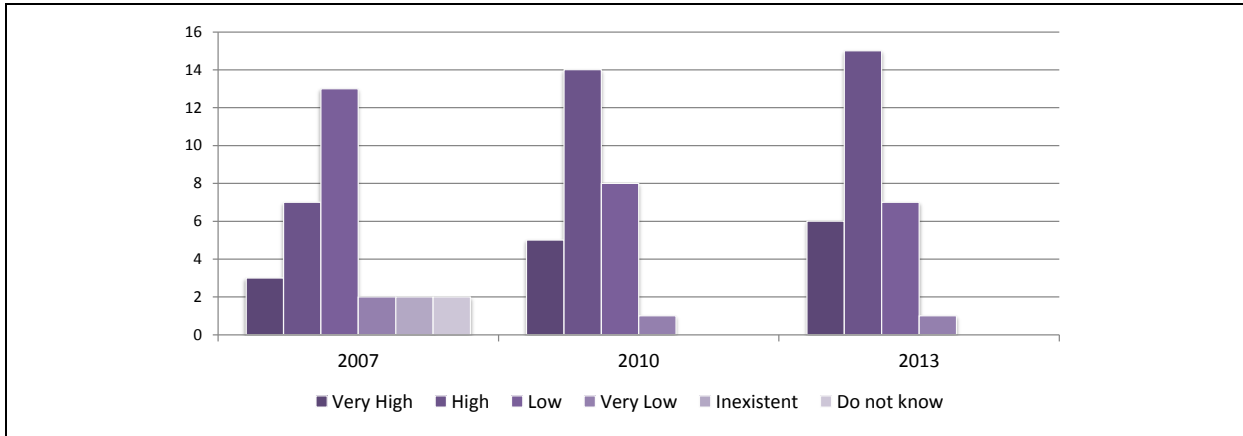
In the 13 CSPs, environment issues are generally captured and described, and where environment is a focal sector, the link between the findings of the environment analysis and focal sector coverage is usually (but not always) clear. For example, the focus on forest protection in Brazil is well justified, since deforestation of the Amazon is a major issue both for local communities and for the global community, but is it not clear why the focus in Senegal is narrowly on infrastructure for wastewater treatment when considering the broad array of environmental issues identified. Similarly, when environment and climate change is included in other sectors, the rationale of addressing environmental issues is usually clear, although sometimes the sector where environment is included can be very broadly defined. In countries, where environment is included as a non-focal sector, the reason for the choice of interventions is clearly linked to the findings of the environmental analysis, but there is no explanation as to why it is not elevated to being covered as a focal sector, when considering the magnitude/severity of the challenges faced, examples of this includes that forest conservation and biodiversity is only a non-focal sector in DRC, where forest resources are of global importance and under pressure, just like in Brazil. Many, but not all CSPs also look at the coverage of environment as a crosscutting issue, mainly in relation to carrying out SEAs and EIAs in some or all sectors covered in the CSP. Overall, the CSPs provide justification for the selection of a given sector, but they do not clarify why other sectors were not chosen or why one sector is a better choice than another for EU to engage in.

Discussions with stakeholders during the field visits revealed that the choice of focal sectors was mainly a result of government preference and/or alignment with national development strategies/PRSPs (Rwanda, Egypt, China, Ghana, Kenya), and coordination with other donors (China, Ghana). One example is in Egypt, where the Government prioritised the productive sectors of water, energy and transport with recognition that environment and to a lesser extent climate change were an integral part of the sectors. A consequence of this was that support to protected areas, which had been a long running area of previous EU support was not continued. An exception from this is Ukraine, where the focal sectors were chosen by DG DEVCO, but in a broad manner, where EUD and Government subsequently agreed on the specific actions.

It is observed in countries visited where environment and climate change are not focal sectors, that they feature more prominently in the new NIPs than in the previous CSP, this is especially the case for climate change, which was generally only briefly mentioned in the 2007-13 CSPs, but achieved significantly more attention in the new NIPs (e.g. Rwanda, Kenya). An example is Egypt where environment and climate change have been more strongly singled out as the first of three priorities due to increased prioritisation given to resources efficiency, environment and climate change by the government. This is also the case even in countries where the focal sectors did not include environment/climate change and have not changed or only been adjusted since the 10th EDF.

The survey shared with EUDs confirms that developing countries are giving increasing importance to environment and climate change in their national development prioritisation; this trend appears to provide greater opportunity for EUDs to engage in environment and climate change in future programming (see the figure below). However, while good policies do indicate an increased attention given to environmental issues, this does not necessarily mean that environment is genuinely being prioritised in a country; in some countries the implementation of the environmental policies is lagging behind and the budget allocated by government for environment remains low (e.g. Kenya, Ghana, Ukraine), indicating that the prioritisation of environment is still modest.

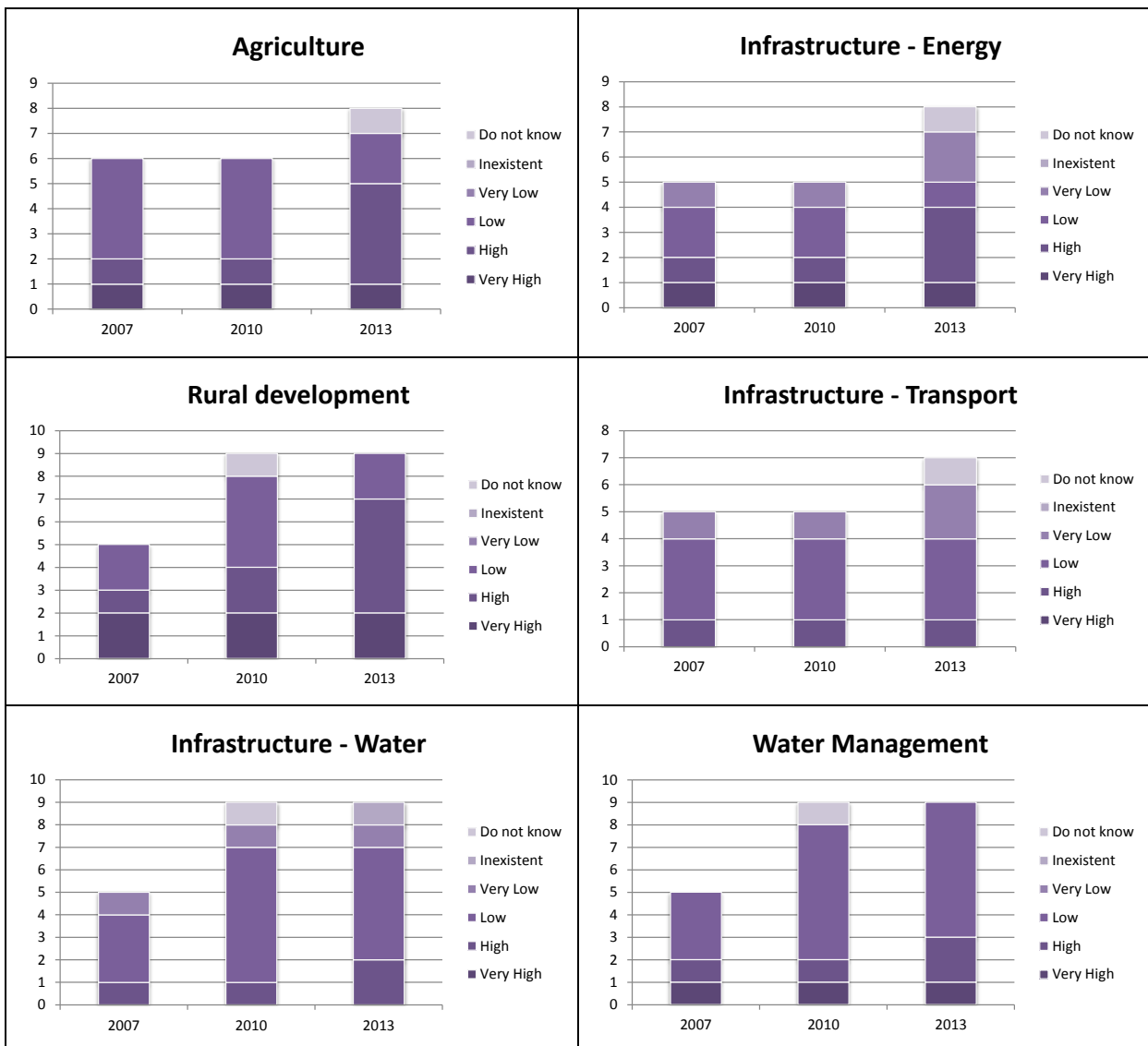
Figure 3 Importance given to ENV & CC related areas in the national development strategy



Source: EUD survey

As similar, albeit more gradual, trend is observed at the sectoral level, where national sector strategies are displaying an increased emphasis on environment and climate change, although some sectors, especially energy, are displaying a stronger understanding of environmental issues than others, e.g. transport.

Figure 4 Importance given by countries to mainstreaming of ENV & CC in other sectors



Source: EUD survey

1.1.3 I-113. Evidence that policy dialogue has addressed issues related to prioritisation of environment and climate change

Description: Programmes, projects and financial support are important elements in promoting an increased national prioritisation of addressing environment and climate issues and challenges. However, programmes and projects tend to focus on the technical level, and unless awareness and commitment is raised at the political/decision-making level, there is a risk that interventions become “isolated islands”, which do not effectively inform and influence national processes. Hence, it is important programming that programming is accompanied with a dialogue with the political decision-makers, which builds high-level awareness and commitment to environment sustainability and climate change adaptation and to elevate the results and approaches from programming and integrate these in government positions, processes and decision-making/planning. In mid-income countries like China, traditional development assistance grants (budget support, programmes and projects) are being phased out and policy dialogue and technical exchange are becoming the mode of engagement.

The policy dialogue on increasing the prioritisation of environment and climate change should not primarily take place in dialogue within the environment sector, given that the environment sector by nature is prioritising itself – unless planning/finance and other sectors are proactively involved in the environment sector dialogue. It should rather be done in connection with a) overall national development priorities (e.g. in connection with general budget support) and b) other sectors, which have a significant impact on the environment. So policy dialogue on the prioritisation of environment and climate change is closely linked to mainstreaming. Hence, this indicator is informed by EQ9.

Findings: The nature and results of high-level policy dialogue is difficult to measure and it can be very difficult to attribute changes directly to policy dialogue, as such processes take time and government positions and priorities are shaped by numerous factors, and especially by domestic factors. It is thus not surprising that policy dialogue is only to a limited extent captured in reports. The various strategies, progress reports, ROM reports and evaluations often make brief reference to policy dialogue and the overall focus, but rarely describes detailed topics, the positions taken by Government and results/outcomes of the dialogue, other than perhaps agreements to establish specific programmes/projects.

14 EUDs responded in the survey that the policy dialogue added value in relation to national prioritisation of environment and climate change, three did not see an added value, while four had a mixed view (eight did not respond). Moreover, as shown in the table below, EUDs report a significant improvement in the quality of policy dialogue on environment and climate change during the period under evaluation.

Table 4 Quality of EUD-Government policy dialogue

	Percentage of responding EUD survey countries		
	2007	2010	2013
Inexistent	18.8%	8.0%	7.7%
Very low	12.5%	8.0%	3.8%
low	37.5%	28.0%	19.2%
high	18.8%	44.0%	53.8%
Very high	12.5%	12.0%	15.4%

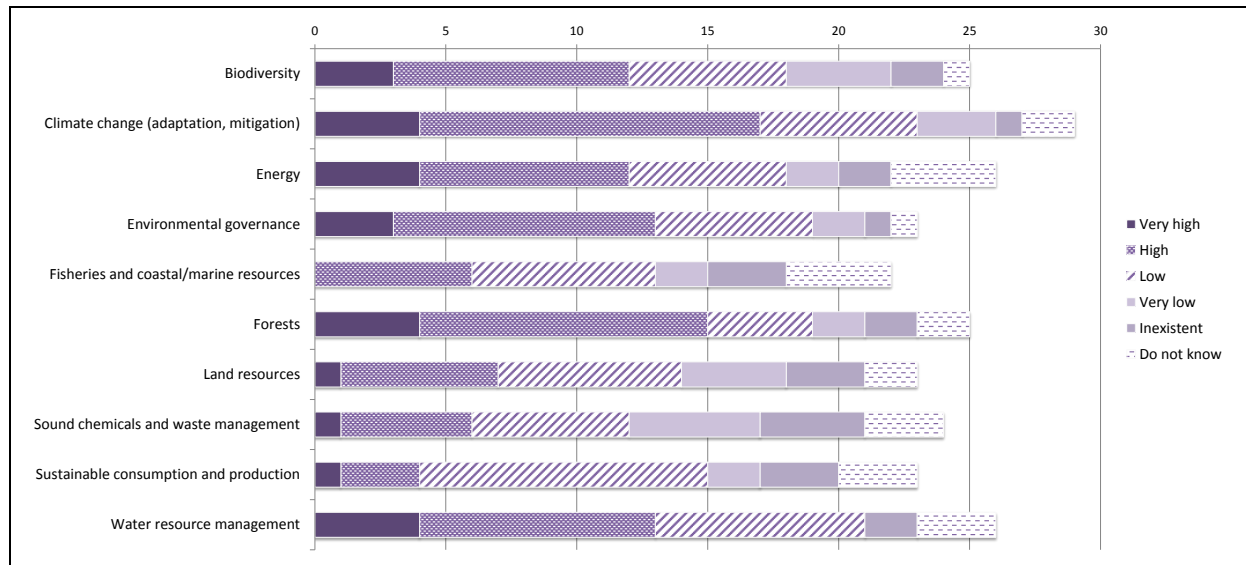
Source: EUD Survey

A screening of the available documents for the case countries reveals that policy dialogue is usually centred on specific sector issues, which again are linked to the focal sectors chosen by EU, so there is rarely reference to discussions on environment and climate change in relation to prioritisation. The reference to environment and climate change policy dialogue is mainly made in relation to established dialogues within the environment sector, in countries where EU and the national partner government have selected environment as focal sector for collaboration.

According to the survey responses, for 55% out of 29 EUDs the contribution of the EUD to the existence or prioritisation of environment and climate change in the national development strategy in 2007-13 had been high (in two countries the contribution had been very high), while the remaining 45 reported a low contribution (in one country it has been very low). This contribution was not only through policy dialogue, but also through financial/programmatic support – in fact, when examining the explanations given by EUDs for their assessment, this more often referred to the programmatic involvement

to than the policy dialogue in isolation. Nonetheless, as shown by the figure below, policy dialogue was seen by many EUDs as an important contributor for a number of environment sub-sectors (especially climate change, but also forests, governance, water resources, energy and biodiversity), but less so in relation to other sub-sectors (sustainable production and consumption, fisheries, chemicals and waste, land resources).

Figure 5 Contribution of dialogue after 2006/07 to the definition of a nationally owned ENV & CC policy



Source: EUD survey

The linking of policy dialogue and programming makes good sense, as programmes and projects are reinforcing and informing policy dialogue, as EU “brings something to the table”, and the programmes and projects generate lessons and evidence of available options. Several programmes and projects are thus specifically aiming at supporting policy dialogue, one example is the linkage between the EU-China biodiversity dialogue and the EU-China Biodiversity Programme (completed in 2011), which allowed EU and China to exchange views and experiences on biodiversity policies and cooperate on the preparation of a National Biodiversity Strategy and Action Plan for China⁵, and the revision of the National Biodiversity Conservation Strategy and Action Plan in 2011 took advantage of tools and experience from programme. Another example from China is the ICARE (China-EU Institute for Clean and Renewable Energy) programme, which enhanced the EU-China dialogue on clean and renewable energy and urbanization⁶. Moreover EU financed a Policy Dialogue Support Facility initiated under the 2005-2006 NIP and continued throughout 2007-2023. EU supported projects in China have demonstrated relevant EU policy instruments and practices in several key areas, including biodiversity conservation, energy management, river basin management and green economics; for example, aspects of the EU's Water Framework Directive (WFD) have been incorporated in the 2011 No. 1 Document on Water. Moreover, the 2014 Environmental Protection Law in China benefitted from EU supported initiatives related to environmental information disclosure, transparency, and public participation. It can thus be difficult to make a clear delineation between EU policy dialogue and EU programming.

However, when policy dialogue is closely linked to a programme, there is a danger that the dialogue focuses on the programme implementation progress rather than the broader issues; the mid-term review of the NREG sector programme in Ghana found that the programme provided a platform to further policy dialogue, but that the dialogue had focused on assessing programme progress, and that “*there is the danger of constraining policy discussion to matters of achievement (or lack of achievement) rather than to matters of strategic national priority*”⁷; the field visit to Ghana confirmed that the dialogue still focused on programme progress rather than strategic prioritisation of environment at the

⁵ Development Cooperation Instrument, People's Republic of China, Mid-Term Review, National Indicative Programme 2011-2013/EAMR 2010, China

⁶ Mid-term Evaluation of the Project EU-China Institute for Clean and Renewable Energy (ICARE), Final Report Project No. 2013/320644 – Version 1, 2013

⁷ The NREG mid-term review report, 2010

national level. The main policy influence in Ghana was thus not achieved through policy dialogue, but rather through the NREG financing for formulation of national environment and climate policies. In Kenya it was similar, here policy dialogue also focused mainly on programmatic issues: this seems to be linked to the fact that all support was provided as project support, but also related to a new government assuming power and embarking on a significant restructuring of the ministries, which temporarily reduced sector working group dialogues. In Rwanda support was mainly provided as general budget support and sector budget under a SWAp approach, and here the dialogue also addressed strategic issues, seemingly because this form of collaboration brings EU closer to the Government's planning and budgeting, through it direct financial support for this and agreed performance indicators. While Ghana also received budget support, the dialogue on strategic issues was limited, likely at least in part due to the fact that budget support disbursements were suspended.

The above indicates that the policy dialogue tends not to focus as much on whether government should increase the priority given to environment and climate change (the "why" question). The policy dialogues rather focus on specific areas of collaboration, e.g. in the cases of China and Brazil, where it was agreed to share knowhow⁸, or in the case of Ghana, where environment sector dialogue has focused on the progress of the NREG programme (the "how" question), rather than larger national priorities⁹. The focus on the "how" rather than the "why" is not surprising, given that the environment sector by nature is prioritising itself. GCCA is an exception from this trend; the global GCCA evaluation found that GCCA had made very significant contribution to climate change related policy dialogue, and that in a number of countries the GCCA dialogue had helped increasing the priority that climate change was given in the national political agenda.¹⁰

The documents available do not provide evidence that environment and climate change figures prominently in policy dialogue in the relation to overall national development priorities or in connection with other sectors, which have a significant impact on the environment. However, this does not necessarily mean that it does not take place, but any detailed discussions on crosscutting issues such as environment and climate change are not captured in the documents. Nonetheless the field visits confirm that such dialogue often do not take place in relation to national development policy dialogue. For example, the Ghana CSP states that: "*Reinforcing high-level coordination and dialogue to mainstream environment is critical*", but in the subsequent annual reports, there is no reference to such dialogue; and it was during the field visit found that environment and climate change was not really on the agenda in relation to policy dialogue on overall economic development, and none of the 128 indicators for general budget support were on environment, although the Natural Resources and Environment Working Group had advocated for such an indicator, which could be an indication of a limited priority given to environment both with government and development partners. Indeed, having environment indicators for the budget support appears critical for its inclusion in the policy dialogue; In Rwanda, there was no environment indicator for the general budget support and as a result environmental issues were not discussed, although the Government of Rwanda prioritises environment highly compared to other countries. A related strong tool for ensuring prioritisation appears to be hard conditions for funding, which can be linked to such indicators. In Ukraine sector budget support for the environment sector was made conditional upon the adoption of an environmental strategy, which reflected EU's environmental agenda. The strategy had been in the pipeline for years without completion due to low commitment, but the EU condition resulted in the adoption of the strategy in 2010 and a stronger commitment from the Ministry of Environment and Natural Resources to its implementation.

One example found of dialogue on prioritising environment has taken place is Egypt, where the 2012 EAMR reports that an early discussion with the Ministry of Plan, where it emerged that "*the Government of Egypt considers poverty eradication, deep democracy and environment as priority broad policy areas to be addressed*"¹¹. Government-donor coordination (in which EU took part, but which was led by the World Bank) and joint action resulted in the *Tonga Energy Road Map 2010-2020*, which is an example of influencing priorities within other sectors.¹² Similarly, the country visit to Bolivia revealed that EU has promoted an integrated approach to environment and climate change mainstreaming in its dialogue with the Ministry of Planning and Development and the Ministry of Water and Environment,

⁸ 2008 Mid-term External Assistance Management Report for China and Mongolia Development Cooperation Instrument People's Republic of China, Mid-Term Review National Indicative Programme, 2011-2013
Brazil-European Union Strategic Partnership Joint Action Plan, 2008-2011

⁹ The NREG mid-term review report, 2010

¹⁰ Evaluation of the Global Climate Change Alliance (GCCA), Global Programme, World-Wide, Final Report (2nd revised Draft), 19th September 2014

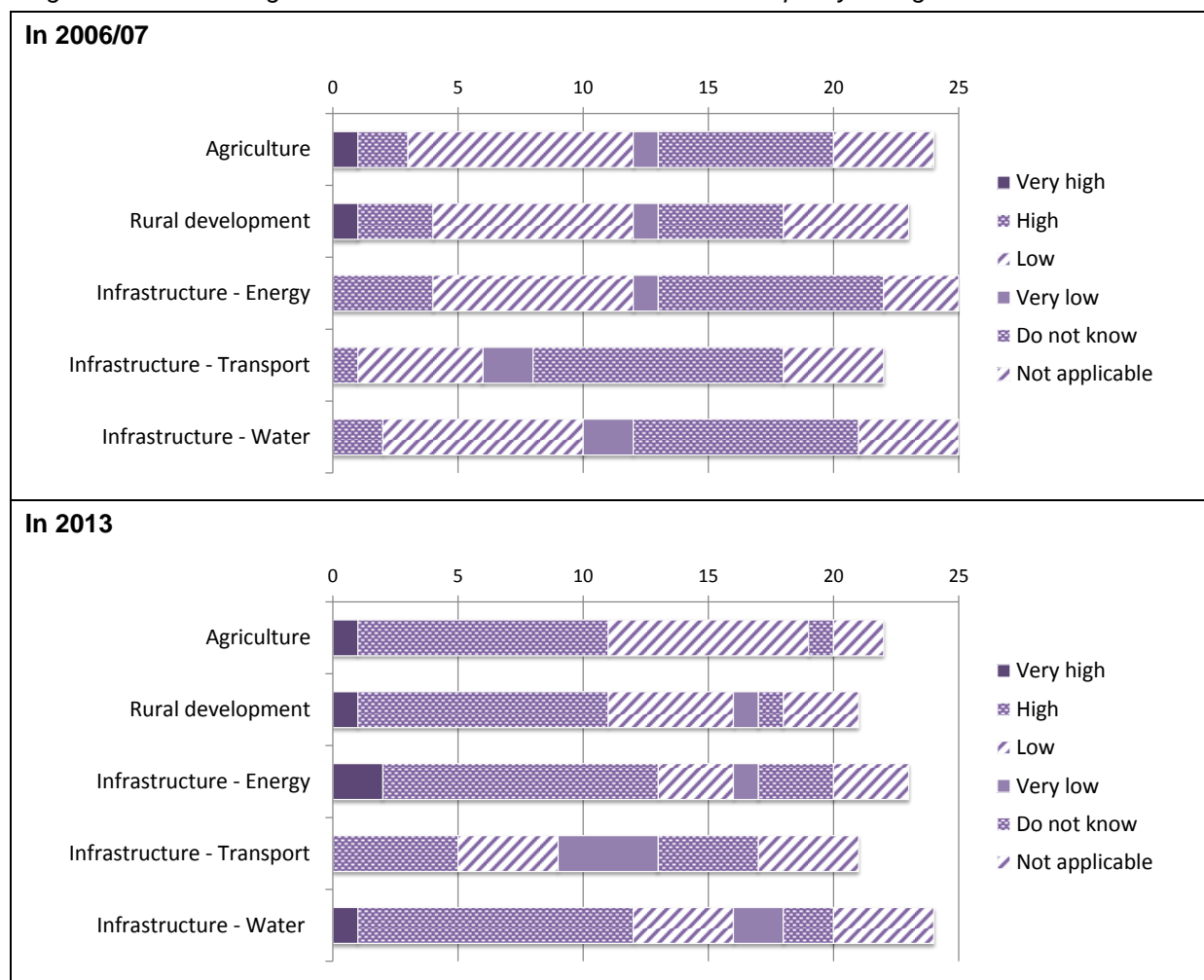
¹¹ External Assistance Management Report (EAMR), Delegation: Egypt, Period: 01/01/2012 – 31/12/2012).

¹² EAMR, Jul 2010, Tonga

and EU is recognised by authorities as a pioneer in supporting the formulation of the Integrated Plan for Environment and Water, which covers sustainable water resource management and water pollution control in relation productive and social sectors (irrigation, land use, mining, energy, land management, wastewater, WASH).

As shown in the figure below, policy dialogue in some sectors often include environment and climate change issues, such as in the agriculture/rural development (especially on land degradation and climate change adaptation) and energy sectors (especially on renewable energy and also on energy efficiency), e.g. in Rwanda, Kenya and China, but in other sectors, such as transport, these issues appear not to be on the dialogue agenda to a significant extent (e.g. Ghana, Kenya, Rwanda). In Egypt, the picture is atypical of this, though: policy dialogue has addressed issues of environment and climate change in the water, energy and to some extent in the transport sectors – but to a much lesser extent in the rural development sector due to the absence of a sector working group. Nonetheless, the attention given to environment and climate change in sector policy dialogue has increased significantly from 2007 to 2013 across sectors, as seen in the figure below.

Figure 6 Integration of ENV & CC related issues in sector policy dialogue in 2006/07 and 2013



Source: EUD survey

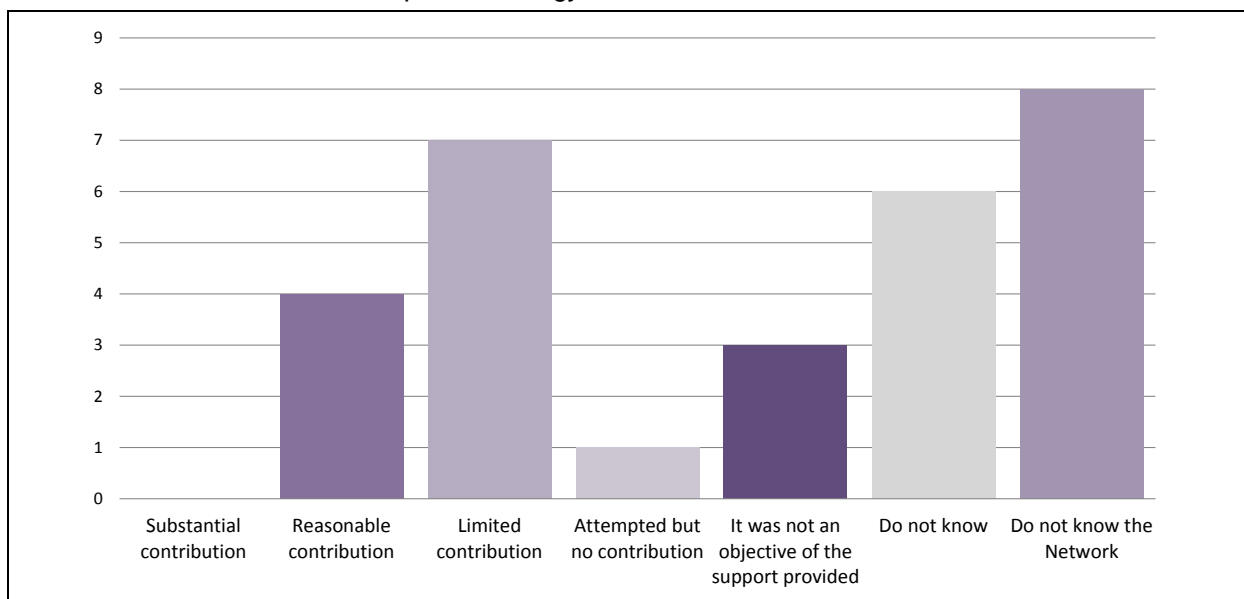
Policy dialogue to enhance national prioritisation of environment and climate change does not only take place at the country level. Some international governance forums, such as UNFCCC COPs and the Rio+20 Conference on Sustainable Development, are important policy dialogue events providing opportunities to engage high-level policy-makers in discussion on environment and climate change from a broader development perspective. Moreover, commitments under MEAs, especially UNFCCC, are important drivers of enhanced national prioritisation. Various DGs at EU HQ in Brussels play a role in linking national and global dialogue, through *démarches* circulated to EUDs. For example, the Green Diplomacy Network (GDN) links the EU in Brussels (GDN is chaired since 2012 by EEAS), Member State Governments, EU Delegations and Member State embassies in a network, where information and guidance flows in two directions. EEAS gathers information from Delegations on nation-

al positions and also ensures that Delegations are informed about global discourses. This enhances the ability of EU to negotiate global level from a well-informed position and to reach consensus with partner countries, while at the same time it strengthens the ability of Delegations to engage in the dialogue in partner countries and convey EU positions. The strategic dialogue also takes place in countries, where the national dialogue mainly focuses on programmatic issues (Kenya). However, while both the Government and the EUD in Kenya appreciate the EU HQ initiated dialogue, the National Climate Change Secretariat notes that EC outreach missions before UNFCCC COPs come too late in the year to have a real influence as Government positions are already decided upon. Moreover, in the case of Rwanda, the dialogue in response to HQ demarches was constrained by the fact that the responsible ministries in relation to MEA's were not those the EUD normally works with, which made it more difficult for the EUD to engage them – indicating that the HQ initiated dialogue is most effective in countries where environment and climate change is also a focal sector in the country programme.

As shown in the figure below, the GDN's contribution to policy dialogue was modest or limited and the awareness of the GDN was uneven (the limited awareness of GDN among EUDs was confirmed by the field visits), probably because the GDN does not have the capacity to target all countries. Reasons given for the modest impact include:

- The dissociation between the political level at which the *démarche* is conducted and the technical level which usually participates at the targeted discussions. *Démarches* are very political and there is hardly any link to EU cooperation.
- The network rarely deals with the country.
- Inability to create national networks of climate and environment counsellors within EUDs and Member State representations.
- Problems of coordination within the EU Delegation.
- Deadlines too short.
- Questions put forward too broad, resulting in no response from government departments.

Figure 7 GDN's contribution to the existence/prioritisation of ENV & CC related areas in the national development strategy



Source: EUD survey

Another example of an international forum, where EU engages in policy dialogue with leaders from partner countries is the Asia-Europe Meeting (ASEM), where a range of issues in relation to EU-Asia cooperation for sustainable development are discussed, including climate change and low-carbon development¹³.

¹³ Environment and Natural Resources Thematic Programme, 2011-2013 Strategy Paper & Multiannual Indicative Programme, Final draft (reflecting DCI Committee comments 29/10/2010)

Moreover, a number of global thematic interventions under ENRTP also engage in policy dialogue, in order to bring these global perspectives to the national level, and also feed the national perspectives to global MEA negotiations. Examples of this include:

- GCCA, which seeks to build alliances and offers support to developing countries in order to promote a) reaching global climate change agreements and b) supporting vulnerable countries in developing adaptation policies and action. GCCA provides a platform for policy dialogue and has created a better mutual understanding between EU and LDCs/SIDSs¹⁴.
- FLEGT, which engages in policy dialogue to reach voluntary partnership agreements to ensure that tropical timber production and trade becomes sustainable. Policy dialogue is taking both in producer countries (e.g. Liberia) and consumer countries (e.g. China).
- EUWI, which provides a key framework for strategic partnerships and policy dialogue on water and sanitation, to improve governance and to address management of water resources at regional/trans-boundary, national and local levels¹⁵.
- UNEP-UNEP PEI (Poverty-Environment Initiative, which aims at ensuring that environment is adequately considered in development policies and among its activities carry out studies to inform policy-makers about the economic costs of environmental degradation and engage in dialogue with policy-makers.

1.2 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

1.2.1 I-121. Evidence that global processes (e.g. personnel from partner countries involved in climate change conferences and MEAs through EU support) have influenced national policy debates in a way that supports EU policy positions (as this is a major strategy for enhancing adoption (and better understanding) of EU policy positions by national partners)

Description: EU has through ENRTP provided significant support for global processes with the anticipation that strengthened global processes would lead to stronger national commitments and priority given to environment and climate change issues. EQ6 (international environmental governance and EQ7 (international climate governance), and to some extent also EQ4 (biodiversity), EQ2 (climate change mitigation) and EQ5 (green economy) are assessing this support and providing evidence on the influence of international processes on national planning, which is ultimately what determines whether international agreements are implemented in practice. This indicator will synthesise the findings of these EQs, to provide a better understanding of the whether supporting international processes and organisations (UN) is a relevant channel for EU support vis-à-vis EU's policy positions on environment and climate change.

Evidence of the change: There are several MEAs addressing different environmental issues. The three main ones are the Rio Conventions, namely the UNFCCC (climate change), CBD (biodiversity), and UNCCD (desertification/land degradation). Other important conventions include the three chemicals and wastes conventions (the Basel, Rotterdam, and Stockholm Conventions) and CITES (trade in endangered species). The national adoption of MEAs in itself triggers national policy debates; after a country has signed a treaty it has to be ratified by the National Parliament; and the ratification process often takes at least a couple of years or longer¹⁶. After ratification, the national policy debates will focus on the national implementation of the commitments made. Here, there is significant difference between the various conventions. For example, while UNFCCC, CBD and UNCCD have the same status, the UNFCCC is by far the MEA that receives the highest level of attention in policy debates, including public debates, and the debates reach well beyond the environment sector and to the highest-level policy-makers. UNCCD in contrast, received limited attention in policy debates and the public

¹⁴ Environment and Natural Resources Thematic Programme, 2011-2013 Strategy Paper & Multiannual Indicative Programme, Final draft (reflecting DCI Committee comments 29/10/2010) ENRTP MTR, 2009

¹⁵ Environment and Natural Resources Thematic Programme, 2011-2013 Strategy Paper & Multiannual Indicative Programme, Final draft (reflecting DCI Committee comments 29/10/2010)

¹⁶ http://unfccc.int/essential_background/convention/status_of_ratification/items/2631.php
<http://www.unccd.int/en/regional-access/Pages/default.aspx>.

discourse. While CBD receives more attention than UNCCD it is far less prominent than UNFCCC and the debates to a large extent stay within the environment sector.

While the awareness on climate change among policy-makers has increased significantly over the last decade, this awareness is not uniform. Climate change is now featuring much more prominently in public debates than before; and this attention is to a significant extent driven by the prominence of the UNFCCC COPs and the participation of highest-level decision-makers from all countries. Ghana and Kenya participate proactively in the UNFCCC process, e.g. by participating in various technical committees; and they share many views with EU such as advocating for post-Kyoto binding agreements on emissions. Similarly, DRC and EU often have the same position. In both Ghana and Kenya, the participation in the UNFCCC process has also influenced national policies and priorities; Kenya is giving high priority to climate change adaptation, and has established a National Climate Change Secretariat and Ghana has passed a National Climate Change Policy, which refers to UNFCCC. However, there are also situations where countries have positions that differ from those of EU, e.g. Bolivia is rejecting REDD+ as a carbon trading mechanism. Moreover, Ukraine is advocating for an exemption from the Doha Amendments and retaining its right to sell Assigned Amount Units (AAUs) to other Annex 1 countries; EU support for NGO participation in COP and to apply pressure on the Government to move closer to EU's position had limited success. There are sectors where climate change is high on the national agenda, but there are also sectors, where the awareness and understanding of the impact of climate change is much lower. Moreover, the capacity to translate international commitments into policies and plans is often limited. However, there are significant differences among developing countries, both in relation to awareness and in relation to the capacity to address climate change in policies¹⁷. Nonetheless, progress has been made by many developing countries in the development of national climate change related policies and strategies¹⁸. The various planning documents required under UNFCCC¹⁹, the prospective of receiving significant volumes of climate funding, combined with the capacity building provided by numerous actors are major drivers/incentives in relation to this.

While biodiversity generally does not feature as prominently in policy debates as climate change; political attention to biodiversity and its importance for sustainable development is growing in many countries²⁰. As many as 180 countries have developed National Biodiversity Strategies and Action Plans (NBSAPs) for the implementation of CBD²¹ and 107 countries have submitted PoWPA Action Plans and local governments are now developing Subnational Biodiversity Strategies and Action Plans (SBSAPs). However, while the elaboration of the required planning documents is significant, the increased prominence in political debates appears not clearly linked to this process, but rather to a generally increased awareness of the importance of biodiversity, also in relation to economic development²². Moreover, so far only relatively few countries have fully integrated the 2010 biodiversity targets into their national strategies, and only few countries are using their NBSAPs effectively for such integration. Most countries also report that that limited biodiversity mainstreaming, fragmented decision-making and/or limited communication among government ministries or sectors is a challenge to meeting the goals of CBD²³. Examples of this are Ghana and Kenya, where biodiversity and other environmental issues are generally far less visible than climate change in the national policy discourse, but both countries are nonetheless still active in MEA processes, e.g. Ghana is a member of the Standing Committee for CMS (Conventions on Migratory Species), and both countries have made progress in improving national environmental governance, e.g. Kenya has recently restructured and enhanced the mandate of the Ministry of Environment, and both countries have strengthened their EPAs (environmental protection agencies).

EU contribution: EU has through ENRTP provided significant support for global processes (international environment and climate governance), such as strengthening MEAs processes by supporting a) enhanced participation of developing countries (especially LDC and SIDS) in international negotiations, b) generation of methodologies, knowledge and evidence, c) global programmes to build the capacity of developing countries to prepare the agreed strategies and plans for the national implementation of their MEA commitments, and d) enhancing the capacity of MEA Secretariat to facilitate MEA processes through the provision of resources. This support is described and analysed in EQ 6 and EQ 7.

¹⁷ See EQ7, JC73, I-731

¹⁸ See EQ7, JC73, I-732

¹⁹ e.g. NAPAs, NAMAs, MRV, NAPs

²⁰ See EQ4, JC41, I-411

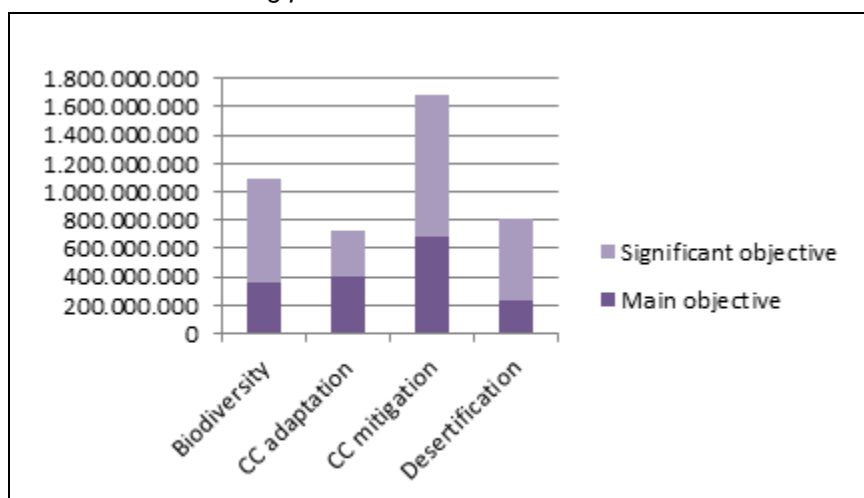
²¹ <https://www.cbd.int/nbsap/>

²² See EQ4, JC41, I-411

²³ See EQ4, JC41, I-411

The figure below on funding provided for each Rio marker shows that of the three Rio Conventions, the UNFCCC is given significantly higher priority than the other two, and UNCCD is the one given the lowest priority.

Figure 8 Allocation of funding per Rio marker



Source: CRIS, Particip analysis

EU has been a significant contributor to a number of MEAs, most notably the UNFCCC Secretariat, CBD Secretariat, and the UNEP administered MEA Secretariats (e.g. the CITES Secretariat and the Basel, Rotterdam and Stockholm Conventions Secretariat). Stakeholder interviews and the 2009 ENRTP MTR confirm that EU support has been significant and instrumental for the delivery capacity of the Secretariats and thereby providing an important contribution to strengthening the MEA processes and the national policy debates generated.²⁴

EU has on purpose kept a low profile on its support for MEA processes so as not to be seen as forcing EU positions on other countries through funding. This is for example seen in relation to UNFCCC, which is politically sensitive, so the support has therefore been channelled through international institutions, mainly through the UN system, with funding provided to activities, which were in line with EU positions²⁵. A similar approach is taken to other MEAs. Interviews with EU staff confirm the intention to keep a low profile and to use the UN system, which represented almost all countries in the world, and thus seen by most countries as a “neutral broker” and institutions in which they have a share/ownership. Considering the aspiration to enhance the participation and voice of developing countries, this approach appears results-oriented and prudent. The evaluation of ENRTP Priority 4 actions also found this approach sensible, but also noted that it would “...make sense to increase EU visibility throughout the ENRTP funded activities on climate change outside the UNFCCC. This might eventually also lead to a greater sustainability of financing, think of the leveraging effect for other sources of financing. A large donor can often ‘set the agenda’, after which other multilateral and bilateral donors follow.”²⁶

External factors: It is obvious that global processes are influenced by numerous actors, of which EU is one, albeit an important one. Moreover, globally significant events, such as the financial crisis, are significantly influencing global processes. It should also be kept in mind that while the global MEAs processes, in particular UNFCCC, are influencing national policy debates, national agendas are usually the main drivers of national policy discourses; a particularly strong example of this is Rwanda where the Government is giving high priority to environment and climate change compared to other countries, but with a much stronger focus on national action, and a seemingly less active participation in international processes. The EUD in Bolivia finds that the national implementation of climate change policies is not always related to international positions (source: EUD survey).

²⁴ See EQ6 and EQ7

²⁵ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012

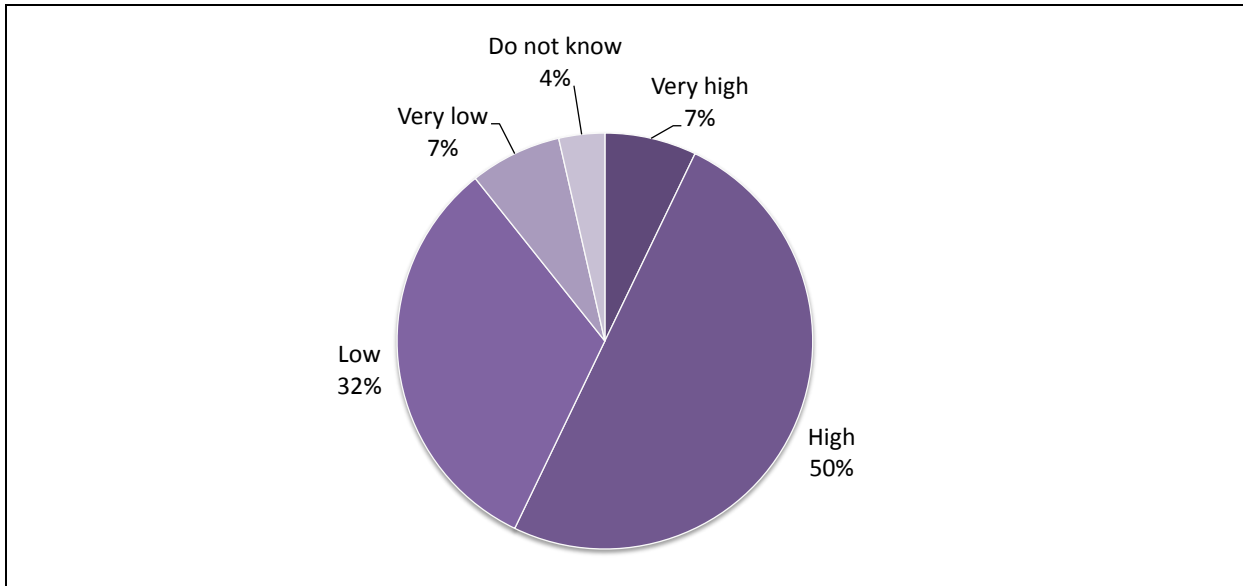
²⁶ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012

1.2.2 I-122. Evidence that EU interventions are responsive to country/regional needs and priorities

Description: In accordance with the Paris Declaration, it is EU policy that its development assistance is aligned with, and responsive to, the priorities of the partner countries. This indicator explores whether a) environment and climate change interventions under geographic instruments, and b) ENRTP actions are responsive to national and regional needs and priorities.

Findings: *Geographic instruments:* As the figure below shows, the majority of EUDs responded in the survey that the country programme design was based on a thorough analysis of the country context.

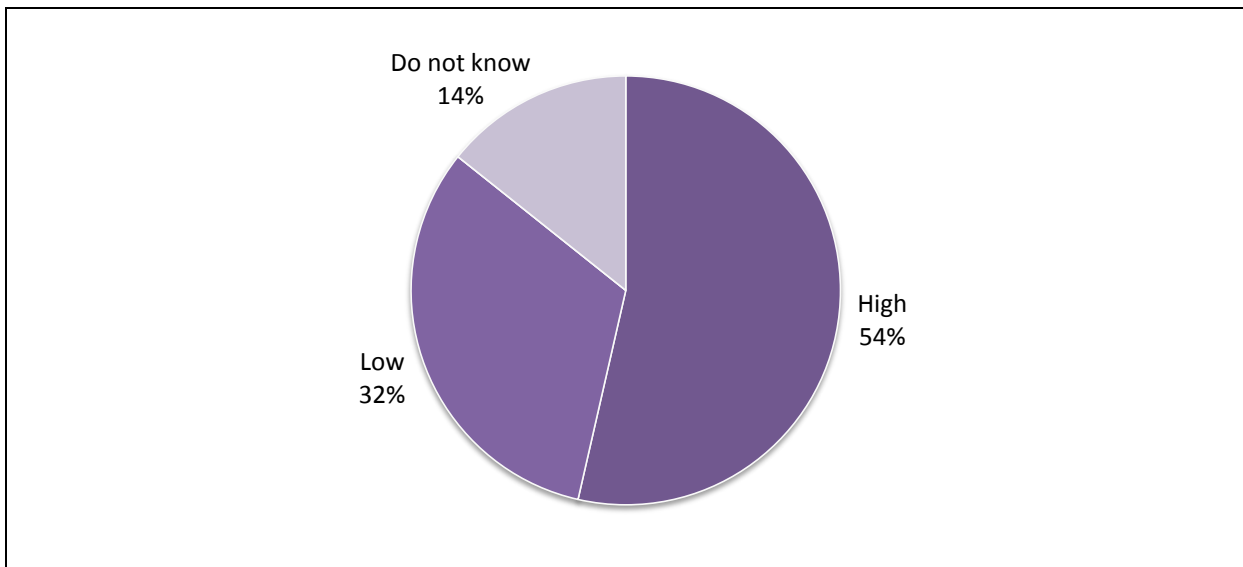
Figure 9 EUD assessment of the extent to which the design of all specific EU supported interventions related to ENV & CC in their countries were based on a thorough analysis of the partner country's specific context?



Source: EUD survey

Moreover, as can be seen in the figure below, over 50% of the EUDs find that the interventions were well adapted to the capacity of the implementing organisations.

Figure 10 In your view, how would you rate the extent to which these EU supported interventions in relation to ENV & CC were adapted to the implementing organisations' capacity?



Source: EUD survey

This is not surprising, since alignment with national priorities is a key principle for EU in relation to its geographic instruments. The CSPs are intended to take departure in national development plans and dialogue with the partner governments, and national governments are typically the primary implementing entities for geographic instruments. Given that actions under geographic priorities are implemented within the framework and focus specified by the CSP the responsiveness to national (or regional) priorities is high. Indeed a uniform finding in all case countries visited was that Government priorities, national development/poverty reduction strategies and/or donor coordination were the main factors determining the choice of focal sectors and programmes, although in Ukraine the focal sector selected was defined in Brussels (see I-112). At the same time, EU support was sometimes looking ahead of current policies and priorities, e.g. in Egypt where indicators on sustainable development were introduced to and stimulated change, and the EU country strategy became even more relevant as Egypt's policy priorities shifted towards resource efficiency. Similarly, in Bolivia indicators on sustainable service delivery were introduced for the budget support.

A quick check done on a small sample of countries during the desk review, to check whether alignment with national priorities is achieved practice in relation to environment and climate change, by comparing CSPs with national development or environmental plans/policies also confirmed that the CSPs are aligned with national priorities, no cases of the contrary were found. Table 2 under I-112 further confirms that the CSPs respond to identified environmental needs in the partner countries.

Table 5 CSPs and alignment with national priorities (sample)

Country	CSP sector	CSP reference to national policy	National development strategy	Aligned
Ukraine	Infrastructure dev't, incl. in env and energy sectors	Briefly refers to the Ukraine National Strategy for the Environment, but not the priorities. Refers to capacity constraints affecting implementation and enforcement of legislation	Energy features prominently in the National Environmental Policy ²⁷ , e.g. relation to energy efficiency and pollution	Yes
Egypt	Sustainable dev't process, incl. env'l policies and NRM (water, waste, energy, env governance reform and civil society)	Refers to National Environmental Action Plan, priorities incl. water and waste. Also refers to Egypt's renewable energy target	(draft) National Environmental Action Plan has water, waste and energy among the key areas it covers ²⁸	Yes
Ghana	NRM (incl. FLEGT)	Refers to the Growth and Poverty Reduction Strategy, but not in relation to environment or NRM	Ghana's Poverty Reduction Strategy mentioned natural resource restoration in several places, incl. forest management ²⁹	Yes
Pakistan (desk study only)	Rural dev't and NRM in NWFP	Reference to PRSP, National Environmental Policy and Medium-Term Development Framework and key env issues they identify. Natural resource degradation major issue in rural areas	PRSP II (2007) does not mention climate change; environment is mentioned but is not prominent. ³⁰ National Sustainable Development Strategy (2012) emphasises env sustainability, and has numerous references to env, CC and natural resources ³¹	Yes
China	Env, energy and CC	Reference to 12 th 5-year plan	12 th 5 year plan has several	Yes

²⁷ National Environmental Policy of Ukraine: assessment and development strategy, 2007

²⁸ The National Environmental Action Plan of Egypt 2002/17, Environment at the Center of Modernizing Egypt, Draft, December 2001

²⁹ Government of Ghana, National Development Planning Commission (NDPC): Medium-Term National Development Policy Framework: Ghana Shared Growth and Development Agenda (GSGDA), 2010-2013, December 2010

³⁰ Ensuring a Demographic Dividend: Unleashing Human Potential in a Globalized World, Draft Summary of the Poverty Reduction Strategy Paper-II April 25, 2007

³¹ Government of Pakistan, Ministry of Climate Change National Sustainable Development Strategy: Pakistan's Pathway to a Sustainable & Resilient Future, June 2012

Country	CSP sector	CSP reference to national policy	National development strategy	Aligned
		and environment and energy policies. Refers to existing EU-China dialogue and cooperation on energy and environment	references to environment across sectors and defines targets for increasing non-fossil fuel use and reduced energy consumption ³²	
Tonga (desk study only)	Energy (renewable)	Refers to the National Environment Management Strategy, which promotes renewable energy	One of the 11 strategies in the Tonga Strategic Development Framework focuses on renewable energy ³³	Yes

For the 2014-18 programming period, this alignment with national priorities has been further emphasised; CSPs were not prepared – instead, the NIPs were based directly on national development strategies.

The 2011 monitoring report for the NREG programme in Ghana found it highly relevant thematically for the Ghana Poverty Reduction Strategy [2006-2009] and the successor Ghana Shared Growth and the Development Agenda (2010-2013). However, it also found that due to a) the lack of a sector policy, b) problems with formulating and implementing annual and medium term plans, c) poor inter-ministerial coordination, d) lack of an M&E system and e) capacity constraint, the basis upon which an SPSP was started was too weak and thus reducing the programme's relevance.³⁴ The Government of Ghana strongly promoted that donors provided support for the environment sector through NREG. Similarly, the significant progress on FLEGT, where Ghana is expected to be the first country to export certified timber shows that this support is well in line with national priorities.

The relevance of EU geographic actions is also confirmed by two reviews carried out of energy actions in China. In 2013, the mid-term review of the ICARE (China-EU Institute for Clean and Renewable Energy) found that "ICARE is coherent with the CRE [clean and renewable energy] policy of the 12th Five Year Plan and long-term renewable energy and CO₂-intensity goals until 2020"³⁵. The 2012 mid-term review of the EC2 (Europe-China Energy Clean Centre) provided an assessment of EC2's relevance to both national priorities and national needs. It found that the development of project activities took guiding documents from the National Energy Administration (NEA) and the strategic guidelines of the 11th and 12th Five Year Plans into account. It was also found that activities over time had become more focused and followed a bottom-up approach and became fully compliant with, and supportive of, Chinese clean energy policies and responded to stakeholder demands. Methodologies, tools and recommendations were all found to be based on a careful analysis of the Chinese needs and challenges.³⁶ The visit to China confirmed that the programming under geographic instruments was clearly took national needs and priorities into account, even if they at times went beyond priorities and practices at the time of programming, and projects were in general formulated in close cooperation with the relevant national institution.

In Kenya, the focus of actions under the agriculture and rural development sector on climate change adaption in arid and semi-arid lands even it did not figure prominently in the CSP, was a response to government prioritisation. Similarly, the upcoming Water Towers programme was formulated by the government. In Rwanda, most of the support is provided as budget support for the implementation of the Government's overall and sector development plans.

However, in Ukraine the sector budget support implementation was constrained by some priority-related issues: a) the Environmental Action Plan developed with EU support contained as many as 280 actions, but there was not ranking/prioritisation of their relative importance, which made it difficult to focus EU support; b) frequent changes within the Ministry of Environment and Natural Resources (five different ministers during 2007-2013) and a recent dissolving of the responsible agency for the implementation of the Environmental Strategy and Action Plan. Another issue found in Ukraine was that while SBS support for the energy sector supported the national priority of reducing energy de-

³² Full translation of the 12th Five-Year Plan 2011-2015, China

³³ Kingdom of Tonga, Ministry of Finance and National Planning Nuku'alofa: Tonga Strategic Development Framework (TSDF) 2011 – 2014, 2011

³⁴ Monitoring Report, Natural Resource and Environmental Governance (NREG), CRIS number D-021678, March 2010

³⁵ Mid-term Evaluation of the Project EU-China Institute for Clean and Renewable Energy (ICARE), Final Report Project No. 2013/320644 – Version 1, 2013

³⁶ Mid-term Evaluation of the Europe China Clean Energy Centre (EC2) project, Specific contract No2012/297247 Under the Framework Contract EuropeAid/127054/C/SER/multi, 2012.

pendency on Russian gas by giving economic incentives to households to replace natural gas-based heating systems with other types of systems including systems using electricity, oil and coal, this support was directly counter-productive to the EU priority of achieving energy efficiency.

ENRTP: By design, ENRTP as a thematic programme was intended to be complementary to the geographic instruments and focus on global challenges and EU's priorities and goals. Hence, ENRTP mainly worked on global environmental and climate change concerns and had international organisations as the primary implementing partners rather than national governments, which thus usually did not have a say in the formulation of projects under ENRTP³⁷, although Delegations and stakeholders were consulted. The field visits confirmed that this was still the case; EUD's in general only had a limited involvement in ENRTP funded actions, with the exception of GCCA, FLEGT, and involvement in the assessment of proposals received in response to ENRTP calls. Moreover, it can be a challenge to ensure national ownership of regional programmes; the initial set of objectives of the Green Economy and Social and Environmental Entrepreneurship in Africa Project were not found by Egyptian stakeholders to be fully suitable for Egypt of North Africa.

The majority of actions were global actions and hence the alignment of these with national priorities appears less important than alignment with international agreements, and the 2009 MTR of ENRTP found that the global actions were well aligned with MEAs, not least since many were implemented by UN agencies. Nonetheless, a number of ENRTP actions were at the regional or national levels, and even a number of global programmes had country-level activities. The ENRTP MTR found that the alignment of these with national priorities was less straightforward; full alignment with national priorities was not guaranteed, but that was not necessarily seen as a fault, given that ENRTP projects were often of an innovative nature and hence tackling topics that perhaps had not yet been included in government policies. An example given in the MTR report was that one ENRTP aim was to mainstream environment in countries where this was not yet part of the national strategies and therefore not necessarily fully aligned with national priorities. Another example given was that national environment and biodiversity strategies were usually not updated on a frequent basis and quite old, whereas MEA strategies were generally more recent, so ENRTP played a role in a) helping countries in ensuring compliance with MEAs and b) piloting new issues and creating awareness, rather than supporting the implementation of the old policies.³⁸ The field visit to Bolivia found that the projects selected under the ENRTP calls for proposals were often implemented by NGOs and not necessarily in line with government priorities but rather testing alternative approaches, e.g. in relation to payments for environmental services with local participation.

Hence, the MTR found that the preference given to MEAs and innovation rather than national strategies was justifiable, even if this preference was not fully in line with the Paris Declaration. An example found which justified the ENRTP approach, was energy, where national policies in 2009 often focused on energy security, but not so much on sustainability or environmental aspects; so ENRTP actions reflected EU priorities and UNFCCC commitments rather than national policies.³⁹

However, the MTR also found that this sometimes resulted in a perception of ENRTP as being top-down with an insufficient stakeholder consultation and consideration to national priorities, and thus a need for a more comprehensive stakeholder dialogue; although the MTR also stressed that for some projects, such as GCCA, CCS (Carbon Capture and Storage) and GEEREF, there was a good dialogue⁴⁰. The recent global GCCA evaluation confirmed that actions addressed national priorities very well: "*In all instances, GCCA has responded to an actual demand for support as expressed by beneficiary countries, both in terms of promoting dialogue and enabling negotiations and of supporting tangible action.*"⁴¹

There are some examples of ENRTP support projects, which carefully take national contexts into consideration, such as the UNDP-UNEP PEI, which focuses on national processes and carefully identifies entry points/windows of opportunities for strengthening mainstreaming and develop is country projects based on this; as a result there are significant differences in the scope and focus of different PEI country projects. Another example of an ENRTP action strongly aligned with national priorities is the UNDP implemented *Provincial Programmes and Actions for Climate Change Mitigation & Adaptation in China*, which focused on translating *China's National Climate Change Programme (NCCP)* into imple-

³⁷ See EQ10, JC101, I-1011.

³⁸ ENRTP MTR 2009.

³⁹ ENRTP MTR 2009.

⁴⁰ ENRTP MTR 2009.

⁴¹ Evaluation of the Global Climate Change Alliance (GCCA), Global Programme, World-Wide, Final Report (2nd revised Draft), 19th September 2014

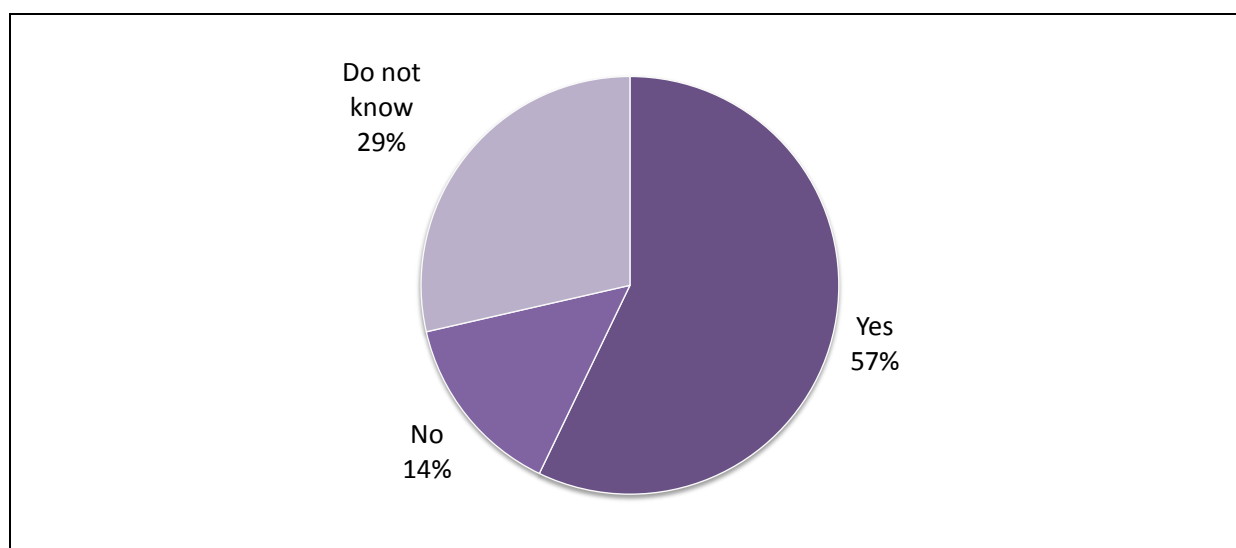
mentable local level plans, strategies, institutional frameworks and implementation capacities⁴². ENRTP support for Ghana through the UNDP LECB, the UNEP Green Economy and Social and Environmental Entrepreneurship in Africa Project and the PAGE project was well aligned with the country's mitigation and green economy efforts. Indeed, participation in PAGE is always based on requests from the government. ENRTP support for vulnerable ecosystems and steppe biodiversity on Ukraine were well aligned to country needs and conditions. The regional programmes that covered Bolivia were initiated in response to the EU-LAC Lima Declaration from 2008.

1.2.3 I-123. Evidence that the EU interventions have triggered processes whereby the socio-economic importance and development perspective of environment and climate change is better understood and reflected in policies

Description: This indicator is closely related to I-113, as it assesses the engagement of EU in supporting/strengthening national policy processes. However, where I-113 focuses on policy dialogue, this indicator focuses on the role of programmes and projects, although, as described under I-113, a clear delineation between policy dialogue and programmes/projects can be difficult to make. Moreover, I-113 looks at the prioritisation of environment (the “why it is important to prioritise environment and climate change” question), whereas this indicator more looks at the support provided to strengthen the way environment and climate change considerations is addressed in policies (the “how environment and climate change should be addressed” questions).

Findings: As the figures below show, the majority of EUDs responding to the survey found that ENRTP has at least to some extent triggered processes that ensured a better understanding and policy reflection of environment and climate change (50% of those responding yes found a high level of influence while 50% only found a low level), but none of the EUDs provided concrete examples/evidence of this.

Figure 11 *In your view, to what extent has EU support given through ENRTP triggered processes whereby climate change issues are better understood and reflected in national policies? Issues of climate change are reflected in national policies, at least to a certain extent*



Source: EUD survey

Several programmes and projects specifically aim at supporting policy processes and as mentioned under I-113 a number of interventions included policy dialogue elements. In relation to biodiversity, the analysis for EQ4 found that prior to 2010 most of the support oriented towards strengthening national policies was directed via ENRTP to UNEP and MEA Secretariats; whereas the support through geographic instruments had been limited and with limited impact on the NBSAP and other biodiversity strategies.

⁴² Provincial Programmes and Actions for Climate Change Mitigation & Adaptation in China, Monitoring Report, MR-126000.02, Nov 2011.

In 2013, a review of the grants provided under ENRTP stated “*the most important finding in this regard is that most projects tend to have an influence on policy*”. The review also found that in some cases policies were changed or adapted as a result of the ENRTP support, for example through the integration of ENRTP topics in the legal framework via policies, action plans, and regulations. The most significant areas where policy influences were seen were in relation to biodiversity, FLEGT and climate change⁴³. However, for most of actions the documentation available only to a limited extent describes the content-wise changes these programmes have contributed to, and often such reference is mainly made to changes in the technical contents of environment and climate change policies, rather than changes in the linking of environment and economic development in development policies. The following provides some examples of actions, which have addressed policy formulation.

As mentioned under I-113, joint donor action in Tonga led to the *Tonga Energy Road Map 2010-2020* policy document⁴⁴. Also mentioned under I-113 was the EU and China cooperation on the preparation of a National Biodiversity Strategy and Action Plan for China under the EU-China Biodiversity Programme⁴⁵.

China-EU Institute for Clean and Renewable Energy (ICARE) was found by the 2013 MTR to have added value by increasing knowledge in China about EU clean and renewable energy policy and policies and environmental regulations. Moreover, ICARE was found to have the potential to have a positive impact on China’s energy policies, and the reaching of national renewable energy goals, but the institute is still young, so the impacts still remain to be seen.⁴⁶

The *Integrating Climate Change into Vulnerable Ecosystems Management: natural parks in wetlands and forest areas* project in Ukraine supported the development of local climate action plans (LCAPs) contributed to improving the integration of climate change in sub-national environmental policies.⁴⁷

Another intervention in China, which has the potential to have an important impact on policy is the FAO implemented *Supporting Policy, Legal and Institutional Frameworks for the Reform of Forest Tenure in China’s Collective Forests and Promoting Knowledge Exchange* project. The ROM mission in 2011 found that forest land regulation in China lacked uniformity and efficiency that “*would not only ensure better management of forests but in turn increase the economic opportunities of millions of people*”, so that the potential impact was significant, but this would require that the guidelines/regulations produced were reviewed and accepted for replication by the relevant ministries. The final policy results of the project are not clear from the available documentation.⁴⁸

The EUEI Partnership and Dialogue Facility (EUEI-PDF) (2010-2012) provided support to Sub-Saharan African countries to design policies and regional, national and sub-national strategies for investments in improved energy access, in line with AU-NEPAD short-medium term action plans. The support comprised dialogue activities, supplemented by thematic studies on critical energy access topics. The action was anticipated to establish the appropriate dialogue framework for further coordination of the various activities at national level with the energy strategy established at continental level but the current status is not known to the evaluation team.⁴⁹

⁴³ Review of the grants awarded under the calls for proposals financed from the Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP), October – December 2013.

⁴⁴ EAMR, Jul 2010, Tonga.

⁴⁵ Development Cooperation Instrument, People’s Republic of China, Mid-Term Review, National Indicative Programme 2011-2013. EAMR 2010, China.

⁴⁶ Mid-term Evaluation of the Project EU-China Institute for Clean and Renewable Energy (ICARE), Final Report Project No. 2013/320644 – Version 1, 2013.

⁴⁷ Thematic Programme for Environment and sustainable management of natural resources, including energy, Restricted Call for Proposals 2009, Title of the action: Integrating Climate Change into Vulnerable Ecosystems Management: natural parks in wetlands and forest areas (Ukraine), Final Narrative Report, Project Number: C-221010, EuropeAid/128320/C/ACT/Multi, 2013.

Monitoring Report, Integrating Climate Change into Vulnerable Ecosystems Management: natural parks in wetlands and forest areas (Ukraine), MR-142688.02, January 2013.

⁴⁸ Monitoring Report, Supporting policy, legal and institutional frameworks for the reform of forest tenure in China’s collective forests and promoting knowledge exchange, MR-139641.01, April 2011

⁴⁹ <http://www.euei.net/activities#euei-pdf>

Action Sheet D for the EUEI in Africa, Under Priority 2 of the ENRTP: EUEI Continued support to the Partnership Dialogue Facility (2010-2012) (Ref.: 219569) – Africa-EU energy partnership
2008 Annual Action Programme implementing the “Thematic Strategy Paper for the Environment and Sustainable Management of Natural Resources, including Energy (ENRTP) for the period 2007-2010” for the Development Cooperation Instrument

In DRC, EU funding contributed to the development of DRC's Growth and Poverty Reduction Strategy Paper (2011-2015), which included an environmental and climate change pillar.

Other policy-oriented interventions have been identified under EQ4, but the actual results and outcomes are not known. These include support for the development of policies on community forest rights in Ethiopia. EQ4 also describes that sector budget support to Bolivia had policy elements (e.g. finalisation and approval of a law on protected areas, development of other legal instruments and on the sustainable financing of biodiversity conservation), but the progress was limited, especially on the financing; one reason for this being a lack of political will.

The 2006-2009 PRSP for Ghana saw environment as a crosscutting issue, which was briefly mentioned in connection with a number of sectors (e.g. mining, good governance, industry, transport, energy, tourism). For agricultural modernisation, environment including climate change was one of nine priority areas, and environment was also a priority area for WASH. Climate change in general did not feature prominently in the PRSP. In the subsequent GSGDA (Ghana Shared Growth and Development Agenda) for 2010-13, both environment and climate change figured more prominently than in the PRSP, and more specific measures for addressing environment and climate change issues were provided. It is noticeable that 20% of the agricultural budget in the GSGDA was earmarked for natural resource management, even if the overall budget for environment remained small. It is not possible from the available documentation to assess how much EU programmes have contributed to the increased prominence given to environment, but EU provided funding for the NREG (Natural Resource and Environmental Governance) Sector Policy Support Programme, which provided broad support for environmental governance, policy action through sector budget support.⁵⁰ The most notable policy and governance results from NREG are the new national policies on climate change and on environment, and the introduction of the reportedly well-functioning Akoben system for assessing the environmental compliance. Another example of EU triggering a policy and governance process is PADP (Protected Areas Development Programme), which enabled Ghana to develop and rollout the CREMA community-based approach to biodiversity conservation outside protected areas. The FLEGT programme has been instrumental for improving forest governance in Ghana and making it more transparent.

In China, the ENRTP funded, UNDP implemented *Provincial Programmes and Actions for Climate Change Mitigation & Adaptation in China* programme had the objective "to support the Government of China in translating its National Climate Change Programme into on-the-ground action by developing local policies, institutional frameworks, partnerships and implementation capacities". However, while it had the intention to influence local level policies and frameworks, one year before its scheduled completion date, it was found to suffer from serious problems due to design and implementation modality shortcomings, staff turnover and lack of funds for translation services. As a result, the communication between government and UNDP/EU was weak, and the project was implemented by the national partner as a series of activities in isolation from the larger context.⁵¹

The objectives of the Europe-China Energy Clean Centre (EC2) included enhancing the policy-making capacity of Chinese officials and providing proposal for policy-making, energy planning and energy reform. EC2 was preparing a policy knowledge database to provide an up-to-date knowledgebase on policy measures in the EU and in China relevant for clean energy technologies (the status of this database is not known, but it was delayed due to postponement of the Chinese contribution), carrying out training activities on implementation of policies, regulation and standards, and providing policy advice through articles, studies and seminars. However, the project did not perform as expected, some training seminars and advisory reports did not live up to expectations and the mid-term evaluation found that the project had not achieved its objectives of enhancing the policy-making and implementing/enforcement capacity of Chinese officials. Moreover, since EU development aid is phased out in China, EC2 in the future will be fully financed by China, and may not cover the promoting of EU collaboration at the policy and technological levels⁵². The subsequent ROM mission found that activities were on hold due to disagreement between partners on the project's direction and funding, which was

⁵⁰ Monitoring Report, Natural Resource and Environmental Governance (NREG), CRIS number D-021678, March 2010, Ghana;

The NREG mid-term review report, 2010

⁵¹ Monitoring Report and Background Conclusion Sheet, MR-126000.02, Provincial Programmes and Actions for Climate Change Mitigation & Adaptation in China, C-149680, November 2010

⁵² Mid-term Evaluation of the Europe China Clean Energy Centre (EC2) project, Specific contract No 2012/297247 Under the Framework Contract EuropeAid/127054/C/SER/multi, 2012

found to seriously hamper the delivery of EC2's overall objective *"to support China in its efforts to shape a more sustainable, environmentally friendly and efficient energy sector"*⁵³.

In Kenya, the long-standing support provided by EU for the Community Development Trust Fund, which has supported communities in arid and semi-arid lands appears to have been a contributing factor to the attention now given to CC adaptation by the Government.

Rwanda is a special case, where the Government is giving high priority to the integration of environmental sustainability and climate change resilience into its national economic development agenda. This commitment cannot be attributed to EU support, but EU has funded actions, which have contributed to this process, such as the ENRTP funded UNDP-UNEP Poverty-Environment Initiative (PEI) which has provided support for the development of the Ministry of Economy and Finance's guidelines to sector and subnational planning and budgeting, as well as for the integration into the Economic Development and Poverty Reduction Strategy. Moreover, EU support for the first SEA in Rwanda has inspired the Government to commit itself to carry out SEAs for all policy and programme development.

In Egypt, the direct link between EU interventions and processes linking environment and climate change to economic development related policies is less easy to establish, although it could be argued that the creation of attractive feed-in tariffs and power purchase agreements, which triggered private sector interest in renewable energy were partially in response to EU interventions.

EU has in Bolivia supported the development of an Integrated Plan for Environment and Water (not approved yet) which seeks to operationalise an integrated and territorial approach to natural resource management and development.

The EUD in Tunisia reported in the survey that EU support helped improving national legislation and made government structures more self-reliant and transparent, but it is not clear which policies or government institutions they refer to or what the areas of improvements were.

External factors: While a several EU funded actions have the intention of strengthening policies, especially at the national level, the actual ability to influence policy varies, and the ability to achieve policy results are highly dependent on the local context, in terms of government buy-in, institutional setup and capacity, and understanding of the project, as illustrated by the above-mentioned examples. The review of ENRTP grants confirms this impression and found that the influence of projects tended to be bigger if a) local partners are actively involved and ownership is ensured, b) grant recipients are experts in the topics covered, c) synergies are obtained with other actors in the same field, d) project build on previous experience, d) that projects work at multiple levels and with multiple actors, e) that the projects have the support of key stakeholders at national and local levels prior to applying for funding⁵⁴.

While EU support has contributed in many countries to improving environmental and climate change policy so that many countries have a good policy framework, the actual implementation of these policies is often insufficient due to insufficient government priority; as found by stakeholders in Ghana and Kenya. In Rwanda on the other hand, the Government is strongly committed to the implementation of environment policies as evidenced by the requirement that sectors address environment and climate change issues in the sector and sub-national planning and budgeting, but capacity constraints remain an obstacle for effective implementation.

1.3 JC13. Level of inclusion of environment and CC in EU policies and strategies with third countries and regions

1.3.1 I-131. Evolution of specific references and consideration of Environment and Climate change in overall development policy documents related to cooperation with third regions and countries

Description: EU policies provide the strategic framework, which defines EU's positions in international environmental and climate governance processes, as well as the priorities vis-à-vis its environment and climate change related development assistance. This indicator assesses the evolution of EU positions on environment and climate change in its development assistance during the period under evaluation.

⁵³ Monitoring Report, EU-China Clean Energy Centre, MR-143722.02, CRIS no D-019218, December 2013

⁵⁴ Review of the grants awarded under the calls for proposals financed from the Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP), October – December 2013

Findings: Numerous EU policy documents address environment and climate change into development in relation to EU external actions. The following will provide a brief analysis of the main trends, based on the policy overview provided in Volume 3 Annex 3, where a more detailed account of the contents of the policy documents is provided.

The influence of multilateralism on EC development policy in relation to environment and climate change

EU is giving high priority to multilateralism and international agreements in general and in its development assistance, and several EC policies are specifically addressing EU objectives vis-à-vis international agreements. The relevant policy documents identified are listed in the tables below; Volume 3 Annex 3 provides a brief description of the environment and climate change context of each document.

The Millennium Development Goals (MDGs) are a particularly central element in this regard.

Table 6 EU policy documents with a focus on the MDGs and reference to environment and climate change

Year	Title	Document reference
2005	<i>European Union's contribution to speeding up progress towards the Millennium Development Goals</i>	COM(2005) 132 final/2
2005	<i>Accelerating progress towards attaining the Millennium Development Goals – Financing for Development and Aid Effectiveness</i>	COM(2005) 133 final
2005	<i>Policy Coherence for Development – Accelerating progress towards attaining the Millennium Development Goals</i>	COM(2005) 134
2005	<i>The European Consensus on Development (ECD)</i>	Council of the European Union Brussels, 22 November 2005 DEVGEN 229 RELEX 678 ACP 155
2008	<i>The EU – a global partner for development, Speeding up progress towards the Millennium Development Goals</i>	COM(2008) 177
2009	<i>Policy coherence for Development – Establishing the policy framework for a whole-of-the-Union approach</i>	COM(2009) 458
2009	<i>Millennium Development Goals – Impact of the Financial Crisis on Developing countries</i>	SEC (2009) 0445
2010	<i>A twelve-point EU action plan in support of the Millennium Development Goals</i>	COM(2010) 159
2010	<i>Green paper: EU development policy in support of inclusive growth and sustainable development. Increasing the impact of EU development policy</i>	COM(2010) 629 final
2011	<i>Increasing the impact of EU Development Policy: an Agenda for Change</i>	COM(2011) 637
2013	<i>A decent life for all: Ending poverty and giving the world a sustainable future</i>	COM(2013) 92

In 2005, environment and climate change in the context of accelerating the achievement of the MDGs figured quite prominently in EU policy documents, culminating with the adoption of the European Consensus on Development (ECD). The key positions in the context of the MDG, poverty reduction and sustainable in 2005 included:

- Leading global efforts to curb unsustainable consumption and production patterns;
- Assisting developing countries in implementing MEAs – e.g. by assuming a leading role in CBD implementation;
- Promotion of pro-poor European and international initiatives, i.e.: FLEGT, EUWI and the ACP-EU Water Facility, EUEI and the ACP-EU Energy Facility;
- Sustainable management of natural resources (e.g. UNCCD implementation), also in economic sectors (e.g. agriculture);
- Combatting climate change.

The policies in 2005 showed an early intention of EU to promote a green economy before this concept became prominent in the international discourse. They also framed environment and climate change in the development context and promoted integration/mainstreaming of environmental concerns in other sectors.

In 2008-2009, climate change was given further prominence as one of five priority issues to be addressed in the context of achieving the MDGs. Renewable energy was given prominence (especially biofuels), and both climate patterns and biodiversity were now seen as global public goods, which are preconditions for economic development.

In 2010, an EU action plan for the MDGs was prepared with concrete actions, including a proactive Work Programme on Policy coherence for development with concrete targets and indicators with climate change as one out of five global challenges. Emphasis was on addressing climate change and interlinked environmental issues such as biodiversity and land/ecosystem degradation. Synergies between climate, energy and development policies were sought, with a focus on reducing social and environmental risks associated with biofuels (incl. establishing a monitoring system for the impact of the EU biofuel policy). The work programme also intended to facilitate developing countries' access to low-carbon and climate-resilient technologies (e.g. through GEEREF), and supporting their access to international carbon markets, e.g. through CDM capacity building. For adaptation, the priority was given to LDCs, SIDSs and African countries. The work programme promoted mainstreaming into development policies of both climate change and biodiversity (in the context of food security), but also called for additional resources.

In 2011 the *Agenda for Change* stressed the need to address vulnerability to climate change and natural resource degradation and their socio-economic impacts. Moreover, it explicitly promoted the green economy concept, and viewed climate change as one of three key challenges to address in the energy sector.

Following the Rio+20 Summit in 2012, EU policy attention was on the post-2015 Sustainable Development Goals (SDGs). *A decent life for all: Ending poverty and giving the world a sustainable future* from 2013 elaborates that environment is one of three dimensions of sustainable development (the other being social and economic sustainability) and the need for the new SDGs to incorporate all three dimensions. Sustainable NRM is proposed by EU as one of the five priority elements for the overarching framework.

Hence, EU policies in relation to the MDGs have:

- Been highly supportive of the MDG agenda, including MDG 7 (environment);
- Emphasised the need to address environmental issues in the context of economic development and the role environmental services play;
- Focused on sustainable consumption and production for several years, de-facto embracing the green economy before it became a prominent concept;
- Prioritised biodiversity and sustainable NRM;
- Over time significantly increased on climate change;
- Emphasised the linkage between climate change and other environmental issues;
- Promoted the integration/mainstreaming of environment and over time also climate change into other sectors, broader poverty reduction and economic development strategies, and EU-partner policy dialogue.

The Rio Conventions, especially UNFCCC (and the Kyoto Protocol) and CBD, are key environmental agreements, which have influenced EU policies on environment and climate change. UNCCD is figuring less prominently in the international discourse as well as in EU policies.

UNFCCC and climate change is referred to in several EU policies (see the table below).

Table 7 EU policy documents with a focus on UNFCCC

Year	Title	Document reference
1999	European Council, 11 November, Brussels	Development Council Conclusions
2002	<i>Sixth Community Environment Action Programme</i>	Decision No 1600/2002/EC
2003	<i>Climate change in the context of development cooperation (and its EU Action Plan on Climate Change)</i>	COM (2003) 85
2005	<i>The European Consensus on Development (ECD)</i>	Council of the European Union Brussels, 22 November 2005 DEVGEN 229 RELEX 678 ACP 155
2005	<i>Winning the Battle Against Global Climate Change</i>	COM (2005) 35
2007	<i>Limiting Global Climate Change to 2 degrees Celsius. The way ahead for 2020 and beyond</i>	COM (2007) 2

Year	Title	Document reference
2007	<i>Building a global climate change alliance between the European Union and poor developing countries most vulnerable to climate change</i>	COM (2007) 540
2009	<i>Towards a comprehensive climate change agreement in Copenhagen</i>	COM (2009) 39
2011	Joint EEAS-EC Reflection Paper: <i>Towards a renewed and strengthened EU climate diplomacy</i>	
2011	Council Conclusions on EU Climate diplomacy	3106th Foreign Affairs Council meeting, Brussels, 18 July 2011

The European Council has since 1999 recognised the need to include climate change in its development cooperation, with a focus on climate change mitigation/emissions reductions in relation to land cover (forests, land degradation), and emphasising policy dialogue as well as mainstreaming climate change in EU's development assistance. In 2002, EU included climate change as a priority area in its Sixth Environment Action Programme, within EU as well as in external relations; and both CDM (mitigation) and climate change adaptation was mentioned.

In 2003, a climate change action programme with targets, timetables and indicators was published with the purpose to support national implementation of UNFCCC and the Kyoto Protocol. It was recognised that climate change was not a priority in partner countries and awareness creation was emphasised, and the document called for full mainstreaming into EU development assistance. The four priorities were raising the profile of climate change, mitigation, adaptation, and capacity building; these priorities were adopted by the European Council in 2004.

Two years later, the above-mentioned European Consensus on Development (ECD) had climate change as a priority area, with an emphasis on the EU action Plan on Climate Change and putting adaptation as a central theme for cooperation with LDCs and SIDSs. The same year the *Winning the Battle Against Global Climate Change* document focuses on low emissions technology cooperation, supporting climate change policy development and strengthening adaptation capacities.

In 2007, the need for developing countries to curb their emissions (e.g. from deforestation) was emphasised, and options for this were presented: expanding CDM and emission trading to the sectoral level, improved access to finance from different sources, and quantified emissions limits.

The Global Climate Change Alliance (GCCA) programme was launched in 2007 to support LDCs and SIDSs in increasing their adaptive capacities. Five priority areas were defined: adaptation measures (projects), REDD (reducing emissions from deforestation and degradation), participation in CDM, DRR (disaster risk reduction), mainstreaming of climate change in in poverty reduction.

Preparing for COP15 in 2009, EU expressed its willingness to support developing countries in reducing greenhouse emissions by 15-30% by 2020 and to adapt to climate change in the context of economic growth and sustainable development, and proposed that a global finance mechanism could be established to provide support LDCs and SIDSs.

In 2011, the European Council decided to step up EU climate diplomacy efforts to strengthen EU's profile in the relations with third countries and regions. It is proposed to develop a toolbox for EU climate diplomacy to support the achievement of a binding global climate agreement in 2015. Three strands for diplomacy were identified: a) including climate change as a strategic priority in diplomatic dialogues, b) strengthening the communication on EU's support globally and in partner countries and further integrating climate change in the aid portfolio, and c) strengthening EU's narrative on the climate change, security and development nexus in bilateral dialogues and broader outreach.

The large number of policy documents covering climate change and development cooperation demonstrates the priority EU gives to UNFCCC with a focus on how climate change relates to economic development and poverty reduction and therefore the mainstreaming of climate change into the development agenda, policies and implementation. Over time, the policies have evolved focusing primarily on curbing emissions to increasingly addressing the adaptation challenge in vulnerable countries. Financing for adaptation and mitigation in developing countries received increased prominence on the agenda in 2009, reflecting the priorities of developing countries. In the light of the limited results achieved at COP-15 in Copenhagen in 2009, focus from 2011 has been on facilitating the reach of a globally binding agreement in 2015, by stepping up EU's climate diplomacy efforts at global level and in bilateral discussions with partner countries.

CBD has not figured as prominently in EU policies as UNFCCC; as shown in the table below, the number of policies related to CBD is much lower and with 5-8 years between each policy.

Table 8 EU policy documents with a focus on CBD

Year	Title	Document reference
1998	<i>European Community biodiversity strategy</i>	COM (1998) 42
2006	<i>Halting the loss of biodiversity by 2010 – and beyond – Sustaining ecosystem services for human well-being</i>	COM (2006) 216
2011	<i>Our life insurance, our natural capital: an EU biodiversity strategy to 2020</i>	COM (2011) 244

In 1998, CBD led to the adoption of the *European Community biodiversity strategy*, which had the objective to tackle the root causes of biodiversity loss and prevent significant losses of biodiversity. The strategy focuses on four themes: a) conservation and sustainable use of biodiversity, b) sharing of benefits derived from genetic resources, c) generation and sharing of information, and d) awareness raising and capacity building. The strategy was replaced in 2006 by the *Halting the loss of biodiversity by 2010 – and beyond – Sustaining ecosystem services for human well-being*, which contained four policy clusters, including:

- a) Strengthening international biodiversity and ecosystem governance, strengthening the support for biodiversity in EU external assistance, and reducing the impact of international trade on global biodiversity and ecosystem services;
- b) Curbing greenhouse gas emissions to reduce future pressure on biodiversity, and minimizing potential damage to biodiversity arising from climate change adaptation and mitigation measures.

A new biodiversity strategy, *Our life insurance, our natural capital: an EU biodiversity strategy to 2020*, was adopted in 2011. Four actions are defined:

1. Reducing indirect drivers of biodiversity loss, incl. ex-ante trade sustainability impact assessments and ex-post evaluations, and including in new trade agreements a chapter on sustainable development with substantial environmental provisions of importance in the trade context incl. on biodiversity goals;
2. Mobilizing resources for global biodiversity conservation, e.g. by supporting natural capital assessments in recipient countries and the development and/or updating of National Biodiversity Strategies and Action Plans;
3. 'Biodiversity proofing' EU development cooperation, by screening development cooperation actions to minimise negative impacts on biodiversity, and undertaking SEAs and/or EIAs for actions likely to have significant effects on biodiversity;
4. Regulating access to genetic resources and the fair and equitable sharing of benefits arising from their use.

UNCCD is receiving less attention in EU policies, and no policy documents specifically related to UNCCD, desertification and land degradation were found, although a number of the above-mentioned policies include such considerations; e.g. in the context of poverty reduction or climate change. Similarly, for other (non Rio Convention) MEAs there are no specific EU policy documents, but some of the above-mentioned policy documents do consider the thematic areas they cover (e.g. chemicals and waste).

In addition to the above described policies related to international agreements, a number of other EC's policies in relation to environment and climate change guides EU development cooperation, e.g. in the context of a) sustainable development, and b) integration/mainstreaming of environmental and climate change concerns into development assistance. The table below shows some of these policies.

Table 9 Other EU policies with provisions for environment and climate change in EU development assistance

Year	Title	Document reference
2001	<i>A Sustainable Europe for a Better World: A European Union Strategy for Sustainable Development</i>	COM (2001) 264
2001	Presidency Conclusions. Goteborg European Council, June 2001	SN 200/1/01 REV 1
2002	<i>Towards a global partnership for sustainable development</i>	COM (2002) 82
2003	EU Action Plan: <i>Forest Law Enforcement, Governance and Trade</i>	COM (2003) 251
2005	Council regulation on the establishment of a FLEGT licensing scheme for imports of timber into the European Community	Council Regulation (EC) No 2173/2005
2005	<i>On the review of the Sustainable Development Strategy. A platform for action</i>	COM (2005) 658

Year	Title	Document reference
2006	<i>Communication from the Commission to the Council and the European Parliament – External Action – Thematic programme for environment and sustainable management of natural resources including energy</i>	COM(2006)20final
2008	Proposal for a Regulation of the European parliament and the Council <i>laying down the obligations of operators who place timber and timber products on the market.</i>	COM (2008) 644

The 2001 sustainable development strategy added the environmental dimension to the existing economic and social dimensions as an input to Rio+10, but with a focus on EU and EU enlargement countries only. The following year the Towards a global partnership for sustainable development communication expanded the scope to developing countries, and defined some priority objectives, such as ensuring that the loss of environmental resources are reversed by 2015, and the development of sectoral objectives in relation to water, land and soil, energy and bio-diversity. It also initiated the EUWI (water resources), EUEI (energy) and FLEGT (forest governance) initiatives, ratified the Kyoto Protocol and replenished the Global Environment Facility (GEF), and called for an EU strategy on distant fisheries. In 2003 an action plan for FLEGT was adopted in 2003 and further refined in 2005 and 2008. The 2001 sustainable development strategy was reviewed in 2005, and a consistent assessment of the impact of EU policy choices on global sustainable development was proposed and it was suggested to provide climate financing to developing countries.

In 2006, the ENRTP was initiated in the Communication from the Commission to the Council and the European Parliament – External Action – Thematic programme for environment and sustainable management of natural resources including energy. This policy was operationalised through two ENRTP Strategic papers (2007-2010 and 2011-2013).

An analysis of the EU policy framework for mainstreaming is provided in JC81/I-811; the main findings are that the emphasis on mainstreaming has over time become stronger in EU policies, with a transition from general statements towards increasingly detailed reflections on how integration relates to EU's development assistance. The policies are consistent and coherent in their promotion of mainstreaming, which is required in order to meet EU development policy goals and objectives. This means that a more comprehensive thematic approach to environment was adopted, prior to 2006 thematic environment support was provided through two budget lines covering environment and forests, the LIFE-Third Countries Programme, and a budget line for voluntary EU contributions to MEAs.

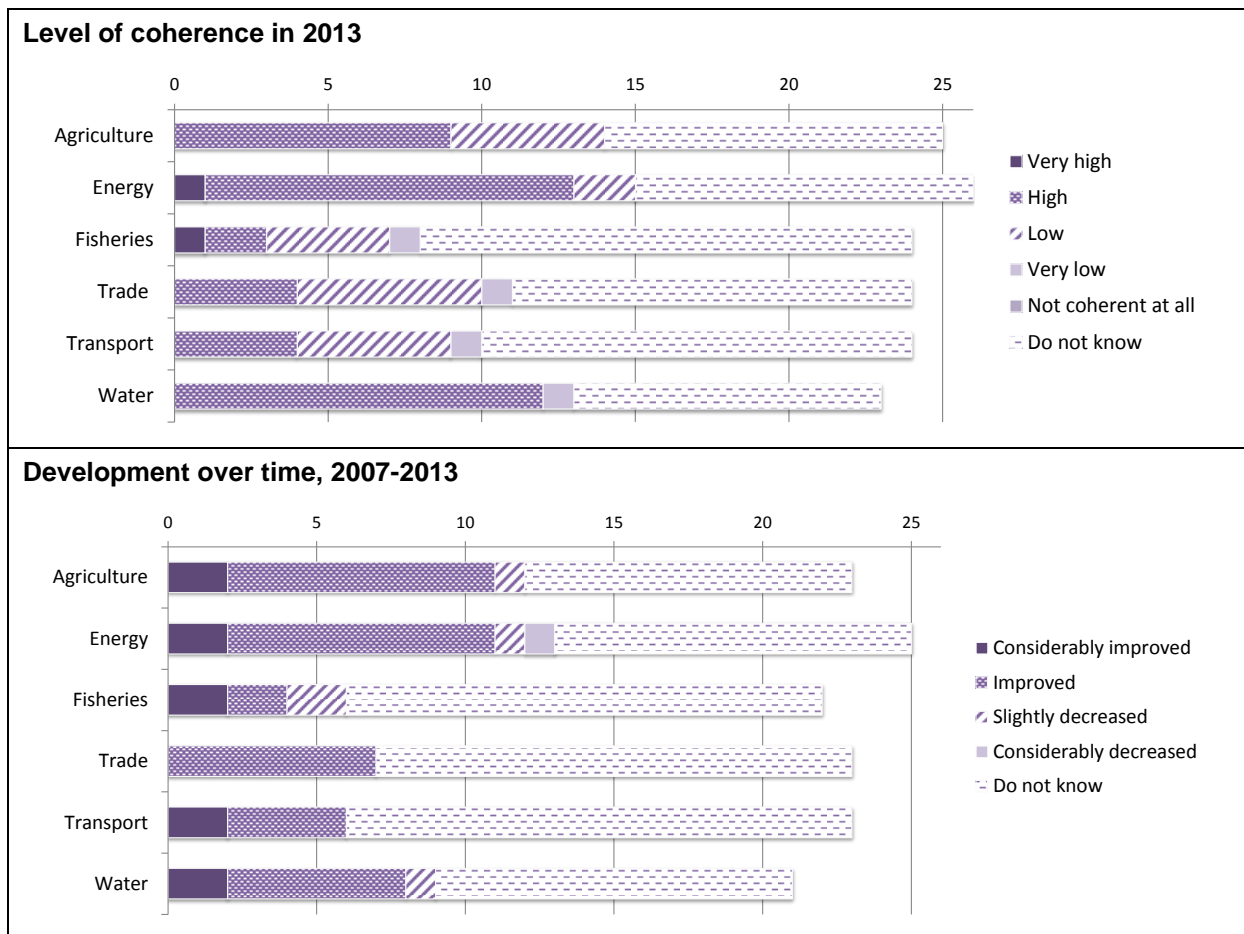
Overall, EU policies related to environment and climate change in development assistance and international governance are ambitious. Although there are several policies¹, they appear to be consistent and coherent and no contradictions have been found in the policies reviewed.

However, there is not a single coherent and comprehensive policy for environment and climate change in development assistance. Some EU staff point to this issue and express that such a coherent policy and common strategy would be useful, as the environment and climate change relevant policy positions currently are scattered over several communications and lack detail on how EU will implement the policies. EUD delegations report that it can be difficult and time consuming to get a clear overview of EU's current policy positions and priorities in relation to environment and climate change, since the positions are scattered over several documents and due to the large volume of communications issued by Brussels.

Coherence between EU policies on environment and climate change and policies for other sectors

It is beyond the scope of this evaluation to carry a detailed coherence check of EU environment and climate change policies against the large number of policies covering other sectors, which are important for environmental sustainability. However, the EUD survey did take stock of the perception of EUD staff on the coherence between policies on environment and climate change and policies for selected key sectors, i.e. agriculture energy, fisheries, trade, transport and water. As the figure below shows, respondents generally felt there was a high, but not a very high, level of coherence with the agriculture, energy and water sectors, but low in the fisheries, trade and transport sectors. The coherence was found by most to have improved for all sectors during the period under evaluation. However, it should also be noted that a significant proportion of the respondents did not have sufficient knowledge of the policies to respond to the question.

Figure 12 Level of coherence between the EU policies on ENV & CC and other sectors in 2007-2013



Source: EUD survey

1.3.2 I-132. Evolution of specific references and consideration of Environment and Climate change in regional strategic frameworks with third regions and countries

Description: The focus and scope of EU development cooperation differs significantly between different regions, due to a) different levels of economic development, and b) different relations between EU and the regions. The engagement of EU at the regional is defined by regional agreements. This indicator assesses the evolution of key priorities in relation to EU-regional agreements for development cooperation.

Findings: EU has entered into various partnership agreements with the different regions. The following will provide a brief analysis of the main trends, based on the policy overview provided in Volume 3 Annex 3, where a more detailed account of the contents of the policy documents is provided.

The table below provides an overview of EU regional policies and EU-regional partnership agreements, which include elements on development cooperation in relation to environment and climate change.

ENP: The table below provides an overview of the key regional agreements and EU policies, which include environment and climate change provisions.

The European Neighbourhood has the intention to *promote good environmental governance to prevent environmental degradation and pollution, protect human health, and achieve a more rational use of natural resources*. The European Neighbourhood and Partnership Instrument intends to support sustainable NRM and environmental protection.

In ENP East, the TACIS regulation in 1999 considered environmental integration as central to economic development. The Eastern Partnership launched in 2009 emphasises that *multilateral cooperation should be extended to environment policy and climate change* and had environmental governance as one of five flagship initiatives is on environmental governance, and established a panel on environment and climate change to promote greening of the economy and alignment of environmental leg-

islation to the EU *acquis*. However, the relations to ENP East appear mainly guided by bilateral Partnership and Cooperation Agreements (see below).

In ENP South, the EU-Mediterranean Partnership emphasises the need to integrate environmental concerns in economic policy and establishes environment as one area for cooperation. In 2005, Horizon 2020 it is proposed to develop a roadmap for depollution the Mediterranean Sea by 2020. In the five-year plan from the same year proposed to establish a timetable for the depollution by 2006. The following year the *Establishing an Environment Strategy for the Mediterranean* elevates the prominence of environment in the cooperation and provides the Horizon 2020 timetable. In 2011, a joint communication states the EU will engage in low-carbon development and climate change adaptation, as well as pursuing a higher level of environmental protection.

Table 10 EU-ENP main policy and normative documents

Year	Title	Document reference
2004	European Neighbourhood Policy (ENP)	COM (2004) 373
2006	European Neighbourhood and Partnership Instrument	REGULATION (EC) No 1638/2006
ENP East		
1999	TACIS Regulation	Council Regulation (EC, Euratom) No 99/2000
2008	Eastern Partnership	COM (2008) 823
ENP South		
1995	EU-Mediterranean Partnership (Barcelona Process)	Barcelona declaration adopted at the Euro-Mediterranean Conference – 27-28/11/95
2005	10 th Anniversary Euromed Summit, November, Barcelona	
2005	Tenth anniversary of the Euro-Mediterranean partnership: A work programme to meet the challenges of the next five years	COM (2005) 139
2006	Establishing an Environment Strategy for the Mediterranean	COM (2006) 475
2011	A new response to a changing Neighbourhood	COM (2011) 313

ACP: The table below provides an overview of the key regional agreements and EU policies, which include environment and climate change provisions. The regional agreement that guides EU-ACP cooperation is the Cotonou Agreement from 2000. One of its aims is to ensure environmental sustainability and regeneration and preservation of the natural resource base, which included mainstreaming of environmental concerns into all aspect of development cooperation as well as identifying a broad range of environmental issues to address. In the 2010 revision, this was made further specific with the inclusion of a wish to address climate change and the specific statement on the need to include an environmental analysis in CSPs and RSPs for EU development cooperation.

In addition to the Cotonou Agreement, cooperation with each of the three sub-regions is government by a partnership agreement (Africa and Caribbean) or and EU strategy (Pacific), which were adopted in 2006-2007.

The **African** partnership agreements sees environment and climate change as key development issues to address, and one of its seven partnership areas is climate change, while environment is addressed as part of the MDG partnership area (MDG7), where several environmental issues are addressed in the context of economic development, although environment is not captured as one of the MDG focal areas. The agreement also has energy as a partnership area, which includes energy efficiency and renewable energy. The **Caribbean** partnership has environment as one of its three dimensions, with a focus on climate change and sustainable NRM; it was updated in 2012, where climate change became one of five areas of action. The strategy for the **Pacific** defines that environmental challenges of global significance is one of three reasons for EU engagement, and focuses on sustainable NRM, climate change adaptation, marine resources, land degradation, and pollution and waste management.

Table 11 EU-ACP main policy and normative documents

Year	Title	Document reference
2000	Cotonou Agreement	Partnership agreement 2000/483/EC
2010	Revision of Cotonou agreement	
Africa		
2007	The Africa-EU Strategic Partnership. A Joint Africa-EU Strategy	Council of the EU, Lisbon, 16344/07

Caribbean		
2006	EU-Caribbean partnership for growth, stability and development	COM (2006) 86
2008	Cariforum-EU Declaration on Climate change and Energy	Council of the EU, Lima, 9537/08
2012	Council Conclusions on the Joint Caribbean-EU Partnership Strategy	3199 th Foreign Affairs Council meeting Brussels, 19 November 2012
Pacific		
2006	EU relations with the Pacific Islands – A strategy for a strengthened partnership	COM (2006) 248

Asia and Latin America: The table below provides an overview of the key regional agreements and EU policies, which include environment and climate change provisions.

In Asia, relations are regulated by separate sub-regional communications for Southeast Asia and Central Asia as well as bilateral agreements with China and India (see below on bilateral agreements), with a common emphasis on economic partnerships and sustainable economic growth. The 2001 strategic framework for Asia acknowledged the poverty-environment linkages in economic development with a focus on NRM and climate change and building partnerships on these issues. In 2003, *A new partnership with South East Asia* enhanced the focus on environment with a) support to environment and forestry and b) included environment in policy dialogue and cooperation focusing on climate change, energy clean technology, and coastal and marine environment. The 2007 Nuremberg Declaration on *an EU-ASEAN Enhanced Partnership* reaffirms the willingness of continuing cooperating in the field of Climate change and Environment with a focus on renewable energy and energy efficiency and climate change mitigation, but also on NRM, forests and biodiversity. For Central Asia, the first strategy to include environment since the 1999 TACIS regulation was the 2007 strategy proposes environmental sustainability and water as areas for cooperation, e.g. through EUWI, FLEGT and support for implementation of the Rio Conventions. An EU-Central Asia environment dialogue was launched in 2006. In South Asia, the cooperation is framed through a series of bilateral agreements (see below) and not through a common sub-regional framework.

In Latin America, cooperation is framed by a combination of regional, sub-regional and bilateral agreements. Since 1999 EC has formally assumed the objectives set up in the recurrent EU-LAC/EU-CELAC Summits as a framework for regional cooperation programming, so the consideration of environmental and climate change related issues in these forums constitute the premise for their integration into EC development cooperation. Environment and especially climate change has become increasingly prominent on the agenda, particularly since 2006. The EEC-Andean Community Cooperation Agreement of 1993 foresees regional environmental cooperation. The EEC-Central America Framework Cooperation Agreement of 1999 had as main objective to strengthen and relations including in relation to environment. The 2012 Association Agreement between the EU and Central America addresses the linkage between trade and environmental policies and has a chapter on environment, climate change and natural disasters. With the Mercosur countries, the cooperation is framed through a series of bilateral agreements (see below) and not through a common sub-regional framework.

Table 12 EU-Asia and Latin America main policy and normative documents

Year	Title	Document reference
1992	ALA Regulation 443/92	Council Regulation No 443/92
Asia		
2000	Working Document: Perspectives and Priorities for the ASEM Process into the new decade	COM (2000) 241 Final
2001	Europe and Asia: A Strategic Framework for Enhanced Partnerships	COM (2001) 469
2003	A new partnership with South East Asia	COM (2003) 399 Final
2007	EU and Central Asia: Strategy for a New Partnership	Council of the EU, Brussels, 10113/07
2007	Nuremberg Declaration: an EU-ASEAN Enhanced Partnership	
Latin America		
1993	EEC-Andean Community Cooperation Agreement	
1999	Interregional Framework Cooperation Agreement between the European Community and Mercosur	Council Decision 1999/279/EC of 22 March 1999
1999	EEC-Central America Framework Cooperation Agreement	
2010	EU-LAC Summits (6 summits, 1999-2010)	

Year	Title	Document reference
2012	EU-Central America Association Agreement	
2013	1 st EU-CELAC Summit	

Overseas Countries and Territories (OCT): The 2001 Overseas Association Decision did not specify environment and climate change as areas of cooperation, but environment was covered in connection with social and productive sectors, most prominently in relation to trade. In the 2009, environment became more prominent as a one of three objectives is on strengthening resilience, including environmental challenges. Moreover EU states a willingness to support a transition to a green economy and implementing environment and climate change measures.

Table 13 EU-OCT main policy and normative documents

Year	Title	Document reference
2001	Overseas Association Decision	Council Decision 2001/822/EC of 27 November 2001
2009	Elements for a new partnership between the EU and the overseas countries and territories	COM(2009) 623

The general trends for regional agreements and policies are:

- Environment has been on the agenda of regional agreements since before the nineties;
- The prominence of environment and level of detail in regional agreements and policies has grown over the years, especially since around 2005;
- The range of environmental themes covered is very broad;
- Climate change and energy have become increasingly prominent themes;
- The number of regional agreements, dialogues and policies for Asia, Latin America and ENPI South is larger than for ACP. ENPI East only has few regional agreements but EU has bilateral agreements with all the countries in the region, unlike for ACP;
- Regional agreements and policy dialogues appear to focus more regions where:
 - There are significant economic and trade relations;
 - Where environmental issues are closely linked to economic growth.

Bilateral agreements: as mentioned in the above, in some regions bilateral agreements play an important role. The table below provides an overview of important bilateral agreements and forums. There are some clear tendencies in the use of bilateral agreements:

- The bilateral agreements tend to focus on bigger countries/economies; the BRIC/BASIC countries: China, India, Brazil, Russia and South Africa, with a particular emphasis on China;
- The bilateral agreements tend focus on mid-income countries, i.e. the above-mentioned large economies and relatively wealthier countries in Latin America: Mercosur countries, Mexico, Chile, Colombia, and Peru;
- The exception from the above is South Asia, where bilateral agreements are signed with five SAARC countries and there is no regional/sub-regional agreement;
- There are several bilateral agreements in Asia, Latin America and ENPI East, but only one agreement in the entire ACP (South Africa) and no agreements in ENP South;
- The range of environmental topics covers is broad, but prominent themes include climate change (especially mitigation), energy, governance, biodiversity, forests and fisheries/marine resources.

Hence, it can be concluded that the bilateral agreements with environmental provisions focus on countries, where: a) there are significant economic and trade relations, and b) where environmental issues are linked to economic growth.

Table 14 EU-bilateral agreements and forums

Year	Region	Title	Document reference	Main topics/key words
1990-1995	Latin America	Bilateral agreements with Mercosur countries		Incl. environment and natural resources protection, energy
1997-1999	ENP East	Partnership and Cooperation Agreements with ENP East countries		Policy framework for cooperation. Consider environmental protection under economic cooperation

2000	Latin America	Economic Partnership, Political Coordination and Coop Agreement with Mexico		Develop cooperation in env, energy and fisheries
2001	Asia	EU-China policy dialogue on environment		
2002	Latin America	Association agreement with Chile		One of four obj includes env protection
2003	(ENP East)	Common Spaces (Russia)		Areas of EU-Russia dialogue. Incl. a dialogue on environment and CC (since 2006). Economic dialogue includes energy, forestry and fishery
2003	Asia	Update of EU-China Agreement on Trade and Economic Cooperation (1985)		Env seen as common global challenge
2004	Asia	5 SAARC country bilateral agreements (1994-2004)		Incl. env and CC, for some countries as a separate priority, for others as a general objective
2004	Asia	EU-India Strategic Partnership	COM (2004) 430 Final	Incl. strategic dialogue on env: cooperation on global env challenges/MEAs, e.g. biodiversity/protected areas, CC, ozone
2004	Asia	EU-China Joint declaration on Climate Change		Defines common goals and areas for technical cooperation in relation to energy (efficiency, renewable, cleaner)
2006	Africa	EU-South Africa Strategic partnership		Foresees coop and high-level dialogue on env and CC, incl. biodiversity, waste, air pollution, renewable energy, governance
2006	Asia	EU-China: Closer partners, growing responsibilities	COM (2006) 631 Final	Covers energy efficiency, env protection, resource efficiency efficient, enforcement of env'l legislation, deforestation, fisheries, maritime gov, emissions reductions
2007	Latin America	Towards a EU-Brazil Strategic Partnership	COM (2007) 281	Policy dialogue on CC, water management, bio-diversity and deforestation. Common work on CC, deforestation, bio-diversity, mercury pollution
2008	Asia	Revised EU-India Strategic partnership Joint Action Plan (2005)		Sections on env and dev't and CC. An India-EU Initiative on clean dev't and CC is launched and a joint group on Env (2006)
2008	Latin America	Strategic partnership with Mexico	COM (2008) 447	Global allies in international forums, incl. env: CC, natural disasters, fisheries
2010	Latin America	Trade agreement with Colombia and Peru		A core principle is the commitment to the dev't of sustainable economies based on respecting and promoting env'l rules and standards

2 EQ 2: Low emission



To what extent has EU support (via the ENRTP and geographic instruments) contributed towards developing countries being better prepared for low emissions development?

Rationale

The question evaluates one of the key priorities of the wider EU policy on environment and climate change towards third regions and countries: climate change mitigation.

The rationale for selecting this area for an evaluation question is that:

Mitigation of GHGs and the adoption of low emission development in developing countries is a key policy aim of the EU and therefore also a core thrust of the ENRTP and its reason for existing. It also links well to the envisaged successor programme on global public goods. Thus, mitigation is a key area for the evaluation. It also represents a considerable proportion of the funding, amounting to 12% of the total ENRTP contracted amount.

Within the priority area of climate change and sustainable energy the climate adaptation sub-priority is already being evaluated by another evaluation (of GCCA) and the energy sub-priority is the subject of another evaluation question.

Reduction of the level of emissions is the ultimate aim. Although this is potentially measureable, the level of emissions is subject to many factors, e.g. in many countries the levels have gone down due to the financial crisis. The level of emissions is also a long-term consideration especially as change in the year-to-year level is less important than the trend. The EU strategy has been to guide countries on a low carbon path and the evaluation question seeks to look at the extent to which the countries are now better prepared to take a low carbon development path.

The rationale for selection of the judgement criteria is based on the core features of the global and EU strategy for addressing mitigation. The strategy for preparing countries for a low emission path is directed towards: i) improving the monitoring, reporting and verification using internationally accepted procedures under the UNFCCC and ii) developing country led tools/strategies such as the NAMAs and LEDSS.

The Judgement Criteria are thus focussed on the degree to which EU support via the ENRTP and geographic instruments has led to a situation where countries are making progress that will eventually lead to high quality MRV and well developed NAMAs and LEDSS. The NAMAs might be partial in that they only focus on certain sectors. Although there is guidance on approaches, the NAMAs and LEDSS are very country specific and will vary considerably. Having MRV, NAMAs and LEDSS in place will definitely be highly relevant steps for a country to embark on a low emission development.

The first judgement criteria on the increase in capacity to carry out MRV and the second judgement criteria on the adoption of NAMAs and/or LEDSS are highly valid as judgement criteria because they are the core of the ENRTP approach in this priority area and they have a high influence on the capacity of a country to develop a low emissions path.

It was found necessary to adjust the indicators for the judgement criteria on MRV because the time line of the key projects contributing towards MRV means that most countries are still in a process of designing the MRV and strengthening current systems rather than being in place to provide regular and high quality reporting. Thus the earlier indicators: "i-211 The regularity of MRV has improved in those countries targeted by relevant interventions and 212 The reporting quality of MRV has improved in those countries targeted by relevant interventions"; have been adjusted to read "i-211 Progress in initiating and strengthening country based systems for MRV" and i212 "The extent to which the EU support has approached and targeted its interventions so that MRV systems are perceived as relevant and are likely to be sustained by partner countries."

The third judgement criteria on increase of knowledge of how to initiative and implement low emission development seeks to examine if EU support has developed country capacity (in the sense of knowledge) to continue once the direct support interventions are over. This is especially important due to the continuous and longer-term aspect of low emission development.

The choice of interventions and projects to examine in order to evaluate this question was extensively discussed with DG DEVCO and DG CLIMA. A clear consensus was arrived at that the following projects would be the most relevant and would provide a representative overview of the interventions:

- EU-UNDP Low Emissions Capacity Building (LECB) project – DCI-ENV/2010/243-093 (phase 1);
- Partnership for Market Readiness (PMR) – DCI-ENV/2010/246-241;
- Promoting Low Emission Urban Development Strategies in Emerging economy countries (URBAN-LEDS) – DCI/ENV/2011/269-952;
- Capacity building on monitoring, reporting and verification of GHG emissions and actions in developing countries (EUMRVCB) – EuropeAid/129303/C/SER/Multi;
- Capacity building for CO₂ mitigation from international aviation.

Of the projects above the LECB was considered the flagship project because of its size and the number of developing countries reached. The degree of co-financing with other donors also makes it relevant because on the one hand there is enough co-financing from others (44%) to indicate a broad donor appeal but the level of EU financing (56%) still involved sufficient EU funding to indicate a very high degree of value added from the EU financing.

The countries targeted by the different projects are summarised below:

Table 15 Countries targeted by selected programmes and projects

<i>Project</i>	<i>Focus</i>	<i>Instrument/channel</i>	<i>EU Funding level</i>	<i>Total funding (EU share %)</i>	<i>Africa (total 8)</i>	<i>Asia (8)</i>	<i>LA, Caribbean (12)</i>	<i>Neighbourhood and other (7)</i>
LECB	Building capacity for MRV/NA MA/LEDS	ENRTP – UNDP	EUR 18 million	EUR 31.9 million (56%)	DRC, Ghana, Kenya, Tanzania, Uganda, Zambia	Bhutan, China , Indonesia, Malaysia, Philippines, Thailand, Vietnam	Argentina Chile, Colombia, Costa Rica, Ecuador, México, Perú, Trinidad and Tobago	Egypt , Lebanon, Moldova, Morocco
PMR	Market readiness	ENRTP – World Bank	EUR 5 million in first tranche (USD 19.5 million pledged)	USD 110 million pledged (18%)	South Africa	China India Indonesia, Thailand, Vietnam	Brazil Chile Colombia Costa Rica México Perú	Jordan Morocco Turkey Ukraine
Urban-LEDS	Urban NAMAs and LEDS	ENRTP – UNHABITAT	EUR 6.7 million	EUR 6.7 million (100%)	South Africa	India, Indonesia	Brazil	
EUMRVCB		ENRTP – GIZ	EUR 1.9 million	EUR 1.9 million (100%)		Indonesia	Mexico	
Aviation	MRV	ENRTP – CIAO	EUR 6.5 million	EUR 6.5 million (100%)	Nigeria, Kenya , South Africa		Dominican Republic, Panama and Barbados.	

2.1 JC21. Increased capacity to Monitor, Verify and Report (MRV)

2.1.1 I-211. Progress in initiating and strengthening country based systems for MRV

Description: This indicator (I211) looks at the progress in establishing and improving MRV systems i.e. establishing and improving the institutions and procedures and methodologies⁵⁵.

Currently there are gaps with regard to gathering and sharing information about GHG emissions, mitigation commitments and support. As summarised in a recent publication (*source. MRV and the International Climate Change Negotiations: Coming to Terms with MRV, GIZ October 2013*), the purpose of MRV is to:

- facilitate decision-making by serving as a tool for national planning;
- help to identify priority sectors and provide an information basis for planning and implementing mitigation action;
- promote coordination and communication between emitting sectors;
- build trust and enhance transparency in order to increase ambition at national and international level; generate comparable information across countries;
- generate feedback for policymakers on the effectiveness of adopted policies and measures;
- track whether collective action is sufficient to meet the global 2°C objective and whether a country is on track to meeting its own domestic climate change-related goals;
- highlight lessons learned and good practices;
- increase the likelihood of gaining international support for mitigation.

These aims explain the importance and crucial relevance of MRV to overall mitigation efforts and the links between MRV, NAMAs and LEDSs. The aims also serve to illustrate different ways in which a strengthened MRV could be evidenced.

Evidence of the change: The timeline of the flagship EU-UNDP Low Emissions Capacity Building (LECB) Programme and most of the other worldwide support efforts is such that countries have not completed MRV systems but are currently in the process of designing initial MRV systems and strengthening current systems. As such, indicators of completed MRV systems and even improvement of current systems are not yet available – in most cases it is simply too early to measure⁵⁶. Another problem is that there is no baseline other than what can be inferred about MRV status from the national communications which are recorded on the UNFCCC website. However the national communications are too broad to be considered as a baseline for MRV progress also because they are only due every four years and usually are submitted much less regularly than that by most developing countries.

One case where there is hard evidence of concrete and irreversible progress is in Lebanon where the Ministry of Environment, as part of the LECB project, has enacted a Ministerial Decision (Official Gazette on the 18th April 2013) introducing GHG emissions reporting for industries and commercial institutions. This Decision is based on the provisions of Law 444 (Environmental Framework Law) and specifies the guidelines to follow, including the different methodologies to use, as well as the relevant administrative deadlines. The Decision also requires the information to be verified by an independent third-party (i.e. Auditor), which serves as testing the possibility of using independent verifiers as part of the “Verification” of the MRV process in Lebanon.⁵⁷

Although not as strong as the case of Lebanon, the LECB ROM report notes a number of signs of similar commitment to passing enabling policies in other countries that provide a foundation for MRV e.g.

- Kenya – A National Climate Change Action Plan 2013-2017 was introduced in March 2013;
- Uganda – A National Climate Change Policy was finalised 2013;

⁵⁵ MRV is relevant for: 1) Inventory of National GHG Emissions: both sources of GHGs as well as monitoring methodologies for GHGs; 2). Mitigation Actions or NAMAs (Nationally Appropriate Mitigation Actions): country level information about GHG emission reduction; 3) Information on external support for mitigation.

⁵⁶ Interview and quoted directly from correspondence with LECB July 2014

⁵⁷ Interview and quoted directly from correspondence with LECB July 2014 and <http://www.lowemissiondevelopment.org/countries/lebanon> accessed 15 July 2014

- Colombia – the National Adaptation Plan, the Colombian Low Carbon Development Strategy and the Strategy for Reducing Emissions from Deforestation and Forest Degradation are being elaborated.

It was noted in the LECB ROM report that “all participating countries have established authorities that are in charge of coordinating climate change initiatives and facilitating the introduction of relevant policies / legislation.”⁵⁸

Box 1 Chile – Involving the private sector in MRV

“A lot of companies know what greenhouse gas monitoring is, what a carbon footprint is, and we have a lot of different initiatives in the country, but no programme is bringing all of these things together,” Ms Siemens (the LECB project coordinator in Chile) says. “We wanted to develop a standardised tool for companies and the public sector to calculate their greenhouse gas emissions, so that we could really know the situation and then use the results of this tool as an input for the national programme to manage the emissions that are reported.”

Source: LECB voices from field – Chile February 2014

The LECB has launched MRV related workshops in most of the 25 partner countries. As an example, in the Philippines, the LECB launched 2 Workshops on GHG Inventory systems (targeting the Agriculture sector and the Waste and Industrial Processes sector). According to the ROM report⁵⁹ the workshops were “assessed by the groups of beneficiaries as very informative and of high quality”. The workshop on targeting the Industry and Trade Sector was initially planned in November 2012, but was shifted in April 2013 in order to better coordinate with the relevant stakeholders and ensure proper participation and representation⁶⁰. This indicates a high degree of flexibility and a commitment to a genuine demand led process.

In Chile, the LECB has directly engaged with the private sector by introducing a new tool that enables private and public sector organizations to use the same methodology for calculating GHG emissions according to international standards thereby eliminating conflicts of data (see Box 1).

Under the EU supported Urban –LEDS project implemented by UNHabitat/ICLEI there are a variety of attempts to introduce MRV at the city level. ICLEI is fine-tuning the MRV concept for local climate action process with the intention that the Urban-LEDS project cities will pilot the approach in four model cities (located in Brazil, India, Indonesia and South Africa). The approach will link to the Carbon Cities Climate Registry (CCCR) reporting. The aim is to clarify what can be used for verification without overburdening the local governments. In support of this a Green Climate Cities Programme guidebook including MRV process is under development⁶¹.

The Partnership for Market Readiness (PMR) programme has undertaken a number of actions aimed at initiating and strengthening MRV systems. An example is the First Regional MRV Technical Training – Asia (held in September 2013 in Beijing). Two more regional trainings are planned: one targeting Latin American countries and the other targeting European and African countries. The objectives of these trainings are to:

- Share knowledge with participants about developing facility-level GHG reporting programmes, including practical experience with challenges and solutions; and
- Engage participants in case studies and group exercises to examine practical considerations relative to presentation topics and identify “readiness” issues vis-à-vis facility-level GHG reporting programmes.

The PMR Asia training workshop provided information and instruction on programmatic and technical issues related to MRV of GHG emissions at the facility-level. The target audience was PMR Implementing Countries in Asia. An especially innovative aspects was the high level sharing of the MRV systems and approaches in India, China, USA and EU⁶². In this way the EU approaches on market readiness was showcased.

Within the PMR programme, seven countries have moved forward to a feedback and/or implementation phase. Of these: Chile, Mexico and China (implementation) and Indonesia and Turkey (feedback

⁵⁸ ROM report MR-145888.01 April 2013

⁵⁹ ROM MR-145888.04 April 2013

⁶⁰ ROM MR-145888.04 April 2013

⁶¹ URBAN LEDS, consolidate narrative report #2, February 2014, p16

⁶² <http://www.thepmr.org/events/eventlist/technical-trainings/first-regional-mrv-technical-training-asia-september-2013> accessed 14 July 2014

phase) have incorporated MRV in their country action plans which are finance through the PMR (and therefore also the EU)⁶³:

- Chile – Support to the creation of an MRV and GHG registry system;
- Mexico – Setting up a registry/tracking system for GHG reductions;
- Indonesia- Piloting a MRV framework in power plants and cement industry;
- Turkey – Implementing robust, installation-level MRV system based on the MRV law.

The EUMRVCB project through its focus on just two countries was able to provide intensive support to MRV systems.

- In Indonesia a MRV gap analysis report was completed (May 2012) which supported the implementation of the Presidential Regulation #61 (also known as National Action Plan for GHG Emission Reduction or RAN-GRK) and the Presidential Regulation #71 (also known as the Implementation of National GHG Inventory). The EUMRVCB project mapped out how the new information system (known as SIGN and not yet implemented) and monitoring and evaluation system (known as MONEV) and other relevant existing systems can be integrated to establish a national MRV infrastructure.
- In Mexico, project supported the design of an overall national MRV system focused on two aspects: a finance and technology transfer database, and drafting of a MRV system for Mexico, in which the elements of measuring, monitoring, reporting and verification of GHG inventories, NAMAs, and National Communications are described in the context of a low-emissions development.

In both Indonesia and Mexico the EUMRVCB project noted the importance of clear and defined roles and responsibilities on MRV of emission and mitigation actions at sub-national level, and comment the relevance of aligning what national and sub-national authorities report⁶⁴.

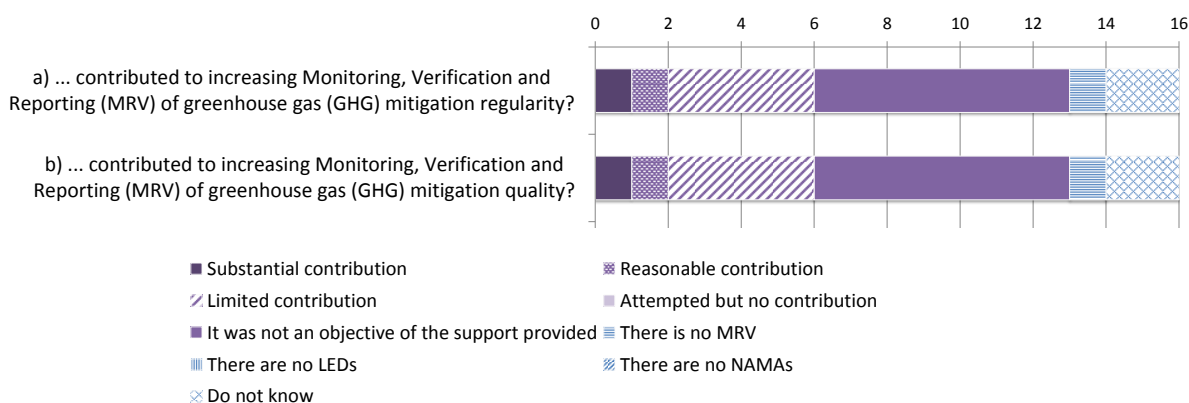
The field visits confirmed the overall finding that support had been provided to MRV systems but that it was too early to expect these systems to be fully functional. In Kenya, the LECB has supported the development of a GHG inventory through providing capacity and training to two inventory coordinators and relevant staff in sector ministries. In Egypt, the LECB is building on early GHG inventory systems associated with the Cleaner Development Mechanism. In Ukraine, the EU has assisted the National Center for GHG Emissions Inventory and in particular with developing the Land Use, Land Use Change and Forestry sector. Although the quality of the inventory data is reasonably good in Ukraine (due in part to the need to provide robust calculations for the sale of Assigned Amount Units under the Kyoto protocol) the institutional responsibilities for collection and processing of data are not clear. In Ghana, the LECB project has started to support the overall system for GHG inventories. In Bolivia, the EU has supported studies for developing MRV within the forestry sector and closely linked to REDD+ (Reducing Emissions from Deforestation and Degradation). The studies have encouraged a process where civil society and research institutions are also involved in the monitoring.

The survey of EU delegations only produced 16 responses in part because mitigation actions are largely driven by global programmes through the ENRTP rather than through geographic instruments – and in many cases the countries being supported by these global programmes were not the same as those surveyed. From the countries that were able to answer, it is apparent that the regularity and quality of reporting is only 30% advanced i.e. 3 out of 6 delegations where MRV was being actively supported report substantial or reasonable contribution.

⁶³ PMR annual report for 2013

⁶⁴ EUMRVCB final report

Figure 13 Contribution of EU support to MRV



Source: EUD survey

EU contribution: The EU contribution related to this judgement criterion is similar for both of the indicators under the JC and is summarised under the next indicator.

External factors: In many cases, the efforts to support MRV have started slowly because it has not been easy to identify national staff to manage the projects. The institutional arrangements are also usually quite complex. The ROM report on LECB⁶⁵ notes that for the 25 LECB countries, environmental policies are in place. However, the report also notes that “more facilitating policies are necessary in most cases, clarifying roles and responsibilities and providing incentives for private sector involvement”. The report also notes the common observation that “Ministries of Environment are newer entities compared to established traditional ministries (e.g. Ministries of Energy) and most often they have less power to promote necessary pieces of legislation”. Finally it is noted that “government restructuring and political changes / instabilities are not uncommon and usually slow down processes for the adoption of legislation. Such instances may result in the loss of past efforts and the need to start from scratch preparing necessary policies”.

2.1.2 I 212 The extent to which the EU support has approached and targeted its interventions so that MRV systems are perceived as relevant and are likely to be sustained by partner countries.

Description: This indicator (I212) looks at evidence that the approach and targeting of the various EU supported projects has led MRV to be perceived as relevant and likely to be sustained. This is not easy to measure in a quantifiable way. Evidence can come from different sources and under analysis of evidence of change topics or issues are presented as sub-indicators of the degree of relevance and sustainability of the MRV systems established or supported.

Evidence of the change: The extent to which the EU financed support is relevant and likely to be sustained by the recipient countries can be considered by examining the topics listed below.

- **Evidence of demand** – does the support generate and respond to a country-led demand for MRV?
- **Realism of the objectives** – are the objectives realistic and likely to have the intended impact?
- **Customisation** – are the interventions of the global projects tailored to specific country needs?
- **Partner targeting** – are the partners targeted the ones who are the key implementers who will be responsible for sustaining the benefits?
- **Country selection** – is the selection of countries well considered and tuned to where the external support can offer greatest value added?
- **Coordination challenge** – are the interventions particularly those on building new systems and developing capacity well-coordinated with other efforts?

⁶⁵ ROM report MR-145888.01 April 2013

Evidence of demand: For understandable reasons developing countries tend to favour adaptation over mitigation⁶⁶. MRV interventions are complex and politically sensitive. For the non-annex 1 countries⁶⁷, MRV is voluntary. There is however an incentive that a strong MRV could lead to development of bankable NAMAs and LEDS that could in turn attract international climate finance as well as be self-harvesting e.g. with introduction of energy efficiency measures. But in practice, it is often not possible to advance progress through global support processes alone and much depends on political support at the country level. The dependence of the LECB and PMR programmes on country and demand led processes are a response to this reality.

In the LECB programme, the country centred approach seems to be working in that it is reported that at the request of country participants the 2014 Annual Global Meeting of the LECB project will focus on MRV measures and more specifically key considerations for how to develop and maintain quality MRV systems⁶⁸. There is also evidence that for the PMR the country led process is yielding results as more countries become active in defining MRV actions (see earlier examples of Chile, Mexico, Indonesia and Turkey).

In the EUMRVCB project it was noted, referring mainly to Mexico but also relevant for Indonesia, that “the involvement and participation of state-level authorities varies among states. In some cases, academic institutions are the ones driving the effort on GHG inventories, mitigation actions and the preparation of Climate Change Action Plans that incorporate both elements of climate change policy. Even though universities and research centres may train new specialists the outcome may not agree with the priority allocated by local authorities to MRV GHG inventories and mitigation actions. In consequence, MRV may not be perceived as relevant to work on environmental policy in general.”⁶⁹

In the Ukraine, the field visit confirmed that there is a strong demand due to the sale of Assigned Amount Units of Carbon under the Kyoto protocol. In Ukraine, proposals for MRV have been developed under the PMR, however external consultants have developed the proposals so it is not yet known if they fully reflect government positions and demand. In Egypt the demand for MRV is increasing due to the greater political support for international climate governance. In all countries, the LECB project has conducted workshops to explain the benefits and generate demand for MRV.

Realism of the objectives: The LECB ROM report noted that the delays in recruiting project managers has led to an initial three year period for in-country actions to be reduce to two years or even less. This will make it difficult to achieve the envisaged results although the LECB ROM at the time did not foresee the need to re-schedule. Other programmes such as the PMR have experienced similar delays.

It is noted in the LECB ROM reports that the individual country projects are based on present country priorities and capacities and on past lessons learned. The risks and assumptions identified in the overall project document have been validated in some instances at country level⁷⁰. This risk validation and tailoring of the project document and individual country projects to country realities is likely to mean that the objectives are realistic.

For the meantime it appears that the objectives of the different projects are ambitious but still potentially realistic; however they are heavily dependent on country level response rather than global processes. As a result there is likely to be some countries which fall short and some which advance faster than expected and this is already happening.

Customisation: As noted in the ROM report⁷¹: the LECB overall log frame is customised for each country of implementation. The country projects have the flexibility through their steering committees to adjust to the target group needs. A budget of 30,000 USD was provided for the elaboration of the Project Document by each country. A budget of 600,000 USD was allocated to most countries for implementation. Argentina, China, Egypt, Indonesia and Mexico have a budget of 1,000,000, since the activities there are geared towards the private sector, while a few other countries receive an additional

⁶⁶ (mainly because a common view is that adaptation will tend to bring immediate benefits to the country whereas the beneficiaries of mitigation are global; however one of the insights of LEDS is that mitigation can put a country on a higher technology development path which will also bring benefits to the country itself but this is a longer term view that is not always taken into consideration)

⁶⁷ Non-annex I countries are those countries that are not obliged under Annex I to the United Nations Framework Convention on Climate Change (UNFCCC) to commit themselves under Article 4 to achieve certain quantified emission limitation and reduction objectives

⁶⁸ interview and correspondence with LECB July 2014

⁶⁹ Final Report 2013

⁷⁰ ROM report MR-145888.01 April 2013

⁷¹ ROM report MR-145888.01 April 2013

100,000 to 200,000 USD based on their capacity to implement additional activities. The total budget allocated on the country activities is about 18,870,000 USD, which is a very high proportion of the total programme cost⁷².

At its core the PMR, like the LECB is a country-led partnership that leverages collective action to scale up climate change mitigation. Implementing country participants follow a two-phased process: a Preparation Phase in which they formulate a Market Readiness Proposal (MRP), and an Implementation Phase in which they implement the activities identified in the MRP. Countries are allocated 350,000 USD each to formulate their MRPs⁷³. Each MRP is thus specific and customised to the country and in that sense likely to be relevant and internally sustained.

The EUMRVCB project with its focus on just two countries was able to very effectively tailor the interventions to the country situation. For example, in Indonesia with its decentralised institutional structure, support was provided both at national and at provincial level where training was provided to 33 provinces. This was especially relevant as there was a large gap in capacity between national and provincial levels and the tendency for emission estimates to vary widely⁷⁴.

Partners targeted: The projects supported by the EU LECB project like most of the other projects supported explicitly target both the public and private sectors. The targeting of both the public and private sectors is well conceived. It is recognised that some tasks such as MRV are heavily dependent on the public sector at least to make start with the implementation of NAMAs and LEDS being more dependent on the private sector.

The LECB ROM report notes that the initial list of countries that were to be targeted with more private sector engagement / capacity building (Component 2) as opposed to public sector training (Component 1) had to be modified, since Brazil, India and South Africa did not see any benefit from participation. Thus Argentina, Egypt and Indonesia joined the project along with China and Mexico as Component 2 countries⁷⁵. This is again another reflection of the demand led approach in action. Although it tends to slow down progress at first, it is much more likely to lead to results even in the short term. It is also more likely that with this approach the results will be replicated and sustained.

The EUMRVCB project in Indonesia targeted both the national level and the provincial level, which is considered highly relevant given the decentralised structure in Indonesia. Both the Ministry of Environment but also the Ministry of Planning (Bappenas) were key partners in the capacity building as was the Ministry of Home Affairs. In Mexico the project conducted training in four sub-national authorities in four different locations (Mexico City, Aguascalientes, Guadalajara and Campeche)⁷⁶.

Country selection: The EU's choice of projects and programmes to support has led to a broad range of countries being supported with a focus on Asia and especially Latin America. This selection of mostly medium income countries is well conceived as it reflects countries which have a significant mitigation potential and which have the sufficient capacity to make use of external support. Nevertheless especially through the EU-UNDP LECB project a number of lesser developed countries and Africa and Asia have also taken part e.g. Uganda and Bhutan, and in some cases are making very good progress.

When these countries are combined with the more general support provided through UNFCCC (evaluated under EQ 7), there is a very comprehensive global coverage of support that is both extensive (especially through the UNFCCC) but also intensive e.g. with the focus on Indonesia and Mexico (through the GIZ implemented EUMRVCB project), with the focus on urban LEDS (through the UN-Habitat implemented Urban LEDS project) and with the focus on specific sectors such as aviation and marine shipping (through the Capacity building for CO₂ mitigation from international aviation project).

The country selection of the range of EU financed projects benefits from the following characteristics and advantages (in brackets):

- a broad selection of countries (which triggers processes in many countries and builds up an international threshold of countries that are knowledgeable and can contribute to collective climate goods);
- selection of countries which have regional and global leadership/ influence;
- the use of different project vehicles and engagement with different partners e.g. UN, WB, GIZ

⁷² ROM report MR-145888.01 April 2013

⁷³ PMR annual report 2013

⁷⁴ Final report 2013

⁷⁵ ROM report MR-145888.01 April 2013

⁷⁶ Final Report 2013

(which ensures that efforts are spread and not overly vulnerable to delays in particular projects; it also ensures that different approaches and methodologies are tried out);

- the concentration on certain promising and highly ready countries e.g. Mexico and also countries that have a high potential but less readiness e.g. Indonesia (this provides information on how best to support both types of high potential countries i.e. the willing and the less willing);
- combination of a focus on specific sectors (aviation) and an open country-led identification of relevant sectors (which ensures that in-depth support can be provided for key sectors that are highly global in nature (aviation and shipping) whilst also ensuring high relevance by letting sector choice be dominated by country-led processes);
- Flexibility in country selection e.g. those countries in LECB that did not want to participate in the private sector component were switched with others that did.

Coordination challenges: The range of partnerships and interventions that arise is reasonably coherent. Even though the countries have been selected and are supported through different projects the overall selection does not seem fragmented or scattered especially as the projects regularly bring the countries together through regional and global events. However, there is a concern over coordination of global support to MRV, NAMAs and LEDS⁷⁷. Developing countries are approached from all angles by support efforts for MRV, NAMA and LEDS and there is an acute danger of different and confusing methodologies and incompatible databases and processes being set up. If not harmonised and well-coordinated this could lead to duplication, waste of resources and a lowering of capacity in the countries.

Coordination is a core issue in support of MRV, NAMA and LEDS. The EU and its partners are well aware of the issue. However, although several attempts have been made, a convincing global coordination framework is not yet apparent. In later years as the scale of threat grew, the EU has sought to enforce coordination by writing the need to coordinate into formal agreements (e.g. mutual coordination clauses in the PMR and LECB projects that has led to a Memorandum of Understanding (MoU) between the projects).

In the Philippines, donor coordination is managed effectively and efficiently by the Climate Change Commission, which is the focal point of all foreign assistance to the government of the Philippines as regards Climate Change initiatives. In fact the actions implemented on climate change that are financed by other donors, mainly USAID, GIZ and Japan, have been taken into account while planning the details of the LECB intervention, by selecting target sectors and combining activities so that the benefits for the country could be streamlined and maximised⁷⁸. This experience underlines the potential of in-country coordination which tends to be under emphasised.

In Egypt, the field mission found that the country level coordination was strong enough to ensure that external support was coherent and did not overlap. The LECB project has been instrumental in setting up a coordination committee. In Ukraine there was also evidence of coordination between the main donors involved in MRV (Germany, USAID, EBRD and the EU).

Ultimately the UNFCCC is the ideal convenor and has potentially the greatest coordination reach. In Kenya the field mission found that the LECB has coordinated its support on MRV closely with the UNFCCC efforts. It is worth noting however, as observed by a number of those interviewed, that implementing projects outside the UNFCCC is still valid. The UNFCCC is not yet an implementing body although it may become so after 2015. But, equally importantly, the use of projects outside the UNFCCC sets up a space that is de-politicised and where actions are not related to or potentially constrained by negotiating positions. The focus is on making technical progress. It is then a political decision how to make use of this technical data – in most cases the data and technical progress will allow a more informed political decision. These interventions will also create an in-country expertise that can advise national governments based on stronger evidence.

EU contribution: The EU strategy for supporting MRV and mitigation more generally has been to work through well-established partners who have developed the credibility and capacity for engaging at the country level. Given that the EU support is channelled through high competent and established partners, the main contribution of the EU has been to

- Make a well-conceived and strategic selection of partners and programmes to support;

⁷⁷ Developing countries, monitoring and reporting on greenhouse gas emissions, policies and measures. Final Report 2010 EuropeAid/127404/C/SER/Multi

⁷⁸ ROM report MR-145888.04 April 2013

- Contribute to programme design (often through the QSG process) which varies between projects also depending on whether the EU was a lead and early financier or came in later in the process e.g. EU was much involved in LECB and less in PMR;
- Encourage other donors to co-finance and thus extend the scope and reach of the project and also its credibility e.g. the EU was the lead financier of the LECB, providing an initial grant of EUR 5 million. The growth of the LECB budget from EUR 5 million to EUR 31.9 million with the addition of funding from Germany, Norway and Australia allowed the enhancement of the LECB objectives, with additional targeted activities to expand the breadth of technical support, to enhance the private sector participation and to increase the number of participating countries from 15 to 25 which in turn has helped to establish a critical mass of interventions with wider geographic representation for increased impact⁷⁹;
- Comment on reports and participate in global meetings of both a governance and technical nature e.g. EU officials have contributed e.g. providing information during a recent meeting in Chile on other EU financed activities of relevance (Methodological guide to identify and design NAMAs in urban areas). EU officials have also contributed to coordination of MRV efforts of the LECB project in Moldova. At global LECB meetings, the EU officials provide a visible donor presence that gives credibility to promise of future funding for NAMAs. The EU officials are also considered to add value at meeting by linking their funding role to a demand for results. This tends to strengthen discipline and commitment to obtaining and documenting results and helps the efforts of the Global Support Unit⁸⁰.

The structure of support within DG DEVCO for mitigation activities is weak. There is only one person in the environment unit (C2) in DG DEVCO responsible for mitigation activities. Although DG DEVCO can avail strong technical support from DG Clima, mitigation unlike adaptation has not been mainstreamed into other technical areas within DG DEVCO such as agriculture and energy. This issue is recognised by DG DEVCO.

External factors: As mentioned above, the main external factors are related to the political and institutional support for MRV at country level. The programmes of support co-financed by the EU, by raising awareness, by linking national efforts to global initiatives and developing capacity at individual and institutional level have an influence on the political and institutional support but are still dependent on cooperation from country level processes. Political changes, government restructuring and power struggle among ministries (where environment ministries are newer and with less power compared to other established ministries) are relatively common issues that the LECB country projects (as well as those of other initiatives) have to address/overcome at various degrees⁸¹. Nevertheless because the countries were selected based on their request for assistance they have been able to identify solid entry points. Only one of the 25 LECB supported countries, Egypt, has had long delays in starting up due to political instability. However, the Egypt country programme is now restarted and an inception workshop has been held. All the 16 countries of the PMR have responded with expressions of interest and draft market readiness plans have been submitted by 6 of them.

2.2 JC22. Availability of strategies and actions that support a low emission development

2.2.1 I-221. Progress in LEDS adoption (either drafted, submitted or approved)

Description: The LECB definition of LEDS is a useful starting point. By this definition, LEDSs outline the intended overall economic, energy, and emissions trajectory for a country and helps to identify trigger points for policy intervention (including identifying and prioritizing NAMAs and ensuring coherence between NAMAs and national development goals). Thus LEDSs both point to where MRV and NAMAs are needed. But in an iterative way, the LEDS is also built from the basis of a well-functioning MRV (which provide vital information on emissions) and a series of NAMAs (which provide vital information on emission reduction potential).

Evidence of the change: There have been relatively few LEDSs produced compared to NAMAs, mostly likely because countries prefer a bottom up approach of piloting NAMAs and developing a data base of emissions (MRV) before embarking on a LEDS. This finding was confirmed by the field studies where although some support has been provided to some countries, very few LEDSs have yet been

⁷⁹ ROM report MR-145888.01 April 2013

⁸⁰ Interview with Global Support Unit

⁸¹ ROM report MR-145888.01 April 2013

completed. In Ukraine, although development of a LEDS is foreseen in the environmental strategy and support has been provided from several donors, a LEDS has not yet been adopted. An exception is China where LEDS thinking is evident in many sectoral strategies and also in the overall national development planning. An EU supported project (under ENRTP) “ Provincial Programmes and Actions for Climate Change Mitigation and Adaptation in China” implemented by UNDP has supported the development of LEDS type programmes in 14 provinces with some of them having a population of greater than 100 million people.

In Moldova, although technically developed prior to the inception of the LECB Programme (with the support of UNDP), a LEDS was developed and is expected to be approved shortly. To further support the process the LECB programme in Moldova financed the translation of the full LEDS into English and Russian in order to enable its consultation with a large group of stakeholders including the private sector and subsequent NAMAs development during project implementation. The LEDS will be used as a springboard for NAMA development under the LECB Programme in Moldova⁸².

Other examples of LECB advances include⁸³:

- Colombia – the LECB Project is supporting key components of the Colombian Low Carbon Development Strategy (CLCDS);
- Philippines – preparation of sectoral mitigation “road maps” in four key sectors (US is supporting the other two sectors);
- Uganda, the LECB Project has supported development of a LEDS framework;
- Morocco has some (limited) work on a LEDS framework also;
- DRC will launch work on a LEDS imminently;
- Bhutan will launch a LEDS for two key sectors;
- Chile a proposal for their LEDS has been submitted to the Ministry of Finance and is under review (slight delays have occurred due to a change in government);
- Ecuador, under the LECB Project, a National Climate Change Plan (NCCP) has been elaborated and is currently under revision in the Ministry of Environment. Once approved the NCCP will serve as the central tool to programme and operationalise the National Climate Change Strategy, which was released in 2011.

A ROM mission to Colombia reviewed the LEDS efforts in that country and concluded that “the Colombian Low Carbon Development Strategy (CLCDS) which is what this project (LECBP) was designed to support in the country. The objective of CLCDS “to promote and execute alternatives for a low carbon economic and social growth” is complemented by the LECB objectives which focus on providing part of the knowhow (capacity on Measuring/ Reporting/ Verification -MRV-; National Mitigation Actions -NAMA-; low Emission Development Strategies -LEDS-). The LECB supports three of the five components of the CLCDS, the 2nd (policies and measures on low carbon development), the 3rd (MRV system) and the 4th (sectoral capacity building for low carbon development). The broadness of the design of the overall LECBP has allowed participating countries to choose the most relevant aspects in accordance with local requirements⁸⁴.

In the Philippines, a ROM mission pointed to evidence of good prospects of achieving the aim of the project to contribute to the improving of environmental sustainability through supporting reliable monitoring, reporting and verification of greenhouse gas emissions as well as design of NAMAs and LEDS. The ROM report notes that “The project focuses on helping the Philippines to design long-term planning and prepare low emission, climate resilient strategies in alignment with their development needs. While encouraging long-term thinking, these strategies will highlight the socio-economic benefits of addressing climate change in the short- and medium-term. For instance, a number of negative-cost or no-cost mitigation options are expected to be identified, such as energy-efficient appliances or buildings. This approach will allow the creation of public consensus in favour of climate change action only if the recommended measures correspond to the fundamental development problems of the regions and municipalities, like the provision of basic services to the population, greater energy and food security and employment⁸⁵.”

⁸² Interview and correspondence with LECB July 2014 and [http://www. Low emission development. org/ countries/Moldova](http://www.Lowemissiondevelopment.org/countries/Moldova)

⁸³ Interview and correspondence with LECB July 2014

⁸⁴ Colombia ROM MR-145888.02 April 2013

⁸⁵ ROM M145888.04, 2013

All of the above mentioned advances have come in part as a result of on-going capacity building activities under the EU supported LECB Programme, such as national workshops and trainings, and technical backstopping provided in-person and online. As an example, to support LEDS development the LECB Global Support Unit prepared a LEDS Guidance Template that was presented as part of a working group exercise in the Programme's annual global meeting in 2013, as well as the Asia LEDS Forum 2013. This template subsequently serves as a knowledge product for LECB Programme participants and other practitioners⁸⁶.

The PMR programme does not explicitly aim at developing LEDSs but rather focuses on creating market readiness for low emission development. In the words of the PMR annual report "Countries use PMR support to improve their technical and institutional capacity to mitigate GHG emissions. The PMR calls this "market readiness." Building market readiness includes strengthening capacity, e.g., GHG monitoring, reporting, and verification; data management; baseline setting; policy mapping and modelling analysis; and stakeholder engagement. While a core objective of the PMR is to support those countries ready to introduce a market-based policy instrument – such as an Emission Trading System – not all countries have made a decision about the type of market-based policies to pursue. Consequently, not all countries will be ready to pilot a market instruments with the PMR. However, all countries can enhance their market readiness. Indeed, building such readiness is a no-regrets measure, regardless of whether a country ultimately implements a market-based instrument. Market readiness has cross-cutting benefits that supports domestic climate change policies and low emissions development strategies."⁸⁷

The figure below shows the PMR implementation status. Although no market readiness actions have been implemented yet, four of the 16 countries have had funding for their plans approved (Chile, China, Costa Rica, Mexico) and 6 countries have submitted draft market readiness plans. All the actions are new, additional actions and can therefore be considered as evidence of change in the direction of LEDS with a market readiness focus.

Figure 14 Status of PMR implementation, May 2013

Status of PMR Implementing Country Participants	Brazil	Chile	China	Colombia	Costa Rica	India	Indonesia	Jordan	Mexico	Morocco	Peru	S. Africa	Thailand	Turkey	Ukraine	Vietnam
Expression of Interest Submitted	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
Preparation Funding Approved (US\$350,000)		■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
Draft MRP Submitted			■	■	■		■		■					■		
MRP Feedback Process Completed			■	■	■		■		■					■		
Final MRP Presented to PA			■	■	■				■					■		
Implementation Funding Approved (US\$)		■	■		■				■							
MRP Activities Implemented																

Source: PMR Final report

The EUMRVCB project in Indonesia identified that the Transport sector is a key source of GHG emissions in Indonesia category, which had a high potential for lower emissions. Taking advantage of strategies being development by the Ministry of Transport, training courses were provided for some 40-ministry officials on how to estimate GHG emissions from the transport sector as basis for developing low emission strategies. As a result of the training, the reporting notes that the officials were "able to identify where emission reduction will have big impacts, and where they can focus their efforts in developing low-emission strategies, taking into account population growth, economic growth, technological development, financial resources among others"⁸⁸. Whereas this is not a fully developed LEDS it is an important contribution in that direction. In Mexico, the project contributed to the LEDS strategy document and also provided training outside the narrow range of ministries involved in order to broad-

⁸⁶ Interview and correspondence with LECB July 2014

⁸⁷ PMR annual report 2013

⁸⁸ Final Report 2012

en capacity also for the implementation phase. A LEDS module was added to the MRV training module that the project had developed⁸⁹.

As outlined in the discussions above, the LEDSs and versions of them like the market readiness actions are composed of many elements including information from MRV processes and the prioritisation and preparation of a number of NAMAs that indicate potential emission reductions. Thus much of the evidence and analysis of change under the earlier judgement criteria on MRV and indicator on NAMA is also relevant for this indicator and not repeated. The main points from the earlier analysis that can be summarised are:

- **Coordination challenges** – There are many efforts and approaches involved in promoting MRV, NAMAs and LEDS and coordination of these efforts is critical. Whilst the EU supported programmes (like others) do not benefit from a global coordination framework, there have been efforts to improve coordination between programmes (e.g. with MoUs) and through ad-hoc common sense exchange of information and networking. Stimulating coordination at the country level appears to be an under emphasised potential.
- **Dependence on in-country process** – The rate of progress in developing LEDS like for MRV and NAMAs is very much dependent on in-country processes and there is a limit to how many external agencies can hasten progress. Too much pressure and too much support could undermine ownership and sustainability.
- **Conceptual complexity** – NAMAs and LEDS are complex concepts and in the case of NAMAs a full consensus on its definition is not yet in place. Sub-national or Vertical NAMAs such as those supported by the Urban-LEDS project are an attempt to tailor the NAMA concept so that it is easier to implement in practice.
- **Institutional complexity** – LEDS, like MRV and NAMAs are institutionally complex – to some extent, LEDS are even more complex because they need to fit in with national and sector plans. A strategy for mainstreaming low emission strategies is complex and needs to engage with both public and private sectors.
- **Political sensitivity** – LEDS, like NAMAs and especially MRVs are politically charged. For most developing countries, especially the lesser developed of the countries, there is an in-built preference for adaptation for obvious reasons. There is also a reluctance to embark on activities that could prejudice negotiating positions. Environmental ministries which are often the champion for these processes are relatively weak.

For LEDS the following specific points that are relevant:

- The ideal “top down” scenario of having a fully fledged LEDS in place to guide NAMAs (which then in turn demand MRV systems) is rarely practiced – it seems it is more common for countries to opt for a bottom up approach of piloting the preparation of NAMAs and then gain experience before launching on developing a LEDS;
- LEDS have thus tended to be done at a later stage and are in many respects behind the NAMAs in terms of progress;
- Successive studies have shown that LEDS like NAMAs (and MRVs) require high quality data, capacity building, political buy-in, broad stakeholder engagement, and well-defined institutional coordination⁹⁰.

One of the most important aspects for longer term sustainability is the financial viability of the country LEDS which in turn depends to a large extent on the capacity of the governments to maintain MRV and attract private sector funds for implementing NAMAs. As pointed out by the ROM reports: transforming national economies to low carbon economies requires significant private investments and the attraction of private funds remains the most challenging issue in all project countries⁹¹. Both the LECB and PMR recognise this challenge. The LECB responds through its twin components of public and private sector with an increasing effort to engage with the private sector. The PMR responds by focusing on market instruments that are defined around the incentives and market based signals that will engage the profit seeking private sector.

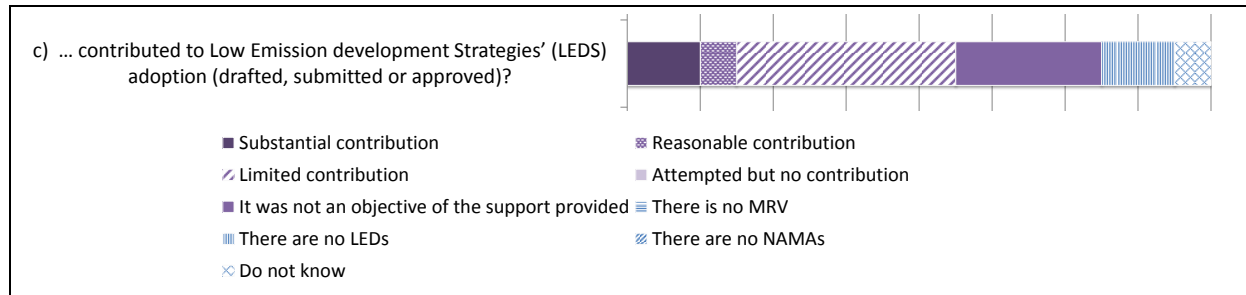
⁸⁹ Final Report 2012

⁹⁰ LEDS, http://www.lowemissiondevelopment.org/docs/general_project_documents/NAMA_LEDS_conceptual_frameworks_updated_June_2013.pdf

⁹¹ ROM report MR-145888.01 April 2013

The survey results (Figure 15) show that in 3 out of 9 delegations where LEDs were promoted there has been substantial or reasonable contribution and progress. This in part is a reflection that the LEDS process has started late and will take time before it bears fruit.

Figure 15 Contribution of EU support to LEDS



Source: EUD survey

EU contribution: The EU contribution is similar to that described under the indicators on MRV and NAMA and therefore not repeated here.

External factors: The main external factors are as described under the indicator on MRV i.e. the dependence on country processes.

2.2.2 I-222. Progress in NAMA adoption (either drafted, submitted or approved) (in countries where there was no NAMA, a draft 2 years after the intervention would be satisfactory (submission and approval could take longer and be dependent on other processes))

Description: There is not yet a universally agreed definition for NAMAs. The LECB programme has reviewed and compared different approaches⁹². Based on this analysis a commonly accepted concept for NAMAs is presented by LECB as: "NAMAs are concrete projects, policies, and/or programmes that shift a technology or sector in a country onto a low-carbon development trajectory. The mitigation actions can be unilateral, supported, or creditable according to the Convention, and undertaken at different scales"⁹³.

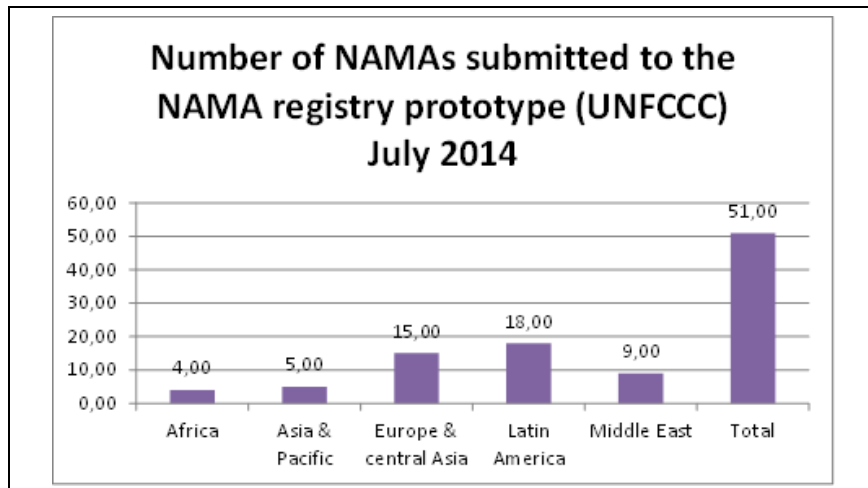
Evidence of the change: Figure 16 shows the current (July 2014) status for NAMAs submitted to the UNFCCC registry prototype⁹⁴. This data does not necessarily include all NAMAs formulated and implemented but it is considered by most as the most reliable and up to date registry. The NAMA pipeline shows that a total of 51 NAMAs have been submitted. It is notable that very few have been submitted in Africa and Asia/Pacific, whereas Latin America and Europe/Central Asia have submitted the majority of NAMAs. This reflects the technical capacity in these regions and the presence of considerable but also out-dated industrial infrastructure.

⁹² http://www.lowemissiondevelopment.org/docs/general_project_documents/NAMA_LEDS_conceptual_frameworks_updated_June_2013.pdf LECB Conceptual frameworks for implementing LEDS and NAMAs – a comparative analysis

⁹³ <http://www.lowemissiondevelopment.org/work-areas/namas-and-leds>

⁹⁴ UNEP Risoe Centre NAMA pipeline <http://namapipeline.org/>

Figure 16 NAMA pipeline at UNFCCC



Source: Author based on information from the UNEP Risoe Centre NAMA pipeline <http://namapipeline.org/>

The following table shows more detailed information on the countries submitting NAMAs and also the type of NAMA and the scale of external support applied for⁹⁵. Of the 51 NAMAs, only four are for recognition only and 16 are requesting support for the preparation stage and 31 for the implementation stage.

Table 16 NAMA pipeline – country and status

Submitted NAMAs	External support				Requested Financial Support (million US\$)
	For recognition	For preparation	For implementation	Total	
Host country					
Latin America	3	5	10	18	927.45
Chile	1		3	4	52.75
Dominica			1	1	474.50
Dominican Republic			2	2	315.82
Mexico		2	3	5	80.70
Uruguay	2	3	1	6	3.68
Asia & Pacific	0	1	4	5	334.30
Cook Islands			1	1	0.00
Indonesia			2	2	319.00
Mongolia			1	1	7.00
Pakistan		1		1	8.30
Europe & Central Asia	1	1	13	15	2268.10
Azerbaijan		1		1	0.10
Georgia			1	1	1.80
Serbia	1		12	13	2266.20
Africa	0	3	1	4	288.38
Mali		2		2	0.08
Kenya			1	1	288.30
Ethiopia (withdrawn)		1		1	-
Middle East	0	6	3	9	98.77
Jordan		6	3	9	98.77
Total	4	16	31	51	3917.00
Least Developed Countries	0	3	0	3	0.08

Source: UNEP Risoe Centre NAMA pipeline <http://namapipeline.org/>

⁹⁵ UNEP Risoe Centre NAMA pipeline <http://namapipeline.org/>

The table draws attention to the fact that only three submissions have been received from lesser-developed countries and in one of these cases (Ethiopia) the submission was later withdrawn. Out of close to USD 4 billion requested in support only USD 80,000 have been requested from least developed nations. The picture presented by the NAMA pipeline provides a type of baseline that can be summarised as follows:

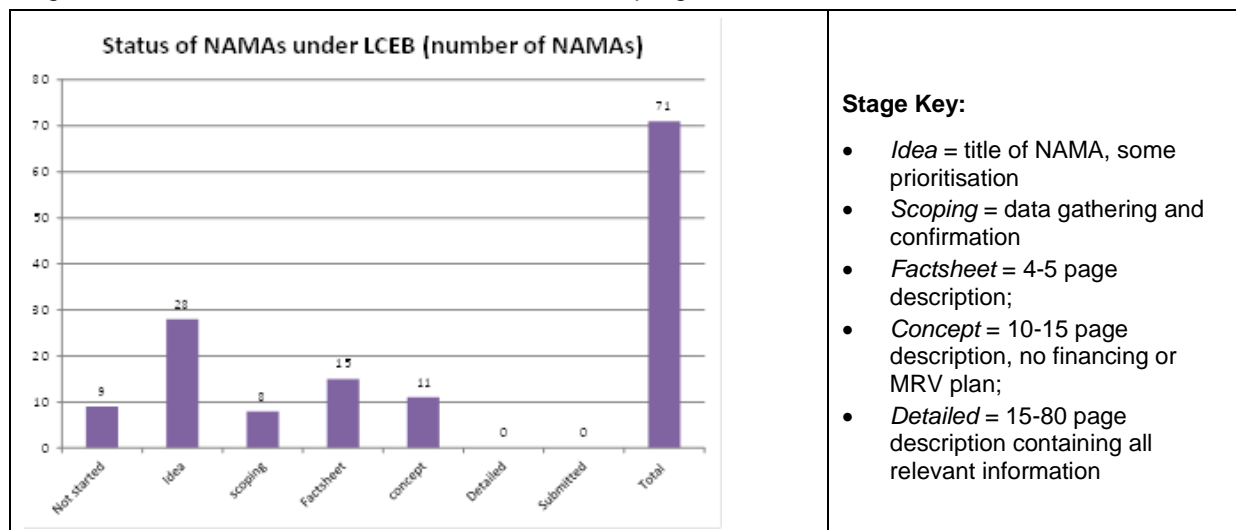
- There are relatively few NAMAs that have reached the stage of being ready to submit to the UNFCCC NAMA registry prototype;
- The vast majority are in medium and upper medium income countries with a focus on Latin America and Eastern Europe;
- Least developed countries, although having potential in some areas such as agriculture, have not yet submitted NAMAs and are not in a position to avail support that is scaled in the billions of USD.

The major multi-country programmes of the PMR (16 countries) and LECB (25 countries) have not yet matured sufficiently to reach a stage where NAMAs are being submitted to the UNFCCC registry prototype.

Under the LECB Programme, national teams are working to develop over 70 NAMA at various levels of preparation. The focus and development status of the NAMAs under consideration in the 25 countries (idea, scoping, factsheet, concept, detailed proposal, submitted, approved, etc.) is shown in Figure 17. Although over 70 NAMAs are being considered, none have yet reached a detailed proposal stage that would involve sourcing of potential financing and a supportive MRV plan. This is not surprising as it takes a considerable time to develop a NAMA and it is dependent on also establishing a solid MRV system. In some of the more developed countries for example in Latin America, early processes will have already taken forward easiest and most implementation ready NAMA ideas (and these are largely the ones already recorded in the NAMA pipeline).

What is notable is the scale of the LECB NAMA work. Even if only half of the 70 NAMAs being considered reach a submission and implementation stage it still represents a very large number compared to the 51 NAMAs in the pipeline. It is also notable that the LECB country selection includes a number of lesser-developed countries (see Figure 18). Figure 18 shows that LECB focuses considerably more on Africa and Asia/Pacific than is the case with the NAMA pipeline. According to LECB, Uganda, Costa Rica and Ecuador are expected to submit NAMA proposals developed under the LECB Programme to the NAMA Facility during the upcoming call for proposals in mid-2014⁹⁶.

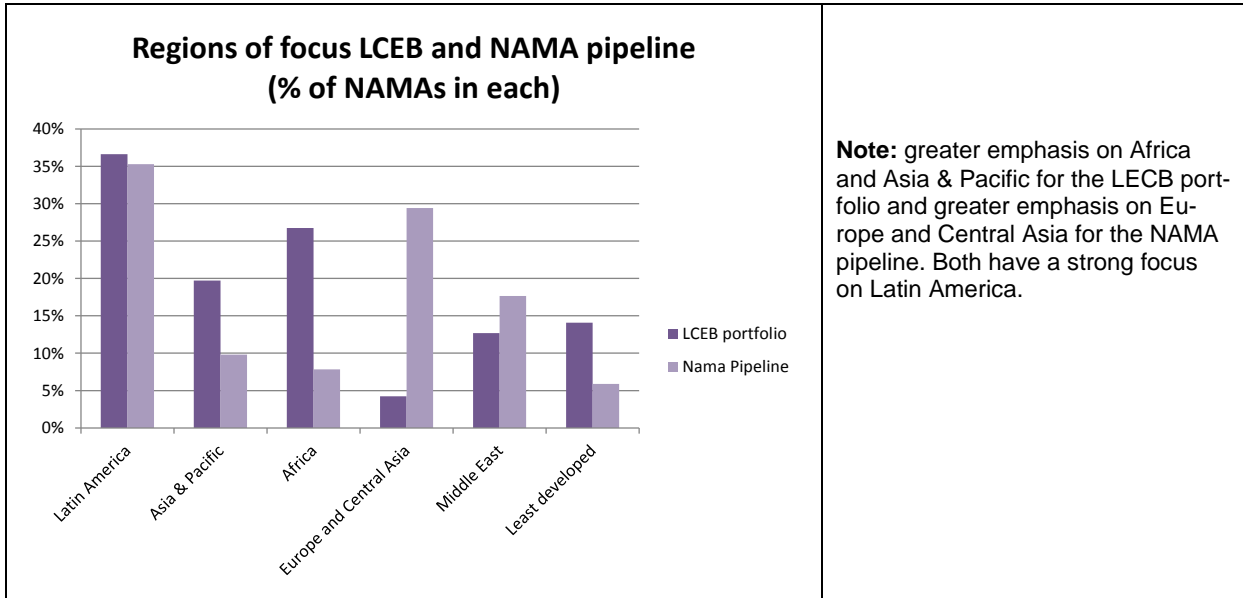
Figure 17 Status of NAMAs under the LECB programme



Source: Author based on information from LECB Quarterly report Q1 2014

⁹⁶ Interview and correspondence with LECB July 2014

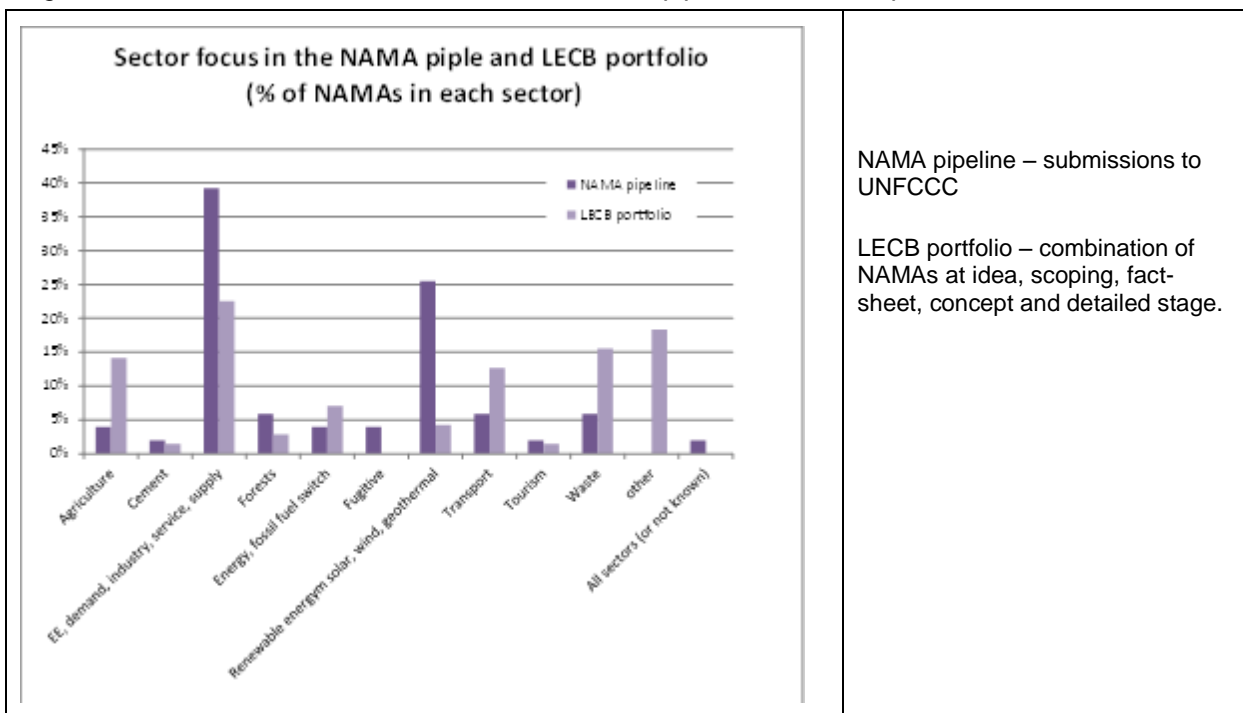
Figure 18 Regions of focus LCEB and NAMA pipeline



Source: Author based on information from LCEB Quarterly report Q1 2014 and UNEP Risoe Centre NAMA pipeline <http://namapipeline.org/>

The figure below compares the sector focus under the NAMA pipeline and the sector focus of the NAMAs in the LCEB portfolio. There is a broad compatibility in the weight given to different sectors although the NAMA pipeline focuses more on energy efficiency and renewable energy and the LCEB portfolio more on agriculture and waste.

Figure 19 Sector focus of NAMAs in the NAMA pipeline and LCEB portfolio



Source: Author based on information from LCEB Quarterly report Q1 2014 and NAMA pipeline (UNEP Risoe)

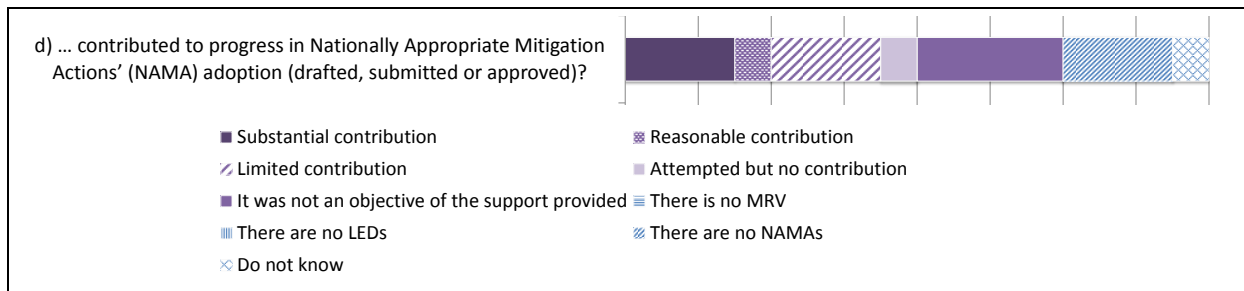
As for MRV processes, the progress of NAMAs is country led and the speed of progress is thus country dependent. The introduction of the NAMA-NET centres of excellence will help to accelerate progress. The support programmes also contribute by providing guidelines, training, awareness raising and peer-to-peer experience exchange events. For example, to assist NAMA design the LCEB Programme, in collaboration with the UNFCCC and UNEP Risoe, developed the resource publication, [Guidance for NAMA Design: Building on Country Experiences](#).

Under the EUMRVCB project in Indonesia, the activities to be considered for NAMAs and LEDS were not fully defined although some progress was made on the enabling environment in terms of capacity development. The trainings and other interventions supported the "Provincial Action Plan to Reduce Emission or RAD-GRK" which could be considered to contain actions that are related to NAMAs, while activities that contributed to the development of "national low emission strategies" could be considered to be actions related to LEDS or which could be later developed into LEDS. In Mexico one of the main obstacles to development of NAMAs was the lack of verification capacity. The project trained some 27 government officials on accreditation and verification of NAMAs, which should have contributed significantly to the quality and credibility of future NAMAs⁹⁷.

The field visits showed a mixed picture. In most countries NAMAs have been started but not completed. In Kenya, NAMAs are being supported through the LECB project in waste management, transport and renewable energy for off-grid connection. In Ghana, the LECB will support two energy related NAMAs but these have not been started yet. In Egypt the LECB project has made a mapping of potential NAMAs in 9 different ministries. Egypt is keen to develop NAMAs and the expectation is that with the mapping provided through the EU support, a prioritised plan for formulating NAMAs will be developed.

The Survey of EUDs indicated that in those countries where NAMAs were being promoted, there was about 50% of them where the progress was substantial or reasonable. This is partly explained by the fact that in many situations the efforts to promote NAMAs have been delayed.

Figure 20 Contribution of EU support to NAMAs



Source: EUD survey

NAMA implementation challenges: Ultimately the main test of a NAMA is that it can be financed and is finally implemented as part of a wider low emission development strategy. As outlined by the LECB ROM⁹⁸: A main issue remains the development of NAMAs that are realistic and bankable, which means that the private sector would have to be willing to participate by investing. This is still relatively untested by the support programmes although there is full recognition of its importance.

EU contribution: An important contribution of the EU beyond the financing of the LECB has been in commenting on the original project design. For both the PMR and LECB the EU has added value through accepting that the projects and programmes need to build up their own internal capacity in what is a relatively new area of work. The outcome of this acceptance is that the LECB and PMR have had the time and resources to develop strong administrative systems and bring together very experienced teams and thus provide a service to the partner countries that is credible and of high quality.

Within NAMAs under the LECB, the EU initiated and supported the centers of excellence (later known as the NAMA-Net) concept. The EU provided intellectual leadership for the concept and also provided a supplementary grant to allow contracting, briefing and contract management of the services of the centres of excellence. Under this concept a number of consortium have been contracted to provide in-depth support to the participating countries. This is likely to accelerate the advance of the NAMAs but also risks that the expertise and confidence will remain with the consortiums rather than remain in country. However, it is a balanced risk because there is a strong need to consolidate and prove the NAMA concept.

Within the PMR, the EU only provides a small fraction of the funding. However there have been occasions where the EU experience in market readiness and establishment of MRV and ETS has been made use of e.g. during a seminar in Beijing where the EU systems and approaches were described

⁹⁷ Final Report 2013

⁹⁸ ROM report MR-145888.01 April 2013

to inform decision makers in Asia. Apart from this and similar cases as well as their presence on the governance mechanisms there does not yet appear to be a strong EU intellectual contribution; the programme is run by the World Bank and there is no indication yet that it needs further support from the EU other than financing.

External factors: The main external factors are as described under the indicator on MRV i.e. the dependence on country processes.

2.3 JC23. Increase in knowledge on implementing low emission development

2.3.1 I-231. Evidence that knowledge-sharing actions have taken place

Description: Knowledge sharing is critical for implementing low emission development. Firstly, lack of information on the benefits and costs of low emission development is a crucial reason for the market failure that occurs when there are economically advantageous low emission actions that can be taken but are not. Countries, industries and society are not aware of the opportunities or how to make use of them. Governments are not sufficiently aware or convinced about the benefits to create an enabling environment. Knowledge sharing as well as helping to make the technical and political case for low emission action is also needed simply to make right technical and policy decisions. The emphasis is on knowledge sharing for two reasons:

- Low emission development is relatively new and also relatively situation specific – no country or organisation has all the answers for all situations. In this context, knowledge and information will be more centred on learning than teaching, which highlights the importance of knowledge sharing and exchange processes;
- As the knowledge gaps are both technical and political there is a need to focus on self-realised learning that can be sustained, self-extended and form the basis for a broader society based demand for low emission development.

The EU supported programmes are likely to be more successful in development capacity and increasing knowledge if they are able to stimulate knowledge sharing processes – particularly those that can be feasibly continued once the programme is over.

Evidence of the change: The LECB Programme has carried out a number of knowledge sharing actions over the life of the Programme, including⁹⁹:

- Three (3) Annual Global Meetings bringing together national teams and technical experts to focus on thematic learning such as GHG Inventory System Development, LEDS Development and NAMA Development;
- One technical publication on NAMA design, in collaboration with UNFCCC and UNEP Risø (now UNEP DTU);
- Eighteen (18) webinars or webinar recordings on emerging topics of interest for LECB countries, (<http://www.youtube.com/channel/UCAoC7slxbzMRen-wxGQZM2w>);
- Seven (7) quarterly newsletters published between March 2012 and September 2013;
- Eighteen (18) monthly round-ups (email newsletters) have been produced, sharing country activities, lessons learned and resources;
- Three (3) UN/DP side events organised (Doha, November 2012; Bonn, June 2013; Warsaw, December 2013);
- Approximately thirty (30) technical support missions to 22 countries;
- One (1) regional workshop held on national GHG inventory systems for Latin America & Caribbean (15-17 May 2013, Santiago, Chile), in collaboration with IPCC and US EPA;
- One (1) regional workshop held on national GHG inventory systems for Africa and Arab States (25-27 February 2014, Livingstone, Zambia), in collaboration with the Food and Agriculture Organization (FAO);
- One (1) regional workshop held on Private Sector Engagement in Mitigation Actions (14-16 May 2014, Santiago, Chile), in collaboration with the Ministry of Environment of Chile;

⁹⁹ interview and directly quoted from correspondence with LECB July 2014

- Joint production with GIZ of a Global Good Practice Analysis, including 21 examples of mitigation-related good practice worldwide which demonstrate how LEDS, NAMAs and MRV systems are being effectively designed and implemented across a range of national contexts.

The recently completed LECB Webinar Training Series focused on MRV (including nine webinars over a 6 week period). The series was attended by over 280 participants and have been accessed by over 250 viewers. It is not possible to determine whether those who accessed the webinars also watched the entire screening. Nevertheless a total of over 500 people averages out at 20 people per country which given the specialist nature of the topic is considerable even if it is an average that might also include global actors. The ROM report on LECB notes that “the project participants at country level are pleased with the quality of the global Support Unit support received, particularly with the webinars”¹⁰⁰. This information combined based on the comments and feedback from participants provides solid evidence that knowledge sharing has taken place.

One of the weaknesses of knowledge sharing interventions is that their impact is difficult to measure especially if they represent a free good. If they provided free of charge, then even good and repeated attendance is not necessarily a sign that they are appreciated and serving a good purpose. It has not been easy to systematically determine the co-financing levels however the ROM report on the Philippines notes “there are already indications that the government and local authorities are very much willing to contribute, with the most recent example of co-funding travel and accommodation arrangements for all participants from the country’s regions to the Workshops implemented in 2012 (over 70% of the total participants to both events)”¹⁰¹. This evidence gives an indication that the knowledge sharing events are not just being well attended because they are free of charge but that continued good attendance is probably a sign that they are serving a useful purpose.

The field visits confirmed that the training and capacity building provided under LECB was much appreciated. In the case of Kenya, the LECB training built on earlier efforts of Japanese and USAID financed support projects. In Ghana, the LECB has supported the NAMA investor guide, which increases the demand and understanding of the private sector.

Like the LECB, the PMR programme is directed at precisely creating platforms for countries and experts to share knowledge on market-based mitigation. In the words of PMR¹⁰²: “At its core, the PMR is a country-led partnership that leverages collective action to scale up climate change mitigation. Recognizing that this scale up requires a truly global effort, the PMR brings together developed and developing countries, policy experts and multi-lateral development partners, providing a useful platform for knowledge sharing”. Thus knowledge sharing is at the heart of the PMR programme, which like the LECB takes advantage of its multi-country participation to encourage peer-to-peer learning.

The EUMRVCB project over a two year period in Indonesia and Mexico organised 73 capacity-building events, reached out to 1,337 people in both countries, produced 14 pieces of documentary guidance, and participated in 15 other relevant meetings see the figure below¹⁰³. This provided a very intensive capacity development. At the start of the project, only a limited number of country experts existed who were exposed to the MRV principles and concept, and these experts seldom had a similar understanding of its implications for GHG inventories and NAMAs in the context of LEDS. The project through its intensive capacity building and knowledge sharing was able to significantly expand the number of experts and also ensure that they had a common framework for understanding MRV, NAMAs and LEDS.

¹⁰⁰ ROM report MR-145888.01 April 2013

¹⁰¹ ROM MR-145888.04 april 2013

¹⁰² Annual report 2013

¹⁰³ Final report 2013

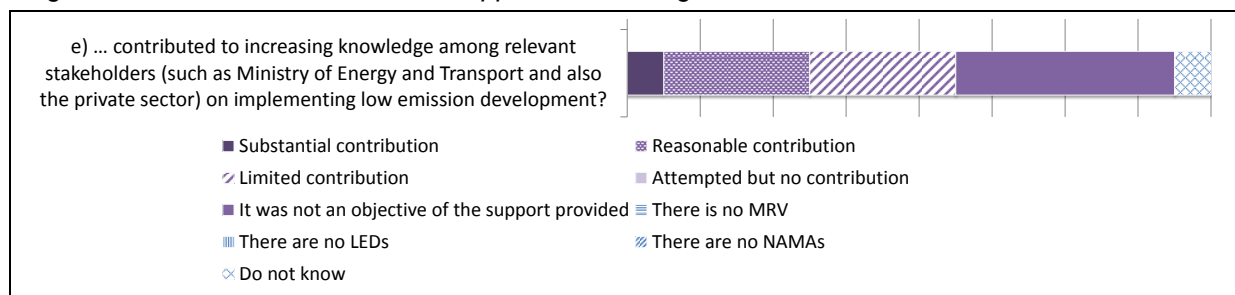
Figure 21 Knowledge sharing actions in the EUMRVCB project

Summary of Project Accomplishment (January 2011 – November 2012)							
Capacity Building Events	Action	Indonesia		Mexico		Total	
		# events	# People	# events	# People	# events	# People
Training, workshop, and meetings	1	5	136	22	319	27	455
	2	5	188	17	203	22	391
	3	2	111	8	93	10	204
	4	5	201	9	86	14	287
Total		17	636	56	701	73	1,337
Documentary guidance (e.g. briefing notes, gap analysis, technical guidance, etc.)	1		1		3		4
	2		1		1		2
	3		-		3		3
	4		2		4		5
Total			4		11		14

Source: Final Report 2013 p 11

The survey of EUDs shows that about 50% of the those EUDs where knowledge activities took place there has been substantial or reasonable contribution.

Figure 22 Contribution of EU support to knowledge



Source: EUD survey

Conclusions that can be drawn include:

- The EU supported programmes especially the multi-country LECB and PMR prioritise knowledge sharing in their plans and implementation;
- Through the EUMRVCB project, the EU supported efforts on knowledge sharing and development for two high priority countries (Indonesia and Mexico) was very intensive and likely to have reached a threshold where a common understanding was obtained within the fraternity of country experts and robust in-country processes of knowledge sharing could take over;
- Although there is no formal evaluation of the learning achieved, end of workshop evaluations, the ROM assessment of LECB and testimonial type evidence points to the knowledge sharing being highly appreciated by country actors. A more formal measurement on a sample basis of what has been learnt or what attitudes have changed would be relevant;
- In some cases, for example in the Philippines it has been able to test the money backed demand for knowledge sharing as the knowledge sharing events are 70% country financed; which tends to indicate that they are serving a genuine and recognised need;
- The methodologies and approaches to knowledge sharing are state of the art and use a variety of mediums and means of reaching out to stakeholders. Both technical and political levels

are engaged (e.g. in Lebanon The NAMA concept was explained to the country's highest inter-ministerial decision-making body, the Council of Ministers¹⁰⁴. Both south-south and north-south exchanges are taking place;

- Documentation of knowledge sharing events is generally very good. Summaries as well as detailed information for most if not all events is easily accessible on the internet;
- There is not much evidence or documentation of in-country spreading of knowledge – knowledge apart from being available on the internet does not seem to be deliberately disseminated in-country e.g. via environment and climate desks in different ministries.

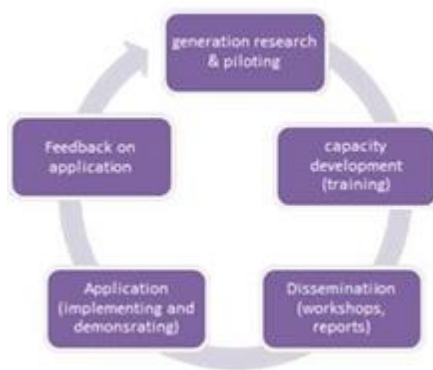
EU contribution and external factors: The EU contribution and the influence of external factors affect both this and the next indicator similarly and are thus treated together under the next indicator.

2.3.2 I-232. Evidence that new knowledge is contributing to development of low emission strategies.

Note: (For a satisfactory level of attainment knowledge sharing mechanisms should have some degree of sustainability or evidence of internal incentives for them to continue).

Description: Increasing awareness and new knowledge should have two effects: i) to increase the commitment to developing low emission strategies and ii) to increase the technical competence and reduce the knowledge barriers to preparing and implementing low emission strategies. These are complex factors that are not easy to measure.

Figure 23 Knowledge Management Cycle



The knowledge chain extends from generation of knowledge (research and piloting) to capacity development (training, advisory services) to dissemination (workshops, reports, knowledge sharing events) to application (implementing projects and demonstration) and eventually to feedback into defining research agenda and informing where new knowledge needs to be generated. To be effective the capacity development actions need to contribute different parts of the knowledge management cycle or at least be assured that all parts are being addressed.¹⁰⁵

Figure 24 Levels within capacity development



Within capacity development there are also considerations of what level is being addressed: the individual level, the organisational level or the enabling environment level (see figure above¹⁰⁶). A well-considered capacity development intervention that is likely to lead to practical implementation of low emission development strategies does not necessarily have to address all levels but will need to make

¹⁰⁴ LECB Voices from the Field Lebanon, February 2014

¹⁰⁵ Source Author

¹⁰⁶ Source Author

sure that, if not, they are being addressed in one way or another. Many external efforts at creating knowledge and developing capacity have a tendency to overlook the organisational and enabling environment levels as pointed out in the EU's backbone strategy on capacity development¹⁰⁷. This document also presents three important aspects of effective technical cooperation: i) partner owned; ii) demand driven and iii) results focused.

Evidence of the change: It is still early in the phasing of the EU supported programmes and projects to expect substantial evidence of the development of low emission strategies and the extent to which these strategies have been supported by new knowledge generated through the external support. Nevertheless there are a number of promising developments that can be pointed to and which are outlined below:

Targeting and understanding knowledge gaps: The LECB ROM report notes: "The country projects are expected to take stock of the gaps in capacity among stakeholders, in preparation of the planned workshops. The objective in the national projects is to ideally to train trainers (for ensuring a wider dissemination potential) on GHG emission inventories / MRV systems, preparation of NAMAs and LEDS, and to facilitate the institutionalisation of the process for the preparation of the National Communications to the UNFCCC¹⁰⁸. This indicates that capacity efforts are deliberately and professionally targeted and that dissemination and institutionalisation (i.e. addressing the organisational and enabling environment levels) are also addressed. The ROM report also reveals that human resource issues are being considered.

The EUMRVCB project recognised early on that a thorough understanding of current capacity was the key to developing relevant capacity development interventions especially as the capacity in both Indonesia and Mexico varied considerably between the private and public sector and between national and sub-national level and also between sectors. A highly professional capacity development design enabled the interventions to target key knowledge gaps and exploit opportunities where learning was likely to be rapid or was very timely (e.g.in the transport sector in Indonesia)¹⁰⁹.

Partner owned: The LECB ROM reports note "This collaborative, country-driven programme aims to strengthen technical and institutional capacities at the country level, while at the same time facilitating inclusion and coordination of the public and private sector in national initiatives addressing climate change. It does so by utilising on the one hand the networks and substantial experience that UNDP has established globally, and on the other hand through its strong national presence with a wide portfolio of projects in the participating countries"¹¹⁰. The ROM report points to the likelihood of a long-term impact of the knowledge based interventions.

The ROM report for the Philippines notes that: "The Climate Change Commission and the broader government institutions in the Philippines seem determined to establish mitigation as one of the pillars of addressing climate change, to pursue mitigation activities as a function of adaptation and to push ahead with the needed development of policy and application measures. The plan of Climate Change Commission is to pass to a "Climate-Smart Development" by adopting climate resilience and low-emission development."¹¹¹ It is noted however that the level of commitment of the private sector and civil society is less easy to determine. Some elements of the private sector, despite being exposed to knowledge sharing events, are still cautious as it is not year clear what the implications of all proposed low emission measure might be. The ROM report notes that the industries associated with multi-national companies are more open. It is noted that the knowledge has had an influence on civil society but there is still a preference amongst civil society for adaptation rather than mitigation measures. In the Philippines, stakeholders feel confident that with a relatively stable political environment in the country, further development of the respective climate change policies is highly likely. It is also noted that personnel turnover is relatively low at the main stakeholders, thus the needed institutional stability is in place for ensuring the delivery of the project benefits in the future¹¹².

In Lebanon, although a formal national LEDS has not been developed the Ministerial Decision (Official Gazette on the 18th April 2013) introducing GHG emissions reporting for industries and commercial

¹⁰⁷ http://ec.europa.eu/europeaid/how/ensure-aid-effectiveness/documents/backbone_strategy_on_tc-plus_final_en.pdf

¹⁰⁸ ROM report MR-145888.01 April 2013

¹⁰⁹ Final Report 2013

¹¹⁰ ROM report MR-145888.01 April 2013

¹¹¹ ROM report MR-145888.01 April 2013

¹¹² ROM report MR-145888.01 April 2013

institution has in the view of LECB staff set the stage for further low emission development planning and has resulted in over 200 companies applying for green status certification¹¹³.

Together, these observations (confirmed in some cases through ROM field visits), provide evidence that the capacity development is partner owned at least with in the public sector. There is some doubt on the degree to which civil society and the private sector are engaged and own the process. But there is at least recognition that civil society and the private are valid and important stakeholders and there are plans for deepening engagement – particularly within the PMR programme.

Demand led: The LECB series *Voices from the Field (Sources Costa Rica Voices from the Field February 2014)* documents that an important step has been taken from knowledge sharing towards developing strategies for low emission development. As noted in the publication: “In 2007, Costa Rica declared its goal to become the world’s first carbon neutral country by 2021. Addressing climate change is the cornerstone of the National Development Plan”. This underscores the importance of a favourable national policy environment and indicates how EU support has two types of opportunities:

- The opportunity to respond to (and reward) favourable policy environments and accelerate support for low emission development;
- The opportunity to change attitudes and commitments in countries that do not have a favourable policy environment.

These two tasks are very different but equally important. Costa Rica is an example of the former. The *Voices from the Field* publication notes and provides evidence that: in response to and building on a strong country led policy environment, the LECB has brought stakeholders together to start developing a NAMA for the livestock industry as part of the national goal for low emission development. This is against a context where the livestock is one of the biggest CO2 emitters nationally. And where it was recognised that although the livestock sector did not have the financial resources to make an immediate transition there was an opportunity that a well-managed transition could open up new value added markets for consumers that were climate conscious. The ultimate goal of Costa Rica’s livestock NAMA and related LEDS is “to facilitate 80% of farmers to adopt specific tried and tested measures, and to support farmers to overcome some of the barriers they face in reducing emissions.”

At the city level the Urban-LEDS project has led to promising results where knowledge and awareness have led to tangible steps towards development of low emission paths. In Recife, one of the 37 cities support the Mayor has sent a bill of Law on Climate Change and Sustainability for approval by the City Council. This has the potential to significantly contribute to the city’s long-term development plan where a low emission development strategy will feature strongly. This advance followed the signing of an MoU with Urban-Leds some nine months previously. The Mayor is recorded as saying “Thanks to the agreement signed with ICLEI, Recife will be the first city in the North And Northeast Regions of Brazil to measure greenhouse gas (GHG) Emissions in the city and to set incremental goals to reduce these pollutants by 2020”¹¹⁴.

For the PMR, as noted in the official material: “both Contributing and Implementing Country Participants work within their own domestic contexts to bolster GHG mitigation; both groups use the PMR as a place to learn and share relevant knowledge and experience. This knowledge sharing makes the PMR a unique source on the latest thinking on how best to leverage market-based tools to mitigate carbon emissions.”¹¹⁵

Results focussed: There is an abundance of evidence of knowledge related and capacity building activities taking place (indicator 2.3.1) and also a considerable body of anecdotal evidence of the impact on development of low emission strategies (indicator 2.3.2). However there is not a systematic identification of the results to be achieved or measurement of progress towards capacity development results. Various factors constrain results measurements: the complexity and expense, the continuously unfinished nature of LEDS, the difficulty and contradiction of attempting to attribute results to external support of a catalytic nature (where such results are best reached with a minimum visibility or traceability to external support)). These factors combine to throw doubt on the wisdom of artificially forcing more attention on results. It could be that external periodic monitoring and evaluation is a better way forward than internal project level monitoring.

Some of the conclusions that can be drawn are:

¹¹³ interview and correspondence with LECB July 2014

¹¹⁴ Urban-LEDS – Newsletter #2 March 2014

¹¹⁵ PMR Annual Report 2013

- Knowledge and capacity development are having an influence on development of low emission strategies as shown in the case of Lebanon, Costa Rica and Philippines;
- A favourable policy and enabling environment is all important for early visible results;
- Mainstreaming of low emission into sectoral and national development plans is crucial but the opportunities for doing so are limited and there does not seem to be a deliberate strategy yet set out for how to achieve this.

EU contribution: The EU contribution beyond providing finance, as outlined in earlier judgement criteria and indicators has been to:

- Make a well-conceived choice of what projects and programme to finance – in this case a mix of projects/ programmes including two that have a multi-country approach that benefits knowledge sharing;
- Insist on improved coordination through formalising the need to coordinate in agreements – this has translated into inter-programme MoUs and benefits knowledge sharing as there is an overlap in countries. The field visits confirmed that EU support has built on earlier training and capacity developed by other donors (e.g. in Kenya where the LECB program build on the earlier Japanese and USAID funded capacity building and Egypt where the capacity developed under the Cleaner Development Mechanisms was used as a starting point for further capacity development);
- Provide technical information and EU experience on advanced areas such as ETS;
- Comment on reports and supervise implementation and keep in contact with project/ programme management e.g. for the EUMRVCB project: over the 2-year implementation period, the project team physically met four times with the EC Task Manager. Throughout the project the team regularly held Skype conference calls scheduled twice a month and as needed. In total 6 reports were submitted in addition to monthly reports¹¹⁶.

External factors: The external factors that influence the effectiveness of EU supported efforts include the effectiveness of the institutional set up at country level and specifically:

- The degree to which knowledge sharing is kept within a small group of privileged senior staff or disseminated more broadly within a country;
- The selection of staff for attending knowledge sharing events – the extent to which the staff attending are able to make use of knowledge and are in a position to share knowledge with others;
- The degree to which the staff involved has the space and are able to have an influence at the decision maker and policy level;
- The extent to which budgets and resources are made available to continue knowledge sharing once the programme support ends.

¹¹⁶ EUMRVCB 2013

3 EQ 3: Sustainable energy



To what extent has EU support (via the ENRTP and geographic instruments) contributed to improving the enabling environment for investments in sustainable energy development?

Rationale

The question evaluates one of the key priorities of wider EU support to environment and climate change towards third regions and countries: sustainable energy.

The context for this evaluation question is that:

- Encouraging sustainable energy in developing countries is a key policy aim of the EU (because of its impact on GHGs (climate change mitigation), energy prices, conservation of fossil reserves and implications for air pollution and nuclear safety);
- It is a core thrust of EU overall policy on environment and climate change and it is closely linked to the ENRTP's reason for existing. One of the main thrusts within sustainable energy is to address barriers for adopting sustainable energy including access to affordable finance. For this reason the GEEREF was set up. The GEEREF had a total budget of EUR 75 million out of EUR 163 million¹¹⁷ for this sub-priority (over the two phases) thus representing over 45% of the funding in the sub priority¹¹⁸;
- Within the priority area of climate change and sustainable energy, the climate adaptation sub-priority is already being evaluated by another evaluation (of GCCA) and the low emissions development sub-priority is the subject of another evaluation question.

Increased access to clean and sustainable energy is the ultimate aim with a further derived benefit of lower GHGs. Although access to sustainable energy is potentially measurable, the access to it is very complex and subject to many factors, e.g. access to renewable resources, nature of the energy demand, energy tariffs, etc. One of the core strategies within support to sustainable energy has been to focus on the investment barrier to sustainable energy and especially the participation of the private sector. This is because the private sector is a very important part of the energy sector. This makes it relevant to direct the evaluation question on the establishment of an enabling environment for investment.

The judgement criteria focus on the incentives and overall economic environment for investment in sustainable energy. GEEREF is a flagship initiative, set up by the EU that is highly innovative and uses an experimental approach of combining public and private funds. It is purely focussed on the investment environment for sustainable energy. It represents a huge proportion of the funding in this area.

The first judgement criteria is unchanged from the original proposal of the inception report and relates to the reduction of barriers for accessing finance for energy efficiency and renewable energy – this is one of the main aims of the GEEREF.

Originally a second judgement criterion was selected on “Increased participation of SMEs in energy efficiency and renewable energy” as this featured as a potential indicator in the action fiches prepared in the years 2007 to 2009. However, during discussions with GEEREF on the nature of how the fund operates it became clear that this criteria much less relevant as it is not a main aim of the fund and degree to which SMEs are engaged is not a decision that is influenced by GEEREF. GEEREF is an equity investor in regional funds (see Box 2) and sits on the investment committee of these funds but is not at liberty (and it would not be good practice) to interfere in the selection of contractors and agents. Instead a wider judgement criterion on the non-financial benefits of GEEREF involvement is introduced where evidence of SME involvement will be one of the indicators rather than being raised to the level of a judgement criterion.

For all judgement criteria, energy efficiency and renewable energy interventions will be considered separated, as they can be very different in their financing and ownership.

¹¹⁷ In the initial Action Fiche

¹¹⁸ In the evaluation period, based on the reconstructed inventory of EU interventions, a total of EUR 125 million have finally been committed to GEEREF.

Box 2 Regional funds

Regional Funds are GEEREF's investment targets and as a result each Regional Fund must have a focus on investing in Beneficiary Projects. The geographical focus of a Regional Fund may include a continent, a few countries or a single country or even a part of a single country provided that a portion of the Regional Funds' investments (as determined by GEEREF Investment Committee) are located within the Target Market. The geographical focus of the Regional Fund is subject to variables such as the size of the Regional Fund and its investment objectives and policy.

Regional Funds may be structured in different ways depending on the specific market conditions and opportunities. Examples of structures in which GEEREF would consider investing include but are not limited to:

1. Investment funds for renewable energy projects and/or energy efficiency;
2. Private equity funds for SME's or specialised financial institutions for the renewable energy and/or energy efficiency sector;
3. Special purpose vehicles specifically created for a number of smaller Beneficiary Projects (clustering);
4. Entities with a business model geared for replication and scaling-up of rural off-grid electrification schemes;
5. Financing schemes with financial intermediaries such as banks, micro-finance institutions and leasing companies for SME finance and end user finance focused on renewable energy and/or energy efficiency; or
6. Any combination of the above.

Regional Funds may be structured in different ways depending on the specific market conditions and opportunities. Examples of structures in which GEEREF would consider investing include but are not limited to:

Regional Funds shall be established with a view to providing Risk Capital financing to Beneficiary Projects. Notwithstanding the preceding sentence, in exceptional cases, the Regional Funds might provide debt for bridging finance purposes or other applicable cases.

Source: GEEREF Prospectus February 2011

3.1 JC31. Reduction of barriers for accessing finance for energy efficiency and renewable energy

3.1.1 I-312. Evidence of an increase in the investment level for renewable energy

Description: This indicator is a good measure of the degree to which barriers for accessing finance have been reduced. As barriers are reduced one would expect to see a greater level of investment in renewable efficiency. The quality of the investment is not measured explicitly through this indicator but this is taken up in the second judgement criteria on non-financial benefits. However, as the additional investment targeted is primarily from the private sector, it would be reasonable to expect that investment is efficient and of good quality at least from the investor's viewpoint. The increase in investment can be measured in absolute terms through the additional amount invested by all parties as a result of the EU interventions.

Evidence of change: Most of the investment made by GEEREF (over 90%) has been made in renewable energy rather than energy efficiency for reasons that are explained under the next indicator. The overall evolution of GEEREF is thus described under this indicator on renewable energy.

Key points in the evolution of GEEREF are shown in the figure below:

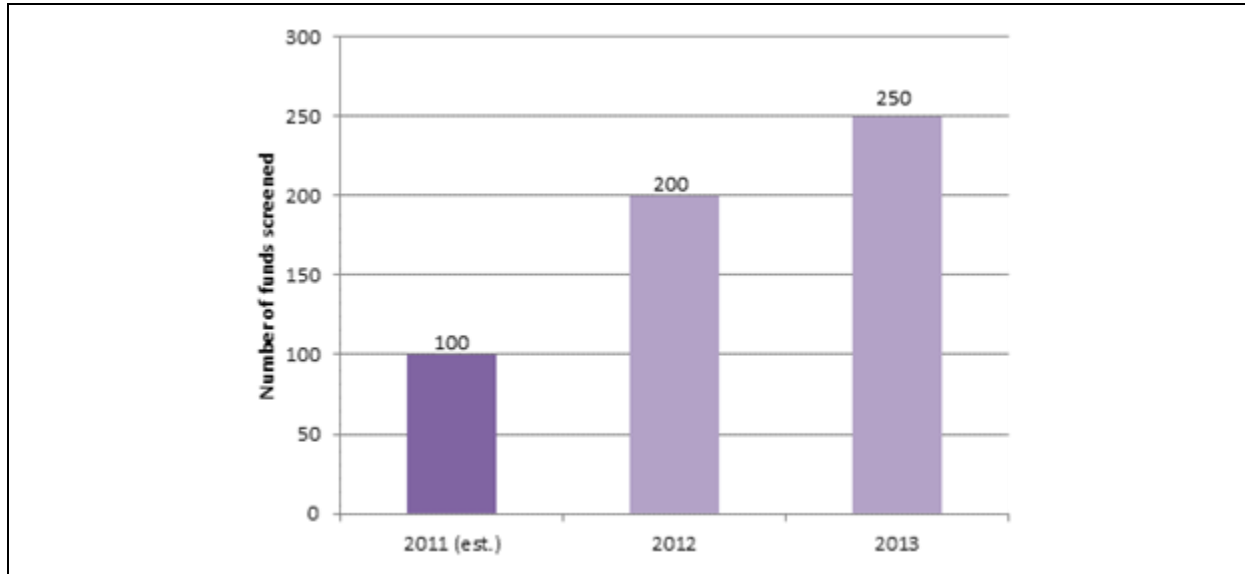
Figure 25 Evolution of GEEREF



Source: Author; Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014; Semi-Annual meeting report December 2012; ROM report M140822.01 July 2011; ROM report M140822.01 October 2012; discussions with GEEREF management June 2014.

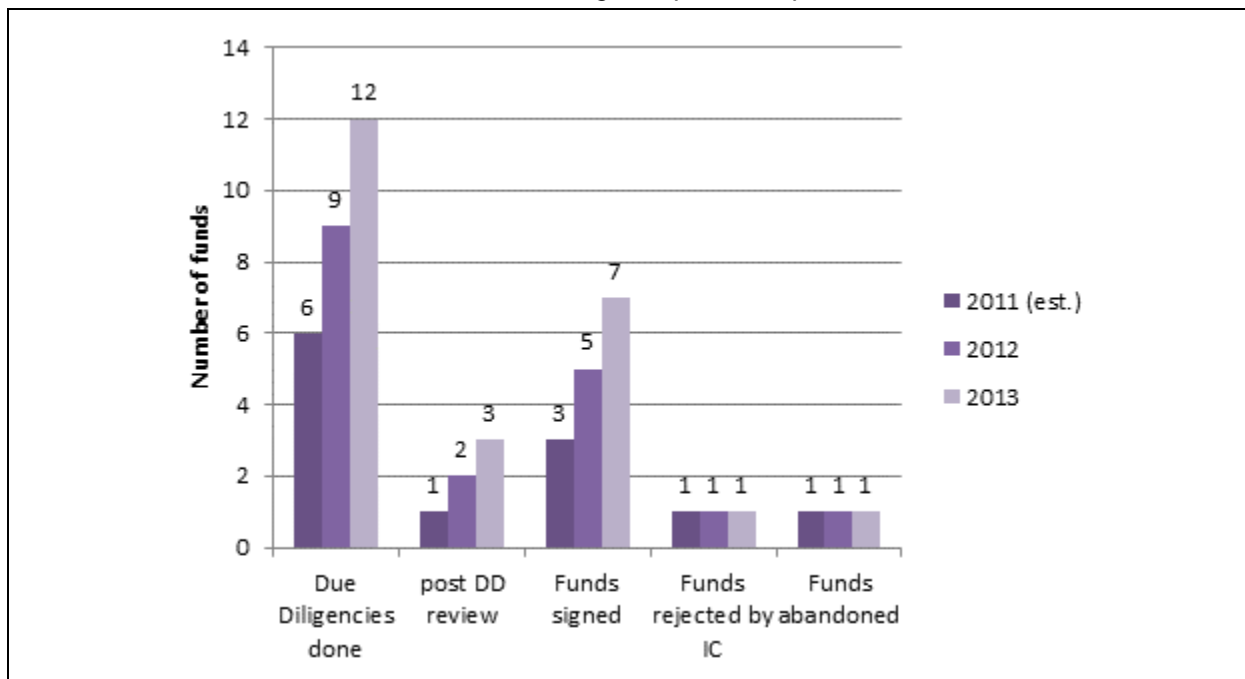
The progress in screening and engaging with regional funds in 2012 and 2013 are shown in the figures below. These show a steady increase in activity level in the last three years

Figure 26 GEEREF number of funds screened



Source: Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014; Semi-Annual meeting report December 2012; ROM report M140822.01 July 2011; ROM report M140822.01 October 2012

Figure 27 GEEREF Development of partnership with regional funds showing number of funds at different stages of partnership

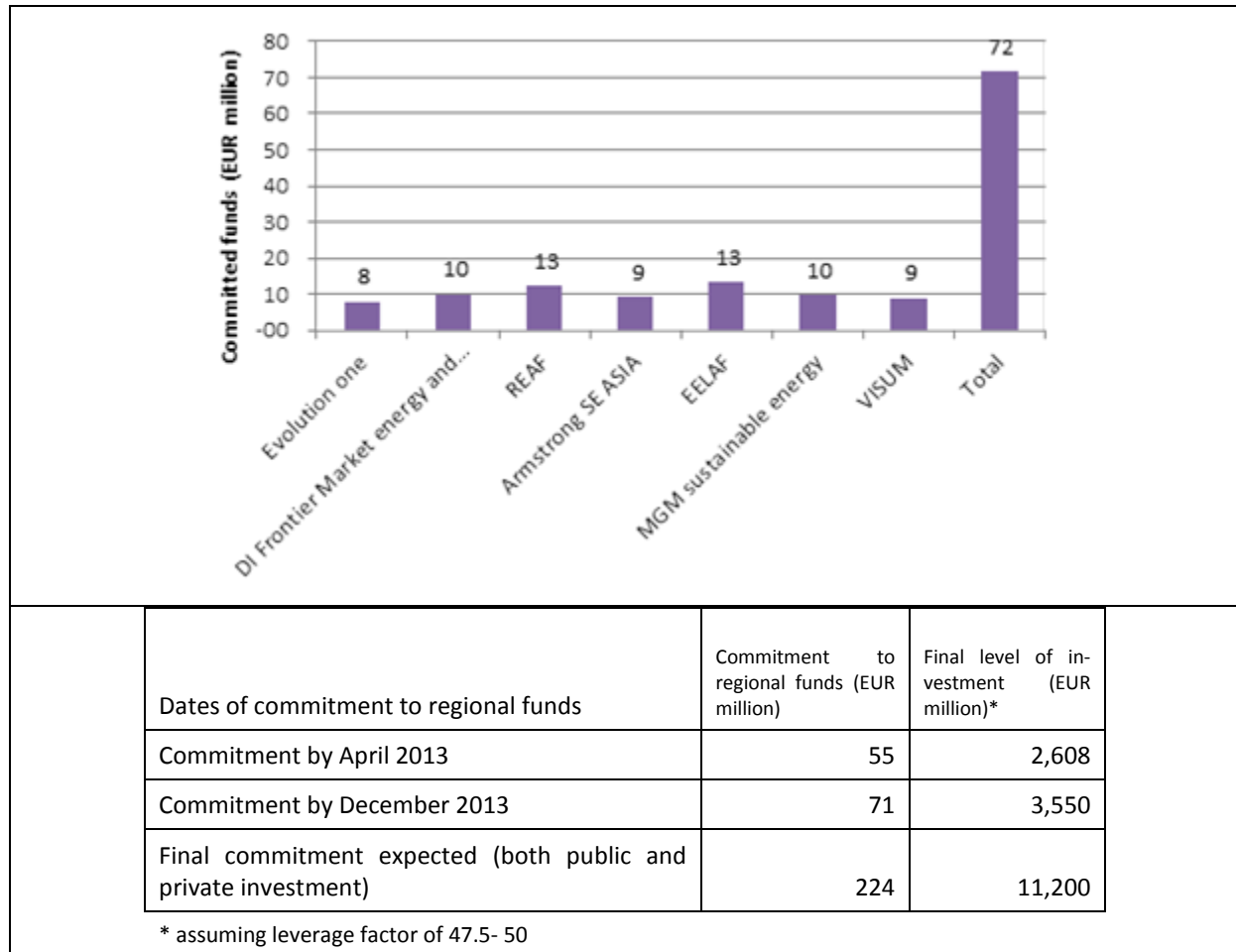


Source: Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014; Semi-Annual meeting report December 2012; ROM report M140822.01 July 2011; ROM report M140822.01 October 2012

A total of close to EUR 72 million of GEEREF funds have been committed (December 2013) as shown in Figure 28. This represents a significant increase in investment which because of leveraging effects will eventually lead a total investment of some 40 to 60 times greater as discussed under the financial leverage indicator. Thus it can be expected that the total investment that will arise from the EUR 112 million available in GEEREF today from public investors when complemented by the addi-

tional EUR 112 million that is expected from private investors (giving a total of EUR 224 million) will give rise to a final investment in excess of EUR 11 billion due mainly to the leveraging effects discussed under indicator I-313.

Figure 28 GEEREF – Funds committed to regional funds

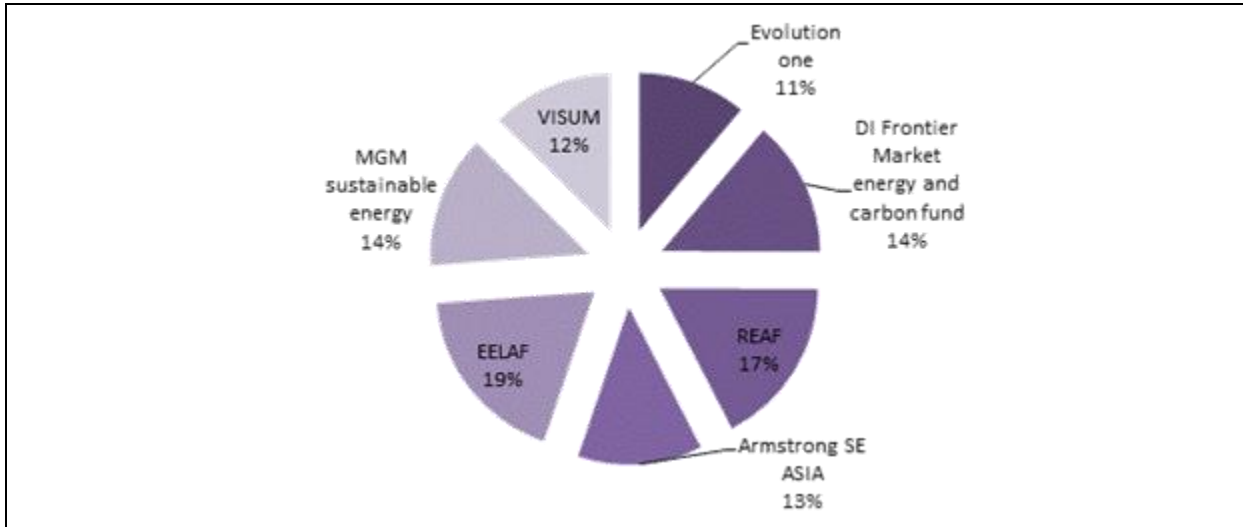


Source: Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014; ROM report M140822.01 October 2012; GEEREF, Agenda point 7 Multiplier effect of GEEREF April 2013; discussions with GEEREF management June 2014. (final confirmation needed with GEEREF management)

Up to end 2013, GEEREF is working with some seven regional funds with¹¹⁹ a comparable size of commitment (see figure below) and distributed in roughly equal parts among Africa, Asia, Latin America and Eastern Europe (fig 15). Some 18 projects have been started by the two first funds (Evolution 1 and REAF) in three countries and in total these will result in some 399 Mega Watt (MW) of additional renewable energy capacity being installed. The impact in terms of additional power is discussed further under indicator I314.

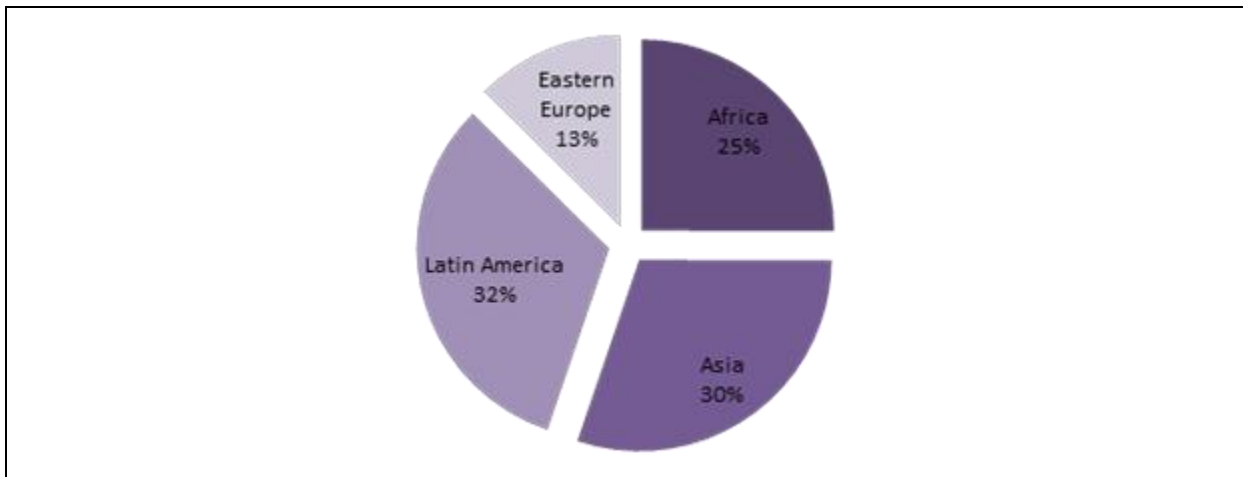
¹¹⁹ The regional funds are shown in Figure 28. Armstrong SE Asia is a Singapore based fund focusing on private equity investments in clean energy and clean-tech seed and early stage companies throughout Asia; MGM sustainable energy is a private sector equity infrastructure fund which primarily focuses on Central American energy efficiency investments; Visa is a private equity fund that focuses on small hydropower plants especially in Ukraine; EELAF is a Latin American fund focusing on renewable energy especially wind, hydro and solar it operates in Mexico, Brazil and Peru; DI frontier market energy and carbon fund is a private equity fund focusing on infrastructure in sub-Saharan Africa. Evolution one is a South African based private equity fund focussing on renewable energy and waste projects; REAF is the Renewable Energy Asia Fund focussing exclusively on renewable energy with a geographic focus on India, Philippines and Nepal.

Figure 29 GEEREF – distribution of funding to regional funds



Source: Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014; ROM report M140822.01 October 2012

Figure 30 GEEREF – commitment of funding by region



Source: Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014; ROM report M140822.01 October 2012

EU contribution: The EU contribution has been in form of EUR 125 million invested in GEEREF and also in the form of the RFSF (budget EUR 5 million), which has helped to support the regional funds (see box below). Five out of the seven regional funds currently supported were first supported with technical assistance through the RFSF – only the first two (Evolution one and REAF) were not supported initially through RFSF.

Box 2: RFSF

The RFSF was established “in parallel to the GEEREF to support the creation, the operations and the pipeline development of the regional funds and to enhance the value of the eligible beneficiary projects and/or stimulate the renewable energy and energy efficiency markets in general”. The RFSF projects are initiated by GEEREF and in accordance with the agreement with the EU are available to:

- i) Support organisational costs of the regional funds;
- ii) Provide technical assistance for regional funds, eligible beneficiary projects and/or management teams;
- iii) Technical assistance to develop the target market.

By the end of 2013, some nine projects had been carried out including grants to five of the regional funds that are currently in receipt of GEEREF investment funds. The grants to these regional funds has mainly been in the form of support for the hiring of qualified staff to establish the regional fund and ensure that the prospectus and pipeline

of projects developed were of high quality and to ensure that the fund could keep the initial management costs to a level which would attract investors. The subsequent development of the regional funds, the GEEREF reports and ROM reports provide evidence that these objectives were met with a relatively small outlay of support. The RFSF has also supported some ventures that did not lead to the strengthening of regional funds that could later be invested in by GEEREF but which nevertheless have an impact and benefit on the target market. An example of is the support to Barefoot power (EUR 1 million grant). Barefoot power provides solar power solutions to off-grid customers often through importing and sale of solar lamps. Initially the involvement of RFSF was to explore a trade finance fund and an "Angels Development Fund". Through the support provided it was found that the trade finance fund was too complex and the Angels Development Funds was suitable but not for larger funding such as that on offer through GEEREF as Barefoot Power had to mobilise funds very fast. The support provided by RFSF was instrumental in the view of Barefoot power in reaching its results of over 300,000 households served, 1900 micro-entrepreneurs trained. Barefoot power has been recognised through many international awards and features in international new reporting.

Source: GEEREF, Management of a Technical Support Facility – 10th Semi-Annual Progress Report, December 2013, December 2011 ENV/2007/147 839. WWW.barefootpower.com accessed 4 June 2014 and 21 July 2014

The direct EU support to GEEREF has been to:

- Develop the original concept and strategy (COM (2006) 583/1225);
- Allocate substantial funds over a long period (2007-2013) through the ENRTP instrument;
- Lobby and promote GEEREF to member states (Norway and Germany);
- Undertake membership of the investment committee and board.

The EU contribution of developing the concept, allocating predictable, long term financing and promoting GEEREF has been invaluable. Without this contribution from the EU, GEEREF would not exist and the finance raised, the regional funds strengthened and investments made in renewable energy would not have most probably happened.

However, the membership of the investment committee has been more controversial. The EU insisted that itself and other investors were part of the investment committee. But at the same time, the EU did not want to compromise itself and take liability for investment decisions. This has led to an apparent governance contradiction and has made it difficult to create an autonomous management of the fund. Decisions are not based solely on the principles of the prospectus but are subject to vetting and in that sense interference by the EU. This has led to management frustration, delays in making decisions and in a few cases inconsistent communication with regional funds. The most contentious issue is the interpretation of engagement with offshore financing centres.

The EU involvement in the investment committee is considered by GEEREF as a governance issue, which would need to be resolved in order to perpetuate the confidence of private investors and ensure consistent communication with regional funds.

The EU contribution through GEEREF can be categorised in three groups:

- Direct funding made available to regional funds;
- Development and support to new or emerging regional funds (RFSF);
- Reputational benefit to the regional funds through GEEREF involvement.

The RFSF facility was initially promoted by the EU and very slow to take off in part because at first GEEREF did not fully appreciate its potential¹²⁰. However, it has shown itself to be highly beneficial in developing the capacity of regional funds¹²¹. The reputational benefit is an outcome of a highly professionally managed GEEREF that is hosted by the EIB.

It is difficult to disprove for the two first funds (Evolution one and REAF) that the investments might have happened anyway. These two funds account for 28% of the regional funds committed to and being the most advanced also account for all of the 18 projects so far committed to. However, on the balance of evidence and based on responses from the funds themselves it would appear that the projects would not have taken off without GEEREF and would not have benefitted from the reputational benefit of GEEREF. The reputational benefit of GEEREF has tended to make it easier for the regional funds to raise the additional finance. The fact that the head of GEEREF is voted at the chairperson of the investment committee of these funds is an indication of the value that the other investors put in GEEREF's involvement. The prominent placement of the GEEREF logo on the fund websites is an-

¹²⁰ Discussions with GEEREF management June 2014.

¹²¹ ROM report MR-140822.02 2012

other strand of evidence that supports the conclusion that without GEEREF these two regional funds would not have invested as much as they did in renewable energy.

For the remaining five funds that have been supported through RFSF, it is clear that it would have been unlikely that they would have been in a position to attract investors without GEEREF support via the RFSF. Without RFSF, the funds were not in a position (or in as good a position) to develop the pipeline of projects and undertake the relevant fund raising activities.

It would be fair to say that GEEREF has become to be regarded as one of the world's most specialised risk capital funds in renewable energy and has in effect created a new asset class¹²², which enhances its reputational value for the regional funds that are GEEREF partners.

External factors: The deficit in energy, which is a market factor and the price of energy, which is often controlled through regulation, are key determining factors for the demand for renewable efficiency actions. The deficit and demand for energy is high in most of the countries involved and contributes to a favourable environment for renewable energy investments. Generally, the price of energy is below the market level in that demand outstrips supply. In some cases, countries provide subsidies for use of renewable energy, which acts to stimulate the market for renewable energy investment. But it can also distort it and threaten future sustainability if subsidies are removed. GEEREF has adopted a prudent practice of stripping out the subsidies and using levelised costs to ensure that investments in renewable energy are not artificially propped up by unreliable subsidies. This practice, by increasing the threshold for viability, also puts greater pressure on selecting high quality energy investments that are technically and financially feasible.

GEEREF was established shortly before the financial crisis of 2008. The financial crisis is likely to have been one of the factors that led to delays in the signing of investor agreements and in the initial slowness of engagement with regional funds.

3.1.2 I-311. Evidence of an increase in the investment level for energy efficiency

Description: As for renewable energy, this indicator is a good measure of the degree to which barriers for accessing finance for energy efficiency have been reduced. As barriers are reduced one would expect to see a greater level of investment in energy efficiency. The quality of the investment is not measured explicitly through this indicator but this is taken up in the second judgement criteria on non-financial benefits. However, as the additional investment targeted is primarily from the private sector it would be reasonable to expect that investment is efficient and of good quality from the investor's viewpoint.

Evidence of change: There has not been much investment in energy efficiency through GEEREF for the simple reason that the demand for energy efficiency investments was much less than for renewable energy investments. Only two of the seven regional funds include energy efficiency in their portfolio and both are in Latin America. One of the underlying reasons for this apparent lack of demand is that the private equity/risk capital investment model adopted by the GEEREF concept is more immediately suitable for renewable energy than energy efficiency. Energy efficiency projects unlike renewable energy projects are not clearly linked to an underlying asset, which can be valued and sold. Although energy efficiency investments generate a stream of income (energy costs saved), they normally arise from services provided or some type of Energy Services Company (ESCO) model, which has a finite end. ESCO models require robust governance and a regulatory and measurement framework, which is often missing in development countries. This also partially explains why the initiatives that have taken off are in relatively well-developed Latin American countries, e.g. Mexico.

Although the name Global Energy Efficiency and Renewable Energy Fund implies that energy efficiency will be a substantial part of the fund, the Commission staff working document (SEC (2006) 1224) implicitly recognises the limits of energy efficiency in the financing scenarios developed. The financing scenarios only indicate that 7.5% of the fund will be devoted to energy efficiency, which is quite close to the likely end result of the current commitments.

None of the potential energy efficiency projects have yet advanced to a feasibility stage so it is too early to comment on how effective they have been.

EU contribution: The EU contribution has been in form of EUR 125 million invested in GEEREF and also in the form of the RFSF, which has helped to support the regional funds including IndiaCo Energy Efficiency Fund (UNDP SCAF) with a grant of under USD 60,000. This fund however did not yield any

¹²² ROM report MR-140822.02 2012.

opportunities for further GEEREF involvement mainly because the fund, despite support was not effective in raising finance and was weak in management.¹²³

Due to the reasons mentioned above, the contribution for energy efficiency has not been as large as for renewable energy. This cannot be considered a failure. It is rather a **lesson learnt** that private equity investment models cannot effectively combine energy efficiency and renewable energy.

External factors: It is the internal and structural design factors mentioned earlier that have had the greatest influence on the apparent demand for investing in energy efficiency. External factors do not explain why energy efficiency has not been taken to the extent envisaged. It would however be true to say that the price of energy is a key-determining factor for the demand for energy efficiency actions. If the energy price had been higher it would be likely that the demand would have been greater. The barriers for energy efficiency interventions as such are also dispersed and difficult to mitigate against than those facing renewable energy. For example, for energy efficiency in buildings there is a separation of interests between the owners and renters of buildings, which complicates efforts to promote energy efficiency.

3.1.3 I-313. Financial leverage of GEEREF investments

Description: Financial leverage is an ambiguous term and can be calculated in many different ways. In April 2013, GEEREF produced a paper for approval at a board meeting where leverage was defined. This is outlined below¹²⁴:

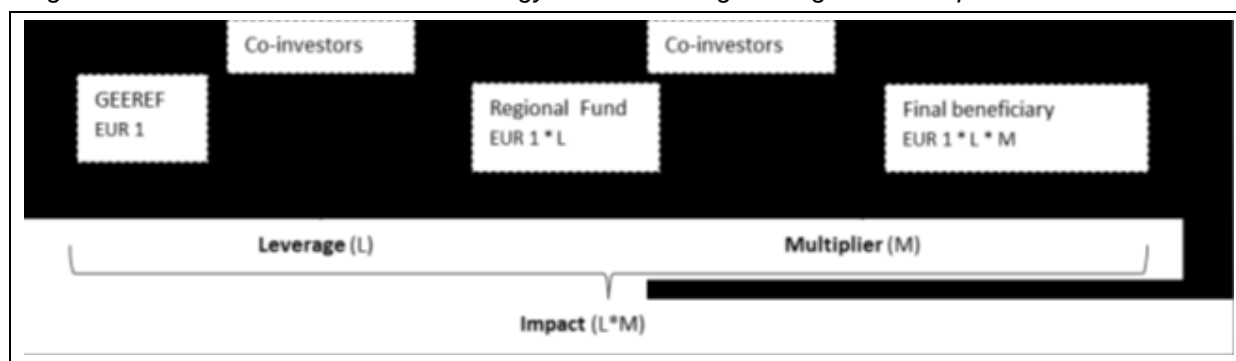
- Leverage (L) – the catalytic effect at the first tier (the total financing made available for a Regional Fund catalysed from the GEEREF investment);
- Multiplier (M) – the total financing made available for the final beneficiaries/projects from a Regional Funds' investments (including the co-investments of other investors into the beneficiary/project at the same time as GEEREF's investment or later).

The EIF methodology does not include any debt catalysed for the final beneficiaries/projects of the investee funds in the Multiplier. However, debt is a significantly more substantial part of the financing to the final beneficiaries/projects of GEEREF than most EIF funds and, therefore, needs to be considered for GEEREF investments. As a result, there are two multipliers to consider for GEEREF; (i) the Multiplier for Equity, which only considers the Equity that has been catalysed for the final beneficiaries/projects, and (ii) the Multiplier for Equity and Debt which considers both the equity catalysed and the debt raised for the final beneficiaries/projects².

- Impact (I) – total financing made available for the final beneficiaries/projects from GEEREF's investment. Expressed as the product of the Leverage and the Multiplier ($L \times M = I$).

The effects of Leverage, Multiplier and Impact may be illustrated in the following manner:

Figure 31 Outline of the methodology for determining leverage and multiplier



Source: GEEREF, Agenda point 7 Multiplier effect of GEEREF April 2013

Evidence of change: The Commissions working paper (SEC (2006) 1224) estimates a leverage of approximately 12 as an impact of equity. The actual achievement as recorded in April 2013 was 17.7. An approximate comparison making adjustment for different methods is shown in the tables below:

¹²³ GEEREF, Management of a Technical Support Facility – 10th Semi-Annual Progress Report, December 2011 ENV/2007/147 839.

¹²⁴ GEEREF, Agenda point 7, Multiplier effect of GEEREF, 18 April 2013.

Table 17 Comparison of commitments and investments realised in practice and expectations from the Commission working document

Commitments and investments April 2013		Amount EUR million	Leverage (L)	Multiplier for equity (M)	Impact of Equity	Multiplier for equity and debt (M-E&D)	Impact of Equity and debt
A	Regional funds size	394.8					
B	GEEREF commitment to regional funds	54.9	7.2				
C	Beneficiary investment	118.8					
D	Regional funds investments	48.2		2.5	17.7		
E	Total debt and equity invested	318.6				6.6	47.5
	Notes		=A/B	=C/D	=LXM	=E/D	=L*M(E&D)
Commitments and investments – expectations from Commission working document		Amount EUR million	Leverage (L)	Multiplier for equity (M)	Impact of Equity		
A	Regional funds size	294					
B	GEEREF commitment to regional funds	90	3.3				
C	Beneficiary investment	1085					
D	Regional funds investments	294		3.7	12.1		
	Notes		=A/B	=C/D	=LXM		

Source: Author based on GEEREF, Agenda point 7 Multiplier effect of GEEREF April 2013; COM/2006/0583 final

As of April 2013, there were no private sector investor funds deposited in GEEREF itself, all the leverage was obtained through the regional funds and project level investors. Originally, it was estimated that EUR 20 million would be invested as risk capital in GEEREF by private investors to match a public funding level of EUR90 million (i.e. is 18% see table below). In practice by April 2012, no private capital had been attracted to GEEREF. By April 2014, some EUR 15.2 million had been committed and good prospects of raising up to EUR 112 million which would mean a matching of the public funds and a significant over achievement compared to that expected.

Table 18 Private capital contribution

Private capital contribution	Original (SEC(2006) 1224)	Actual April 2013	Actual April 2014	GEEREF expectation by 2017
Private capital	20	0	15.2	112
Public capital	90	112	112	112
Total	110	112	127.2	224
% private capital	18%	0%	12%	50%

Source: COM/2006/0583 final; Interview with GEEREF June 2014.

Data since April 2012 tends to show an increasing level of financial leverage. With the addition of substantial private investor funds at the global level the leverage is likely be more than double the original estimate.

GEEREF (and the regional funds) have a lifetime after which investors will be paid out. The EU funds will remain available for OECD defined Official Development Aid and could in principle be re-invested in a second fund.

Private investors at the project level and at the regional fund level receive no capital subsidy from GEEREF or the EU. There is a subsidy involved for those regional funds benefitting from the RFSF. At the global level, there is a subsidy for attracting private capital. The subsidy has two parts:

- i) The public funders take a first loss; and
- ii) The private funders have a preferred return.

The preferred return formula is quite complicated and relates to their commitment and not necessarily to their paid in capital. If the commitment and paid in capital are similar, the preferred return will provide a return to the private investors that is approximately 10 percentage points greater than the return to the public investors. So if the return to private investors is 25%, the return to the public investors will be approximately 15%. This is a significant subsidy and considered necessary to develop a market understanding and reduce the risk perception. Once actual returns are confirmed, it might be that a second launching of the fund would not need to offer this level of subsidy.

The actual return on the investments cannot be calculated until the fund and regional funds are divested. However, based on investment analysis to date it appears that the return will be in the range of 15-25%. If this is the case, then it is likely private investment to smaller scale renewable energy will increase whether through an instrument like GEEREF or not.

EU contribution: The EU contribution relevant for this indicator is the same as for indicator I-311 and the analysis of the EU contribution is summarised under that indicator.

External factors: The external factors affecting the leverage of funding (and attainment of this indicator) are closely linked to the risk perception of investing in emerging markets, in energy and in small-scale renewable energy in particular. The track record, governance and professionalism of GEEREF also influence investor confidence at the global level. At the regional and project level, the same factors influence investors at those levels. As a track record of returns is established the risk perception should reduce and lead to more investment.

3.1.4 I-314 Increase in MW of installed renewable energy

Description: There are two measures that are relevant for this indicator: the installed capacity in MW and the energy made available over the year in terms of megawatt hours (MWH). The indicator and this analysis focus on the most measureable aspect, i.e. installed capacity – using where relevant consistent assumptions about capacity factors to provide some evidence on energy availability.

The increase in installed capacity can be measured in absolute terms through the additional MW arising as a result of the EU interventions. It can also be measured in a relative sense by comparing the additional installed capacity arising from GEEREF to available statistics on the current renewable electricity generating capacity.

Evidence of change: The degree of change in installed MW of renewable energy is dependent on the following factors.

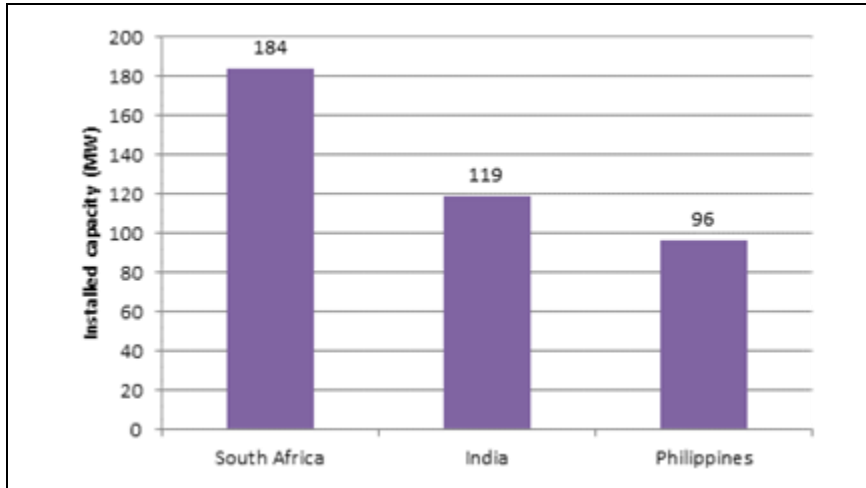
- The total investment undertaken (from all sources, including debt financing);
- The efficiency of the investments (in terms of unit cost per MW installed);
- The portfolio mix of types of renewable energy (as their costs vary).

The capacity factor for wind power for instance is not the only factor that influences the extent to which the installed capacity leads to an increase in energy availability. The degree to which the national or local grid can cope with intermittency is also highly relevant as some energy can be lost if the grid is not flexible enough.

To date some 18 projects have been started by the two first funds (Evolution 1 and REAF) in three countries and in total these will result in some 399 MW of additional renewable energy capacity being installed. This is shown in Figure 32 and a comparison is given with the current share of renewable capacity for electricity development in the three different countries where projects are fully defined (see Figure 33). This shows, not surprisingly, that the proportion of installed capacity for India and Philippines is relatively small. However, in South Africa, GEEREF investments have supported projects that amount to over 25% of the installed capacity (2008 figure).¹²⁵

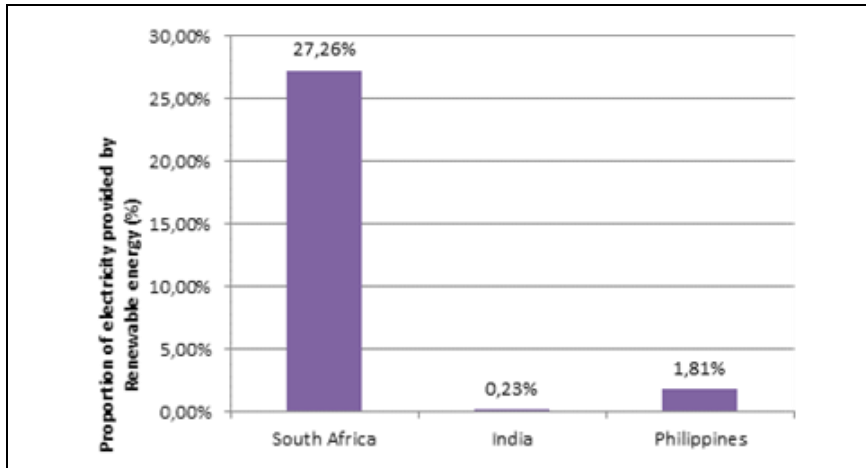
¹²⁵ [www.irena.org Country Profiles Africa, 2013](http://www.irena.org/CountryProfiles/Africa)
http://www.irena.org/DocumentDownloads/Publications/CountryProfiles_Africa_WEB.pdf

Figure 32 *Installed capacity (MW)*



Source: Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014;

Figure 33 *GEEREF support as a proportion of the current installed RE electricity supply*

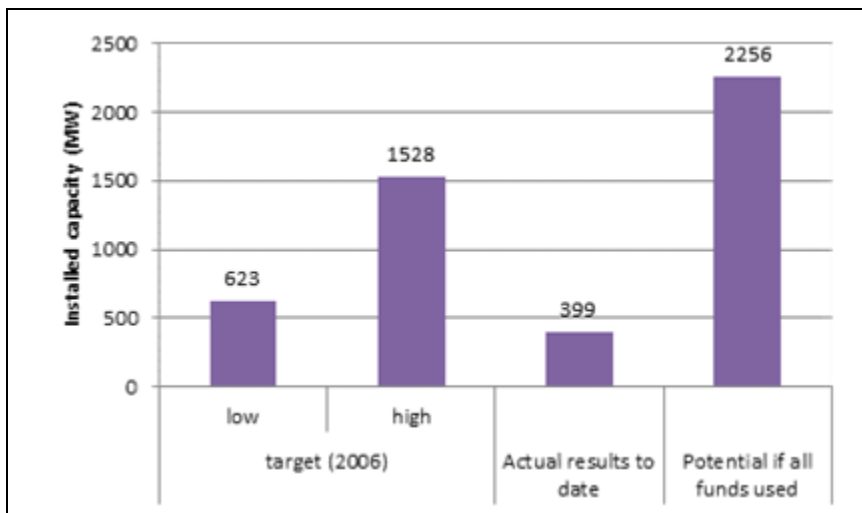


Source: Author based on GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014; [WWW.IRENA.org](http://www.irena.org)
http://www.irena.org/DocumentDownloads/Publications/_AsiaComplete.pdf;
http://www.irena.org/DocumentDownloads/Publications/CountryProfiles_Africa_WEB.pdf

The change that could be expected has been reached given the delays in starting up the fund and the time it takes to get projects off the ground. The combined GEEREF and EC field mission made to India in 2013 indicates the long lag time needed to sort out land and other regulatory issues¹²⁶. The following two show targets and achievements in terms of the capacity installed, people served and CO2 tons saved (the last two factors which are related to the installed capacity). These figures show that the current results are slightly below the long-term targets envisaged in 2006 but the potential result if all the funds are used (which is very likely as they have been largely committed) will result in a surpassing of even the high target scenario by a third. Thus, if the future projects mirror the current ones then it is likely that the original targets foreseen will considerably exceed the expected targets – mainly due to the much greater leverage rather than factors such as speed in implementation or the identification of particularly efficient (cheap) renewable projects.

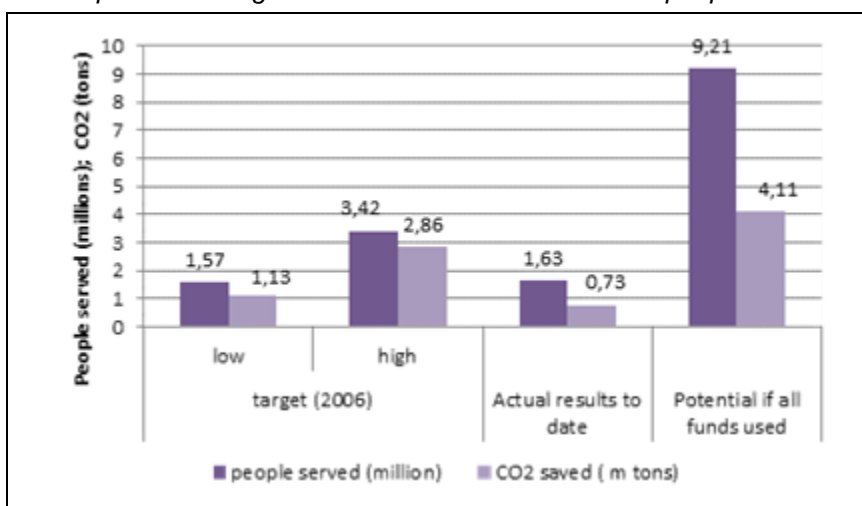
¹²⁶ EC mission report to India, 2013

Figure 34 Comparison of targets and achievements in terms of installed capacity



Source: Author based on COM/2006/0583 final; GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014. (note Targets set in 2006 for end of investment period)

Figure 35 Comparison of targets and achievements in terms of people served and CO2 saved.



Source: Author based on on COM/2006/0583 final annex 4 note E) GEEREF Semi-Annual meeting report December 2013, Dated 12 February 2014. (note Targets set in 2006 for end of investment period)

EU contribution: The EU contribution to reaching these targets is discussed under the increase in investment (I311) and the leverage obtained (I313).

External factors: The external factors influencing the MW of installed renewable energy are discussed under the increase in investment (I311) and the leverage obtained (I313).

3.2 JC32. Presence of non-financial benefits of GEEREF involvement in energy efficiency and renewable energy

3.2.1 I-321. Increase in participation of SMEs in renewable energy and/or energy efficiency

Description: The objectives of GEEREF which are derived from the GEEREF prospectus¹²⁷ as well as the EC staff working document (SEC (2006); 1244 (COM (2006) and 583 and 1225) include the following "Promotion of poverty eradication by promoting SMEs in the energy sector (e.g. through investing

¹²⁷ GEEREF, Feb, 2011

in projects with less than EUR 10m equity requirement)". SMEs are defined in the 2011 prospectus¹²⁸. There is clearly an expectation that provided the projects have a requirement for less than EUR 10 million in equity that they will satisfy this objective. The stipulation on size effectively serves two purposes: i) responds to where there is a financing gap (small to medium projects) where a fund like GEEREF can play a role and ii) is likely to involve a greater participation of SMEs.

Whilst it is true that by restricting the size of the project, SMEs would not be prevented from being involved as a lead contractor (as they would for mega projects) it does not guarantee that SMEs are involved as larger concerns could still undertake such smaller projects – although it is likely that they would be less interested and thus the field would be more open to SME competition. Very large projects do not exclude SMEs as they can be involved as sub-contractors.

Bringing electricity to areas through a local grid that did not have it before or where energy supply was not reliable can bring a strong boost to SMEs as inadequate power is the top priority of SMEs according to the World Bank doing business report.¹²⁹

Evidence of change: GEEREF has not undertaken or imposed on the regional funds any deliberate SME promotion aims that would potentially negatively affect the price and quality competitiveness of the projects. There is some evidence for some affirmative action in support of SMEs for one of the projects of the Evolution One regional fund: Red Cap Kouga wind farm.¹³⁰

The RFSF fund has supported some funds that have had a high degree of support to SMEs. An example is the support to Barefoot Power where some 1900 micro-entrepreneurs have been trained and been involved in supply of solar power to 300,000 households¹³¹. The RFSF has also led to a number of indirect benefits in that it has supported funds and organisations at a critical part of their establishment and growth which have then further developed without GEEREF support (often because their focus on the micro-level was not appropriate for GEEREF). Two examples are in the table below.

Table 19 Examples of indirect support to SMEs through the RFSF

Projects under funds /organisations supported by RFSF	Evidence of indirect support to engagement of SMEs and rural enterprise through the RFSF assistance to innovative funds and organisations.
<p>Barefoot power support in the West Nile Uganda (source: extracts from: http://www.barefootpower.com/index.php/social-impact/68-cream-builds-business-in-west-nile)</p>	<p>Support to Barefoot power which has engaged with BASE Technologies and Community organisation for Rural Enterprise Activity Management (CREAM) BASE Technologies is a Ugandan social enterprise focused on distributing Barefoot Power Firefly™ solar lighting systems to people at the base of the global economic pyramid. Through a specialised “business in a bag” training program, dedicated entrepreneurs develop micro-franchises enabling them to make a living distributing safe, affordable, healthy alternatives to kerosene and candles. BASE Technologies also partners with solar dealers, non-governmental organisations, community organisations and micro-finance institutions that provide outlets for product sales, awareness-building activities, innovative financial support systems and after sales warranty service.</p> <p>The CREAM and BASE Technologies Partnership Community organisation for Rural Enterprise Activity Management (CREAM) is a member based, not for profit organisation that aims to provide Business Development Services (BDS) to marginalised poor targeting women. CREAM operates in the West Nile region of Uganda and specializes in the formation of Village Savings and Loan Associations (VSLA). It seeks to strengthen the efforts of the marginalised women and men to meet their socio-economic needs on a sustainable basis through capacity building, promotion of social justice and the sustainable use of environmental resources. In mid-February, 2010 CREAM and BASE joined into a partnership and</p>

¹²⁸ Any person, which is a micro, small or medium-sized enterprise as described in the European Commission Recommendation 2003/361/EC (OJ L124, 20.05.2003, p. 36) as amended from time to time. As of the date of this Prospectus the criteria for the determination of an SME are small or medium sized enterprise, (i) which does not have more than 250 employees, (ii) the (a) annual turnover of which does not exceed Euro 50 million and/or (b) annual balance sheet total of which does not exceed Euro 43 million and (iii) which is not owned by the majority of its shareholding or otherwise controlled by an enterprise which does not qualify as an SME, provided that undertakings for collective investment shall not be considered as SMEs in the meaning of this item (iii). For avoidance of doubt, a Beneficiary Project may qualify as SME independently of its corporate nature

¹²⁹ WB, 2013

¹³⁰ Evolution One, Annual report 2013

¹³¹ GEEREF, Management of a Technical Support Facility – 10th Semi-Annual Progress Report, December 2013, December 2011 ENV/2007/147 839. WWW.barefootpower.com accessed 4 June 2014 and 21 July 2014

	<p>trained 15 of CREAM's Community-Based Trainers (CBTs). The goal of the training was to enable CBTs to sell BASE's Firefly products to the groups and communities they serve. Existing relationships with Village Saving and Loan Associations (VSLA) groups, the motivation of the CBTs and the alternative financing option for the customer, has resulted in impacting over 300 households in just over one month</p>
<p>Solar for All – Canopus foundation and Bamboo fund</p>	<p>Support to the development of the Bamboo fund including development of fund documents and pipeline screening tools. As recorded in an impact report <i>“Bamboo Finance began its journey in 2007 with the vision that through strong values and sound business principles, we would lead a major transformation to more efficient capital markets for social and environmental change. To date Bamboo Finance has raised nearly USD 250 million and manages over 46 investments in more than 25 emerging market countries.”</i> (Source: Bamboo Finance Impact report January 2013 http://www.bamboofinance.com/bamboo%20finance%20-%20impact%20report%202013.pdf)</p> <p>Oasis fund is one of the funds supported by Bamboo. In turn Oasis under its energy portfolio has supported Greenlight planted (founded 2008 with investments of USD 2 million). Since 2008 Greenlight planet has:</p> <ul style="list-style-type: none"> • Sold 269,789 solar lamps; • Engaged 881 micro entrepreneur distributors; • Created EUR 42,000 additional income for micro entrepreneurs; • Supported 692,255 beneficiaries (5 beneficiaries per lamp); • Supported Carbon offsets of 36m800 tonnes/year CO₂.

EU contribution: The EU contribution has been mainly through introducing the need to consider SME involvement and report on involvement of SMEs via the indicator system. The EU and their other donor partners (Germany and Norway) use their position on the board of GEEREF to bring attention to the need to ensure that the projects benefit more stakeholders than just the risk capital investors – and this broader group includes SMEs. The provision of the RFSF has to some extent helped in seeking out regional funds that are likely to preferentially involve SMEs.

External factors: GEEREF only provides a proportion of the funds, the major risk is taken by the regional funds and their first duty is to safeguard their investors and ensure that they stay within all legal regulations. Some funds that have been screened have as a deliberate objective to promote SMEs e.g. Barefoot power and Solar for All (Bamboo fund) – but particularly those that aimed at household solutions were not structured in a way that made them economical or operational partners for the GEEREF model.

3.2.2 I-322 Evidence of social, environmental and governance benefits arising from GEEREF involvement in energy efficiency and renewable energy

Description: This indicator looks at evidence of broader benefits beyond the direct financial rewards to investors. These benefits are of a social, environmental and governance nature and also include local economic benefits. There are two aspects to consider: the first is the creation of new benefits such as jobs and the second is the avoidance of harm such as ensuring that water resources are not over-extracted (see Table 20). As an example, GEEREF has as one of its principles to avoid storage based hydropower schemes, preferring run of river solutions as they avoid water loss due to evaporation.

Evidence of change: There is some evidence that GEEREF has led to improvements in the quality of investments through introducing better procurement and technical feasibility practices. In India, much of the renewables that have implemented to date have been driven by distortive subsidies meaning that high quality installations were not necessary and the necessary effort was not put into site selection and design. GEEREF, as it assesses the feasibility using levelled costs effectively strips out the benefit of any subsidy and this obliges it to only invest in feasible sites and to ensure that all infrastructure is highly cost effective. This benefits the investors but it also ensures a wider and more sustainable economic benefit to the nation. Ultimately, if the sector as a whole adopts improved feasibility assessment and implementation practices, there would be wide spread replication of higher quality investment that would yield social, economic and environmental benefits.¹³²

¹³² Interviews with GEEREF and author opinion.

Box 3 Evolution One SEMS reporting

The Fund reports to investment partners on ESG aspects of investments both quarterly and on an ad hoc basis. Reports are individually tailored according to the prescribed formats, indicators and priorities of the Fund's various investors. Inspired Evolution ensures that systematic, annual sustainability reporting occurs after each year-end. This reporting includes a set of development impact indicators. As a result, a database of development impact indicators is maintained for the Fund's entire portfolio of investments. Lastly, investee companies supply annual letters that assure compliance with their social and environmental covenants. The SEMS is managed and overseen by a dedicated environmental coordinator, responsible for ensuring that investment decisions are informed by appropriate SEMS due diligence, and on-going environmental and social oversight once the deal is concluded.

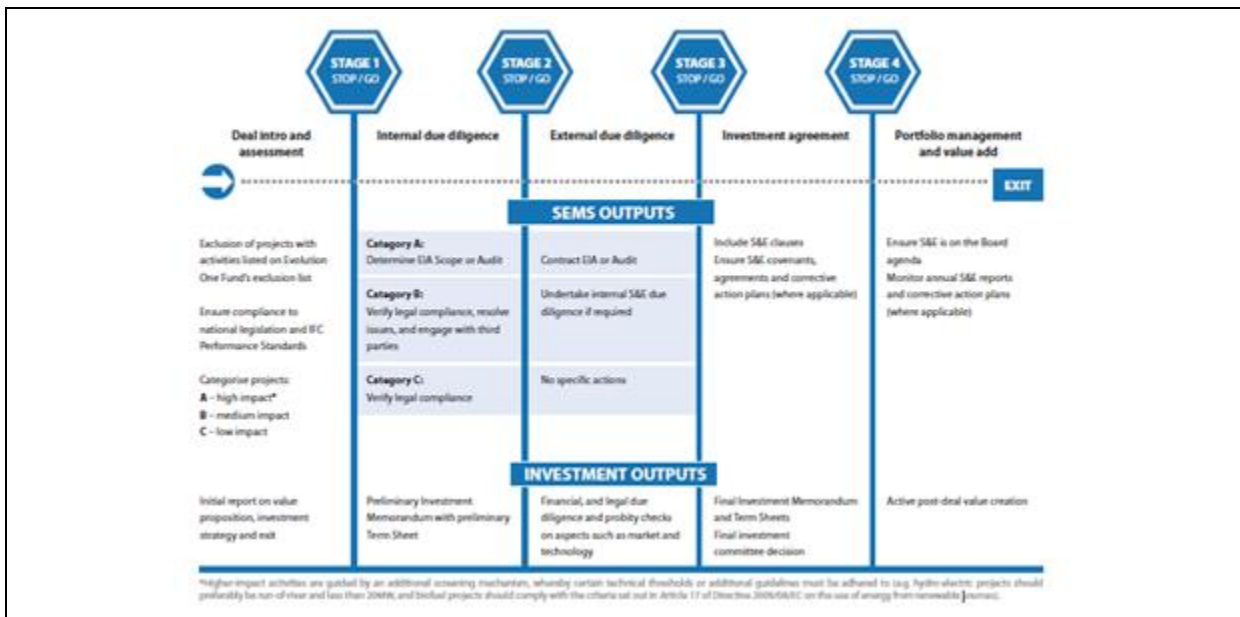
Source: Evolution One Annual reports

Only two regional funds have advanced to the stage where projects are under implementation: Evolution one based in South Africa and REAF that has projects on-going in India and Philippines.

Evolution one has developed an in-house sustainability expertise to guide environmental, social and governance (ESG) risk management and implement strong sustainability strategies. As part of this they have a Social and Environmental Management System (SEMS) and report on these aspects in their annual report¹³³ – see previous box. The annual report also states that “The promotion of local socio-economic development is integral to Inspired Evolution’s investment practice, and the Fund actively assists in identifying and realising social opportunities with investee companies. The focus is on generating local employment opportunities and empowering communities, while addressing local needs such as training, access to education and health, and economic diversification.” (p6)

The following figure shows the Evolution system of integration of environmental aspects into its investment portfolio.

Figure 36 Evolution system of integration of environmental aspects into its investment portfolio.



Source: Evolution One Annual Report, 2013

The evolution one regional fund has in its annual report provided a number of case studies where evidence is assembled of non-financial benefits. Table 20 summarises the evidence of non financial benefits and also evidence of avoidance of harm.

¹³³ Evolution one, September 2013.

Table 20 Evidence from selected projects

Project	Evidence of non-financial benefits	Evidence of avoidance of harm
<p>Rustmo 1.7MW solar park, South Africa Source: Evolution One, September 2013 Annual report</p>	<p>Generates 26 permanent and 83 temporary jobs during the 12-month construction period</p> <p>Rustmo1 Solar Farm could compete successfully under the Renewable Energy Independent Power Producer Procurement Programme (REIPPPP) as a small emerging independent power producer (IPP).</p> <p>17% of the company is owned by local broad-based, previously disadvantaged communities. Revenues of more than ZAR 114 million (USD 11.4 million) will flow directly from the project to these local communities over the 20-year project life cycle. The revenues will support poverty alleviation, including socio-economic, health and infrastructure programmes. Based on a socio-economic needs assessment, other initiatives include a partnership with ORBIT Further Education and Training College and with a local college, Computers and Careers Community Education and Training, with agreement centred on technical support and capacity development for previously disadvantaged local communities.</p>	<p>An EIA was undertaken; Based on a comprehensive EIA, all environmental authorisations were received prior to the project being bid</p> <p>Rustmo1 Solar Farm adopted a number of environmentally sustainable guidelines and policies, including the IFC Performance Standards and the Equator Principles. The project agreements include an Equator Principle Action Plan that mitigates any potential negative social and environmental (S&E) impacts.</p> <p>Mitigates approximately 12 500 tCO₂e of greenhouse gases each year through the substitution of dirtier coal- powered generation alternatives.</p> <p>Water permit obtained for abstraction.</p> <p>All relevant labour, occupational health and safety laws abided with.</p>
<p>SlimSun 5MW solar park, South Africa Source: Evolution One, September 2013 Annual report</p>	<p>5 permanent jobs and 88 temporary jobs during construction</p> <p>20% ownership by a trust whose expenditure is ring- fenced to local broad-based, previously disadvantaged communities. Revenues of more than ZAR 47 million (USD 4.7 million) will flow directly from the project to these local communities over the 20-year project life.</p> <p>A fixed percentage (1%) of all revenue received by SlimSun has been committed for corporate social investment (CSI) programmes within the local community, including but not limited to novel rural renewable energy technologies and other social projects. CSI initiatives will continue through both construction and operational periods.</p> <p>Evolution One has assisted significantly in SlimSun's development of communication and engagement skills with all relevant stakeholders to provide impetus to the successful implementation of SlimSun's E&S obligations and socio- economic development objectives.</p>	<p>EIA was undertaken</p> <p>Water permit obtained for abstraction. SlimSun Swartland Solar Park aims to be the lowest water user per unit of electricity generated, among all participants in REIPPPP.</p> <p>Mitigates approximately 8 700 tCO₂e of greenhouse gases each year through the substitution of dirtier coal- powered generation alternatives.</p> <p>Adopted a number of environmentally sustainable guidelines and policies, including the IFC Performance Standards and the Equator Principles. The project agreements include an Equator Principle Action Plan that will mitigate any potential negative social and environmental (S&E) impacts.</p>
<p>Red Cap Kouga Wind Farm Source: Evolution One, September 2013 Annual report</p>	<p>30 permanent; a total of 219 temporary and permanent jobs</p> <p>26% black economic empowerment ownership, all of which is owned by a bespoke trust with trust expenditure ring- fenced to local broad-based, previously disadvantaged communities. Revenues of more than ZAR 1 billion (USD100 million) will flow directly from the project to these local communities over the 20-year project life.</p> <p>85% of the operational costs will be spent in the Eastern Cape, which translates into an economic impact of approximately ZAR 90 million (USD 9 million) per year.</p> <p>A preferential procurement model makes initial provision for 0.5% of total procurement during the operational phase of the project to be spent on local woman-owned vendors, and a further 1.35% on local SME vendors. This will be extended during the life of the project with the ultimate target being 5% and 10% respectively.</p>	<p>Mitigated approximately 305 220 tCO₂e of greenhouse gas emissions each year through the substitution of dirtier coal-powered generation alternatives</p> <p>Adopted a number of environmentally sustainable guidelines and policies, including the IFC Performance Standards and the Equator Principles. The project agreements include an Equator Principle Action Plan that will mitigate any potential negative social and environmental (S&E) impacts.</p>

<i>Project</i>	<i>Evidence of non-financial benefits</i>	<i>Evidence of avoidance of harm</i>
<p>REAF 96 MW wind farm (Pune) (Source: EC mission report to India January 2013)</p>	<p>The Project will generate direct employment for about 50 persons and indirect employment for about 400 persons within a rural area of Maharashtra. Economically, the Project's new installed generating capacity will help bridge the peak demand-supply power deficit of 15% in the state of Maharashtra, which is a major infrastructure bottleneck for growth.</p>	<p>The private land is being acquired using a thorough and transparent process (confirmed by legal due diligence). Local stakeholder consultation has been performed, minuted and photographed. Farmers will be allowed to continue to graze land following construction. There are no sites of cultural significance on or near the project site. 14 houses will be affected by the acquisition of land. PWEPL has already acquired alternate land for the rehabilitation of affected people with their consent. An Environmental and Social Impact Assessment is being commissioned as part of the lenders package.</p>
<p>REAF 14 MW hydro power plant (Khulla) (Source: EC mission report to India January 2013)</p>	<p>The Implementation Agreement will permit the power sale to the third party, thus the project would be required to pay for royalty to the government in the form of free power as mentioned below if it chooses not to sell to the State distribution utility. The rate of royalty chargeable from the Project would be 15%, for the first 12 years, 21% for the next 18 years; and 33% for the balance period of 10 years. The project will be required to give additional 1% free power over and above the royalty rates discussed above towards the local area development fund</p>	<p>No explicit evidence presented</p>

EU contribution: The EU contribution has been mainly through introducing the need to create and report on non-financial benefits. The EU and their other donor partners (Germany and Norway) use their position on the board of GEEREF to bring attention to the need to ensure that the projects benefit more stakeholders than just the risk capital investors. The board has for instance been behind the insistence on developing a system of indicators although as mentioned earlier the values of the indicators are not yet available. The other area of contribution has been the RFSF where funds have been used to seek out and support emerging funds and institutions that have a high degree of social responsibility.

External factors: In South Africa there are strong government laws that encourage investments and businesses to engage with local and previously disadvantaged communities and to ensure that there is spread of benefits. There is also an advanced institutional and legal framework for environmental management. These factors tend to encourage private businesses to be socially aware and ensure that the benefits of the project are shared by local communities. At a global level, the UN Global Compact and similar efforts encourage the private sector to engage in sustainable development and to ensure a fair distribution of benefits amongst stakeholders. In some cases the influence of these global efforts are detectable for example in the Evolution One reporting.

4 EQ 4: Biodiversity



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?

Rationale

The question evaluates one of the key priorities of EU support to environment and climate change towards third regions and countries: Prevention of the loss of Biodiversity¹³⁴.

It is recognised that EQ 4 on Biodiversity is complementary to EQ 6 on Environmental Governance. EQ 4 focuses on the assistance provided by EU through the ENRTP as well as geographic instruments at country or regional level, whereas EQ 6 is about “International Environmental Governance” and focuses on the support provided to UNEP and the implementation of Multilateral Environmental Agreements (MEAs) through the ENRTP only.

EQ 4 is in parts related to ENRTP priority areas 2 and 4 of the first strategy paper for the period 2007-2010, i.e. on:

- Promoting implementation of EU initiatives and helping developing countries to meet internationally agreed environmental commitments;
- Strengthening international environmental governance and policy development;

and also the 2nd priority area of the ENRTP strategy from 2011-13, i.e. on: Assist developing countries in preventing environmental degradation, biodiversity loss and unsustainable use of natural resources while improving resource efficiency of economic growth and reducing pollution.

Globally, there is a growing recognition of our dependence upon the natural life-support systems. The loss of biodiversity has become one of the main environmental challenges. Its impact on the delivery of ecosystem services, society and the economy as a whole is increasingly recognised, thus creating an enabling environment for taking actions to preserve as much as possible of the natural environment – hence biodiversity as possible.

The Convention on Biological Diversity (CBD) is one of the three “Rio Conventions”, emerging from the UN Conference on Environment and Development, also known as the Earth Summit, held in Rio de Janeiro in 1992. It came into force at the end of 1993, with the following objectives: *“The conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding.”*

There are currently 193 Parties to the Convention (192 countries and the European Union). The EU ratified the Convention in 1998. By April 2002, the Parties to the Convention committed themselves to achieve a significant reduction of the current rate of biodiversity loss at the global, regional and national level by 2010 as a contribution to poverty alleviation and to the benefit of all life on Earth.

This target was subsequently endorsed by the World Summit on Sustainable Development (the “Rio + 10” summit) in Johannesburg, 2002, and by the United Nations General Assembly. It was also incorporated as a new target under one of the Millennium Development Goals – Ensure Environmental Sustainability. The 2010 biodiversity target is therefore a commitment from all governments; including those not party to the CBD.

In 2010 at the Convention for Biological Diversity 10th summit in Nagoya, Japan, the European Union and all other parties agreed on a new global Strategic Plan for Biodiversity, including 20 targets to be achieved by 2020, known as the Aichi targets¹³⁵. The targets aim to address the underlying causes of

¹³⁴ The word biodiversity, a contraction of the synonymous phrase ‘biological diversity’, is defined by the Convention on Biological Diversity (CBD) as ‘*the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems*’.

¹³⁵ The agreement was signed in the prefecture of Aichi in the Nagoya Province, Japan

biodiversity loss, to reduce pressures on biodiversity, to safeguard biodiversity, to enhance the benefits provided by biodiversity and to improve the parties' capacity to reach the targets¹³⁶.

Also, the Access and Benefit Sharing Protocol (The ABS Protocol¹³⁷) was adopted by the parties, an internationally binding regulation for access to genetic resources and for the fair and equitable sharing of the benefits. So the international community now has an effective instrument to prevent bio-piracy, with a reliable framework for the fair use of genetic resources.

Parties also agreed on a decision on the Resource Mobilization Strategy that stresses the importance of mainstreaming biodiversity in national strategies for sustainable development and poverty reduction. Biodiversity is now to be a mainstream element in the plans of development banks, agencies and policy institutions. Parties committed themselves to substantially increase resources (financial, human and technical) from all sources, including innovative financial mechanisms, against an established baseline. This plan also provides for a substantial increase in levels of Official Development Assistance (ODA) to support biodiversity.

Building upon Nagoya's outcomes, the European Union announced its new Biodiversity Strategy to 2020 in May 2011. It aims at halting or reversing the loss of biodiversity and the degradation of ecosystem services in the European Union by 2020, restoring them, and speeding up the European Union's transition towards a resource efficient and green economy. The strategy also includes a global dimension and steps up the European Union's contribution to averting global biodiversity loss.

Box 3 *EU Biodiversity Strategy to 2020*

The European Commission has adopted a new strategy to protect and improve the state of biodiversity over the next decade. The strategy includes six targets to address the main drivers of biodiversity loss, which will reduce the main pressures on nature and ecosystem services in the European Union and abroad:

- Target 1: Fully implementation of the European Union nature legislation;
- Target 2: Maintain and restore ecosystems and their services;
- Target 3: Increase the contribution of agriculture and forestry to maintaining and enhancing biodiversity;
- Target 4: Ensure the sustainable use of fisheries resources;
- Target 5: Combat invasive alien species;
- Target 6: Help avert global biodiversity loss .

For Target 6, the European Union commits to stepping up its contribution to averting global biodiversity loss with developing countries by:

1. Reducing indirect drivers of biodiversity loss, such as harmful subsidies, impacts of European Union consumption patterns, potential impacts resulting from the liberalization of trade and investments;
2. Mobilizing additional resources for global biodiversity conservation;
3. Biodiversity proofing European Union development cooperation;
4. Regulating access to genetic resources and the fair sharing of benefits arising from their use.

Source: [http://ec.europa.eu/environment/nature/biodiversity/comm2006/pdf/2020/1_EN_ACT_part1_v7\[1\].pdf](http://ec.europa.eu/environment/nature/biodiversity/comm2006/pdf/2020/1_EN_ACT_part1_v7[1].pdf)

However, the issues and drivers of loss of biodiversity are highly complex and a result of many factors, including population pressure and weak governments leading to destruction of natural habitats, hunting, poverty, illegal trade in endangered species, unsustainable economic development. Intended changes will take several years to achieve.

Therefore, the EQ 4 focuses on the progress of establishing systems and capacity to implement MEAs; awareness raising and ensuring protection of habitats rather than assessing actual state of biodiversity in the interventions undertaken with assistance from EU.

The Judgement Criteria aim to capture the contribution of EU external actions as they relate to key aspects of the intentions of the support provided by EU:

The first JC assess the EU support to progress made towards establishing the enabling national framework for implementation of targets of the CBD and post-2010 Global Biodiversity Strategy. The second judgement criterion assesses the EU support to the strengthening of national capacity to identify, establish and manage protected areas for the conservation of important habitats/ecosystems. The third judgement criterion focus on EU contribution to knowledge management to ensure that sufficient and accurate information is available for informed decision making, such as monitoring data, collection and sharing of data and information.

¹³⁶ For a summarised description of the AICHI targets see: <http://www.cbd.int/doc/strategic-plan/2011-2020/Aichi-Targets-EN.pdf>

¹³⁷ <http://www.cbd.int/abs/>

4.1 JC41. Enhanced capacity of partner countries to implement their commitments under the CBD/post-2010 Global Biodiversity Strategy and CITES

4.1.1 I-411. Availability of improved national policies, plans and budgets for biodiversity conservation and CBD/post-2010 Global Biodiversity Strategy nationalisation

Description/Discussion: The indicator focuses on the availability of improved national policies, plans and budgets for biodiversity conservation. The Conference of the Parties (COP) to the Convention on Biological Diversity (CBD) has proclaimed National Biodiversity Strategies and Action Plans (NBSAPs) to be the primary mechanisms for the implementation of the Convention and its Strategic Plan.

As of April 2007, 147 Parties, representing 77% of the convention's 190 Parties at the time, had submitted final NBSAPs to the CBD Secretariat or indicated in their third national reports that their NBSAP was completed. Another 24 Parties (13%) have NBSAPs in preparation or have submitted interim or draft versions. 11 countries have informed the Secretariat that their original NBSAP has been revised.

This indicator will therefore focus on the availability of improved policies, plans and budgets in accordance with post-2010 agreements in particular the AICHI biodiversity target 17 which stipulates that each Party by 2015 has developed, adopted as a policy instrument, and commenced implementing an effective, participatory and updated national biodiversity strategy and action plan.

Evidence of change: By the end of 2010, 171 countries (89% of the total number of CBD parties) had adopted their NBSAPs or equivalent instruments and 13 countries were in the process of preparing their NBSAPs.

The large number of NBSAPs was in itself an achievement and a step on the road to implementation of the CBD. NBSAPs had generated some results in many countries, including a better understanding of biodiversity, its value and what is required to address threats to it. Legal gaps in implementation had been filled, the coverage of protected areas was considerably extended, and in many countries better protection of endangered species was introduced.

The development of the fourth national reports and the series of regional and sub-regional capacity workshops on implementing NBSAPs and mainstreaming biodiversity provided new information and insights into the wealth of action for biodiversity taking place throughout the world. This encompasses both action for the conservation of biodiversity and action related to mainstreaming biodiversity within sectoral and cross-sectoral activities at both national and sub-national levels. This was an indication of another positive trend in CBD implementation.

In spite of these achievements and positive trends, it is the general conclusion¹³⁸ that the pre-2010 NBSAPs have not attenuated the main drivers of biodiversity loss. The Global Biodiversity Outlook Report (GBO 3) confirms the continuing decline of biodiversity in all three of its main components – genes, species and ecosystems. It argues that “action to implement the CBD has not been taken on a sufficient scale to address the pressures on biodiversity in most places” and “there has been insufficient integration of biodiversity issues into broader policies, strategies and programmes, and the underlying drivers of biodiversity loss have not been addressed significantly”.

With this in mind, the Parties agreed on a new global Strategic Plan for Biodiversity in 2010, including the 20 measurable AICHI targets¹³⁹ to be achieved by 2020 incorporating and addressing all the previous identified shortcomings with a particular focus on addressing the drivers of biodiversity loss¹⁴⁰. Greater attention was also given to the development of Regional (supranational) Biodiversity Strategies and Action Plans (RBSAPs) through the adaptation of the Plan of Action on Subnational Governments, Cities and Other Local Authorities for Biodiversity.

This should increase the potential of NBSAPs to serve as effective vehicles for mainstreaming biodiversity in sustainable development policy and planning.

The challenge would be to ensure that as soon as possible after 2010 all NBSAPs are comprehensive, strategic and being implemented. This should provide the best chance for reducing biodiversity loss and meeting the strategic goals and targets of the new Strategic Plan.

¹³⁸ Biodiversity Planning: An assessment of NBSAPs, UNI-IAS, 2010. Christian Prip, Tony Gross, Sam Johnston and Marjo Vierros. Read more: http://archive.ias.unu.edu/resource_centre/UNU-IAS_Biodiversity_Planning_NBSAPs_Assessment_final_web_Oct_2010.pdf

¹³⁹ <http://www.cbd.int/doc/strategic-plan/targets/compilation-quick-guide-en.pdf>

¹⁴⁰ <http://www.cbd.int/doc/strategic-plan/2011-2020/Aichi-Targets-EN.pdf>

Since COP-10 to present, the CBD Secretariat has received 26 NBSAPs (19 revised, 7 first) which reflect varying degrees of compliance with the new global Strategic Plan for Biodiversity. 17 Parties take the post-2010 NBSAP Strategic Plan for Biodiversity (2011-2020) into account^{141,142} and provides ecosystem approach, detailed actions, budgets and implementation schedules. Nine Parties have delivered NBSAPs after 2010 however, does not fully take the Strategic Plan for Biodiversity (2011-2020) into account¹⁴³. 153 Parties have yet to produce and submit their post-2010 NBSAP and finally 15 parties to the CBD have not yet submitted any NBSAP. All countries visited are in the process of revising the NBSAP to include Aichi targets with main support from GEF. Also, a few countries such as Bolivia and DRC have included protection of biodiversity into the main constitutional framework.

In parallel, and increasingly, **Subnational Biodiversity Strategies and Action Plans (SBSAPs)** are being developed at state/provincial/territorial, local and cities levels. Subnational and local authorities are administrative units of an area smaller than a state. The local governments are considered guardians of natural resources because they set local environment and development policy, are responsible for land-use planning, and develop and manage infrastructure that depend on and/or impact biodiversity, such as water and waste management systems.

Table 21 *Submission of National Biodiversity Reports*

<i>National Reports</i>	<i>Number of Parties submitting reports</i>	<i>%</i>
NR 1	150	77,3
NR 2	137	70,6
NR 3	153	78,9
NR 4	177	
NR 5	86	91,2
Number CBD parties	194	44,3
Total countries	197	

Source: CBD Secretariat, 2014

So, it seems that decentralised planning serves as an effective support mechanism for implementing the CBD and is strongly encouraged and assisted by Local Governments for Sustainability (ICLEI)¹⁴⁴.

Parties were also requested to submit their fifth national report by 31 March 2014. The fifth national reports should provide an important source of information for a mid-term review of progress towards the implementation of the Strategic Plan for Biodiversity 2011-2020 and progress towards the Aichi Biodiversity Targets which will be undertaken by the Conference of the Parties at its twelfth meeting in the second half of 2014.

The fifth national reports will also contribute to the development of the fourth edition of the Global Biodiversity Outlook (GBO-4)¹⁴⁵. Further, the fifth national report guidelines request Parties to report on contributions to the relevant 2015 Targets of the Millennium Development Goals. So far, the CBD Secretariat has received 86 (44%) 5th National Reports scheduled to be delivered by 31 March 2014.

On the positive side, funds for the NBSAPs and fifth national reports developments have been made available mainly through the fifth replenishment of the Global Environment Facility (GEF-5 starting on January 2011) which includes, as its fifth objective: "Integrate CBD Obligations into National Planning Processes through Enabling Activities".

Enabling activities include that each party engage in:

- Updating and revision of NBSAPs in line with the Strategic Plan for Biodiversity 2011-2020;
- Preparation of the Second National Report on Biosafety;
- Preparation of the Fifth National Report;

¹⁴¹ France, Belgium, UK, Spain, Ireland, Estonia, Cameroon, Dominica, Belgium, El Salvador, Finland, Japan, Colombia, Timor-Leste, Democratic People's Republic of Korea, Serbia, and EU

¹⁴² For detailed information on the 'new' NBSAPs please visit: <https://www.cbd.int/nbsap/about/latest/default.shtml>

¹⁴³ Tuvalu, Suriname, Dominican Republic, Belarus, Italy, Venezuela, Myanmar, Australia and Ireland

¹⁴⁴ ICLEI is an influential movement of 12 mega-cities, 100 super-cities and urban regions, 450 large cities as well as 450 small and medium-sized cities and towns in 84 countries dedicated to sustainable development.

¹⁴⁵ Presently available for peer-review on www.cbd.int/gbo4review/

- Clearinghouse mechanism activities, usually as part of the process of updating and revising NBSAPs.

Countries will be able to access the GEF Focal Area Set-aside funds (FAS) to implement enabling activities for an amount up to USD 500,000 on an expedited basis. If the amounts required are greater than that, they should be provided from the country's national allocation.¹⁴⁶

To date, approximately 130 out of 145 eligible countries have accessed these funds indicating that a number of countries are in the process of development of improved and up-dated NBSAPs. However, given that only few countries only recently (end-2013) have completed their post-2010 NBSAP and only recently have been granted the funds at the time of this study, the impacts of enabling activities have yet to be assessed.

EU Contribution: The European Commission¹⁴⁷ was a signatory to the CBD in 1998 and has since then allocated funds to developing countries to improve their capacity to implement their commitments under the MEA's.

The EU support to national level improvement of national policies, plans and budgets for prevention of biodiversity loss, has prior to 2010, mainly been channelled through the UNEP, IUCN and relevant MEA Secretariats for providing the technical expertise and contributed to the development of guidelines (plans and reports), regional and national institutional capacity development, training through workshops and seminars, research and data and information sharing via websites on the internet.

An example¹⁴⁸ of this type of support is the programme '*Capacity Building (CB) for Multilateral Environmental Agreements (MEAs) in ACP Countries*' (MIP–Intra-ACP Cooperation–9th EDF). The purpose of the programme was to enhance the capacity of the ACP countries to participate in the work of and fulfil their obligations under MEAs and related commitments. Mainly the three green MEAs (pertaining to climate, combating desertification and biodiversity) and the three brown MEAs (Stockholm, Basel, Rotterdam) are being addressed. The agreement between EU and the implementing agencies: UNEP (13 million), FAO (4.9 million) and UNCCD-Global Mechanism (3,25 million) was signed in December 2007 and implementation started in the first quarter of 2009 with a likely completion by 2014. A mid-term review in 2012¹⁴⁹ found that the programme did contribute to enhancing the capacity of ACP countries, mainly by strengthening the regional institutional framework for MEA implementation¹⁵⁰ to deliver quality capacity-building services to their partner countries ("training of trainers") within the fields of project management and writing skills, negotiations and lobbying skills, legal drafting skills, information management and exchange, and the synergistic implementation of MEAs in a coherent and integrated manner. However, capacity development results were found hard to measure in particular when the programme lacked appropriate achievement indicators and formats that reflected real progress. A visible achievement indicator for this programme could be¹⁵¹ that involved partners had commenced or delivered up-dated NBSAPs incorporating the Aichi targets. By the end of 2013 only Tuvalu, Timor-Leste, Dominican Republic have delivered NBSAPs, which to some extent incorporate the Aichi targets. These may have been influenced by the capacity development activities provided for through the programme.

The EQ 6 will in more detail look at the EU-ENRTP contribution to strengthening international environmental governance in relation to MEA's and UNEP related processes.

Although many of the EU financed initiatives to the biodiversity sector, has elements directed at policy level (e.g. support to the finalization and approval of law on Protected Areas, development of other legal instruments and on the sustainable financing of biodiversity conservation) several reviews¹⁵² highlight the lack of progress in national capacity for implementation of CBD post-2010 CBD commit-

¹⁴⁶ Biodiversity Strategy for GEF-5, http://www.thegef.org/gef/sites/thegef.org/files/documents/document/GEF-5_Bio_strategy.pdf

¹⁴⁷ It is now normal usage to refer to the EU in discussions of external policy even if in strict legal terms reference ought to be made to the European Community or European Commission. This practice is followed in this report except when it would be historically inaccurate or where there are issues of competence between the member state and Community components of the Union.

¹⁴⁸ Only the mentioned example will be presented in this section as this EU support to UNEP/MEAs will be discussed further in EQ 6.

¹⁴⁹ Capacity-Building Related to Multilateral Environmental Agreements (MEAs) in African Caribbean and Pacific (ACP) Countries, DG DEVCO contract 2012/288-465

¹⁵⁰ the African MEAs Hub at the African Union Commission (AUC), the Caribbean Community (CARICOM) MEAs Hub, the Pacific MEAs Hub at the Secretariat of the Pacific Regional Environment Programme (SPREP), a section of the Strategic Approach to International Chemicals Management (SAICM) organisation

¹⁵¹ Own assessment

¹⁵² E.g. of the ongoing EU support for institutional reform of ICCN, DRC

ments and the need to establish sustainable financing mechanism for Protected Area Management Systems. Lack of sufficient national funds for management of protected areas is seen as one of the main obstacles in spite that all partner countries are signatory to the MEA's.

In response, the EU has supported protected areas management in-situ in most country programmes although not as a focal sector. For the planning period 2014-2020 more focus on addressing loss of biodiversity in its own right and through mainstreaming have been included (e.g. Brazil, Bolivia, Democratic Republic of Congo, Chad, Cameroon, Ukraine¹⁵³) through which the EU attempts to influence policy and focus on the commitments to implementation of the MEA's through dialogue and commitments expressed in partnership statements, annual action plans and programmes with the various countries.

For example Senegal and Tonga had no direct support from EU in preservation of biodiversity in its cooperation until 2010. From 2013 EU will, through budget support, provide support to the environmental sector including commitments to biodiversity at policy, institutional and project level.

For many of the latter projects/programmes scrutinised for this evaluation (agreements entered from 2010-13) reviews, progress reports, evaluations have yet to be produced. However, after the development of EU Biodiversity Strategy (2011) there is an increased focus on strengthening the support to address loss of biodiversity and its underlying causes e.g. the support to water resources management and agricultural development in Bolivia and Brazil¹⁵⁴.

4.1.2 I-412. Progress against national targets for CBD/post-2010 Global Biodiversity Strategy

Description: The indicator assesses the actual progress towards achieving national targets for CBD/post 2010 as formulated by the partners themselves in accordance with agreed CBD indicators with a special focus on whether the support provided by EU has helped achieve progress.

Evidence of Change: All country biodiversity status reports¹⁵⁵ show little progress towards preventing actual loss of biodiversity.

Although not achieving the 2010 targets, almost all countries have participated in the development and are in agreement concerning the Aichi Biodiversity targets, and several of the partner countries¹⁵⁶ are in process of incorporating these targets in their national policies thus moving towards mainstreaming biodiversity into all development activities.

On the positive side, the status of biodiversity by directly safeguarding ecosystems, species and genetic diversity has improved. Indicators include terrestrial and marine protected area coverage, representation of key biodiversity sites, and funding for species conservation and protected areas. All show positive trends highlighting that the development of networks of protected lands and seas around the world as one of the major responses of the global community to the biodiversity crisis. This indicates that substantial efforts are being made towards the "...safeguarding ecosystems, species and genetic diversity" noting that protected area designation alone without effective management does not guarantee that biodiversity will be safeguarded.

A recent summary (2013) of the Work programme on Protected Areas¹⁵⁷ found that since 2004, nearly 6,000 new protected areas have been established, covering more than 60 million hectares. There are now about 130,000 protected areas, covering nearly 13% of the world's terrestrial surface, and over 6% of territorial marine areas. Many of these are embedded in comprehensive national and regional networks of connected protected areas and corridors.

For example *Brazil* has reached a 75% decrease in the deforestation rate of the Amazon in 2009 as compared to 2004 due to establishment of protected areas. The *DR Congo* boasts an impressive network of protected areas (11% of the territory) although a large part of the areas unfortunately only exist on paper, without sufficient investment (neither control nor management)¹⁵⁸. In *Bolivia* the general deforestation rate was 3.7% from 2000-2010, while the rate in the same period within protected areas

¹⁵³ EUD Survey, Question 52) Particip

¹⁵⁴ Project Synopsis, 2010/222-244, contract signed in Dec 2009, implementation from Feb. 2010.

¹⁵⁵ UNEP/CBD Secretariat: GEO 1-2-3 covering status over a period from 2004 – 2010. The GEO 4 is underway to be finalised 2014 available for per-review on www.cbd.int/gbo4review/. Trends from the GBO-3 continue and are documented in the GBO-4. The CBD Secretariat received funding from a number of donors for the production of the Global Biodiversity Outlook Reports, including and mainly EU.

¹⁵⁶ All desk study countries DRC, Brazil, Ghana, Senegal, Tonga, Ukraine and China include a revision of targets in their 5th CBD reports to the CBD Secretariat

¹⁵⁷ CBD, <http://www.cbd.int/protected/pow/learnmore/intro/>

¹⁵⁸ In accordance with target 11 Aichi, DR Congo aims to bring the current coverage to 17% of the national territory. The EU has supported protected areas in Congo with a total of about EUR 34 million in the period 2007-13.

only reached 0.5% indicating that the efforts to establish and manage protected areas have had an impact preventing loss of biodiversity.

None of the other CBD indicators towards the 2010 Biodiversity targets show any progress at a global scale (figure below).

At present the CBD Secretariat develops the GBO-4 structured around the indicators for achieving the AICHI targets. It will be published before the COP – CBD meeting in October 2014. A per-review of the report shows that the trends from 2010 continue into the 2012 with the exception of availability of funding for protected areas, which now (by end 2013) show a declining trend at global level.

Figure 37 Trends shown by agreed indicators of progress towards the 2010 target



Source: GBO-3, CBD Secretariat, 2010.

EU Contribution: EU has contributed to creation of progress against the national CBD Strategy targets through various means: budget support including policy level; direct funding of projects addressing biodiversity in-situ; co-financing with other donors and through the UN system (see EQ 6).

The EU has contributed about a total of EUR 170 million to country – regional level biodiversity sector (protected areas) activities from 2007-2013 of which about 90% has been allocated to biodiversity conservation *in-situ* activities (National Parks identification, establishment, management and development¹⁵⁹).

This support to the establishment, management of protected areas, has for long been the cornerstone of the European Union's global strategy for biodiversity conservation, and has helped the partner countries to progress towards the CBD/post-2010 targets for PA coverage. This is confirmed by the survey. Out of the 16 surveyed EUDs that had relevant biodiversity interventions, 4 found that EU had provided a substantial (DRC¹⁶⁰; the EU's top recipient country of Biodiversity related funds) or reasonable (Brazil, Chad and Cambodia¹⁶¹; the first two ranking third and fourth of EU's top recipient countries of Biodiversity related funds) contribution to achieve the CBD targets. Out of the 5 countries¹⁶², declaring a limited contribution, we find Bolivia ranking second of the top recipient countries¹⁶³.

The EU has helped local populations dependent on ecosystems to define actions to manage their biological resources in a sustainable way. It has supported and developed income-generating activities that encourage the sustainable use of biodiversity, complementing other financing sources. The EU has operated with two strategic and operational approaches¹⁶⁴:

- *Saving habitats for sustainable use:* The EU promotes actions to ensure that ecosystems are used sustainably by increasing capacities for management and finance, for monitoring and evaluation, and for the promotion of income generating activities compatible with conservation;
- *Mainstreaming biodiversity in all sectors of development:* The EU, in dialogue with recipient countries and partners, seeks to integrate biodiversity and ecosystem services into every sector of development cooperation. The conservation of ecosystems is mainstreamed in the forestry sector, in climate change projects, in rural development and in marine resources management.

The EU contribution to programmes and projects where biodiversity conservation was classified as the principal objective (Rio Marker 2) amounts to a total of almost EUR 356 million in the period from 2007-2013 (33% of the total allocation to biodiversity¹⁶⁵) and includes support to programmes and projects within the sectors of forestry, renewable energy and protected areas.

EU support to mainstreaming projects where ecosystem conservation was a secondary objective (Rio Marker 1: Significant Objective) amounted to a total of EUR 734 million in the period 2007 – 2013 or 66% of the total EU allocation to biodiversity.

At global level the EU has been very instrumental in the development of the Aichi targets. As a consequence the EU has incorporated and agreed on directly supporting the improvement and further implementation of national biodiversity strategies in accordance with the post-2010 Biodiversity Strategy including Aichi targets. This is evidenced in a number country action plans with its partner countries¹⁶⁶ aiming at mainstreaming biodiversity into country policy and institutional frameworks as demonstrated in the support to e.g. the Water and Sanitation sector in Bolivia, and the support to the REDD + processes in DRC. However, this process has only recently been initiated and details of the programmes and projects under this umbrella is still in processes of formulation, approval and mobilization, thus the evaluation faces a lack of data on actual progress¹⁶⁷. So far, the EU has in order to

¹⁵⁹ Examples of this support are mentioned under JC42: I421 and I422

¹⁶⁰ Afrormosia case for agreeing a ACNP would be particularly important in this regard

¹⁶¹ In Cambodia, by supporting programmes that protect the forest

¹⁶² Bolivia, Cameroon, Mozambique, Uganda and Ukraine

¹⁶³ EUD survey, Question 54), Particip

¹⁶⁴ The section JC 42 – I421 and I422 will provide more detail on specific achievements in relation to the support to PA management.

¹⁶⁵ Refer to Volume 3 Annex 5 the present report for further information on the sectoral classification of the EU worldwide inventory of interventions in the field of environment and climate change related issues.

¹⁶⁶ See above under I 411. EU has, prior to 2007 supported the development of biodiversity policies and plans but mainly through strengthening the work of UNEP and its MEA Secretariats including the TEEB programme to be discussed in more detail under EQ 6.

¹⁶⁷ Brazil (from Joint EU-Brazil Action Plan 2008 and forward has not yet materialised, but show intentions): "In relation to biodiversity, Brazil and the EU reaffirm the need to enhance their mutual efforts in implementing the

further support this process, developed a set of risk and impact assessment tools in order to “biodiversity proof”¹⁶⁸ (2013) every step of its cycle of operations and to improve the ecological performance of its actions.

4.1.3 I-413. Availability of national legislation, institutions, resources and tools to implement the requirements of the CITES Convention ensuring sustainable wildlife trade

Description: Annually, international wildlife trade is estimated to be worth billions of dollars and to include hundreds of millions of plant and animal specimens. Illegal trade is regarded as the third largest illegal business behind only drugs and weapons.

The trade is diverse, ranging from live animals and plants to a vast array of wildlife products derived from them, including food products, exotic leather goods, wooden musical instruments, timber, tourist curios and medicines. Levels of exploitation of some animal and plant species are high and the trade in them, together with other factors, such as habitat loss, is capable of heavily depleting their populations and even bringing some species close to extinction. Many wildlife species in trade are not endangered, but the existence of an agreement to ensure the sustainability of the trade is important in order to safeguard these resources for the future.

The Convention on International Trade in Endangered Species (CITES) was signed in Washington D.C. on 3 March 1973. With 180 Member States, CITES remains one of the world’s most powerful tools for biodiversity conservation through the regulation of trade in wild fauna and flora. Thousands of species are internationally traded and used by people in their daily lives for food, housing, health care, ecotourism, cosmetics or fashion.

CITES is an international agreement to which States (countries) adhere voluntarily. States that have agreed to be bound by the Convention ('joined' CITES) are known as Parties. Although CITES is legally binding on the Parties – in other words they have to implement the Convention – it does not take the place of national laws. Rather it provides a framework to be respected by each Party, which has to adopt its own domestic legislation to ensure that CITES is implemented at the national level.

CITES regulates international trade in over 35,000 species of plants and animals, including their products and derivatives, ensuring their survival in the wild with benefits for the livelihoods of local people and the global environment. The CITES permit system seeks to ensure that international trade in listed species is sustainable, legal and traceable.

The indicator will assess the national compliance with CITES requirements (see Table below) as well as whether suspensions under CITES or EU legislation has been effectuated. The indicator focuses on the progress of establishing national systems and capacity to implement the CITES requirements rather than assessing the actual wildlife trade.

Table 22 CITES requirements at country level

Under article IX, of the Treaty, each Party signing the Convention must designate a management and scientific Authority to implement CITES for that country. If a non-Party wants to trade with a Party, it must also designate such Authorities. The names and addresses of these offices must be sent to the Convention Secretariat to be included in the Directory. When offices share activities, the Management Authority is responsible for dealing primarily with management and regulatory issues and the Scientific Authority is responsible for dealing primarily with scientific issues. The offices are required to do the following:		
Roles	Scientific Authority	Management Authority
Provide scientific advice and recommendation, including advice on biological findings for applications for certain CITES documents, registrations, and export programme approvals. Evaluate the conservation status of species to determine if a species listing or change in a listing is warranted. Interpret listings and review nomenclatural issues.	X	
Review applications for CITES documents and issue or deny them based on findings required by CITES		X

Convention on Biological Diversity (CBD) in order to achieve its three objectives and the global target to significantly reduce the current rate of biodiversity loss by 2010. They will take into account the principles set out in the Rio Declaration and other internationally agreed instruments. Brazil and the EU reaffirm their commitment to finalise the negotiation of and to adopt the international regime on access to genetic resources and benefit-sharing (ABS) as agreed at the Ninth Conference of the Parties of CBD so that it can be submitted for consideration and adoption by the Tenth Conference of the Parties in October 2010”.

¹⁶⁸ EU: 2013 EIA Guidance on Guidance on Integrating Climate Change and Biodiversity into Environmental Impact Assessment; EIB 2013: Environmental and Social Handbook;

Communicate with the Secretariat and other countries on scientific, administrative, and enforcement issues	X	X
Ensure that export of Appendix-II specimens (Appendix to the Convention) is at a level that maintains a species throughout its range at a level consistent with its role in the ecosystems in which it occurs and well above the level at which it might become eligible for inclusion in Appendix 1	X	
Monitor trade in all CITES species and produce annual reports on CITES trade		X
Collect the cancelled foreign export permit or re-export certificate and any corresponding import permit presented for import of any CITES specimens. Collect copies of the validated country permit or re-export certificate presented for export or re-export of any CITES specimens		X
Produce biennial reports on legislative, regulatory and administrative measures taken by the Country to enforce the provisions of CITES		X
Coordinate with State and tribal governments and other Federal agencies on CITES issues, such as the status of native species, development of policies, negotiating positions and law enforcement activities	X	X
Communicate with the scientific community, the public, and media about CITES issues. Conduct public meetings and publish notices to gather input from the public on the administration of CITES and the conservation and trade status of domestic and foreign species traded internationally.	X	X
Represent the Country at the meetings of the COP, on committees and on CITES working groups. Consult with other countries on CITES issues and the conservation status of species. Prepare discussion papers and proposals for new or amended resolutions and species listings for consideration of the COP.	X	X
Provide assistance to ICCWC and INECE for the enforcement of CITES. Cooperate with enforcement officials to facilitate the exchange of information between enforcement bodies and for training purposes	X	X

Source: adapted from CITES Convention, Article IX, <http://www.cites.org/sites/default/files/eng/disc/E-Text.pdf>

Evidence of Change: During the years since ratification of the Convention, all signatory members of the CITES have developed the most important required national legal framework for national species most threatened (both animals and plants) and nominated Management and Scientific Authorities (focal points) to oversee the implementation and to issue trade permits. National authorities usually cooperate with their national customs authorities and the police and have over the years improved their control systems especially in airports and harbours in cooperation with established international bodies. Many illegal wildlife imports have been seized and piled up (ivory, rhino horns, tiger bones) and governments (e.g. USA, China, Vietnam, France) now destroy their stockpiles of confiscated illegal wildlife items, often used in traditional Asian medicines, luxury goods and souvenirs¹⁶⁹. These public crushes and burns are largely symbolic, intended to delegitimise ivory and send a message of zero-tolerance to poachers and traffickers.

Asia-South East Asia continues to be one of the largest consumers of illegal wildlife products. The belief that tiger bones, shark fin, the horn of rhinoceros and ivory should be used in medicine has ensured a continuous market for these illegal products.

The awareness on the matter has both globally and nationally increased substantially due to an increase in the number of sources providing information on the actual illegal trade and the capture of villains (poachers and traders)¹⁷⁰ as well as the promotion and certification of legal harvesting of both animals and timber. The easy access to the Internet with its social media and web sites¹⁷¹ for many even in developing countries has greatly helped boost the spread of knowledge and insight into the illegal trade of wildlife. And gradually the illegal trade networks become known and documented.

Therefore, more consumers are aware and thus more reluctant to buy items which cannot produce the required certificates creating a 'social pressure' on the illegal traders.

¹⁶⁹ In February 2014, France pulverized more than 15,000 pieces of ivory, mostly trinkets seized at airports over a 20-year span. China burned six tons of ivory in January. The United States crushed its ivory stockpile for the first time in November 2013. Officials in Hong Kong announced they would start burning more than 30 tons of elephant tusks and other ivory products throughout the first half of this year.

¹⁷⁰ Numerous programmes for television broadcast (in particular BBC – National Geographic productions; the various air-port television programmes); the IUCN/Traffic programme (EU supported); Wildlife trade news, EU-TWIX (EU trade in wildlife Information Exchange), etc.

¹⁷¹ E.g.: <http://www.havocscope.com/> which gives a good overview of all illegal trade.

In particular, the work of the Forest Stewardship certification (FSC) also financially supported by EU (Europe Aid) has proven very successful in getting major providers of furniture to subscribe to the exclusive use of FSC for their products. Concerning mammals, there is still a trend/fashion towards not using or wearing fur from wildlife of any kind (even from legal sources) brought about by some of the Green Peace actions in particular concerning the seals.

TRAFFIC established in 1976 by IUCN and WWF (in what remains a unique role as a global specialist, leading and supporting efforts to identify conservation challenges and support solutions linked to trade in wild animals and plants) continues to be the main focal point and provider of:

- Investigations and analysis of wildlife trade trends, patterns, impacts and drivers to provide the leading knowledge base on trade in wild animals and plants;
- Information, support and encouragement to actions by governments, individually and through inter-governmental cooperation to adopt, implement and enforce effective policies and laws;
- Provision of information, encouragement and advice to the private sector on effective approaches to ensure that sourcing of wildlife uses sustainability standards and best practice;
- Development of insight into consumer attitudes and purchasing motivation and guiding the design of effective communication interventions aimed to dissuade purchasing of illicit wildlife goods.

Another important initiative is the creation of the International Network on Environmental Compliance and Enforcement (INECE) in 1989¹⁷². INECE's goals are: raising awareness to compliance and enforcement; developing networks for enforcement cooperation; and strengthening capacity to implement and enforce environmental requirements. The Network is comprised of more than 4,000 members from international organizations, governmental agencies, and non-governmental organizations. The Dutch and USA environmental agencies, who founded INECE in 1989, remain key funders, with additional support from UNEP, the World Bank, and the EU, as well as Environment Canada and the OECD.

The establishment of the International Consortium on Combating Wildlife Crime (ICCWC) in 2010 marked another important step towards the fight against illegal trade in wildlife. The ICCWC is a collaborative effort of five inter-governmental organizations working to bring coordinated support to the national wildlife law enforcement agencies and to the sub-regional and regional networks that, on a daily basis, act in defence of natural resources. The ICCWC partners are the CITES Secretariat, INTERPOL, the United Nations Office on Drugs and Crime, the World Bank and the World Customs Organization. Reflecting its capacity-building focus, ICCWC developed the ICCWC Wildlife and Forest Crime Analytic Toolkit¹⁷³ to help Governments review the effectiveness of their responses to wildlife and forest crime. The mission of ICCWC is to usher in a new era where perpetrators of serious wildlife and forest crime will face a formidable and coordinated response, rather than the present situation where the risk of detection and punishment is all too low. So far, the ICCWC has carried out global operations focusing on key species that are subject to illegal trade, which have resulted in a large number of arrests and the seizure of specimens from cheetah, elephant, rhinoceros, pangolin, leopard, rosewood, snake, tiger and turtle, among others. Police, customs and wildlife officers from a number of 'hot-spot' countries¹⁷⁴ participated in the operations after receiving training by the ICCWC and demonstrated what can be achieved when working together in a coordinated manner.

However, the ability to monitor, obtain reliable and updated information on species population and size for the satisfactory implementation and enforcement of the laws still remains relatively weak in many developing countries due to lack of allocation of sufficient resources.

EU Contribution: EU total contribution to the implementation of CITES requirements amounts to a total of EUR 3.64 million during the period from 2007-2013. These funds have mainly been channelled through the CITES secretariat including the project "Strengthening the CITES implementation capacity of developing countries" for an amount of EUR 1 million with follow-up funding of EUR 1.5 million. Dur-

¹⁷² INECE is a partnership of government and non-government enforcement and compliance practitioners from more than 150 countries. INECE activities are geared toward government officials and NGO partners active in environmental compliance and enforcement, and international organizations. In 2007 EU provided EUR 50.000 to the work of INECE.

¹⁷³ UNODC/CITES/ICCWC 2012 Wildlife and Forest Crime Analytic Toolkit funded by EU

¹⁷⁴ Botswana, Brunei-Darussalam, Burundi, Cambodia, China including Hong Kong SAR, Congo, Ethiopia, Ghana, India, Indonesia, Kenya, Lao People's Democratic Republic, Liberia, Malawi, Malaysia, Mozambique, Myanmar, Nepal, Philippines, Singapore, South Africa, Thailand, Uganda, United Republic of Tanzania, United States of America, Viet Nam, Zambia and Zimbabwe

ing this first phase, thirty draft national and regional project proposals were received from countries that attended the Phase I workshops.

A major achievement during this phase of the Project was the development of the CITES Virtual College in partnership with the International University of Andalusia, which was officially launched on 7 June 2011 (see: <http://campusvirtual.unia.es/cites>). The first course available through the College, *Introduction to CITES and Non-Detriment Findings*, was designed to meet the results of a pre-workshop questionnaires and the feedback received from Parties during the workshops. In late 2011 two additional courses were developed and made available to Parties in 2012: Training course for enforcement officers and information module for prosecutors and the judiciary and *Introduction to CITES for Customs Officials*. The CITES Virtual College has experienced almost global access with 3348 users from 154 countries and territories representing 72 different languages by end 2011.

Implementation of national and regional projects under Phase II started in late summer 2011. To date, two regional projects on CITES e-permitting systems, one in Central America and another for member countries of the Amazon Cooperation Treaty Organization are being implemented in partnership with regional organizations. With regard to country specific projects, a number of targeted countries have been identified, partners contacted and planning started, including projects in Gabon, Madagascar, Indonesia, Laos, and Viet Nam.

The CITES secretariat has also received support for implementation the COP 14 and COP 15 Decisions such as the collaboration with the International Tropical Timber Organization (ITTO) for the sustainable management tropical timber species threatened by international trade with an annual amount of EUR 500,000. Other major donors for implementation of the COP decisions were United States, Denmark, France, Germany, Hong Kong SAR (China), Japan, Norway, Qatar, Sweden, and the United Kingdom of Great Britain and Northern Ireland. The EU and the other countries have continued to provide funding to strengthen the collaboration between CITES and ITTO for capacity building, science-related activities, national legislation, enforcement, the sponsored delegates project¹⁷⁵.

The EU has also supported an extension of *Strengthening capacity in developing countries for sustainable wildlife management and enhanced implementation of CITES wildlife trade regulations, with particular focus on commercially-exploited aquatic species*, was signed in October 2013 for an amount of EUR 1.32 million to provide the scientific, legislative and administrative capacity to implement CITES for commercially valuable marine species, including the species of sharks and manta rays that were included in the CITES Appendices at the 16th meeting of the Conference of the Parties (CoP16; Bangkok, 2013). It is expected that this would be as successful as its predecessor now focusing on the aquatic species, it is, however, too early to assess achievement.

Another example: the EU has since 2001 until the present day supported the Monitoring the Illegal Killing of Elephants (MIKE) Programme, which has been developed and implemented by CITES in collaboration with African elephant range States¹⁷⁶. MIKE was designed to generate reliable and impartial data on the status and trends in African elephant populations, illegal killing and illegal trade in ivory, as a basis for international and range State decision making and action concerning elephant conservation. While it is widely recognised MIKE has provided sound, evidence-based information for decision-makers at the national and international levels, and has built range States' elephant conservation and management capacity, elephant poaching and the illegal ivory trade continue to pose very serious threats to many elephant populations. MIKE data have shown that elephant poaching levels have been steadily increasing in the majority of range States since 2005, and are currently threatening previously secure populations. For some countries, particularly those with weak governance and high levels of poverty such as DRC, the scale of poaching is currently an immediate threat to the long-term survival of their elephant populations.

Under these circumstances, and building on the solid track record and successes that have been achieved during MIKE Phases I and II, the MIKE 3.0 will continue to focus on strengthening the monitoring of elephant populations and the illegal killing of elephants, the EU and the CITES Secretariat has recently signed (July 2014) a EUR 12 million agreement to further minimise the poaching of flagship species in Africa, the Caribbean and the Pacific. The programme is called *Minimising the Illegal Killing of Elephants and other Endangered Species (MIKES)* has duration of 50 months and will gen-

¹⁷⁵ An example: 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 (*Pericopsis elata*) in the DRC (released 2014) regulating the logging and export of Afrormosia.

¹⁷⁶ In Central Africa, Congo, the Democratic Republic of Congo, and Gabon hold the majority of elephants: The majority of Eastern Africa's known elephants are in Tanzania and Kenya. The largest populations are found in Southern Africa.

erate regular and reliable information on the status and threats to elephants and other flagship species based on law enforcement benchmarks and ranger-based monitoring systems.

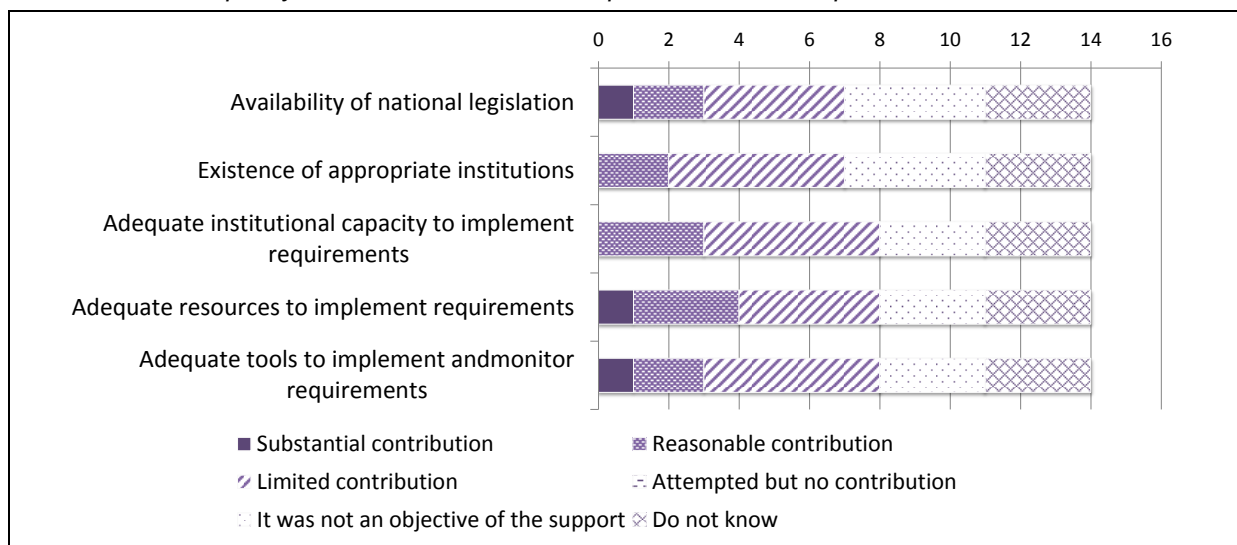
However, it is equally important, when dealing with illegal trade, to look at the consumer markets and how they have worked towards implementation of the CITES conventions. EU being one of the major consumer markets has launched an Action Plan (2007) to improve wildlife trade enforcement within EU as well as in the countries where the trade begins. Recently (in 2013) a reference guide to the EU Wildlife Trade Regulations was developed and became accessible to all interest groups. Furthermore, national law enforcement agencies in the EU play a crucial role in the efficient enforcement of the EU Wildlife Trade Regulations and thus CITES through the efforts of customs, police and other inspection services combating illegal wildlife trade into and from the EU, as well as within the single market of the EU 28 Member States. The EU-TWIX database has been developed to assist national law enforcement agencies, including CITES Management Authorities and prosecutors, in their task of detecting, analysing and monitoring illegal activities related to trade in fauna and flora covered by the EU Wildlife Trade Regulations. The main section of the database is designed to become a unique source of centralised data on seizures and offences reported by all 28 EU Member States. The purposes of EU-TWIX are to assist with strategic analyses and with carrying out field investigations.

In this way EU has greatly helped establish legal and sustainable trade in wildlife products. However, not all trade has turned legal: EU enforcement units made more than 7,000 seizures in 2003-2004 and over 12,000 seizures between 2005-2009 of CITES listed species.

In addition, the aforementioned ICCWC initiative receives funding from the EU Project “Combat Wildlife Crime to strengthen the capacity of ICCWC” (EUR 2.5 million 2008-2013), for capacity building of national law enforcement agencies and the implementation of ICCWC tools and activities¹⁷⁷, which successfully has helped combat illegal trade (see above).

At country level the EU support has been limited. Out of the 16 surveyed EUDs that had relevant biodiversity interventions, less than a third found that EU had provided a substantial or reasonable contribution to the strengthening of the implementation of the CITES requirements.

Figure 38 *EU contribution to the availability of national legislation, institutions, institutional capacity, resources and tools to implement CITES' requirements*



Source: EUD survey

The EUDs declaring an important EU's contribution at country level are the three top recipient countries of biodiversity-related funds:

- EUD in DRC declare a substantial contribution to: Availability of national legislation, Adequate resources to implement requirements and Adequate tools to implement and monitor requirements. And a reasonable contribution to adequate institutional capacity to implement requirements.

¹⁷⁷ The Nederland, Sweden, World Bank, United Kingdom of Great Britain and Northern Ireland and the USA also fund the activities of ICCWC together with EU.

- EUD in Bolivia reports a reasonable contribution to Availability of national legislation
- EUD in Brazil a reasonable contribution to: existence of appropriate institutions, Adequate institutional capacity to implement requirements, Adequate resources to implement requirements and Adequate tools to implement and monitor requirements.

4.2 JC42. Strengthened national capacity to conserve habitats/ecosystems

4.2.1 I-421. Strengthened national institutional frameworks to identify and manage protected areas

Description: Article 8 of the Biodiversity Convention contains specific references to protected areas and encourages Parties to:

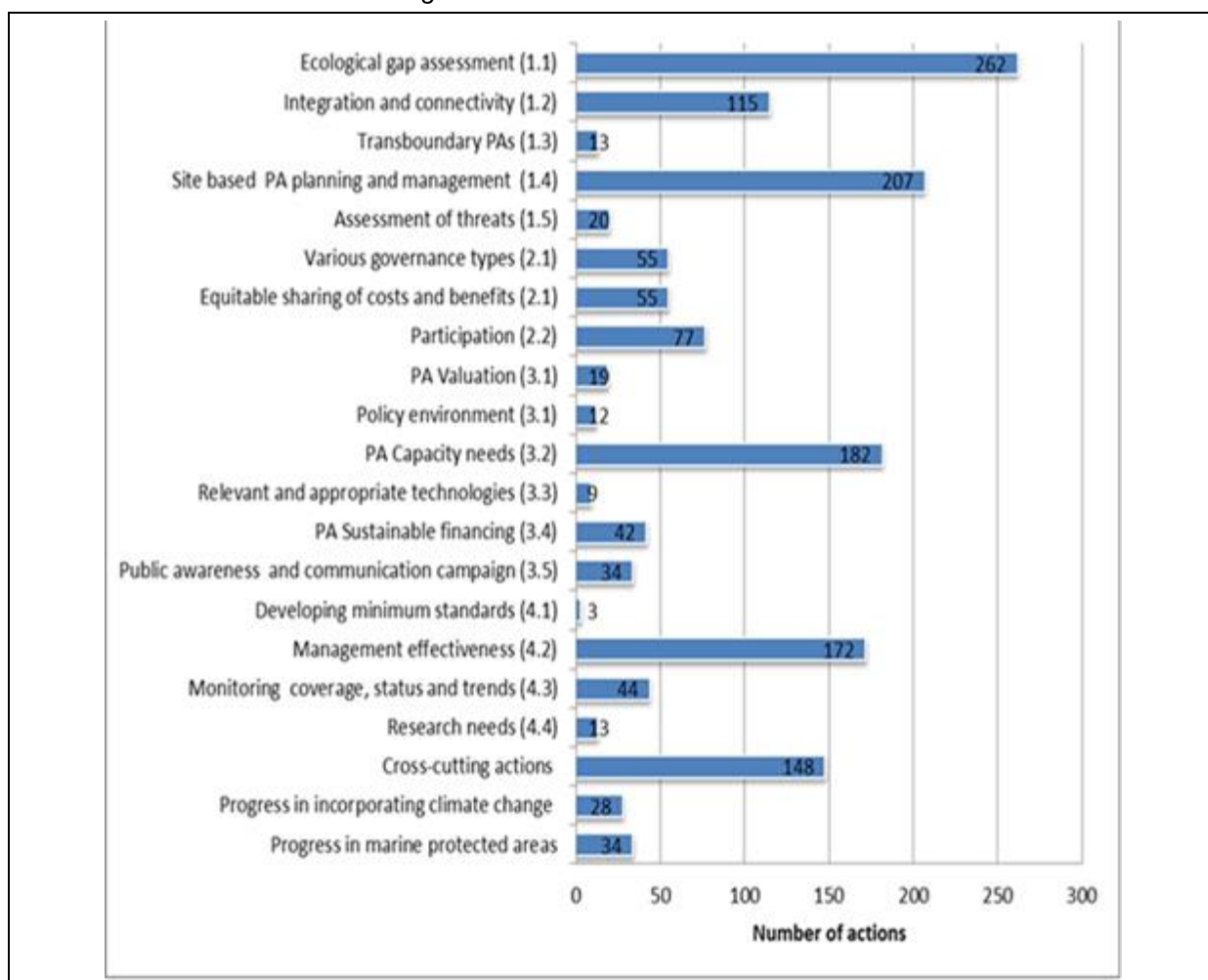
- Establish a system of protected areas or areas where special measures need to be taken to conserve biological diversity;
- Develop, where necessary, guidelines for the selection, establishment and management of protected areas or areas where special measures need to be taken to conserve biological diversity;
- Regulate or manage biological resources important for the conservation of biological diversity whether within or outside protected areas, with a view to ensuring their conservation and sustainable use;
- Promote environmentally sound and sustainable development in areas adjacent to protected areas with a view to furthering protection of these areas;
- Cooperate in providing financial and other support for in-situ conservation, particularly to developing countries.

In February 2004, the CBD Parties made the most comprehensive and specific protected area commitments ever made by the international community by adopting the Programme of Work on Protected Areas (PoWPA). The PoWPA enshrines development of participatory, ecologically representative and effectively managed national and regional systems of protected areas, and, where necessary, stretching across national boundaries.

Strengthening the national institutional framework to identify and manage protected areas would therefore be evidenced by the operative capacity of the established national institutional frameworks to comply with the work programme of the PoWPA agreement for achieving the Aichi target 11 (17% terrestrial and 10% marine protected areas) and their capacity for leading and securing adequate management of the national protected areas at field level.

Evidence of Change – 107 of 193 (55%) Countries have by 2013 officially submitted their PoWPA Action Plans. Countries identified the following priority actions (figure below) as part of their national action plans:

Figure 39 Number of priority actions identified by Parties in the PoWPA action plans as they relate to PoWPA goals

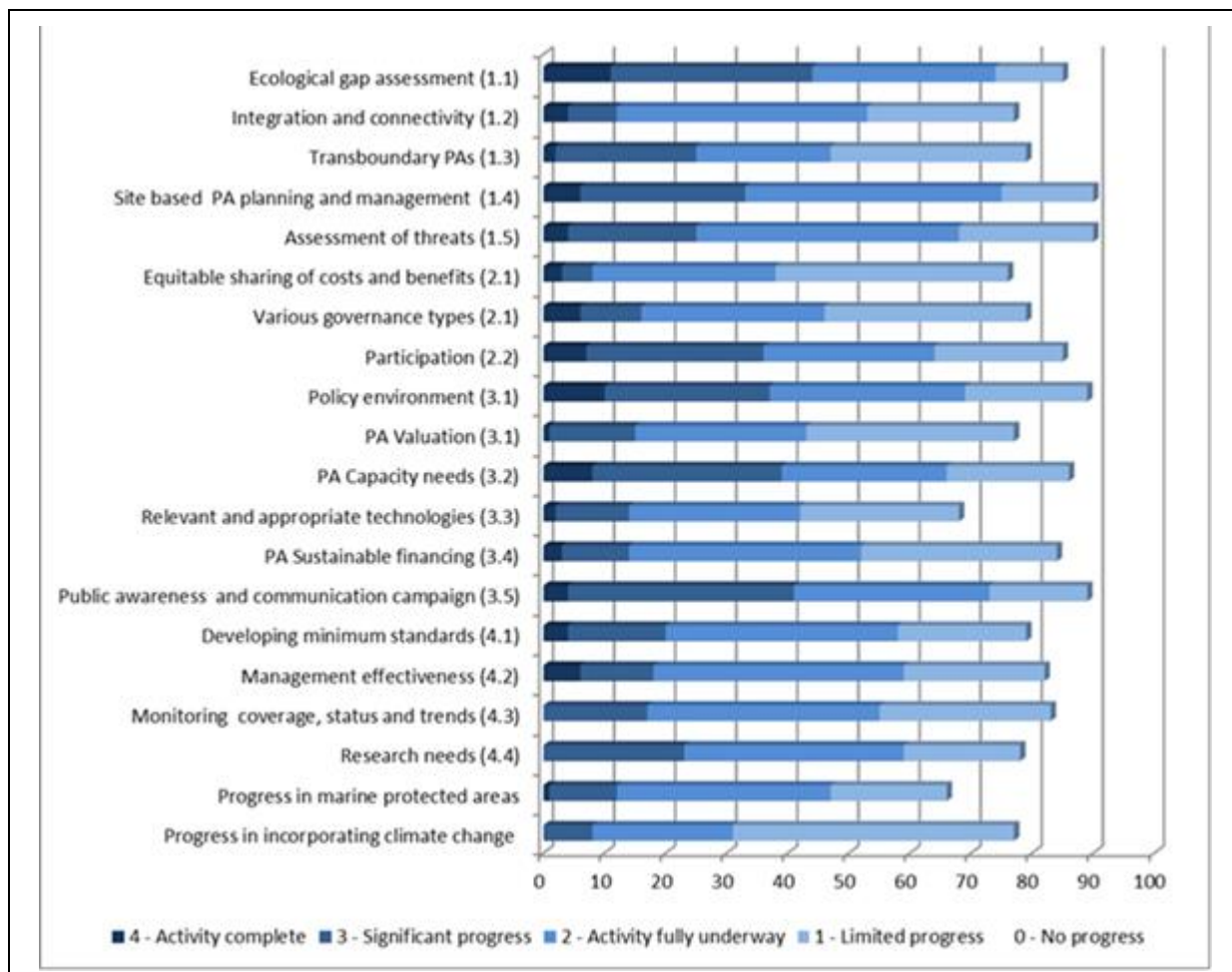


Source 2 2012 UNEP/CBD/COP/11/26)

To date, there are some signs of progress. The global data reveals that three goals have seen significant progress (see figure below): establishing and strengthening national and regional systems of protected areas (1.1); strengthening communication, education and public awareness (3.5); and building capacity for the planning, establishment and management of protected areas (3.2).

Some countries have noted progressive initiatives in one or more of these goals. In particular, the progress illustrated under goal 3.2 is important in view of the present indicator.

Figure 40 Global Status of PoWPA goals implementation



Source: UNEP/CBD/COP/11/26)

In recent years¹⁷⁸ some of the partner countries have established national park systems encompassing protected areas at all levels: national, departmental and municipal protected areas administered according to their categories, zoning and regulations based on management plans, according to the classification of protection and conservation of their natural resources, scientific research, as well as education and promotion of eco-tourism purposes. Many of the departmental and municipal areas have been established at the request and wish of both local politicians and local population living in or adjacent to these areas; it is therefore assumed that their protection and proper management may be better assured.

Nine out of 15 countries in Central, South and East Africa reported significant progress in establishing and strengthening regional networks, trans-boundary protected areas and collaboration between neighbouring protected areas across national boundaries (goal 1.3).

While these are commendable achievements, there are still some areas that lag behind. National protected areas are the flagships of national conservation efforts, however, the national level institutions established to manage and further identify national protected areas remain weak and have limited resources (both technically and financially) as also evidenced by the progress report submitted for status on implementing the Programme of Work on Protected Areas¹⁷⁹ where only a very limited number of parties (4%) have submitted the required Implementation Reports.

¹⁷⁸ The decentralised departmental and municipal governments in many countries have raised a demand for the inclusion of departmental and municipal protected areas in addition to the national level parks as a result of improved capabilities for land-use planning at local levels. This has resulted in the creation of protected areas systems encompassing the various levels of administration of the protected areas. For example Bolivia has now a total of 123 Protected Areas: 22 national, 23 departmental and 78 municipal.

¹⁷⁹ <http://www.cbd.int/protected/implementation/>. See also I411 for further details on PA financing.

Without the support from the international community (mainly EU, WB/GEF and bilateral donors) many of the national institutions in charge of the protected areas systems would not have sufficient resources to administer and develop their protected areas system. The CBD Secretariat LifeWeb Initiative¹⁸⁰ (interactive internet based) attempts to facilitate that more funds are made available for implementation of PA management and actions plans by providing a space where:

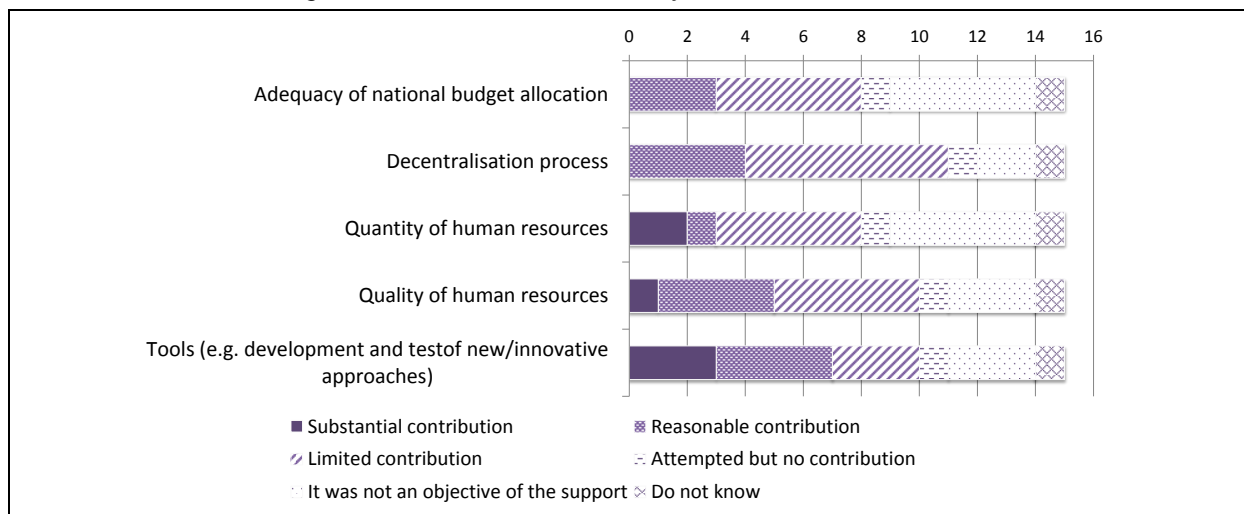
- CBD Parties especially developing countries, convey their funding needs for implementing projects of national priority. The LifeWeb Initiative highlights these needs to those donors who are able to create development assistance partnerships through the online clearing-house and through participation in CBD-PoWPA roundtable meetings;
- Donors (bilateral and multilateral funding agencies, development banks, private foundations, the private sector and other donor agencies) gain investment information about countries and their activities which require additional financial resources aligning country and donor funding priorities, as well as developing and coordinating counterpart funding opportunities;
- CBD Parties promote, inspire and recognise partnership, commitment, and progress in achieving coherent and effective implementation of the objectives of the Convention on Biological Diversity, and in particular, Partnership for financing biodiversity.

The Lifeweb Initiative has succeeded in providing the donors easy access to information and status of the various national priorities for conservation in-situ of biodiversity and also succeeded in for a number of areas worldwide raise the required funds for implementation of specific programmes and PoWPA action plans. However, the Life web Initiative does not address the basic budget needs required for the functioning of the national institutional framework for PA identification and management.

To further improve the implementation of the PoWPA the UNEP/CBD Secretariat has provided capacity building to national central level staff. These workshops are found to be very useful in relation to country level action and contributing to strengthening the national level institutional capacity for the PoWPA implementation. However, this improved capacity has not led to legislative actions and budget allocations because of institutional instability and weak political will¹⁸¹.

EU Contribution: The EU support to strengthening institutional framework to identify and manage protected areas has to a large extent been provided as a component within projects with the main objectives centred on establishing sound management of the protected areas at field level. Out of the 16 surveyed EUDs that had relevant biodiversity interventions, half of them report that EU has made a substantial and reasonable contribution to the national budget allocation, the decentralisation process, the quality and quantity of human resources. Between three and six countries, depending on the specific aspect, report a limited contribution.

Figure 41 *EU contribution to the strengthening/improving the following aspects relevant to enhancing conservation of habitats/ecosystems*



Source: EUD survey

¹⁸⁰ <http://lifeweb.cbd.int/>. EU has provided support to this initiative under the framework contracts with UNEP/CBD.

¹⁸¹ Interview CBD Secretariat: Ravi Sharma, July, 2014

Here again it is important to highlight that the EUDs declaring EU's contribution at country level are among the top recipient countries of biodiversity-related funds.

- For Adequacy of national budget allocation, EUD's in DRC¹⁸², Chad and Ukraine report a reasonable contribution.
- For decentralisation process (incl. capacity development at local level for NRM and land-use planning incorporating areas for protection/conservation of habitats/ecosystems), EUD's in DRC¹⁸³, Chad, Cambodia, and Ethiopia report a reasonable contribution. EUD in Bolivia did not reply to this question, but the country study showed that EU has contributed substantially to the decentralisation process.
- For Quantity of human resources, EUD's in DRC and Cambodia report a substantial contribution, EUD's in Cameroon a reasonable one.
- For quality of human resources EUD's in Cambodia report a substantial contribution, those in Bolivia, Cameroon, Ethiopia¹⁸⁴ and Ukraine a reasonable one.
- For tools (e.g. development and test of new/innovative approaches to habitat/biodiversity conservation), EUD's in DRC, Chad and Cambodia, report a substantial contribution; Bolivia, Colombia, Ethiopia and Uganda, report a reasonable contribution. Although judged to be 'a reasonable contribution' by the EUDs, EU contribution to the development of tools and new approaches is by the recipients judged to be substantial.

In DRC, the EU has since 2007 provided major funding (EUR 34 million) to assist establish a national policy for protected areas and reforming the institutional and managerial framework for protected area management delegated to the Congolese Institute for Nature Conservation (ICCN)¹⁸⁵. The programme was launched to address the UNESCO World Heritage Committee approved "correctives measures" for each of 5 WHS in DRC with benchmarks to be met in order to withdraw these sites from the WHS Danger List. The rehabilitation (infrastructure reconstruction and increasing the security in the protected areas, as well as putting in place a training programme for rangers and park managers) of the operations and management of Virunga National Park (Status as NP since 1925, WHS since 1976) 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. The project developed the necessary tools for effective implementation of the institutional reform approved by the government, Lessons learned from the project are being adopted by other protected areas but the overall improvement in the management performance depended largely on the effective implementation of tools at all levels of ICCN. The ICCN receives around 90% of its budget from donor support.

DRC is one of the countries, which, at present, have not been able to develop an action plan for implementation of their commitments under the PoWPA indicating that progress has been limited and faced with numerous constraints.

In Bolivia, the EU has recently embarked on a different type of initiative to support the development of improved policies, plans and budgets for biodiversity conservation by providing budget support¹⁸⁶ in support to implementation of the National Strategy for Institutional Development Plan 2009 – 2013 for the National System of Protected Areas (SNAP). The programme agreement (PACSBIO) was signed in 2011 with a total budget of EUR 17.3 million. Programme period runs from August 2012 to 2016. The EU budget support constitutes 70% of the funding requirements for the SNAP, illustrating the very low priority (only about 4% of National Budget) assigned to the sector by the GOB¹⁸⁷. The remaining

¹⁸² Salaries have increased and are paid on bank account, which is an enormous improvement according to EUD staff

¹⁸³ Public-private partnerships at park level is an example

¹⁸⁴ In Ethiopia, significant capacity building was provided through project approach but impact reduced due to high staff turnover

¹⁸⁵ CRIS D-18886 with EUR 4.6 million from 2007-2010)

¹⁸⁶ Other donors to Bolivia have been reluctant to use the modality of budget support within the sector)

¹⁸⁷ Most developing countries give very low priority to conservation of Biodiversity: E.g. in 2010, Congolese Institute for Nature Conservation (ICCN), DRC was allocated USD 1.5 million in the national budget, of which it received USD 0.9 million. In addition ICCN generated about USD 1 million of its own resources, primarily from gorilla-based tourism. These amounts were supplemented through a variety of donor-(including EU) supported programmes, totaling about \$14 million annually. Together, these external resources plus ICCN's budget allocation

part is provided by other donors. The programme is implemented at central level by the National Parks Service (SERNAP) which is part of the Ministry for Environment and Water (MEW). The main objective of the institutional reform is to de-concentrate and strengthen the management of each of the National Protected Areas, however the programme also envisage support to the finalization and approval of a law on Protected Areas (PAs)¹⁸⁸.

After one year of implementation, the project had succeeded in fulfilling 95% of the target spending for the period¹⁸⁹. The disbursements have been made based on an assessment of correct and appropriate eligibility criteria (analysis of the macroeconomic environment, management framework in the medium term, reform of the management of public finances, and the existence of the sectoral policy). However, the eligibility criteria for the disbursement of the fixed budget allocation were found rather ambiguous. Furthermore, mid-term objectives and result based indicators concerned with the key elements of the project had not yet been established, nor how to evaluate their progress. 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.

In addition, providing budget support to other sectors such as the Water and Sanitation has led to the development of an Integrated Plan for Environment and Water. The plan seeks to coordinate the different national sub-sector authorities (river basin management, water and sanitation, irrigation, environment, forests, conservation of biodiversity and climate change) and allows for the first time, to look upon protected areas as a category 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 governments. Final approval and implementation of the plan will be supported by EU under the 11th EDF.

The EU has also provided major funding (EUR 28 million Phase V of 2010-2014) for national institutional capacity building through the Regional Central African Natural Renewable Resources Management programme (ECOFAC). The ECOFAC programme has been sponsored by the European Commission since 1992 with a total investment of EUR 120 million (from 2007-2013 with around a total of 38 million). ECOFAC supports sixteen major protected areas in seven countries (Congo, Cameroon, Central African Republic, Equatorial Guinea, Gabon, Chad and Sao Tome and Principe) with a combined population of 20 million, growing by 3.2% yearly. Tropical rainforest stretches over about 670,000 km² of these countries' territory but the forest area is declining at a rate of almost 1% a year. Different evaluations of the ECOFAC programme, including the latest in late 2009, highlighted the accountability of national stakeholders. The overall management of protected areas has improved through the availability of relevant management tools and a better understanding of the biological processes through the programme. The reduction of poaching, deforestation, and improvement of legislative and regulatory measures in the field of protected areas, is also due to the ECOFAC interventions. The forestry sector is the largest private employer in the area and one of the resources common to the majority of the States in the sub-region, and thus subject to extensive cross-border trade. The FLEGT agreements negotiations are detailed in two countries (the Congo and Cameroon) and negotiations are underway in three others. Overall, ECOFAC has helped raise international awareness of forests and biodiversity in the Congo basin. On the negative side, the local populations, although included in the objectives, have only in few cases been involved in the decision-making processes and generally remain passive and only mobilised for labour (salaries) activities organised by ECOFAC. But all achievements are dependent on the existence of projects or external funding.

and own-generated resources provide a total annual budget for management of DRC's protected area system of about \$16 million, or about half of the estimated requirement.

¹⁸⁸ In Bolivia Protected Areas are regulated (Supreme Decree No. 24781 31/07/1997). This regulation's goal is to regulate the creation of protected areas and to establish a constitutional framework, according to provisions from Law No. 1333, the Environmental law and the Convention on Biological Diversity ratified by Law No. 1580 from 15/06/1994. Article 32 et al. makes reference to the requirements for the exploitation of renewable and non-renewable natural resources within protected areas. The norm's greatest flaw is its rank, since by being a Supreme Decree; any law from any sector has a higher rank than this one.

¹⁸⁹ MR-146831.01

In addition, the EU finances The Biodiversity and Protected Areas Management Programme (BIOPAMA¹⁹⁰) a four year-initiative (2012-2016) with resources from the intra-ACP envelope of the 10th European Development Fund (EDF). BIOPAMA will enhance the capacity of existing institutions and networks by making the best available science and knowledge available for improving policies and decision-making on biodiversity conservation, protected areas management and access and benefit sharing. BIOPAMA is essentially providing training/capacity development for the regional and national institutions in charge of protected areas planning and management, and the protected areas managers. The programme has so far held various workshops with participation of decision-makers as well as established an internet based forum for exchange of information and knowledge but it is too early to access the progress and impact of this initiative.

Besides funding for policy and central level institutional capacity building the EU has supported the strengthening and involvement of local capacities to manage and maintain the specific protected areas. This will be dealt with in more detail below in I-422.

4.2.2 I-422. New/innovative approaches to habitat/biodiversity conservation tested and adopted

Description: Whether an approach is *innovative and new* depends on when in time the approach is developed and applied.

Today, innovative approaches to habitat/biodiversity conservation include integration and connectivity: integration of protected areas management in the wider landscape (biosphere – land-use planning); better integration of new knowledge into policy development (science-policy linkages, monitoring) and increased partnerships (sharing of costs and benefits) with the community (experiments in governance and structure) to explore ways of sustainable financing of protected areas management. Tools to assist policy innovation are likely to include scenario building, modelling, fore-sighting techniques, and interactive planning using scenarios and modelling. All of these aspects are imbedded in Aichi targets.

This indicator will assess to which extent such approaches have been promoted, developed and applied in the EU supported protected area management activities.

Evidence of Change: As mentioned under I411 more areas have been established as protected areas over the evaluation period. It is also evident that although donors have increased their contributions over the years, many areas do not have sufficient protection and adequate management with effective participation of indigenous and/or local communities nor diversification of various governance types. Strengthening implementation of PoWPA require concerted efforts and the combined strength of all sectors of society, as well as alliances at national, regional and international levels between policy makers, civil society, indigenous and local communities and business and the private sector.

In spite of this, there are, at global level, a number of success stories which are brought to the knowledge and inspiration to all through the IUCN web-site:

http://www.iucn.org/about/work/programmes/gpap_home/pas_gpap/gpap_inspiringsolutions/.

EU Contribution: EU is one of the major donors for protected area management at national and regional level providing a total of EUR 142 million from 2007-2013 of which almost 60% has benefitted the Central Africa region including DRC. Globally, only the GEF provides more support to protected area management in financial terms than EU.

The EU financed projects include, in general¹⁹¹, the strengthening of the management of the protected areas including buffer zones and biological corridors, the construction of access roads, ecotourism lodges, parks headquarters, training for managers, and research and scientific monitoring including strengthening of the capacity for establishment of local institutional frameworks in an attempt to insure the long-term sustainability of the management of the resources. Furthermore, all projects (confirmed by the countries visited) promote income generating activities compatible with sustainable resources management, such as ecotourism, sustainable agriculture, fishing and livestock production, exploitation of the pharmacopoeia, honey production, non-timber products, and other green production. The central strategy is to ensure that local populations are involved in the management of resources and receive benefits from them inside and outside the protected areas as well as to raise awareness of the ecosystem services provided by the areas.

Today, this approach seems to be 'the approach' to effective and sustainable management of habitats and ecosystems and there are examples that the EU supported projects have achieved what they set out to do such as the support to the management of Odzala-Koukoua National Park, through the re-

¹⁹⁰ http://www.biopama.org/where_we_work/

¹⁹¹ Own review of all available desk-study Project Documents/AFs on protected areas

gional ECOFAC programme. The Park is one of the most important strongholds for elephant and western gorilla conservation remaining in Central Africa and is arguably one of the most spectacular wilderness areas in the world. The programme combines two basic and complementary principles, conservation and development, and fully involves the forest dwellers in its activities. It supports the sustainable management of 180000 Km² of forests in protected areas, and ecosystem management techniques have been promoted and forest data collected to allow rapid management decisions. Reconnaissance surveys and biological inventories have been carried out in the seven countries, infrastructure has been repaired, and eco-tourism activities have been promoted as sources of revenue. Alternatives to hunting have been supported by training people in carpentry, brick making, and new farming techniques.

In addition, the EU funds a number of conservation projects which has initiated **innovative approaches** for the preservation of ecosystems and their services that aim at leveraging development funding and applying new financial mechanisms, such as *Payment for Ecosystem Services*, *Markets for Green Products*, *Public Private Partnerships*, and *Access Benefit Sharing*. Ten of the 16 surveyed EUDs that had relevant biodiversity interventions report significant progress in this field:

- DRC¹⁹², Chad and Cambodia report a substantial contribution.
- Bolivia, Colombia, Ethiopia¹⁹³ and Uganda¹⁹⁴ a reasonable contribution
- Brazil, Cameroun and Mozambique, a limited contribution

Marketing *ecosystem services* has proven to be a successful way of attracting financial resources, by making conservation a more competitive kind of land use. The EU finances several projects supporting Payment for Ecosystem Services, with the guiding principle of providing funding for maintaining and enhancing ecosystems and their services for the benefit of the local communities. e.g.:

- *In Colombia*, the project Environmental Governance to Prevent Deforestation and Promote Forest Conservation of the Colombian Amazon contributes to the sustainable financing of protected areas and their economic benefits. The project strengthens the indigenous authorities' role in the management of systems, ensuring a fair system of payments for their contribution to the maintenance of key ecosystem services¹⁹⁵;
- *In Ethiopia*, a project supports policy development to secure forest rights for communities, and promotes the integrated development of non-timber forest products, local participatory forest management; forest based economic activities and explores the potential role for carbon credit payments as an incentive for sustainable forest management¹⁹⁶;
- In the *Guyana Shield* eco-region a project is testing ways of compensating people for providing environmental services, and is developing culturally appropriate ecosystem management contracts, benefit-sharing mechanisms and monitoring schemes¹⁹⁷;

The *integration of protected areas in the wider landscape/land-use categories* interlinked with marketing ecosystem services as part of the decentralised departmental and/or municipal development planning has also been successful in securing the long-term protection and sustainable use and management of the areas. E.g.:

- The EU China Biodiversity Programme, which closed at 30 September 2011, had been contributing significantly to the EU-China policy dialogue on biodiversity and greatly enhanced high-level policy exchanges between Europe and China. The programme has supported China in developing biodiversity strategy and action plans at national and local level, helped embed biodiversity conservation as a major mitigation tool in China's response to climate change, and demonstrated the importance of local communities in conservation work at local levels. It has taken EU's experience in biodiversity conservation beyond the borders of conventional protected areas into agriculture, wetlands, forest, deserts and grasslands, and most important, into China's biodiversity conservation policy work. It is clear that the programme

¹⁹² PPP, fuel wood, Micro hydropower

¹⁹³ Successful testing and promotion of new participatory approach to biodiversity conservation, SLM/GCCA innovative climate smart actions, eco-regional conservation approach at project/programme level

¹⁹⁴ In the Rwenzori, payment for ecosystem services

¹⁹⁵ EC: Life, lives, livelihoods The European Commission's work on biodiversity and development, 2012

¹⁹⁶ *ibid*

¹⁹⁷ *Ibid* and <http://www.guianashield.org/>

has transformed the way biodiversity is regarded in China and the way that it will be protected in the future¹⁹⁸;

- The EU financed pilot project in Ukraine: Enhanced Economic & Legal Tools for Steppe Biodiversity 2010-2015 (EU contribution: EUR 1.45 million) has shown promising progress towards promoting understanding and being prepared to respond to climate change issues, including local adaptation; restoring depleted or abandoned Steppe lands in an environmentally, social and economically sustainable manner; maintaining and enhancing Steppe biodiversity and habitat preserving through careful land use management and establishment of new protected areas; supporting global CO2 emission reduction, thus mitigating the impact of climate change, through carbon sequestration and development of local renewable energy sources. (Source: MR-142687.01)

Furthermore, over the last ten years the EU has supported a number of Public Private Partnerships. Some governments have recognised their limited ability to finance and manage their parks and have delegated the management of protected areas to private agencies or NGOs. A management mandate from the Government enables the private partner to establish the necessary mechanisms for managing the park sustainably. Furthermore, the private partner may optimise the income generating potential of the park and is sometimes able to mobilise large amounts of private funding from a number of institutions and individuals through fund leveraging, tourism activities and charities. E.g.:

- An agreement (2009) was concluded between EU, the government of Chad and the African Parks Network for the long-term management of the Zakhouma National Park, with a particular focus on curbing elephant poaching which has decimated the herd from 4000 animals to just 550 in the last 10 years. This project succeeded to stabilise the elephant population between 2011 and 2012 because of increased pressure by the Chadian government and NGO partners bonding with local people to halt poaching. However, in spite of the support, 6 park rangers were shot by poachers in 2012 and the number of elephants had dropped to 457¹⁹⁹;
- An agreement was concluded between EU, the Congolese Wildlife Authority (ICCN) and the African Conservation Fund to manage the Virunga National Park and to raise global awareness of the conservation of its Gorilla populations. The Fund is related to Wildlife Direct, an innovative internet-based fundraising initiative that allows numerous small donors to commit to conservation efforts and helps to secure funds for improvements to the Park's wildlife protection systems and infrastructure;
- Ghana: The final evaluation of the PADP-2 (2008-2010) noted that "*it has made substantial progress in introducing the new management paradigm (in which all stakeholders are recognised as having a central role in conserving the nation's biodiversity) to Ghana and improving the conservation of the rain forests of Ankasa and Bia. However, the transition is not complete and further donor assistance will be required to maintain momentum and sustain progress towards this goal*". PADP-2 closed its activities in 2010.

In support of this work, EU has developed the guidebook on: *Innovative use of financial instruments and approaches to enhance private sector finance of biodiversity*, EU DG ENV, 2012 to assist implementation and mainstreaming of these new innovative approaches to protection of biodiversity.

4.2.3 I-423. Surface of protected areas receiving EU support for improved protection/management in selected region(s)

A measure of the total area in ha or km² of protected areas which EU has supported during the period 2007-2013 is interesting in view of the overall coverage of protected areas and would (if the figures were available) show the relevance of EU support to the sector in view of the CBD post-2010 targets. However, at present it has not been possible to obtain such figures²⁰⁰.

¹⁹⁸ <http://www.undp.org/content/brussels/en/home/ourwork/environmentandenergy/successstories/Biodiversity-projects-improve-lives-in-China/>

¹⁹⁹ National Geographic, September 28, 2012: Article by J. Michael Fay: Elephant Guards murdered in Chad.

²⁰⁰ The EC JRC was contacted but they were not in possession of such figures. The United Nations Environment Programme's World Conservation Monitoring Centre (UNEP-WCMC) has also been contacted without result.

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

4.3.1 I-431. Strengthened monitoring and availability of biodiversity/ecosystem assessments at the national level

Description: Biodiversity is fundamentally what ecosystems consist of. The value (importance) of ecosystems to human welfare is still underestimated and not fully recognised in every day planning and decision-making, in other words, the benefits of ecosystem services are not, or only partly, captured in conventional market economics. Furthermore, the costs of externalities of economic development (e.g. pollution, deforestation) are usually not accounted for, while inappropriate tax and subsidy (incentive) systems encourage the over-exploitation and unsustainable use of natural resources and other ecosystem services at the expense of the poor and future generations.

Ecosystem assessment attempts to counteract this tendency and is based on an approach where the application of appropriate scientific methodologies focus on levels of biological organization which encompass the essential processes, functions and interactions among organisms and their environment. It recognizes that humans, with their cultural diversity, are an integral component of ecosystems. Ecosystem assessments are therefore essential for generating new knowledge and insight into how to mainstream biodiversity into all development activities and essential if to address the underlying causes of biodiversity loss.

The availability of ecosystem assessments at national and regional level will be assessed through the development of and submission of the national reports on progress towards the implementation of the CBD/post 2010 targets set in the country biodiversity strategy and action plans. Ecosystem assessments could also be a requirement as part of the Social-Environmental Impact Assessments (SEA/SEIA) of specific development activities (usually required by donors e.g. EU and WB and national environmental laws) and through specific studies on specific species. For the latter the question is how these presumably more detailed assessments are captured and feed into national data and information systems in order for these to be taken into account.

Evidence of Change: Since the now widespread and relatively cheap distribution of Geographic Information System and access to satellite imagery, assessment of conditions of biodiversity at a national scale has become much more manageable for most developing countries. Data and information on land-use, vegetation cover and composition, availability of water resources are all readily available and made the tasks of producing national environmental status reports (such as the NBOs and PoWPA) much easier. The availability of information have been used to produce the various country level NBSAPs and the PoWPA action plans and where available the biodiversity status and progress reports²⁰¹.

However, these reports are often produced as a 'snap-shot' of the situation and in general not inter-linked with the human well-fare and the economics of biodiversity and thus have limited use in providing knowledge for informed decision-making and cannot be regarded as ecosystem assessments. Ecosystem assessment requires the establishment of monitoring systems or regular 'snap-shots' as a basis in order to analyse trends (e.g. changes over time in population sizes, forest cover, and specific species coverage) *over time* in order to be able to develop the best actions to take concerning the biodiversity conservation in view of the desired development goals²⁰². All of which is imbedded in the ecosystem approach and assessment.

Progress in the field of ecosystems assessment and ecosystem management has gradually improved and made available at global scale through the internet including the reporting on some 'success stories' at national levels. Globally, all information is collected and made available through the Ecosystem Services Partnership (EPS) web-site <http://www.es-partnership.org/esp>.

However, national capacity to further develop, maintain and up-date information into data bases as well as capacity for analysis of the data and information are still to be developed. Main challenges being institutional fragility resulting in loss of institutional memory.

EU Contribution: EU has contributed in various ways to improve the availability, access to and information on biodiversity (habitat/ecosystems).

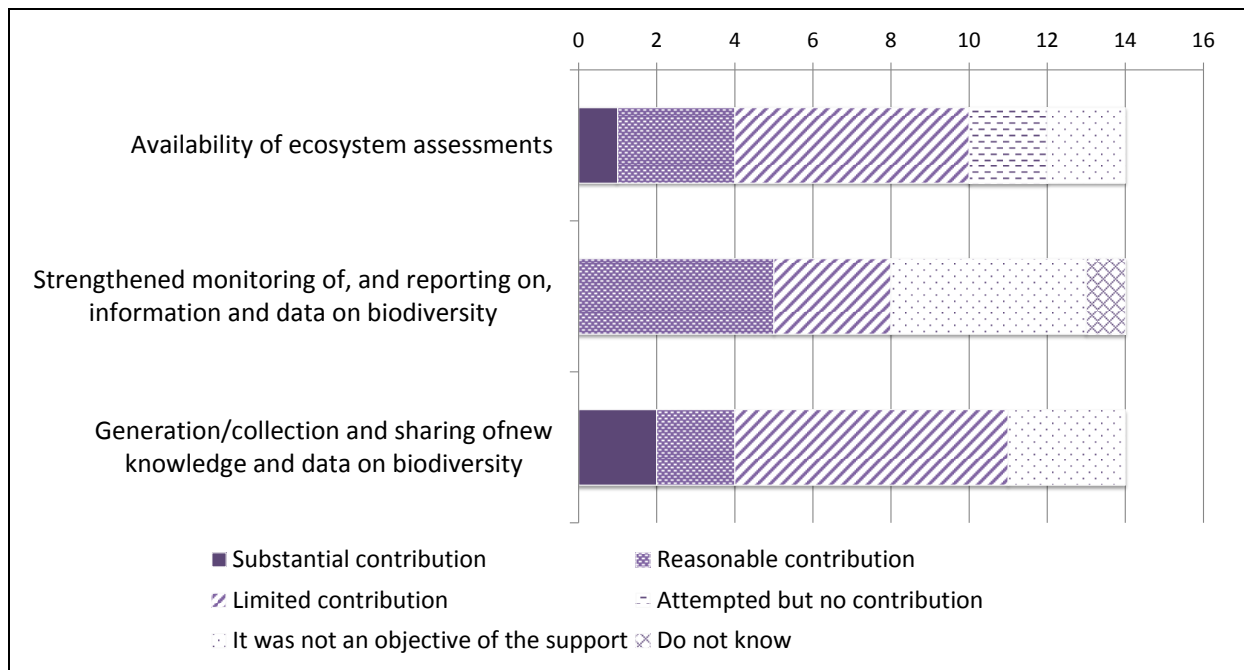
²⁰¹ The ability of partner countries to deliver these plans are dealt with in I411 and I421

²⁰² ISBN 0-415-01157-4: Jack Ives and Bruno Messerli: The Himalayan Dilemma (1989); ISBN 10: 0852554095 / ISBN 13: 9780852554098 Lie of the land: challenging received wisdom on the African environment MEARNNS, Robin & LEACH, Melissa (eds), Published by James Currey, Oxford, 1996

An important initiative is the Biodiversity and Protected Areas Management Programme (BIOPAMA) a four year-initiative (2012-2016) with resources from the intra-ACP envelope of the 10th European Development Fund (EDF) jointly implemented by IUCN and the EU Joint Research Centre (JRC). BIOPAMA will enhance the capacity of existing institutions and networks by making the best available science and knowledge available for improving policies and decision-making on biodiversity conservation, protected areas management and access and benefit sharing. BIOPAMA through IUCN is essentially providing training/capacity development for the regional and national institutions in charge of protected areas planning and management, and the protected areas managers. The programme has so far held various workshops with participation of decision-makers as well as established an Internet based forum for exchange of information and knowledge. Furthermore, the programme will improve access and availability of biodiversity data through the establishment of regional observatories and information systems for monitoring of biodiversity to improve decision-making managed through JRC providing the technical and scientific assistance for the establishment of regional observatories in the 3 ACP regions. The observatories would largely be derived from the Digital Observatory for Protected Areas (DOPA) Secondly, an access and benefit-sharing (ABS) component implemented by the multi-donor ABS Capacity Development Initiative managed by GIZ will be established. So far the Central Africa BIOPAMA observatory has been established and launched in 2014 in cooperation with the regional Observatory for Central African Forests (OFAC) supporting the State of the Forest Report for the Congo Basin. In Bolivia, the design of DOPA is still being discussed, so it is too early to access the progress and impact of this initiative.

Five of the 16 surveyed EUDs that had relevant biodiversity interventions report significant or reasonable progress in this field. In particular, EUD's in DRC reports that the generation of ecosystem baselines is now an objective of current actions. The existence of a State of the Forest report is also mentioned in the framework of strengthened reporting and generation/collection of biodiversity data.

Figure 42 EU contribution to availability of ecosystem assessments, strengthened monitoring of, and reporting on, data on biodiversity and generation/collection and sharing of new knowledge and data on biodiversity



Source: EUD survey

In addition, the EU has supported the development of tools to assess the value of biodiversity through the international study: *The Economics of Ecosystems and Biodiversity* (TEEB (2010)) — *Mainstreaming the Economics of Nature: A synthesis of the approach, conclusions and recommendations*²⁰³ which

²⁰³ The Economics of Ecosystems and Biodiversity (TEEB) is a global initiative focused on drawing attention to the economic benefits of biodiversity including the growing cost of biodiversity loss and ecosystem degradation established within the UNEP. TEEB presents an approach that can help decision-makers recognize, demonstrate and capture the values of ecosystem services & biodiversity. In October 2012, five countries Bhutan, Ecuador,

has provided the various governments added insight into the problematic of biodiversity loss in economic terms as a mean to a) achieve sustainability in providing required resources (financial and human) to the management of protected areas, b) raise awareness of our dependence of maintaining biodiversity for all human economic activity. While it is too premature to discuss any impact of these tools on the quality of EU support, a short analysis shows that if applied as envisaged these tools provide the needed guidance for addressing the underlying causes of biodiversity loss and may help shape and improve the design of all development activities.

Through the Strategic Cooperation Agreement between EU and UNEP (EQ 6) support is provided to the establishment of an Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) to strengthen the science-policy interface for biodiversity and ecosystem services; identify and prioritise key scientific information needed for policymakers at appropriate scales and catalyse efforts to generate new knowledge by engaging in dialogue with key scientific organisations, policymakers and funding organisations.

Complementing the funding from ENRTP and geographical instruments the EU has, under the 7th Framework (2007-2013) for Research, provided funding for several initiatives which provide information and knowledge on the ecosystem assessment and management in developing countries thus bringing scientists from developed countries together with scientists in developing countries and creates a possibility for complementarity between the EU supported activities in developing countries:

- **CiVi.net** research project (2011-2014). The project is made up of a consortium of seven partners from Latin America and Europe and has as its main aim to identify “success stories” of local communities by adopt an ecosystem approach develop solutions, strategies for the effective management of commonly used natural resources. The ‘stories’ are found in Costa Rica and Brazil. For further information see <http://www.civinet.eu/>²⁰⁴;
- **AfroMaison** project (2011-2014 (EUR 4 million).is made up of 15 partners from all over the world and was established and funded with the aim to *develop a tool-box for both integrated natural resources management (INRM) that could be used in a variety of environmental and socio-economic conditions in Africa and assess potential future scenarios as well as proposed policies and programmes, the expected impact is a long-term integrated management of natural resources in line with sustainable development principles and a better capacity for assuring the economic and social well-being at local and regional levels.* AfroMaison has a multi-disciplinary approach involving various scientific and technological research fields, such as food, agriculture, health, land and water resources, including their interaction with climate change, which has to be considered within an integrated scheme, and, where appropriate at river basin scale, building on existing knowledge and considering demographic changes, globalisation processes and sustainability. For further information see: <http://www.afromaison.net/>;
- **COMBIOERVE** (2011-2014) is a consortium of ten institutions (Europe-Latin America) working together to assess the effectiveness of community-based management strategies for bio-cultural diversity. Using a multi-disciplinary and participatory research strategy, the consortium seeks to identify the conditions and principles for successful community-based conservation initiatives in selected locations in Brazil, Bolivia and Mexico. For further information please see <http://www.combioserve.org/>;
- **COBRA** (2011-2014) a consortium of research institutions in Europe (UK, Holland and Italy) and local organisations. The partnership seeks to provide Local solutions for future challenges: community owned best practice for sustainable Resource Adaptive management in the Guiana Shield, South America. <http://projectcobra.org/>;
- **ODEMM** (2011-2014). Cooperation between European and Israeli Institutions concerned with marine ecosystems. The overall aim of the ODEMM project is to develop a set of fully-coasted ecosystem management options that would deliver the objectives of the Marine Strategy Framework Directive, the Habitats Directive, the European Commission Blue Book and the Guidelines for the Integrated Approach to Maritime Policy. The key objective is to produce scientifically based operational procedures that allow for a step-by-step transition from the cur-

Liberia, Philippines and Tanzania, expressed interest to undertake TEEB country studies under the umbrella project: Reflecting the Value of Ecosystems and Biodiversity in Policy-making (<http://www.teebweb.org/areas-of-work/teeb-country-studies/reflecting-the-value-of-ecosystems-and-biodiversity-in-policy-making/#.UkBlvn9mOG8>).

This pilot project receives funds from the EU and is being implemented over a period of three years until 2015.

²⁰⁴ Theme:ENV.2011.4.2.3-1 Project number: 282750

rent fragmented system to fully integrated management. Of particular importance to developing countries would be the development of an accessible web-based guide to the toolkit for marine management scenario evaluations²⁰⁵;

- The **Sub-Global Assessment (SGA) Network** which seeks to create a common platform for practitioners (individuals and organizations) involved in ecosystem assessment at regional, sub-regional, national and sub-national levels as a follow up to the Millennium Ecosystem Assessment (2005). The intention is to promote and facilitate improved capacity in undertaking and using assessments. Achievements of the SGA Network will support relevant global processes such as the Intergovernmental Science-policy Platform on Biodiversity and Ecosystem Services (IPBES) and the Multilateral Environmental Agreements²⁰⁶.

EU has also supported field projects with the objectives to apply the ecosystem assessment and approach. E.g.:

The *Guiana Shield Facility* (GSF) (2011-) a multi-donor funding facility (EU and the Dutch Government) for the long-term financing of national and regional activities to conserve ecosystems, protect biodiversity, and to sustain human livelihoods within the Guiana Shield eco-region (including Colombia, Guyana, Suriname and Brazil). The project is implemented by UNDP in collaboration with the indigenous groups of the area. The project aims to apply an ecosystem approach based on ecosystem assessment.

4.3.2 I-432 Collection and sharing of new knowledge and data on biodiversity/ecosystems

Description: Knowledge is 'gold', it was once said. This has through time led people to be very reluctant sharing information, and knowledge that present a fundamental limitation to capacity development in particular when resulting in institutional memory loss. This indicator will assess to which extent and how all the knowledge and information generated today are shared and accessible at national levels.

Evidence of Change/EU support to the sub-sector: Today information sharing has become a 'click away' for many not only in the developed world, but globally. However, the access still lacks behind in the developing world, although it is encouraging to see the growth figures for Africa.

Table 23 Worldwide Internet usage and population statistics

World Regions	Population (2014 Est.)	Internet Users Dec. 31, 2000	Internet Users Latest Data	Penetration (% Population)	Growth 2000-2014	Users % of Table
Africa	1,125,721,038	4,514,400	240,146,482	21.3%	5,219.6%	8.6%
Asia	3,996,408,007	114,304,000	1,265,143,702	31.7%	1,006.8%	45.1%
Europe	825,802,657	105,096,093	566,261,317	68.6%	438.8%	20.2%
Middle East	231,062,860	3,284,800	103,829,614	44.9%	3,060.9%	3.7%
North America	353,860,227	108,096,800	300,287,577	84.9%	177.8%	10.7%
Latin America / Caribbean	612,279,181	18,068,919	302,006,016	49.3%	1,571.4%	10.8%
Oceania / Australia	36,724,649	7,620,480	24,804,226	67.5%	225.5%	0.9%
WORLD TOTAL	7,181,858,619	360,985,492	2,802,478,934	39.0%	676.3%	100.0%

NOTES: (1) Internet Usage and World Population Statistics are for December 31, 2013. (2) CLICK on each world region name for detailed regional usage information. (3) Demographic (Population) numbers are based on data from the [US Census Bureau](#) and local census agencies. (4) Internet usage information comes from data published by [Nielsen Online](#), by the [International Telecommunications Union](#), by [GfK](#), local ICT Regulators and other reliable sources. (5) For definitions, disclaimers, navigation help and methodology, please refer to the [Site Surfing Guide](#). (6) Information in this site may be cited, giving the due credit to www.internetworldstats.com. Copyright © 2001 – 2014, Miniwatts Marketing Group. All rights reserved worldwide.

Source: www.internetworldstats.com/stats.htm

²⁰⁵ http://www.liv.ac.uk/media/livacuk/odemmm/docs/ODEMM_Factsheet_LATEST.pdf

²⁰⁶ <http://www.ecosystemassessments.net/>

It is encouraging because the main tool for sharing applied by those generating knowledge and information on biodiversity/ecosystems is the Internet.

The availability of various web-pages including references and possibility for down-loads of studies, reports and maps has increased considerably over the past decade both providing information on developments within developed countries (providing examples) and on developing countries. For example the DG Environment has developed a comprehensive web-page on all environmental related subjects concerned with the EU policies; the EU Joint Research Centre has developed a web-page providing easy access to all information and studies undertaken under the various environmental subjects (within Europe) and is also expanding the data and info to cover developing countries. Also EuropeAid has developed an interactive world map which provides user-friendly access to the Commission activities in biodiversity at country and sector levels²⁰⁷.

And there are many such web-pages providing an impressive amount of information:

The **Critical Ecosystem Partners Fund** (CEPF) provides both information as well as ground monitoring of critical ecosystems easily accessible for all through www.cepf.net.

Furthermore, **ECOLEX** (www.ecolex.org) has been established which is an information service on environmental law, operated jointly by FAO, IUCN and UNEP. Its purpose is to build capacity worldwide by providing the most comprehensive possible global source of information on environmental law.

Information sharing at both international, regional and project level has also expanded. E.g.:

The **Brazil-European Union exchange on biodiversity monitoring** (2009-2010) aimed to promote the exchange of experiences and know-how between the two sides and contribute to defining the Brazilian Strategy for Biodiversity Monitoring. Furthermore, it provided support to two other activities on the issue: the Brazilian technical mission to European Union countries and a workshop held in Brazil. This action led to the gathering of concrete and practical information on European initiatives in biodiversity monitoring, in the development and measurement of indicators and information networks and data. Thanks to this study, it was possible to consolidate key biodiversity monitoring actions implemented both at the Brazilian and European level, coordinated by ICMBio /MMA in support of the national debate on Brazil's biodiversity strategy up-date.

All International Conservation Organisations: IUCN, WWF, Birdlife, UNEP, UNDP, Conservation International, just to mention a few, all have web-pages with free access to download studies and scientific information as well as 'best practices' for the inspiration of others.

Access to environmental data has also been given a boost with the Online Access to Research in the Environment (OARE), an international public-private consortium coordinated by the United Nations Environment Programme (UNEP), Yale University, and leading science and technology publishers which enables developing countries to gain access to one of the world's largest collections of environmental science research. – See more at: <http://www.unep.org/oare/>

Besides this, all projects with very few exemptions are required to establish a web site for the exchange and sharing of 'lessons learned'.

Also capacity development for implementation of CBD and MEAs is now offered through the internet:

EU supports the CITES Virtual College offering courses for customs and enforcement officers as well as government and police officials involved in dealing with CITES specimens. Web page: campusvirtual.unia.es/cites/

All generation of new knowledge and data on biodiversity is thus accessible to all via the internet and there seems to be an endless flow. The question is more how to make sure to get the right information for a given situation.

So sharing of knowledge is now a key word for work in the biodiversity conservation sector.

²⁰⁷ <http://ec.europa.eu/europeaid/biodiversity-actions/>

5 EQ 5: Green economy



To what extent has the EU support enhanced sustainable and resource-efficient production and consumption policies and practices and therefore contributed to the greening of the economy of supported countries?

Rationale

The question evaluates the overall EU support on policies and interventions contributing to the greening of the economy.

The EU does not have a specific green economy strategy. However, the concept of a resource-efficient green economy can be found in various strategies. The 7th Environment Action Programme (7EAP) notes *'the Union's commitment to transforming itself into an inclusive green economy that secures growth and development, safeguards human health and well-being, provides decent jobs, reduces inequalities and invests in, and preserves biodiversity'*. According to the 7EAP, the EU 'should also further intensify its contribution to initiatives that facilitate the transition towards an inclusive and green economy at international level, such as the promotion of appropriate enabling conditions, the development of market-based instruments and indicators beyond GDP, consistent with its internal policies. The 7EAP also identifies the integration of environment issues into other policies as a key element of the the transformation to an inclusive green economy.

Apart from this what actually comprises a green economy is not clearly elucidated in EU strategies. In its Green Economy Initiative UNEP's identifies a shift to a green economy as the reshaping and re-focusing policies, investments and spending towards a range of sectors, such as clean technologies, renewable energies, water services, green transportation, waste management, green buildings and sustainable agriculture and forests.

Elsewhere UNEP further identifies a green economy as one *'whose growth in income and employment is driven by public and private investments that reduce carbon emissions and pollution, enhance energy and resource efficiency, and prevent the loss of biodiversity and ecosystem services.'* Since carbon, energy efficiency, and biodiversity are dealt with under other EQs, resource efficiency is the key element of a green economy addressed under EQ5.

EU goals on resource efficiency are set out in the Resource Efficiency Flagship initiative and implemented by the Commission's Roadmap to a Resource Efficient Europe. According to the Flagship it is necessary to develop new products and services and find new ways to reduce inputs, minimise waste, improve management of resource stocks, change consumption patterns, optimise production processes, management and business methods, and improve logistics. Sustainable Consumption and Production (SCP), turning waste into a resource, and eco-innovation are key elements of the Roadmap to a Resource Efficient Europe.

Green economy and resource efficiency are concepts which were adopted at EU level towards the second half of the evaluation period. SCP and integrated waste management were already mature at the beginning of the period. This is reflected in the degree to which the various issues feature in EU external actions and policies.

This evaluation question:

- Gives an opportunity to reflect on the EU external actions and policies as it relates to greening of the economies/resource efficiency/SCP incl. integrated waste management aspects. Natural resources management interventions are not considered;
- Gives an opportunity to consider whether implementation of actual interventions are well-targeted (performance) and contribute in achieving the objectives with regard to greening the economy.

The first judgement criterion aims to explore the evidence that EU support has succeeded in increasing the capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency (JC51).

Activities under this theme aim to mainstream SCP/resource efficiency into national development plans, policies, legislation and regulatory framework in line with the regional and international agreements and processes and in part via transfer and adaptation of best practice with existing EU standards and approaches where relevant. The judgement criterion seeks to measure the contribution of EU support in enhancing the capacity in key national stakeholders and in developing and implement-

ing green economy, SCP and resource efficiency policies.

The second judgement criteria (JC52) considers how the implementation of these interventions is translating into progress both in policy and policy instruments and the adoption of good practices in consumption and production at business and community level. The use of economic instruments for greener products has thus been included in the assessment since they are seen as a key instrument in the transition to a green economy.

5.1 JC51. Increase in capacity of policy makers, business groups and civil society to develop and implement actions in SCP and resource-efficiency

5.1.1 I-511. Key stakeholders have identified opportunities and challenges for promoting SCP/incl. integrated waste management and resource efficiency.

Description: this indicator is a measure of the extent to which SCP and green economy have become visible on the agenda of relevant stakeholders. It is considered that the most relevant stakeholders here are centrally placed government departments, businesses and business associations, NGOs and consumer organisations. Awareness of not only the theme but also where the key challenges and opportunities lie is a necessary precursor to the development of effective, well-focused policy. Activities of programmes that aim to increase this awareness are covered under the general theme of capacity building.

Evidence of the change: It is difficult to carry out any before and after analysis with respect to the general status of awareness of opportunities and challenges on SCP and green economy amongst relevant stakeholders. There is no central database for example, of national SCP or Green Economy Scoping reports. It is only really possible to identify and were possible evaluate capacity building activities within individual programmes. This is covered under 'EU-contribution' below.

EU contribution: The need for capacity building as a precursor to the development of policy and initiatives on SCP and green economy has been well recognised by some of the evaluated programmes. Although many of the evaluated programmes began relatively late in the evaluation period – EaP GREEN, PAGE and SWITCH Africa Green in 2013, and SWITCH-Med and REEDTE in 2012 – some progress could be expected in front-end activities including e.g. capacity building, mapping out current policy status and identifying new focus areas.

This has certainly been a central element of the Greening Economies in the Eastern Neighbourhood (EaP GREEN) programme with a total budget of €12.5 million (of which EU contribution is €10 million).

The programme began with a series of country-level launch events in the EaP region aimed at informing and consulting with key stakeholders on specific high priority green economy issues in each country. The 2-3 day launch missions also included bilateral meetings with the EU Delegations, Ministers and Deputy Ministers from key governmental authorities, and NGOs and development partners. The launch events provided a better understanding of the context for programme implementation and catalysed the identification of national priorities. The National Focal Points played an important role in the effective organisation of these events.

Follow-up round-table discussions at the second Steering Group Committee meeting showed that countries have a relatively clear understanding of the priority sectors they would like to focus on as part of their transition towards green economy. The participants mentioned that the importance of targeting SMEs is increasingly acknowledged and demand is high for building their capacity and improving access to finance.

However, according to the first year report, the capacity building and consultations also experienced difficulties. These include delays in receiving responses from countries, poor communication between EaP GREEN National Focal Points, and in some cases a lack of understanding amongst stakeholders of what should be implemented nationally. The awareness of problems amongst the programme project managers and identification of what caused them, was important for the continued work in 2014 where it was hoped that these problems could be overcome by improved organisational and communication efforts. The field visit to Ukraine revealed a very low awareness of the concept and advantages of green economy amongst government officials.

Capacity building has also been a major part of the Green Economy and Social and Environmental Entrepreneurship Development in Africa programme that began in 2010 with 75% funding from the European Commission. The program, which DG DEVCO and DG Environment played a strong part in the design of, has included both regional and national components. The initial efforts of the national components included green economy workshops, scoping missions and scoping studies.

The broad aims of the first two types of initiative were to raise awareness amongst government ministries and other public and private stakeholders over the aims of the program, the meaning of and benefits of green economy actions and developing broad plans for a way forward.

The scoping studies were a subsequent step following on from capacity building processes, and aim at identifying specific opportunities for greening the nations economy and what the benefits can be for poverty reduction, employment creation, social equity and environmental improvement. The ultimate objective of the studies have been to provide decision makers with tools to actively perform and justify green economy transformations.

The process had deliberately taken a rolling form where those countries who were most responsive to inputs from the Programme and most advanced in their commitment to green economy transformations were engaged first, with additional countries coming later. However, the original larger pool of countries which the programme should assist had been pre-specified in the programme.

Green Economy Scoping Missions were initially undertaken in 6 countries (Burkina Faso, Egypt, Kenya, South Africa, Ghana and Senegal) with national workshops also being carried out in the first four of these countries in the first year of the programme. Scoping missions were carried out in subsequent years in Morocco, Ivory Coast and Rwanda and additional workshops took place in Rwanda, Morocco, Senegal and Mozambique, giving a total of ten countries involved in capacity building activities during the programme.

In general national workshops included a wider range of stakeholders than initially contacted during the scoping missions. A key outcome of the national workshops was identification by the participants identified key opportunities and challenges, priority sectors to consider for scaling up green investment, and priority policy reforms that should be considered. The workshops also enabled actors and stakeholders to realise that "green economy" provides a new vehicle to strengthen sustainable development with a new approach that emphasizes green investments and related enabling policies.

Importantly, according to the first progress report of the Green Economy and Social and Environmental Entrepreneurship Development, program, delegates from countries where scoping missions and national workshops had taken place were much more receptive to the concept of green economy, and better prepared to engage in discussions at regional or global level. It would seem, therefore, that the scoping missions and workshops had played a key enabling role in at least raising awareness of green economy opportunities at national level.

Scoping studies which further identified specific opportunities for transformations were initially carried out in Burkina Faso, Kenya, Senegal and South Africa with studies expanding to further countries later in the process including Egypt. In Kenya, South Africa, Ghana, Burkina Faso, Mauritius and Senegal the programme then moved on to assisting in full Green Economy Assessments including modelling work on the effects of transformation actions. Some of these were still underway at the end of the evaluation period. In Egypt a study in SCP potentials and priorities was also carried out.

Subsequent developments in many of these countries demonstrate that the ball that was set rolling by the capacity building and scoping activities funded by the program, have gathered momentum and resulted in significant activities led in many cases by the countries themselves. This has certainly been the case in Egypt.

After a successful launch of a Green Economy Assessment report assisted by the program, South Africa is now financing green investments via a National Green Fund. In Kenya, the Action has contributed to moving from the Green Economy Assessment to the formulation of the green economy strategy and implementation plan. In Ivory Coast, it was agreed at the inter-ministerial meeting to set up an Inter-ministerial Committee on Green Economy and update the existing National Strategy on Sustainable Development to take into account Green Economy aspects. In Mozambique, following the development of green economy roadmap supported by the Action, discussion is underway to undertake a quantitative impact assessment of policies outlined in the roadmap.

The capacity building and actions in the more active countries have also raised awareness in a number of additional new countries and request for support to their green economy initiatives (Angola, Comoros, the Democratic Republic of Congo, Ethiopia, Gabon, Nigeria and Uganda) demonstrating that the political momentum created for green economy in Africa is high. The continued support by the Action is expected to further the planning and implementation of activities for a transition to a green economy in the region.

The PAGE project which has been strongly inspired by the Green Economy and Social and Environmental Entrepreneurship Development in Africa program in Africa and the wider UNEP Green Economy Advisory Services (GE-AS) activities, also works principally at macro level engaging with national stakeholders in developing green economy transition frameworks. The programme has a much larger budget than that for Green Economy and Social and Environmental Entrepreneurship Development in

Africa program (USD 21 million for the first four years and a further USD 28 million for the subsequent three years) and aims to work with a total of 30 countries by the end of the programme. The EU has given an initial seeding funding of €0.5 million but it is hoped that this will be followed with more funding later in the programme. DG DEVCO is represented both on the programme Steering Committee and Friends of PAGE supporting group.

For PAGE the approach used within the Green Economy and Social and Environmental Entrepreneurship Development in Africa programme that countries should to a certain extent on leading the process has been taken a step further. Under PAGE, countries must apply for assistance from the programme. As discussed later under indicator 5-21, this significantly increases the potential success of the programme. It also means that countries engaged in the programme already have a certain awareness of green economy and its potential benefits – at least within the leading ministry. This awareness has undoubtedly been raised by the Rio +20 call for engagement in green economy transformation which ultimately led to PAGE. Some of the applying countries had also been previously engaged in the Green Economy and Social and Environmental Entrepreneurship Development in Africa program.

PAGE was launched in February 2013 towards the end of the evaluation period and the programme had only begun to be active in two countries by the end of the evaluation period – Peru and Mongolia – with three further countries having gained approval for assistance – Burkina Faso, Senegal and Mauritius.

First activities of PAGE in successfully applying countries are also very much relevant to this indicator and concern assistance in identifying key priorities for green economy transformations.

In Mongolian efforts began on advancing the national Green Development Strategy. PAGE, has completed a stocktaking study examining the challenges effecting green development and a green jobs mapping study, which includes an estimate of the current status of green jobs in Mongolia. This analysis combined with the feedback received through stakeholder and inter-ministerial consultation, helped the country to set first priorities for PAGE support in 2014. PAGE activities have also contributed to building basic capacity and awareness of green economy in Mongolia with a workshop attended by 80 participants, followed by a High Level Forum on Green Development held on 13 November 2013 in the Government House bringing together more than 120 decision-makers, including members of parliament.

In Peru, the government has created a National Steering Committee (NSC) which is responsible for the strategic direction and monitoring of the main results of PAGE. A Technical Committee (TC) which includes Directors of Ministries and specialists from the UN agencies will ensure the effective and consistent implementation of PAGE. Stock taking assessments and policy assessments which will allow identification of green economy priorities for the country were to be set off in 2014

In the SWITCH-Asia programme the approach has been somewhat different. This has been split into three components, a Grant component which forms the largest part of the programme and supports partnerships in concrete local SCP projects often with a focus on SMEs, a Networking Facility which principally aims to capacity build and spread learning from grant projects to other SMEs and a Policy Support Component.

The Grant component (€130 million of the total €148.5 million of the SWITCH-Asia budget) is perhaps of least relevance to this indicator if it is considered that policymakers are the key stakeholders. As described in more detail under Indicator I-521, few if any of the Grant projects have included efforts to influence national policy or raise awareness of the need for new/revised policy. On the other hand the grant projects are likely to have raised awareness of potential SCP actions amongst the local partners who have been directly involved in the projects: local NGO, local businesses, (mostly local) government agencies, chambers of commerce, consumer associations, local consultancies, universities etc. The Network Facility (commencing in 2009 with a first phase budget of €3.5 million) has also played a key role in spreading this awareness to similar organisations who were not involved directly in any grant project.

Unfortunately, the ROM report for the SWITCH-Asia programme does not include a detailed assessment of the effects of either component on the level of awareness on opportunities or challenges within SCP. The ROM does note that one of the outcomes of many of the grant projects is a raised awareness mainly at the local level, amongst beneficiaries (SMEs, consumers) and local government, business associations and consumer organizations etc. It also noted a wider raised awareness among relevant stakeholders who were not included in projects, via the SCP networks and platforms that were

established by most grant projects as a supporting role towards replication²⁰⁸. However, the level of increased awareness is not evaluated nor recommendations given as to how the effect could be improved.

It is also not certain that the types of projects which have been given grants, and which are being disseminated to a wider audience by SCP networks and platforms established under most projects, and by Network Facility activities, are necessarily those which will bring greatest SCP benefits to the region. Their relevance to SCP issues and specific country needs is secured through evaluating grant applications against relevance criteria: i.e. on the degree to which the project addresses key SCP challenges identified when framing the Programme. However, projects are not necessarily addressing the most pressing needs or the highest priorities for SCP in the respective countries, because there is no ranking of SCP priorities in the respective proposals.

The Policy Support Component (€15 million) started in 2011/12, and consists of a regional programme implemented by the United Nations Environment Programme (UNEP), and national PSC programmes implemented in four Asian countries (Indonesia, Thailand, Malaysia and The Philippines), that are directly managed by the respective EU delegations. It is described in more detail under Indicator I-521. One of its objectives is to 'assist stakeholders (government, private sector, citizens, and civil society) in harvesting the benefits of Sustainable Consumption and Production'. A precursor for this is assisting these stakeholders in identifying the challenges. One of the expected outcomes is institutional strengthening including coordination, planning and importantly establishing SCP monitoring systems (i.e. indicators). SCP indicators have the purpose of measuring progress against SCP policy but also of highlighting hotspots where new policy is needed.

Whereas all four national policy support projects (directly managed by the EU Delegations) had the same overall objective and intervention logic, the specific objectives and interventions were adjusted significantly to the respective national contexts. This was carried out in consultation with national governments and other stakeholders²⁰⁹. This adjustment took account both of the current status of SCP-relevant policy but also of where the key environmental hotspots are in the given countries economy (i.e. fishing, mining, tourism etc.). Thus, already when developing the national policy support components attention was raised on challenges and opportunities within SCP. According to the ROM at that stage the lack of knowledge on SCP in the four countries and logical frameworks for intervention, proved to be a challenge in this process. The wide difference in the activities under each national program, however, demonstrates that the opinions and knowledge of national government and stakeholders have strongly been taken into account.

The effectiveness of implementation of the national programmes has proved satisfactory in Thailand and Malaysia but less than satisfactory in Philippines and Indonesia. This is described further elsewhere, but with relevance to this indicator, the assessment found that in the Indonesia, among other things, too little awareness had been raised on SCP issues, in part due to lack of capacity in the Ministry of Environment.

SWITCH-Med and SWITCH-Africa have similar policy components but as yet no progress reports have been made available

The REEDTE Programme (total budget of EUR 4.4 million 91% funded by EU) differs somewhat from programmes on SCP and green economy in that the concept of eco-innovation is still not mature even at EU level and is treated as an emerging topic in the UN. Therefore, it is not just a case of gathering regional stakeholders together and helping them identify the main challenges for the region, based on tried and tested definitions of eco-innovation used in the EU. The programme managers found a lack of an extensive global body of knowledge and experts on eco-innovation on which to draw. This proved to be a hindrance to developing the project's core documentation to be used in capacity building – an eco-innovation manual, business case and two policy documents. Suitable expertise was eventually found, however, for producing these documents.

Regional validation workshops and numerous other sessions focusing on eco-innovation within international fora²¹⁰ provided opportunities to increase awareness of the project and also build up an understanding both within the project team and amongst stakeholders on the concept of eco-innovation.

Capacity building exercises at national level were due to start in 2014 after regional mapping exercises of the current status of eco-innovation and relevant policy instruments had been completed. The

²⁰⁸ ROM Report 2014 – SWITCH-Asia projects

²⁰⁹ ROM Report 2014 – SWITCH-Asia projects

²¹⁰ For example, the joint EC 15th Forum on Eco-innovation and 1st UNEP Roundtable on Eco-innovation

mapping exercises were completed for Latin America and the Caribbean and Asia Pacific in 2013 and were begun in West Asia and Europe.

External factors – The Marrakesh process, with the aim of developing a 10-year framework of programmes (10YFP) to accelerate the shift SCP has in general been a positive force for countries to identify regional SCP priorities and opportunities. This has in part occurred through regional SCP consultations and multi-stakeholder meetings organised by UNEP in cooperation with other UN departments. Most recently in 2013, regional meetings were held in Latin America, the Caribbean, in West Asia, Africa and Asia Pacific which aimed at identifying key elements for 10YFP regional implementations²¹¹.

Since UNEP and UNDESA are partially supported by the EU, these activities could be seen as additional EU contribution to increased awareness at regional level and in countries on the challenges and opportunities in SCP. However, the support is not part of a programme in which the EU acts as a direct partner.

5.1.2 I-512. Existence of policies, regulatory framework in which SCP/incl. integrated waste management and resource efficiency are mainstreamed – [Number of activities related to promotion of the use of SEA, EIA, LCA and other essential planning tools used for an environmentally sustainable economic development.]

Description – Mainstreaming concerns the integration of SCP and green economy concepts, considerations and goals into other types of policy. This can include sectoral policies such as transport, land planning, agriculture, fisheries, tourism policy. Mainstreaming of environmental issues into sectoral policies²¹² has been on-going in the EU since 1998 under the so-called Cardiff Process and is considered an essential element of the transition to a greener economy.

SEA and EIA are policy instruments that demand an assessment of the environmental impacts of certain kinds of strategies and construction projects respectively, and require that these impacts are mitigated. These, if used properly as decision aiding tools, represent further vehicles for ensuring the integration of environmental considerations into economic development.

Finally, mainstreaming can also cover the integration of SCP/green economy goals into broader crosscutting economic development strategies. Here there is an overlap with indicator I-521 which concerns the degree to which countries have begun adopting SCP green economy strategies and action plans.

Evidence of the change – integration of SCP and green economy considerations and goals into broad national development policy is dealt with under Indicator I-521 and is not considered further here.

With respect to EIA and SEA no global database or review of the adoption of these policy instruments could be found. The EUD country survey question on this was only answered by 3 out of 35 EUDs (4 out of 35 had relevant Green economy related cooperation), two of which – Egypt and Bangladesh – had adopted EIA/SEA policy instruments. Both received or were offered assistance from the EU²¹³.

According to Kakonge (2013) EIA (and SEA) is now a global tool for ensuring that environmental concerns are integrated into the planning process. In Africa, for example, it had started to be widely used after African ministers of environment endorsed its operability at the ministerial conference (AMCEN) in 1995²¹⁴. No evidence could be found of a general increase in EIA or SEA during the monitoring period.

In Eastern and South East Asia, EIA regulations and systems have been gradually implemented and promulgated across the region since the 1970s and all countries had EIA regulations in place well before the evaluation period. Since their inception, most of the Region's EIA laws or regulations have been amended in order to expand their coverage, enhance administration and public participation, and improve enforcement (World Bank, 2006)²¹⁵.

²¹¹ see eg. <http://www.unep.org/10yfp/Events/tabid/106273/ModuleID/186218/ItemID/10/mct/EventDetails/>
<http://www.unep.org/resourceefficiency/Policy/SCPPoliciesandthe10YFP/The10YearFrameworkProgrammesonSCP/RegionalSCPDialoguesInitiativesandRoundtable/tabid/102571/Default.aspx>

²¹² Refer to EQs 8 and 9

²¹³ EUD Survey question 60

²¹⁴ <http://www.globalpolicyjournal.com/blog/05/03/2013/improving-environmental-impact-assessment-eia-effectiveness-some-reflections>

²¹⁵ <http://siteresources.worldbank.org/INTEAPREGTOPENVIRONMENT/Resources/EIA&SEA-regional-review.pdf>

SEA regulations are less well developed in much of the region but are found in some form or other often as an extension of EIA regulations across most of the region. Cambodia, Lao, Thailand and Vietnam have developed SEA as part of various international development programmes²¹⁶ (though not necessarily including funding from EU).

It is even more difficult to assess the degree to which SCP and green economy has been mainstreamed into sectoral policy in third countries. The EUD country survey question on this was only answered by 3 EUDs, and only one of these – Bangladesh – identified integration of SCP into sectoral policy²¹⁷.

According to an external assistance management report (EAMR) for the Ukraine, sustainable development/green economy/adaptation to climate change are still not understood as horizontal issues (touching transport, production, energy etc.) and continue to be formally dealt with by relatively low-level departments without any capacity to initiate the profound changes needed in the country²¹⁸. Similar difficulties are encountered in the field of the environment whenever mainstreaming would require intra-ministerial cooperation. Mainstreaming is particularly behind in Ukraine even in comparison to other countries in the region due to very limited interactions between ministries and a silo approach to sectoral policy making. According to the first year EaP GREEN progress report, none of the Eastern neighbourhood countries had by the beginning of the programme in 2013, established a vertically and horizontally coherent policy-planning framework related to SCP and green economy.

In Pakistan, Schandel et al (2011) found that although the need for integration of sustainability concerns into sector policies is recognised, this integration appears still to be shallow and patchy for most sectors. According to the same report, the Malaysian government, on the other hand has developed a large number of sector specific policy instruments, including economic incentives, to promote SCP. However, better horizontal integration of environmental policies is needed to minimise contradictions between environmental and sectoral policies²¹⁹.

Country visits found little evidence of mainstreaming of SCP/Green economy into sectoral policies in many countries with the exception of the Energy sector (e.g. Egypt and Kenya), the Transport sector in Bolivia and the development-planning sector in Ghana.

EU contribution – Mainstreaming issues are covered by several of the EU-supported programmes.

The EaP GREEN Programme with a total budget of €12.5 million (of which EU contribution is €10 million) aims to:

Mainstream sustainable consumption and production (SCP) into national development plans in Armenia, Azerbaijan, Belarus, Georgia, Republic of Moldova and Ukraine, in line with the existing EU acquis in the relevant policy areas

Promote the use of Strategic Environmental Assessment (SEA) and Environmental Impact Assessment (EIA) as essential planning tools for an environmentally sustainable economic development²²⁰.

Progress of the programme under the first objective is assessed further under I-521. The second objectives is considered further below.

It is UNECE that has responsibility for aiding in the adoption and implementation of SEA and EIA in Eastern Neighbourhood countries under the EaP GREEN programme. The plan was to achieve this in three stages: 1. Revision of the existing national regulatory and legislative frameworks 2. Capacity building on SEA/EIA procedures, following good practices including those in use in the EU and 3. Strengthening the administrative capacities of the authorities in charge of environmental assessments. The intention was to complete in 2013-2014 up to 5 national legislative reviews of SEA and EIA, support two countries in the drafting of SEA and EIA legislation (in 2014-2015), and conduct a sub-regional overview in 2015-2016²²¹.

The EaP GREEN programme was launched at events in each of the EaP countries during summer of 2013 towards the end of the evaluation period. At these events EIA and SEA were identified by stakeholders as one of the key priorities in four of the six countries (Azerbaijan, Armenia, Belarus and Georgia) with Moldova and Ukraine also identifying strategic planning as priorities. This prioritisation by stakeholders is important since activities under this work stream are based on the requests by the participating countries.

²¹⁶ <http://siteresources.worldbank.org/INTEAPREGTOPENVIRONMENT/Resources/EIA&SEA-regional-review.pdf>

²¹⁷ EUD Survey – question 60

²¹⁸ Ukraine EAMRs

²¹⁹ http://archive.switch-asia.eu/fileadmin/content/PSC/Report/SWITCH_PSC_Needs_Analysis_Report_Final.pdf

²²⁰ EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

²²¹ EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

Some progress was made during 2013. The national legislation, procedures and institutional structures for the application of SEA in Belarus and the Republic of Moldova were reviewed and draft reports with recommendations for their improvement were developed. It was found that in both countries contain elements of SEA are contained in existing legislation and regulations. However, to comply with the provisions of the SEA Protocol and provisions of the EU SEA Directive, amendments to the existing legislation are required.

In Belarus two options are being considered: a) drafting a separate law on SEA; b) incorporating articles introducing obligations for SEA into the existing Law on Environmental Protection. A governmental resolution on detailed procedures for conducting SEAs is also being considered.

In Moldova, a new law on SEA is being developed, with the aid of expertise provided by UNECE. UNECE has also been requested to provide recommendations on integrating SEA procedures and principles into the procedures for Regulatory Impact Assessment and other procedures on the development of plans and programmes.

In Ukraine, new SEA legislation was developed under a twinning project with Austria, but has met resistance within the Ukrainian Parliament and is yet to be adopted after more than two years. The story is similar for EIA legislation in the country.

Reviews of legislation relevant to SEA for Armenia, Azerbaijan and Georgia are scheduled for April-November 2014. In addition, reviews of the draft laws on EIA are to be conducted in Armenia and Azerbaijan.

Legislation is one element but expertise on how to comply with SEA and EIA requirements is also necessary. National level training workshops on SEA were carried out with the assistance of UNECE in Ukraine and Armenia attended by in total 73 experts from various sectoral ministries. These seem to have had no impact on practice in Ukraine at least where no evidence of any SEA having been carried out was found.

Local level training was also carried out in three cities in Belarus for local planning organisations, and local authorities. Further local level training events were scheduled for autumn 2014 in Armenia and the Republic of Moldova. In response to feedback obtained, they will be designed to support implementation of the pilot projects on SEA²²².

Finally, the EaP GREEN financially supported the participation of representatives from all six EaP countries in the meetings of the Working Group on EIA and SEA in Geneva was financially supported. The Working Group provides a unique forum for countries within and beyond the UNECE region to exchange good practices.

A number of obstacles to the implementation of the SEA/ EIA systems common for the EaP countries were identified during implementation. They include low level of awareness of SEA and its benefits; weak legislative and institutional framework for its application; lack of understanding of the roles and responsibilities of various authorities in the SEA process; and the absence of specific guidelines and practical experience in its application. It was considered crucial to have the backing of high-level national authorities when developing SEA legislation and institutional capacity.

The Green Economy and Social and Environmental Entrepreneurship Development in Africa programme and the related PAGE programme have to a certain extent included elements that relate to mainstreaming of green economy considerations into sectoral policies. The Green Economy Scoping Studies and the Green Economy Assessments carried out under the Green Economy and Social and Environmental Entrepreneurship Development programme in a number of African states, as mentioned under the previous indicator, include assessments of the existing policy framework and how these support or conflict with green economy transformations, and subsequently propose adjustments to these policies to better align them with green economy goals.

These type of assessments are also planned under the PAGE programme (which began towards the end for the evaluation period), guided by a Green Economy Policy Assessment Manual developed under the programme. The manual provides guidance on how to conduct a Green Economy Policy Assessments to assist policymakers in developing and adopt green economy policies but also on how to mainstream green economy principles into their national development agenda as well as sectoral policies. Two international expert workshops provided input to the manual.

All three programmes in the SWITCH family include Policy Support components, which aim to strengthen the formulation and implementation of SCP policies in the respective region. This component was first introduced into the SWITCH-Asia programme in 2010, two years after the grants provi-

²²² EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

sion component had begun. It represents just €15 million of the total €148.5 million of the SWITCH-Asia budget²²³. SWITCH Africa and SWITCH Med included Policy Support components already at their inception at a total budget of €3.4 million and €3.0 million respectively. The EU contributes financially between 86% (SWITCH Africa Green) and 100% (SWITCH-Asia) of these programmes.

Only the PSC under SWITCH-Asia has had time to make any real progress during the evaluation period.

Activities of the PSC in SWITCH-Asia are described in more detail under Indicator I-521. The question under this indicator is whether any of these activities are concerned with mainstreaming of SCP into sectoral regulations or concern adoption or implementation of EIA or SEA.

The main objective of the PSC is to 'build the capacities of national authorities to strengthen or put in place policies helping to mainstream SCP and RE in regional sub-regional and national development programmes.' From this it would seem that the focus of both the regional and four national policy support components is on horizontal rather than vertical integration i.e. on developing national cross-cutting development plans that incorporate SCP and green economy goals and actions, and thus are more relevant to Indicator I-521 than this indicator.

It should be pointed out that the development of an overall national SCP strategy is a strong guiding factor in the subsequent integration of SCP into sectoral policy, and therefore can be viewed as a first step in the mainstreaming process. This is certainly recognised in the Indonesian baseline study carried out at the beginning of the PSC in that country: 'A consolidated SCP policy will provide important directions for mainstreaming of the SCP concept, preparation of specific strategies, and cooperation between the stakeholders.'²²⁴

This has also been the approach in Malaysia where the adoption of an overall development plan including strong SCP components which can influence sectoral strategies is very feasible. This is because the implementing agency, the Economic Planning Unit (EPU) of the Prime Ministers' Office (PMO) is a very powerful ministry and formulates the national economic and social development plans to which all ministries have to adhere. The situation is very different in

In the Philippines, on the other hand there is no such government agency with the mandate and capacity to coordinate crosscutting SCP matters. Therefore, in the Philippines the focus has been on individual sectors overseen by a single ministry²²⁵. However, activities are mostly focussed on assisting the ministries in implementing existing SCP related policy and programmes such as the Green Procurement and Eco labelling programmes and the Renewable Energy and Biofuels Acts²²⁶. Nevertheless this can be viewed as strengthening SCP elements within the ministries activities.

Also in Malaysia, assistance is not only focussed on developing an overall SCP strategy but also on identifying SCP policy options within individual sectors with high impacts or high growth rates including industry (Component 2) and buildings, food, transport and tourism (Component 4).

The first step of the Malaysian PSC was the development of a baseline study which recommended key activity areas. Potential opportunities for mainstreaming of SCP included developing and implementing policies within sustainable buildings, green technology including energy and water, green industrial development, extended producer responsibility and green public procurement. The baseline report was produced in 2013 and it is too early to assess whether progress has since been made in these areas.

With respect to EIA and SEA, all countries in the region had already adopted EIA regulations well before the SWITCH-Asia Policy Support Component was initiated, and many have developed these further into SEA for plans and programmes. No mention of assistance on EIA or SEA adoption or implementation is mentioned in any of the SWITCH-Asia PCS projects.

External factors – the Convention on Environmental Impact Assessment in a Transboundary Context (Espoo Convention) and its Protocol on SEA, are strong driving forces in promoting the adoption of SCP and SEA regulations globally.

5.1.3 I-513. EU used as a source of standards and expertise

Description: this indicator concerns the degree to which EU developments in SCP and green economy etc. is a direct source of inspiration for SCP and green economy developments in third countries.

²²³ ROM Report 2014 – SWITCH-Asia projects

²²⁴ http://www.switch-asia.eu/fileadmin/user_upload/Final_Baseline_Study_Indonesia_.pdf

²²⁵ ROM Report 2014 – SWITCH-Asia projects

²²⁶ <http://www.switch-asia.eu/policy-support-components/psc-philippines/>

This can include strategies and policies, product standards, regulations and other policy implementation measures such as economic instruments. It can also include expertise in how to formulate policy, pilot projects etc.

Evidence of the change – It is difficult to carry out any before and after analysis with respect to this indicator. It is hard to gain any overview of the extent to which third countries have used EU developments for inspiration, without looking directly at the processes that led up to adoption of standards etc. in those countries. Therefore it makes more sense to look at this in direct association with EU-supported programmes. This is covered under ‘EU-contribution’ below.

EU contribution: The SWITCH family of Programmes is perhaps of most relevance to this indicator. These programmes have, and are expected to, draw largely on EU standards and expertise. According to the Action Fiche for Switch-Asia the SWITCH programme explicitly enhances the utilisation of experiences gained in Europe applying successful SCP-strategies and policies.

Most useful are policies which have been developed for, and applied in the European context but which have relevant elements that can be ‘translated’ to the Asian region. These have included Integrated Pollution Prevention and Control, the Environmental Technology Action Plan, the Thematic Strategy on the Strategic Recycling and Prevention of Waste, the Thematic Strategy on the Sustainable Use of Natural Resources and Integrated Product Policy, etc. In China it was found that demonstration of European competences and practices within SCP has contributed significantly to development of policies, regulation and pilots.

SWITCH-Asia has also, via Grant projects, supported SMEs in Asia in adapting their products and processes to key EU legislation and codes of conducts in the field of environment (such as RoHS and REACH for the implication in the chemical industry, WEEE for electrical and electronics industries and environment focussed Eco-labels for several consumer products)²²⁷.

There are many examples of Grant projects which have made use of EU experiences and standards. including: the EMAS Global China project which aimed to introduce the EU EMAS certification to Chinese SMEs; the Green Products and Labelling project in Mongolia; the Sustainable Building Materials project in Malaysia which applies methods on environmental foot printing and labelling developed in part in the EU; the Electric Motor Systems Energy-Saving Challenge in China which takes much of its inspiration from the European “Motor Challenge” programme launched in 2003²²⁸; the Greening Sri Lankan Hotels project which assists resorts and hotels in adapting their businesses to better meet regulatory mechanisms such as the EU Travel Life Sustainability Programme²²⁹; and the PRO SUSTAIN project in India which makes use of experiences from the EU market in promoting Fair Trade goods²³⁰. The transfer of good practices from the EU to Asia is enabled in SWITCH-Asia via the requirement that at least one partner in each Grant project is an EU based organisation, often an environmental consultant, NGO or government organisation who have direct EU experience relevant to the project. This has resulted in good flow of information and practices but also risks, as exemplified by the EMAS project in China, taking a less flexible approach which does not pay enough attention to local conditions²³¹. Thus any application of EU standards and best practices in third countries needs to take full account of local needs and conditions.

Little evidence was found of direct transfer of EU standards and policy into African countries visited. One small example from Egypt, however, is the EU’s EPAP project, that encouraged the banking sector to lend to SMEs for adoption of cleaner production and resource efficiency measures following similar schemes in the EU. Tunisia also noted via the country survey that it has received considerable assistance from the EU in developing standards for environmental technologies. More transferral of standards and norms from the EU is likely to take place in Tunisia and Egypt via the SWITCH Med program²³².

Under the PAGE program, which is relevant in all regions, the Green Economy Policy Assessment Manual, which is to be used to guide national assessments, makes use of experience and standards in policy assessments that have been carried out in EU countries.

²²⁷ Action Fiche on SWITCH-Asia 2008

²²⁸ Electric Motor Systems Energy-Saving Challenge – Description of Action

²²⁹ Greening Sri Lankan Hotels – Description of Action

²³⁰ PRO-SUSTAIN Description of Action

²³¹ ROM Report 2014 – SWITCH-Asia

²³² Question 59

Transfer of EU standards and policies is however, most visible in countries directly neighbouring the EU. Under various successive neighbourhood agreements Ukraine has committed to translating the EU Environmental *acquis* into Ukrainian law including Directives relevant to SCP/GE.

External factors – no relevant external factors were identified.

5.2 JC52. Progress on actual implementation of interventions and signs that the economy is changing to a greener one and best practices are being adopted

5.2.1 I-521. Existence of a national 10 years action plan on SCP or similar planning document

Description: This indicator uses the existence of SCP Action Plans or similar planning documents as evidence of a movement towards a green economy. The existence are evidence of government commitment to a green economy agenda, which eventually may – if the plan is ambitious, but realistic, and is led at high governmental level – result in a decoupling of resource use and environmental pressures from growth.

Relevant plans should be crosscutting in nature and affect the activities of a number of different ministries. As such they should have been adopted at a high governmental level. Examples are: SCP action plans or programmes, parts of Sustainable Development Strategies (SDS) which cover SCP issues, Green Economy or Green Growth strategies, and Resource Efficiency action plans or programmes.

For a plan to be relevant it should have resulted from or been influenced by programmes funded by the EU. This may, in some cases, be difficult to find direct evidence for.

Evidence of the change: No up-to-date global database of SCP action plans or strategies has been identified. UNEP has a webpage on national SCP action plans²³³, which states that over 30 countries have adopted dedicated plans, but the page does not appear to have been updated since 2008. The reviewed ROMs and other reports directly emerging from the relevant development plans with EU funding (see under EU Contribution below) only identify Mauritius as having adopted an SCP Action Plan during the monitoring period. However, information from other sources shows a gradual adoption of SCP plans either as stand alone documents, or as part of SDS. A question in the survey of EU delegations on the existence of national SCP Action Plans was only answered by 3 out of 35 countries asked. Of these 3 none had adopted an Action Plan yet, either with or without EU assistance, though assistance was planned in Tunisia via the SWITCH Med program²³⁴.

According to UNEP (2012)²³⁵ in the **African continent** Burkina Faso, Ghana, Mauritius, Senegal, Uganda, Tanzania and Zambia have developed or have started to develop national SCP action plans. The 10YFP²³⁶ priority areas – energy, water, urban development and industrial development – feature prominently in these national plans. The cities of Cairo in Egypt and Maputo in Mozambique had begun mainstreaming SCP in their development plans. Finally, South Africa included a green economy chapter including SCP-related priorities in its 2011-2014 sustainable development strategy and implementation plan²³⁷.

Rwanda has both a Green Growth and Climate Resilience Strategy for low carbon development (2011) and a National Sustainable Consumption & Production Programme though developed with support from UNEP not EU. Ghana also has an SCP Action Plan again developed with UNEP rather than direct EU support. Progress has been slower in the other African countries visited.

Moreover, with support from the Green Economy and Social and Environmental Entrepreneurship Development program, a number of African countries are now on the road towards adopting stand alone Green Economy strategies or integrating green economies. These include In Kenya, Mozambique and South Africa are furthest advanced, having carried out green economy assessments and are now developing strategies and/or policies. Ghana, Burkina Faso, Mauritius and Senegal have carried out initial scoping exercises and are embarking or have already begun more detailed green economy assessments. Ivory Coast, is aiming to update the existing SDS to take green economy aspects into ac-

²³³ <http://www.unep.org/resourceefficiency/Home/Policy/SCPPoliciesandthe10YFP/NationalActionPlansPovertyAllieviation/NationalActionPlans/tabid/78380/Default.aspx>

²³⁴ Question 60

²³⁵ <http://www.unep.fr/scp/publications/details.asp?id=DTI/1498/PA>

²³⁶ The Marrakesh process aimed to develop a 10-year framework of programmes (10YFP) in support of regional and national initiatives to accelerate the shift SCP

²³⁷ https://www.environment.gov.za/sites/default/files/docs/sustainabledevelopment_actionplan_strategy.pdf

count²³⁸. Most governments in the **Asia-Pacific** region have formulated SDS in order to mainstream sustainability into decision-making (UNEP, 2012). Some countries have included SCP directly in the SDS as a crosscutting theme, while in a few cases SCP has been developed as a stand-alone strategy. Thailand adopted its first SCP action plan in 2005, well before the monitoring period. However, an updated National Sustainable Consumption Strategy and National Sustainable Production Strategy, were adopted in 2009. In addition, the 11th National Economic and Social Development Plan (2012-2016) included low-carbon society and green growth as central themes²³⁹. Mongolia is also in the process of developing a Green Development Strategy supported by the PAGE partnership programme²⁴⁰. China's 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.

According to UNEP (2012) most **Latin American** countries have national policies on SCP. These include Brazil, Colombia, Cuba, Dominican Republic, Ecuador, Mexico, Peru and Uruguay. SCP initiatives typically focus on cleaner production (CP) and clean technologies, voluntary agreements between industry and government, and information instruments such as education and certification schemes. A number of countries (Chile, Cuba, El Salvador, Honduras and Panama) have stand-alone Cleaner Production strategies.

Already by 2009, 14 out of 20 Latin American countries had mechanisms in place to foster change towards SCP: 35% of these were policies, and 20% programmes (CEGESTI, 2009). SCP policies or programmes are normally included within National Development Plans rather than restricted to Environment Ministry administration. It is not clear how many of these plans were adopted during the monitoring period, or whether additional countries have adopted plans since 2009. Bolivia, however, was found to have adopted a Law of the Rights of Mother Earth in 2012, which is based on concepts of SCP and environmental resilience. It's central principle is that Bolivian citizens and businesses must adopt sustainable consumption and production patterns. It is not clear, whether this principle is enforced. Unlike many other SCP/GE plans in third countries, this seems to have been adopted with direct drive from the government rather than external assistance.

According to the first year EaP GREEN progress report, none of the **Eastern neighbourhood (EaP) countries** had by 2013 established a vertically and horizontally coherent policy-planning framework related to SCP and green economy. Green economy has, however, been recognised as a guiding principle in a number of national development strategies adopted during the monitoring period (e.g. Azerbaijan and Moldova). These have been inspired by the Europe 2020 strategy and emphasise energy and resource efficiency. Other EaP countries have recently updated (e.g. Georgia and Ukraine) or are updating (e.g. Belarus and Moldova) their SDS to better integrate SCP and green economy concepts²⁴¹. Ukraine is in the process of developing a Green Economy concept but in general cross-cutting SCP/GE legislation has been inhibited by a strong silo approach to policy making and the weak status of the Ministry of Environment.

EU contribution: Most of the EU-funded programmes considered include objectives to encourage and assist receiving countries in the development and adoption of the kind of action plan or strategy covered by this indicator. 68% of the EUDs having replied to the survey consider that EU support to ENV & CC related sectors has provided an added value compared to the benefits to what would have resulted from Member States' interventions only in the partner country. Out of these, three quarters felt that their country had to a high extent benefitted from EU assistance related to an integrated approach to social and economic development and the environment²⁴².

However, none of the visited countries had yet adopted SCP or GE strategies as a direct result of EU assistance. Other donors such as UNEP had had more success on this front. Many of the assessed EU programmes are still in early days, and thus yet to have such large an impact as the adoption of a cross-cutting development plan.

The **(EaP-GREEN)** program, with a total budget of EUR 12.5 million (of which EU contribution is EUR 10 million) has a specific aim of mainstreaming sustainable consumption and production into national development plans, legislation and regulatory frameworks²⁴³. This includes a work element of examin-

²³⁸ Green Economy and Social and Environmental Entrepreneurship Development in Africa – third progress report 2013

²³⁹ <http://www.switch-asia.eu/policy-support-components/psc-thailand/>

²⁴⁰ Partnership for Action on Green Economy (PAGE) – Annual Progress Report 2013 – 2014

²⁴¹ EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

²⁴² EUD Survey – questions 81 & 82

²⁴³ EaP GREEN one-pager

ing national legislation and sectoral regulatory frameworks in depth, assesses the presence or lack of elements that are relevant to SCP and proposes changes in national legislation and regulatory frameworks to provide stronger incentives for SCP.

All three programmes in the **SWITCH family** include Policy Support Components, which aim to strengthen the formulation and implementation of SCP policies in the respective region. This component was first introduced into the SWITCH-Asia programme in 2010, two years after the grants provision component had begun. It represents just EUR 15 million of the total EUR 148.5 million of the SWITCH-Asia budget²⁴⁴. SWITCH Africa Green and SWITCH Med included Policy Support components already at their inception at a total budget of EUR 3.4 million and EUR 3.0 million respectively. The Tunisia EUD, for example, notes in the country survey that considerable assistance in development of SCP Action Plans or strategies is expected in Tunisia via the SWITCH-Med program²⁴⁵.

The policy component of the SWITCH family focuses mostly on the nuts and bolts of implementation of SCP related policy in each country i.e. strengthening regulatory frameworks, incentives structures, tax and market-based instruments, eco-innovation policies and so on, rather than on assisting in the development of overarching strategies. Much of the SWITCH activity is therefore not be relevant under this indicator²⁴⁶.

The Green Economy Transformation and Social and Environmental Entrepreneurship Development in Africa programme has an objective of creating an enabling environment to support the transition towards a green economy. One expected outcome is the development of national strategies on green economy and social and environmental entrepreneurship²⁴⁷. The programme is a partnership founded by the United Nations Environment Programme (UNEP), the United Nations Development Programme (UNDP), and International Union for Conservation of Nature (IUCN)²⁴⁸.

Also the 7-year programme Partnership for Action on Green Economy (**PAGE**) (first phase 2013-2017) has the objective of supporting countries in pursuing green economy policies. The target for the end of the first phase in 2017 is that 12 countries have adopted green economy strategies with three countries beginning from an advanced stage focusing on policy consultation/adoption, while nine countries will complete the full PAGE cycle. The PAGE Programme is led via cooperation of four UN Agencies – ILO, UNEP, UNIDO, and UNITAR – and has a budget of USD 21.3 million²⁴⁹.

Of the studied programmes, only the **REEDTE** programme includes no objective of influencing policy development. Its mandate is to work directly with business and industry communities rather than with central or regional government²⁵⁰.

While the other programmes all have an objective of assisting in the development of the types of crosscutting action plans and strategies covered by the indicator, all except SWITCH-Asia and Green Economy and Social and Environmental Entrepreneurship Development programmes are at too early a stage to have assisted countries far along the pathway towards their adoption. **PAGE**, **EaP GREEN**, **SWITCH Africa Green** were all first initiated in 2013, and **SWITCH-Med** in 2012.

Developing overarching crosscutting policy requires considerable inter-ministerial discussion and stakeholder consultation and is a long process. Therefore, the programmes beginning in 2013 will have only managed to move a short distance along this pathway.

As an example, the first year of implementation of the strategic policy development component of **EaP GREEN** focussed on launching regional policy dialogue, awareness raising and capacity development in Belarus, Moldova and Ukraine. The process is first likely to come to fruition in the form of adopted strategies towards the latter part of the Programme. One clear message emerging from the 2-3 day national launch workshops was that EaP GREEN is a useful mechanism for overcoming the silo approach to policy-making, but the establishment and operation of platforms for cross-ministerial and stakeholder dialogue should be led by national governments²⁵¹. As such the EaP programme will play an assisting rather than leading role in the development of SCP and green economy strategies.

²⁴⁴ ROM Report 2014 – SWITCH-Asia projects

²⁴⁵ EUD Survey – Question 60

²⁴⁶ SWITCH AFRICA plan and objectives

²⁴⁷ <http://www.oecd.org/investment/investmentfordevelopment/47670108.pdf>

²⁴⁸ <http://www.unep.org/environmentalgovernance/News/PressRelease/tabid/427/language/en-US/Default.aspx?DocumentID=628&ArticleID=6632&Lang=en>

²⁴⁹ PAGE ProDoc 02 07 13

²⁵⁰ REEDTE progress report 2013

²⁵¹ EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

The **SWITCH-Asia** Policy Support component initiated in 2010 has had more time to influence policy than the other two SWITCH programmes, EaP GREEN or PAGE. It contains four distinct projects in Thailand, Malaysia, Indonesia and the Philippines with Sri Lanka and Bangladesh being added later. The objectives of these projects vary depending on the status of policy in each country. In Malaysia and Thailand, SCP-related policies and strategies were already part of national economic and social development plans. Here the SWITCH projects aim to strengthen institutional frameworks and develop frameworks for implementation and monitoring of SCP policies²⁵², but also, in the case of Malaysia, gather SCP policies into a new overarching development plan²⁵³. In Indonesia, the project aims to implement the existing SCP Action Plan and strengthen special actions, such as GPP. In the Philippines, the project focuses on promoting SCP policies and instruments in specific sectors. Of the four, the work in Malaysia is perhaps most relevant to indicator I-521.

According to the ROM report²⁵⁴, the project in Malaysia is particularly well placed to play such an overall coordinating role: it works closely with the Economic Planning Unit (EPU) of the Prime Ministers' Office which formulates the national development plans to which all ministries have to adhere. The EPU is highly committed to formulate a National SCP Blueprint and to include a specific chapter on SCP in the next Five-year Economic and Social Development Plan. Consequently, ownership is very high and there is strong support in terms of coordination and follow-up of stakeholders. Therefore, it is expected that the project will succeed in its aim in assisting in the development of the SCP Blueprint and including SCP in the five-year plan, although this did not come to fruition during the reporting period of this evaluation.

The situation is very different in the Philippines where there is no such government agency with the mandate to coordinate crosscutting SCP matters and the political will and commitment of the private sector is low²⁵⁵. This may be the reason why the focus of the SWITCH policy support component here has not been on developing an overarching SCP or green economy strategy.

The **Green Economy and Social and Environmental Entrepreneurship Development in Africa** program, beginning summer 2010, has also had some time to influence development of green economy strategies during the monitoring period. The programme was, similarly to EaP GREEN, initiated with multi stakeholder workshops in several African countries aimed at providing platforms for governments and other stakeholders to explore opportunities and options for a green economy transition within the particular national contexts. This has been followed in a number of countries with green economy assessments and/or scoping studies to further identify opportunities and key sectors for action. Four of these are completed (Ghana, Kenya, Rwanda and South Africa) and five are underway (Egypt, Burkina Faso, Ghana, Morocco and Senegal) are underway²⁵⁶.

No independent ROM assessment of the programme is available and it is therefore difficult to know how well the programme has been designed and implemented, nor the likelihood of success. Difficulties identified in the progress reports concern lack of inter-ministerial coordination (Morocco), need for extra unexpected coordination efforts to include all stakeholders in process (Kenya) and difficulty in designating a partner institute with an adequate capacity to deliver a green economy assessment (Mozambique)²⁵⁷. None of these appear to be critical issues, delaying rather than halting progress. Nevertheless, as to be expected, none of the countries had moved to actual adoption of an overarching green economy strategy during the evaluation period.

Finally the **PAGE** programme has the target that by the end of the first phase in 2017, 12 countries will have adopted national green economy strategies among which three countries have started from an advanced stage focusing on policy consultation/adoption, while nine countries will have completed the full PAGE cycle including stakeholder engagement, basic competency development, situation analysis, assessments, policy analysis, and policy consultation/adoption.

The programme is at an early stage and so far work has only begun in earnest in two countries: Mongolia and Peru. Activities have also just begun in Burkina Faso, Senegal and Mauritius. In Mongolia, activities started with an official launch at World Environment Day in June. Activities already completed in Mongolia include stakeholder mobilisation and consultation, a stocktaking study and the development of a country work plan. In Peru, activities began with an official scoping mission, first stake-

²⁵² ROM Report 2014 – SWITCH-Asia projects

²⁵³ <http://www.switch-asia.eu/policy-support-components/psc-malaysia/>

²⁵⁴ ROM Report 2014 – SWITCH-Asia projects

²⁵⁵ ROM Report 2014 – SWITCH-Asia projects

²⁵⁶ Green Economy and Social and Environmental Entrepreneurship Development in Africa – third progress report 2013

²⁵⁷ Ibid.

holder consultations and a first draft of a country work plan. In both countries a full-time PAGE coordinator has been appointed²⁵⁸.

The PAGE programme has a key design element which increases the likelihood of ultimate success. Rather than identifying regions or countries to assist in at the beginning of the program, and then trying to engage government and organisations in those countries, as many other programmes do, countries themselves must take the initiative and apply for assistance. A stringent set of criteria have been established for evaluating if the country qualifies for assistance:

- High-level support, an expression of interest, and a clear demand for technical assistance;
- Presence and/or existing activities of the four agencies in the country and capacity to respond;
- Matching between country demand and the possible support provided under the PAGE initiative;
- Regional balance amongst countries selected;
- Clear linkages of PAGE interventions to relevant national planning processes and United Nations;
- Development Assistance Frameworks (UNDAFs) can be made²⁵⁹.

By ensuring both top-level commitment and relevance to the existing status of development policy and assistance within the country the programme is starting off on a good footing.

External factors: The Marrakesh process, which aimed to develop a 10-year framework of programmes (10YFP) in support of regional and national initiatives to accelerate the shift SCP has in general been a positive force for countries to develop and adopt SCP Action Plans. The Process identified regional SCP needs and priorities, and supported the development of regional SCP strategies in most regions as well as the implementation of 33 demonstration projects worldwide. These included national SCP action plans which have in some cases been developed with active support from UNEP and UNDESA country offices.

For example, the SCP Action Plans of Mauritius and Tanzania have been developed with assistance of the Marrakech Task Force 'Cooperation with Africa'. The German Federal Ministry of Environment has financed the Task Force itself²⁶⁰. The EU does not seem directly to have financed Marrakesh Task Forces (though Member States have done individually) but the Commission does have a role within the Marrakesh process. UNEP has also assisted Rwanda and Ghana in the development of their SCP Action Plans.

UNEP has also published guidance for countries on how to develop an SCP Action Program²⁶¹. Since UNEP and UNDESA are partially supported with EU money these activities could be seen as additional EU contribution to the adoption of SCP Action Plans and similar. However, the support is not part of a programme in which the EU acts as a direct partner.

5.2.2 I-522. Evidence of successful pilot projects in SCP/resource efficiency and potential for up scaling

Description: The transition to a greener more resource efficient economy needs both top-down and bottom-up actions. Government should provide a policy and incentive framework that encourages business and the public sector to apply resource efficiency concepts. But individual organisations or collections of organisations, should also actively engage in greening their activities. The majority of organisations are only likely to engage in these activities if they can see that other organisations have had success in the application of resource efficient initiatives.

Pilot projects can thus be crucial in leading the way and demonstrating good practice as well as pitfalls that should be avoided. Often, due to perceived risks of innovative approaches, such pilot projects require support. The spread of these initiatives also requires the development and application of multiplier approaches for effective outreach towards other organisations. Evidence has shown that effective multiplier mechanisms are highly determined by country specific characteristics and conditions²⁶².

This indicator concerns the degree to which EU-funded programmes have contributed to pilot projects and subsequent outreach activities, and the success, which these have had.

²⁵⁸ PAGE 2013 Annual Progress Report

²⁵⁹ PAGE ProDoc 03 07 13

²⁶⁰ <http://www.unep.org/roa/docs/pdf/MakingScpHappen.pdf>

²⁶¹ <http://www.unep.fr/shared/publications/pdf/DTIx1028xPA-Planning4change.pdf>

²⁶² Action Fiche on SWITCH-Asia 2008

Evidence of the change: It is difficult to carry out any before and after analysis with respect to this indicator. Unlike indicators I-521 and I-523, it has no real relevance outside the actual activities of individual programmes. The activity level and success of pilot projects is therefore covered under 'EU-contribution' below.

EU contribution: The EUD country survey question on this was only answered by 3 out of 35 EUDs. Of these, the Bangladesh EUD noted that the country had received assistance in developing pilot projects, presumably via SWITCH Asia, while a second – Tunisia – expected considerable assistance in pilot projects via SWITCH Med²⁶³.

All three **SWITCH programmes** have been (or will be) particularly active within the field of funding pilot projects. Both the Green Economy and Social and Environmental Entrepreneurship Development and EaP GREEN programmes also contain pilot project components. A number of projects funded directly under the ENRTP and by the neighbourhood investment facility (NIF) also have some limited relevance.

The initiation and support of pilot projects (demonstration or green business project) comprise the central pillar of the SWITCH programmes. For example, it represents EUR 130 million of the total EUR 148.5 million of the SWITCH -Asia budget²⁶⁴; EUR 17.5 million of the total of EUR 23 million (of which EUR 22 million is EU money) SWITCH-Med budget²⁶⁵ and; EUR 16 million of a total of EUR 22 million (of which EUR 19 million is EU money) SWITCH-Africa budget²⁶⁶.

In addition, each SWITCH-programme has a Networking Facility component with the objective of disseminating examples of good practice from the grant/demonstration projects to encourage scaling up and replication across the region. The Networking Facility component of SWITCH-Asia commencing in 2009 had a budget of EUR 3.5 million with a second phase starting in September 2013. The Networking Facility components of SWITCH-Med and SWITCH-Africa have budgets of EUR 2.4 million and EUR 1.8 million respectively^{267 & 268}.

So far SWITCH-Asia has funded or is in the process of funding over 80 grant projects in 15 Asian countries in areas such as greening supply chains, marketing for eco-products, green public procurement, cleaner production, eco-labelling and products for the poor. The projects are based on local demand-driven actions aiming to promote sustainable consumption and production in Asia and encourage EU-Asian partnerships. A total of EUR 130 million had been spent and 86 projects contracted by the end of 2013.

No pilot projects had as yet been funded under the SWITCH-Med Demonstration Component or under the SWITCH-Africa Green Business component by the end of the 2007-13 evaluation period.

The SWITCH-Asia programme is funded by the EU through its Development Cooperation Instrument and centrally managed by the Development Cooperation Office (DG DEVCO). SWITCH-Med, meanwhile, is managed by the EU, UNIDO, UNEP/MAP²⁶⁹-CP/RAC²⁷⁰ and UNEP-DTIE²⁷¹ and SWITCH-Africa by the EU and UNEP²⁷².

In SWITCH-Asia DG DEVCO oversees the launching of Calls for Proposals and the selection of successful applications. Once awarded, the grants are then managed by the EU delegation in the respective country where the individual project is coordinated²⁷³.

The grant is normally awarded to a consortium of different stakeholders that may include one or more European organisations (must be at least one), an international and/or local NGO, local businesses, government agencies, chambers of commerce, consumer associations, local consultancies, universities etc. All projects are typically part-funded by national governments or other donors at a value of 10 – 20% of the total project cost. The value of individual grant projects ranges from ½ to 2 million Euro.

²⁶³ EUD survey – question 61

²⁶⁴ ROM Report 2014 – SWITCH-Asia projects

²⁶⁵ SWITCH Med one pager

²⁶⁶ Action Fiche for SWITCH Africa Green

²⁶⁷ Action Fiche for SWITCH Africa Green

²⁶⁸ SWITCH Med one pager

²⁶⁹ Mediterranean Action Plan for the Barcelona Convention

²⁷⁰ Regional Activity Centre for cleaner production (implements actions related to the Barcelona Convention) – linked to UNEP/MAP

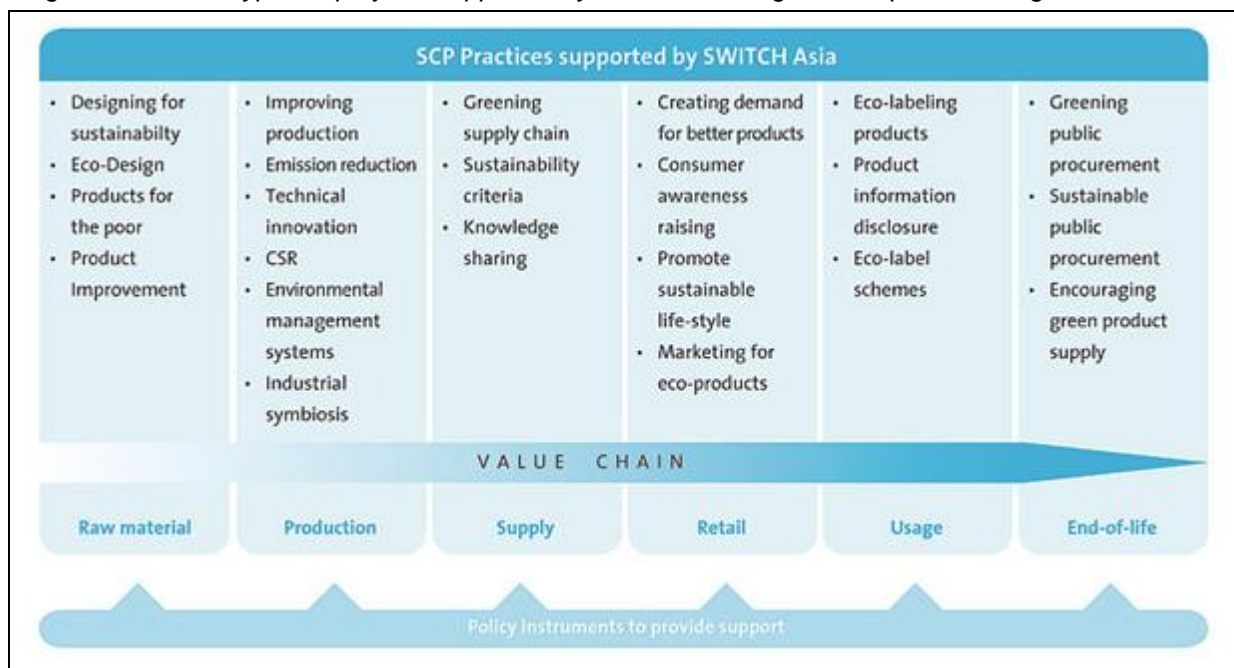
²⁷¹ Division of technology, industry and economics

²⁷² Action Fiche for SWITCH Africa Green

²⁷³ <http://www.switch-asia.eu/programme/funding/>

The pilot projects cover a large range of activities at different points in the value chain of products. The figure below gives an overview of the spectrum of projects.

Figure 43 Types of projects supported by SWITCH-Asia grant component along the value chain



Source: <http://www.switch-asia.eu/>

The SWITCH-Asia grant projects have been initiated through a rolling programme with so far six Calls for Proposals from 2007 to 2013. Therefore some projects have already been completed while others are ongoing.

The projects have had varying levels of success, and this has been dependent on a number of factors, most importantly on how the project intervention has been designed, the level of involvement and sense of ownership of national or local government within the countries and the degree to which the project has taken account of local conditions.

An independent evaluation of the SWITCH-Asia programme was completed in 2014. This evaluated 20 grant projects for which ROMs had been completed. Approximately two thirds (14 out of 20) grant projects were evaluated as being effective in achieving their expected outcomes and with good prospects that the long-term project objectives will be achieved. In general, there was a good correlation between quality of a project design and efficiency of implementation (i.e. good cooperation between partners etc.) and its eventual effectiveness²⁷⁴.

However, even in projects evaluated as effective, the number of SMEs engaged and fully applying SCP practices has typically been lower than targeted. In these cases the potential has clearly been demonstrated, but there are challenges to overcome:

It takes time to get companies interested and on board and for companies to get access to finance (see also under Indicator I-524)

- Energy and water are subsidised in many countries, making resource efficiency less economically attractive;
- Other factors, mostly market conditions (prices, demand and competitiveness) can dominate the companies' choice of production technologies;
- SMEs operating in local markets with lower consumer awareness and willingness to pay for green products are disadvantaged compared to companies that export to markets with high consumer awareness;

²⁷⁴ ROM Report 2014 – SWITCH-Asia projects

- Lack of national standards and other regulations which support SCP practices. An advocacy component can be key to a project achieving success when there is a policy component that will contribute to the sustainability of the project results;
- Passing the message to the decision-makers in a company can be problematic particularly where the project is of a highly technical nature.

Ensuring a good exit strategy from early on in the project is also key to the long-term success of the project i.e. a plan for ensuring that an institutional/organisational set up that can continue the project. In addition measures that provide immediate economic benefits or do not affect negatively the finance of companies are reported to be swiftly adopted. Finally, it is also recommended that when comparatively investment-heavy measures are proposed to SMEs options for investment, credit schemes are also explored²⁷⁵.

Those projects that were given a poor effectiveness evaluation in the 2014 evaluation report suffered from other issues. These included:

- Over ambitious objectives;
- Projects led by European organisations with little interaction with national partners;
- Deficient intervention logic applied;
- Monitoring of outputs carried out by activity rather than monitoring against overall objectives i.e. not results-oriented;
- No networks created and insufficient dissemination activities carried out;
- Difficult conditions for replication.

With respect to potential for scaling up, the SWITCH-Asia Network Facility²⁷⁶ has recently completed guidelines on scaling-up which includes a review study on the strategies and approaches that projects already have utilised. According to the guidelines in the SWITCH-Asia programme, horizontal scaling-up (i.e. spreading to more producers and more consumers in widening geographical areas) takes place at the micro level by, for example, targeting SME practices in a specific region or sector. Vertical scaling-up (moving up the ladder from small local organisations to regional and national organisations) links to the macro level addressing, for example, national level policy-making or targeting of finance institutions' procedures.

Horizontal scaling-up is assisted where business membership or consumer organisations are included as partners in a grant project, as is the case in a large number of projects. However, many other conditions are needed which are outlined in the guidelines. Vertical scaling-up efforts requiring direct co-ordination with national policymakers or financial institutions have been rare in SWITCH-Asia grant projects but are being conducted by projects in the Policy Support Component and by the Network Facility respectively²⁷⁷. Other Network Facility studies found that grant projects do not yet seize all opportunities and more efforts are needed to explore them fully.

The degree to which the Network Facility itself has succeeded so far in its objective of assisting in both vertical and horizontal scaling up, via its publications such as the guidelines, is yet to be assessed.

While SWITCH-Asia is the EU-supported program, whose activities have been most relevant to the indicator, other programmes have also been active in seeding and funding of pilot initiatives amongst SMEs and other businesses.

Under the **Green Economy and Social and Environmental Entrepreneurship Development in Africa** program, which the EU supports with EUR 3.2 million, has stimulated the activities of green businesses via other means: the Social and Environmental Entrepreneurship Development (SEED) Awards for green and social enterprises and associated capacity building. This competition has taken place in 2008, 2009, 2011 and 2012 in an increasing number of African countries. Winners are subsequently supported with expertise in business and financial planning, administrative and management matters, triple bottom line planning and access to networks. Furthermore, the winners as well as other applicants to the SEED Awards participate in research that provides insights into the types of challenges and obstacles faced by social and environmental enterprises.

Networks of SEED winners have also been built up which stimulate learning and the sharing and replication of ideas among social and environmental enterprises. This includes a networking workshop for winners at international award symposiums to exchange, share ideas and connect. This exchange has

²⁷⁵ SWITCH summary interim report for 14 projects with ROM reports in 2008/2009

²⁷⁶ <http://www.switch-asia.eu/publications/framing-of-scaling-up-scp-practices-in-the-switch-asia-programme/>

²⁷⁷ <http://www.switch-asia.eu/publications/framing-of-scaling-up-scp-practices-in-the-switch-asia-programme/>

proved very useful to winners and many have stayed in touch after the event. Secondly, all SEED winners based in the same country are brought together at national award ceremonies. This offers the opportunity to winners to meet one another and make connections with entrepreneurs working in the same national context. Winners from consecutive years also meet one another to exchange experiences. This initiative has been spreading to include a greater number of countries each year. In 2008 and 2009 only Ghana and South Africa were included. In 2011 there were 26 SEED Winners from 6 countries and in 2012, 33 winners from 14 countries^{278 279}.

However, evidence from 20 SEED projects in Ghana suggests that it can be difficult to attract funding for upscaling of otherwise successful pilot projects, and for some enter it is difficult to compete with large multinationals for example in the area of innovative concepts for waste management.

To tackle similar issues in Eastern Europe the **EaP Green** programme is assisting in tackling lack of affordable finance for green technology and eco-innovation investments for SMEs. EBRD is also working on this issue and aims to provide guarantees for Ukrainian banks to back loans for green innovation.

EaP GREEN with a total budget of EUR 12.5 million (of which EU contribution is EUR 10 million) also includes other activities on SMEs. The project recognises that SMEs typically lack the understanding that higher environmental performance can be a competitive advantage.

Pilot projects have begun in Armenia and Moldova that aim at developing recommendations on the design and implementation of regulatory, information-based and financial instruments for the greening of SMEs. A kick-off stakeholder workshop was conducted in Armenia in December 2013. The Armenian Ministry of Economy is firmly behind the project, which is a strong success factor. The active participation of two business groups in the workshop was encouraging, but engagement was lacking from sector-specific trade association. It is too early to say whether the pilot projects will be a success. One of EaP Green's 3 components concerns demonstration projects within resource efficiency and cleaner production, GPP and organic agriculture.

In Eastern neighbourhood countries, some projects financed under Strategic Objective 2 and Strategic Objective 3 of the **Neighbourhood Investment Facility** are relevant to SCP and green economy. 15 projects have been financed under Strategic Objective 2 which includes promotion of integrated waste management. The midterm evaluation concludes that these projects are providing positive environmental effects. Meanwhile, 5 regional projects address smart and sustainable growth through SME support under Strategic objective 3.

Finally, six projects financed under **ENRTP strategy priority 2** have some relevance to SCP and green economy. The six projects were implemented in Ecuador, Colombia, Nicaragua, El Salvador and Honduras. The projects were financed under "**Lot 9: Sustainable production / consumption and waste**" but are all concerned with solid waste management and waste recycling. Projects with a broader SCP focus have not been financed. It is not known whether this is due to lack of relevant applications.

One of the outcomes of the projects is an increased awareness of the local population in the project areas on environment pollution and how they should behave to contribute to a cleaner environment. This definitely is an important influence on the longer term, as the waste management services put in place by the projects can only be effective with the local population taking up its responsibility.

In general, the projects run by the local authorities seem to have less delay. This may be because the commitment and ownership is higher when local authorities are directly responsible for the project activities. Where an NGO is the lead actor projects have progressed less effectively. Thus, for the topic of waste management, it might be more relevant to only allow authorities to apply for projects. NGO's might be better involved as partners in the project, providing expertise in training and coaching, but not to be the final responsible and main implementing actor.

External factors: No major external factors affecting this indicator have been identified.

5.2.3 I-523. The effective use of economic instruments related to green products, (e.g. existence of green taxes, etc.)

Description: Economic instruments have been found to be an effective and sometimes efficient tool in European countries and elsewhere, for encouraging changes both in consumption behaviour and pro-

²⁷⁸ Green Economy and Social and Environmental Entrepreneurship Development in Africa – first progress report

²⁷⁹ Green Economy and Social and Environmental Entrepreneurship Development in Africa – second progress report 2012

duction activities. This is particular true when combined with information-based instruments. Green economic instruments can include a range of policy tools from pollution taxes and marketable permits to deposit-refund systems, VAT reductions, tax breaks, subsidies etc. We do not consider green public procurement (GPP) targets/requirements to be an economic instrument although it has been mentioned as such in some relevant documents²⁸⁰.

Many economic instruments used for environmental benefit can in some way be interpreted to have an effect of promoting greener products as specified in the indicator. For example, transport and energy taxes which dominate environmental taxes can be seen as incentives for more energy efficient cars, more sustainable transport forms, energy efficient appliances and so on. However, this indicator requires evidence not only on whether economic instruments have been utilised in an SCP context as a direct result of or as part of an EU funded project, but also that they succeeded in their objectives.

Evidence of the change: anecdotal evidence for use of SCP-related economic instruments in various parts of the world where EU-funded programmes operate can be found in UNEP's Global Outlook report from 2012 (UNEP; 2012).

According to ARSCP (2009) economic instruments such as pollution fees and charges are in common use in Africa. In Mauritius, for example, excise taxes on petroleum products and motor vehicles are the two largest sources of revenue raised from environmental taxes and together raised 8.6% of total taxes in 2008-2009 (Parry, 2011). This is higher than EU levels where all environmental taxes together raised 6.2% of total taxes in 2011²⁸¹.

In Asia, fast growing economies such as Malaysia and India are also making use of economic instruments to signal directions for preferred growth (UNEP, 2012). 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 Chinese Renewable Energy Law from 2005 offers a variety of financial incentives to foster renewable energy development, included discounted lending and tax preferences and a requirement that power grid operators purchase resources from registered renewable energy producers. The combination of investments and policy incentives has encouraged major advances in the development of both wind and solar power (UNEP, 2010).

Economic instruments in renewable energy are also reasonably common in other visited countries e.g. Ukraine's feed-in tariffs, Rwandan subsidies for SMEs selling solar lamps and tax exemptions for solar panels in Kenya. Egypt has a novel use of economic instruments by suspending non-compliance pollution fines for companies making efforts in cleaner production. In general economic instruments are less well developed in Africa than the other countries visited.

The reason may be that a prerequisite of economic instruments being an effective tool is that charges and taxes are effectively collected and free riding monitored and punished. This can be a challenge in some least-developed countries, which lack capacity to effectively administrate such instruments. Due to such challenges, which are also similar for regulatory instruments, governments may often prefer the use of voluntary measures to address unsustainable production and consumption patterns (UNEP, 2012).

According to the Global Outlook on SCP Policies survey and desk research in Latin America, voluntary agreements and information-based instruments are more commonly used than economic instruments (UNEP, 2012). The overall reliance on voluntary SCP instruments is understandable, but not effective. International experience show that voluntary instruments often do not lead to significant environmental improvements compared to economic or regulatory instruments (OECD, 2003)²⁸².

Environmentally harmful subsidies remain significant in many countries and face strong resistance to removal. For example, in Bolivia, government attempts to withdraw fuel subsidies and increase prices in 2010, met with civic unrest and were withdrawn. In Ukraine huge coal subsidies to support the industry and its many jobs in the east of the country are too politically sensitive to remove and far outweigh the positive effects of feed-in tariffs for wind energy.

EU contribution: The EUD country survey question on this was only answered by 3 out of 35 EUDs, none of which had received assistance on developing economic instruments. Such assistance had not been a part of support objectives for these countries (Bangladesh, Egypt and Tunisia)²⁸³. Moreover in

²⁸⁰ http://www.switch-asia.eu/fileadmin/user_upload/Final_Baseline_Study_Indonesia_.pdf

²⁸¹ http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Environmental_taxes_-_detailed_analysis

²⁸² http://www.oecd-ilibrary.org/environment/voluntary-approaches-for-environmental-policy_9789264101784-en

²⁸³ EUD survey – question 61

visited countries there was no evidence that economic instruments already in place had been developed with EU assistance.

However, a number of EU programmes are working on economic instruments. All three SWITCH programmes contain objectives or expected results that relate to the effective use of economic instruments.

The SWITCH-Africa Policy Support component with a budget of EUR 3.4 million aims to “*strengthen institutions and appropriate tools and instruments. These instruments are policies, regulatory frameworks, **incentives structures, tax and market-based instruments** enabling ...a shift to sustainable consumption and production patterns in targeted sector(s)*”²⁸⁴ The SWITCH-Asia programme objectives as defined at the programme’s inception in 2007 (prior to inclusion of the policy support budget in 2010) include the “*development and application of effective economic instruments that enhance SCP*” as one of five main expected results of the programme. The SWITCH-Asia Policy Support component has a budget of EUR 15 million.

However, with respect to the latter, none of the interim/final reports for **SWITCH-Asia** for 24 individual project grant projects begun in 2008 or 2009 (and to which we have access), mention activities relating to economic instruments. Neither encouraging the adoption of new economic instruments that may have an influence on the grant project, nor reporting on how existing economic instruments impact on the project’s progression. As already discussed under I-521, very few of the grant projects have been in the position to, or even had the objective of influencing national policy or policy instruments²⁸⁵. Economic instruments can also to a certain extent be applied at municipality/local level but no mention of this could be found in any of the project reports.

Economic instruments do feature in the four national Policy Support projects of **SWITCH-Asia**. Of these the Thailand project has been running longest and is now near completion (October 2011- October 2014). Its objective is quite specific with respect to this indicator: “*to support the Thai government in selecting, adapting and implementing suitable **economic and regulatory policy instruments** to promote SCP.*”²⁸⁶

In Indonesia a policy baseline study completed in spring 2013 identified a number of economic instruments that had already been put in place by the Indonesia government, mainly soft loans for pollution abatement schemes and VAT reductions for installation of cleaner technologies. The study recommended introducing economic instruments motivating enterprises to reduce resource consumption, such as increases in energy, waste and discharge taxes, support schemes for sustainable production and grants for green consortia²⁸⁷. It is not known whether these have been taken up by the project since the recommendations were published.

A similar baseline report for Malaysia found a broad use of economic instruments having been introduced by Malaysia’s 10-year Development Plan. These include government credit guarantees for companies developing or using green technology and an accelerated capital depreciation allowance for the purchase of equipment for the production of by-products from resources which otherwise would have ended as waste. Interestingly, the report found that businesses do not take advantage of economic incentives as much as policymakers had expected due to heavy administrative burden of applying for them and complying with their conditions²⁸⁸. The report identifies the development of better economic incentives for businesses and individuals as being one of three key policy areas that need to be addressed in the short term to progress SCP. Again it is not known, to what extent the Policy Support project has progressed with this since then.

The Policy Support component in the Philippines does not have any specific objectives or activities related to economic instruments.

The **EaP GREEN** programme has a stronger direct relevance to this indicator than the SWITCH programmes but has only been running since summer 2013. One of its aims is to help EaP countries to design or reform economic instruments related to environmentally harmful products thus providing incentives for both reducing pollution and introducing greener products.

A number of activities have already been carried out in this area mainly in the general area of capacity building. A Policy Manual on product-related economic instruments has been collated aiming to pro-

²⁸⁴ SWITCH AFRICA plan and objectives

²⁸⁵ SWITCH summary interim report for 14 projects with ROM reports in 2008/2009

²⁸⁶ <http://www.scp-thailand.info/project-activities.php>

²⁸⁷ http://www.switch-asia.eu/fileadmin/user_upload/Final_Baseline_Study_Indonesia_.pdf

²⁸⁸ http://www.switch-asia.eu/fileadmin/user_upload/SCP_Malaysia_-_Baseline_Study_pdf_of_printed_version_.pdf

vide policymakers in the region with hand-on guidance and specific EU examples on the design and optimal use of four categories of product-related economic instruments: (i) product taxes, (ii) tax differentiation based on environmental factors, (iii) deposit-refund systems and (iv) extended producer responsibility (EPR)²⁸⁹. This is directly quoted from EaP GREEN policy reports. We, however, do not consider EPR to be an economic instrument but rather a regulatory instrument.

Pilot projects on economic instruments have been launched in Moldova and Ukraine. These projects look at specific conditions in these countries and aim to develop country-specific recommendations on the design and application of economic instruments aimed at encouraging the purchase and production of greener products. It's hoped that this work will also provide inspiration for policy makers in neighbouring countries. Importantly the project implementation involves a substantial on-the-job training element.

The pilot projects have included stakeholder workshops: in Moldova on methods to reform tax systems on imported environmentally harmful products and on the design of EPR schemes for five product categories; and In Ukraine on the drafting of a taxation law addressing a number of environmentally harmful products.

The EaP GREEN project is yet to undergo an independent evaluation, therefore it is difficult to assess the degree to which its design and implementation has been effective to date. However two success indicators of the work on economic instruments so far is that firstly, private business has taken an active role in the workshop discussions, and secondly, the workshops have discussed the formulation of draft laws and instruments i.e. these were not peripheral discussions but are close to government activities in concrete implementation²⁹⁰. In Ukraine, however, support on economic instruments is yet to have a great impact on policy.

External factors: No major external factors affecting this indicator have been identified.

5.2.4 I-524. Support by different stakeholders for enterprises to provide access to affordable financing and appropriate technology and management systems.

Description: even if the right economic incentives are in place to encourage enterprises to take up the production of green products and services, or to improve the resource efficiency of their activities, often they do not have the resources available to make the necessary technological or management changes. Access to financing continues to be one of the most significant challenges for the creation, survival and growth of SMEs, especially innovative ones. Financial constraints are especially high for new entrants into the innovation process, since they have no history of success and often only limited access to internal finance (OECD, 2009)²⁹¹. Banks and other financial institutions remain cautious with respect to new technologies and new innovative business models and this may result in prohibitive interest rates EU-supported programmes can aid SMEs in finding appropriate sources of funding, or encourage governments to offer credit guarantees, soft loans etc. They can also assist enterprises in applying environmental management systems such as EMAS or ISO 14001.

Evidence of the change: It has been hard to find concrete evidence that access to finance for green technologies and eco-innovation has become easier during the reporting period 2007-13.

A SWITCH-Asia report from 2013²⁹² investigated the issue of access to finance for SME's, and identified different needs for financing at different stages of development: working capital in the short term for example, to purchase environmentally friendly raw material, financing for investing in eco-efficient equipment and clean technologies in the medium term, and financing for scaling-up the green business model to other regions and sectors in the longer term.

The report found that, at least in Asia, the necessary financing solutions are available for SMEs no matter what stage of maturity. However, they found a number of barriers to SME's finding and accessing these well-matched funding opportunities. These include:

- A lack of financial literacy amongst SMEs or understanding of the conditions and requirements of loans, in part due to poor marketing and communication by banks;
- Financial services perceived too costly by SMEs;
- A lack of collateral amongst SMEs;

²⁸⁹ EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

²⁹⁰ EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

²⁹¹ OECD (2009), The Impact of the Global Crisis on SME and Entrepreneurship Financing and Policy Responses, OECD, Paris see also <http://www.oecd.org/cfe/smes/46404383.pdf>

²⁹² <http://archive.switch-asia.eu/switch-asia-learn/scaling-up-scp-via-enabling-access-to-finance.html>

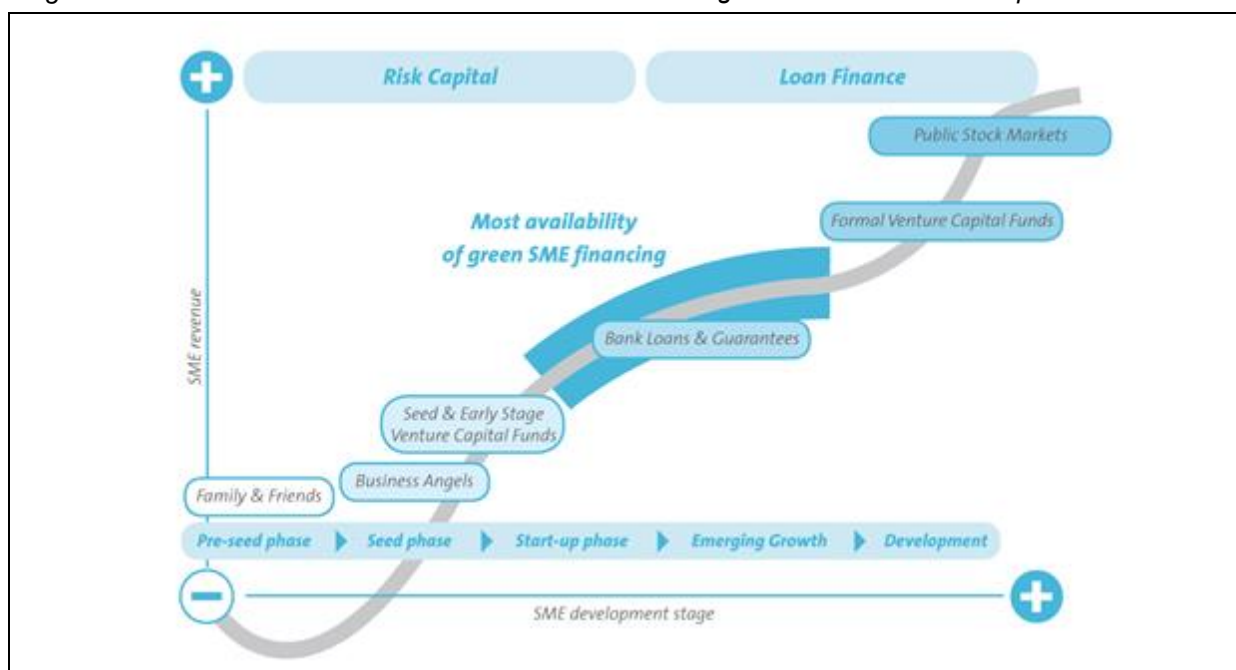
- A lack of transparency in SME's activities and economic health;
- A perception from banks that lending to SMEs is not profitable; and
- A lack of effective channels for communication between credit providers for funding purposes.

SWITCH-Asia has attempted to address at least some of these issues (see under EU contribution).

Even in OECD countries, SMEs continue to find difficulties in accessing finance for green technologies. A joint survey carried out by Siemens Industry and the Energy Institute (EI) discovered that 88% of respondents in the UK found the financial sector to be disinterested in offering loans for energy efficiency projects and less than 1% of firms had actually received cash for this type of investment²⁹³.

The first EaP GREEN project report also found that access to finance is a serious challenge in the eastern Neighbourhood Countries, and that more attention needs to be paid to attracting private finance, which the donor organisations perceive is central to the green transition²⁹⁴.

Figure 44 Available financial solutions at various stages of a business' development



Source: <http://archive.switch-asia.eu/switch-asia-learn/scaling-up-scp-via-enabling-access-to-finance/findings-of-the-enabling-access-to-finance-study.html>

With respect to Environmental Management Systems, on the other hand, there is some evidence of a large growth in companies achieving ISO certification during the start of the reporting period, particularly in eastern Asia. The number of companies in Eastern Asia with ISO14001 grew from 71 000 in 2007 to 112 000 in 2009, and in Africa from 5 500 to 8 800²⁹⁵. The number of certifications reduced, however, in Latin America over the same period. No more recent data for ISO 14001 certifications could be found. Growth rates between 2002 and 2007 were even higher, perhaps aided in part by ISO's 2004 ISO 14001 guidance for SME's.

EU contribution: The EUD country survey question on this was only answered by 3 out of 35 EUDs. Of these Tunisia had received support from the EU in assisting the phosphate industry in gaining access to cheap finance to improve resource efficiency, while Egypt had received assistance in improving access to affordable financing of eco-efficiency improvements in SME's²⁹⁶.

Aiding access to finance features in the activities of the SWITCH-Asia, EaP GREEN and PAGE programmes.

²⁹³ <http://www.acenet.co.uk/businesses-struggling-to-access-green-finance-/1605/6/1/25>

²⁹⁴ EaP GREEN (Greening Economies in the Eastern Neighbourhood) Interim Narrative Report 2014

²⁹⁵ http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/SC/temp/wwap_pdf/Table_Trends_in_ISO_14001_certification.pdf

²⁹⁶ EUD survey – question 61

The **SWITCH-Asia Network Facility** began in 2011, paying particular attention to access to finance via its A2F activities. As noted earlier this commenced in 2009 with a budget of EUR 3.5 million for the first phase, with a second phase having begun in September 2013. The Facility began by reviewing relevant experiences gathered in SWITCH grant projects between 2008 and 2010. It was found that only a minority of SWITCH-Asia grant projects have been addressing the issue of access to finance.

The review found that of the 8 SWITCH-Asia projects reviewed, the majority had targeted state banks. Engagement with other possible sources of finance such as local (governmental) funds, business angels, venture capital funds and value chain financing solutions had been underutilised. The majority of projects reviewed disseminate financial solutions – from green government funds, to bank loans, venture capital, to funds available under the CDM. According to the survey, some projects had added individual coaching for SMEs to their awareness activities. In most cases they had informed banks on the business case of SCP and energy efficiency. In all cases it was shown that building relationship with financial institutions has been crucial in drawing the attention of bank credit officers. Where projects did have the opportunities to build bankers' capacity on the benefits of green technologies, none of the projects had addressed the topic of risk assessment and criteria of credit evaluation²⁹⁷.

The 2013 review identified a number of areas where the individual and future grant projects in the SWITCH-Asia programme and, in particular, the Network Facility can break down the barriers named earlier (under 'Evidence of the Change'):

Scaling up Green Credit Lines and Bank Loans – There is still a lot of potential for integrating sustainability issues into banking operations, from procurement to credit risk assessment. On-going efforts are being made, for example, by the Waste to Energy project in Cambodia.

Diversifying Financial Channels – Credit financing solutions have been the most frequently observed category of solutions covered by the SWITCH-Asia projects. But other financing instruments could also be relevant for greening SMEs. A few projects are promoting factoring and leasing. Other categories, especially 'impact investment pillar' deserve attention as they offer excellent opportunities for scaling-up SCP.

Improving Understanding and Access to Information – Initial advice on reducing information deficits about resource saving options and detailed consulting on resource saving measures and investment options are essential. These services can be included in a project as technical assistance or via consulting components in special SME funds.

Inclusion of A2F goals in national development plans – If national development plans make reference to goals for financing of clean technologies and/or enabling green SME financing, the development banks will design and implement relevant financing products to serve these goals.

It is not known the extent to which the SWITCH-Asia programme has worked with these issues since the review report was published.

The **EaP GREEN** programme has also been active in the A2F area. According to the Interim Narrative Report international financial institutions have established credit lines earmarked for environmental purposes in commercial banks. Such credit lines support immediate investment priorities and develop the capacity of local banks to conduct due diligence assessments and to demonstrate the viability of green financing as an attractive business model. However, making the practice of green private financing sustainable requires that local banks see its benefits compared to other business opportunities, that there is a sufficient demand from borrowers, and that a supportive public policy framework is put in place. The EaP GREEN programme has begun tackling these issues. However, since the programme only began in summer 2013, progress has been limited to date.

An international consultant is currently preparing an inventory of existing environment-related credit lines in the EaP countries. This analysis will be used as a basis to identify specific credit lines for further in-depth analysis. A mission to Ukraine was undertaken to discuss the project with the government. Both the Ministry of Economy and the Ministry of Environment have shown commitment to support the project. The local offices of EBRD and KfW have also shown interest in participating in this work and are already active in Ukraine providing environment-related credit lines disbursed through local commercial banks.

The **Green Economy and Social and Environmental Entrepreneurship in Africa** Programme is trying to assist enterprise in attracting financing for upscaling of promising green innovations, but it has proven impossible for many enterprises. 6-7 enterprises have, however, secured funding for upscaling

²⁹⁷ <http://archive.switch-asia.eu/switch-asia-learn/scaling-up-scp-via-enabling-access-to-finance/findings-of-the-enabling-access-to-finance-study.html>

in Ghana, from a commercial bank and a mining company, which engages in corporate social responsibility investments. In some cases, for example in Kenya, companies were linked to investors at SEED symposia.

Finally, the **PAGE** programme contains an objective to mobilise financing funds to aid in the adoption of policy measures, including for example new technologies. By working closely with the private sector and multilateral and regional development institutions and banks, the programme will seek to identify financing sources for the required sectoral investments. The programme plans to aid the formation of public-private dialogues on green investment opportunities and to facilitate the formation of financial consortia in support of green investment. There is also focus on mobilising funding and support to the creation of enterprises and improving existing businesses to enable green entrepreneurship.

However, the first Annual Progress Report for PAGE noted that the activities in this work programme are yet to begin.

With respect to environmental management systems the only reference found is a SWITCH-Asia grant project in China (CRIS 263220) aiming at assisting Chinese SMEs with being certified with EU's EMAS certificate. An external evaluation found this project to be largely ineffective so far with a not a single SME on the way to achieving certification. Despite capacity-building activities, SME's continue to perceive EMAS as too advanced and complex and unless pressure from foreign buyers or local obligatory regulations are put in place not much progress is expected²⁹⁸.

External factors: No major external factors affecting this indicator have been identified.

²⁹⁸ 2014 ROM report – SWITCH-Asia projects

6 EQ 6: Environmental governance



To what extent has ENRTP contributed to strengthening international environmental governance in relation to multilateral environmental agreements (MEAs) and UNEP-related processes?

Rationale

During the last three decades there have been an increasing number of treaties focusing on global environmental problems. The beginning of MEAs can be tracked back to the first UN Conference on the Human Environment in Stockholm in 1972. This marked the first occasion when state representatives convened to set the groundwork for international action. The Stockholm Declaration provided a comprehensive list of norms to “*inspire and guide the peoples of the world in the preservation and enhancement of the human environment (UN Conference on Human Environment, 1972)*”. Subsequently, the international community began to address specific environmental concerns leading to a number of agreements over time.

Currently, there are over 500 MEAs, covering such diverse issues as loss of biological diversity, pollution of the atmosphere, ocean degradation and deforestation. Increasingly, the work in the international environmental field is focused on implementation, more than on the development of landmark agreements²⁹⁹.

The question evaluates an important element of the wider EU policy on environment; support provided through ENRTP (and managed by DG ENV) for international environmental governance, with a particular focus on: a) biodiversity and b) enhancing synergies between MEAs on chemicals and waste.

The question covers ENRTP interventions related to international environment policy. Within these, the evaluation question will focus exclusively on interventions implemented by UNEP and the MEA Secretariats hosted by UNEP especially within the area of biodiversity.

The judgement criteria aim to capture the contribution of ENRTP to some key aspects related to improving international environmental governance.

The *first judgement criterion* assesses whether ENRTP support has enhanced the ability of the international organisations (UNEP and its MEA Secretariats) to effectively support and facilitate international MEA processes, e.g. in relation to negotiations and ensuring effective participation of developing countries so that their needs and priorities are reflected in decisions, and in relation to ensuring the implementation of the internationally agreed MEA strategic plans.

The *second criterion* concerns knowledge management (for informed decision-making), i.e. the extent to which ENRTP support has contributed towards a) generating new knowledge and experiences, b) ensuring easy access by decision-makers and stakeholders to knowledge that can help them in effectively address biodiversity concerns, and c) improving international monitoring.

The *third criterion* covers the contribution towards building national capacities to implement commitments under the MEAs. This criterion and EQ4 (biodiversity) are complementary; the third criterion of this EQ focuses on the capacity building and TA support provided by international organisations (exemplified by UNEP and its MEA Secretariats); whereas EQ4 focuses more comprehensively on the results achieved at the national level in terms of governance, planning, and implementation. Moreover, the synergies provide an opportunity for triangulating findings related to national level capacity and achievements.

²⁹⁹ UNEP, Measuring Progress, Environmental Goals & Gaps, 2012

6.1 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

6.1.1 I-611. Capacity and effectiveness of UNEP hosted MEA Secretariats in ensuring implementation of MEA strategic plans

Description: The capacity and effectiveness of UNEP hosted MEA Secretariats is measured against their fulfilment of their mandates, which to a large extent have been defined by decisions agreed upon by the Convention Parties to the MEA in question.

The CBD secretariat (including the Cartagena and Nagoya Protocols) principal functions are to prepare for, and service, meetings of the Conferences of the Parties (COP) and other subsidiary bodies of the Convention, and to coordinate with other relevant international bodies. As a neutral organization staffed by international civil servants, the Secretariat is accountable to the COP and its subsidiary bodies and carries out those tasks that fall under its associated mandate. It brings together the Parties in the Conference of the Parties³⁰⁰ (COP), which is the Convention's governing body. The COP meets every two years, or as needed, to review progress in the implementation of the Convention, to adopt programmes of work, to achieve its objectives, and provide policy guidance. The COP is assisted by the Subsidiary Body on Scientific, Technical, and Technological Advice (SBSTTA), which is made up of government representatives with expertise in relevant fields, as well as observers from non-Party governments, the scientific community, and other relevant organizations. SBSTTA is responsible for providing recommendations to the COP on the technical aspects of the implementation of the Convention. Other subsidiary bodies have been established by the COP to deal with specific issues as they arise. These are called "*ad hoc open-ended Working Groups*" because they are established for a limited mandate and period of time, and because they are open to all Parties as well as the participation of observers. Current Working Groups are:

- The Working Group on Access and Benefit-Sharing (ABS) is currently the forum for negotiating an international regime on access and benefit sharing;
- The Working Group on Article 8(j) addresses issues related to protection of traditional knowledge;
- The Working Group on Protected Areas is guiding and monitoring implementation of the programme of work on protected areas;
- The Working Group on the Review of Implementation of the Convention (WGRI) examines the implementation of the Convention, including national biodiversity strategies and action plans;
- Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on ABS (ICNP) was established as an interim governing body for the Nagoya Protocol until the first meeting of the Parties (2010) to the Protocol at which time it ceased to exist.

Working Groups make recommendations to the COP, and, as is the case for the Working Group on Access and Benefit-Sharing, may also provide a forum for negotiations of a particular instrument under the Convention. The COP and SBSTTA may also establish expert groups or call for the organization by the Secretariat of liaison groups, workshops, and other meetings. Participants in these meetings are usually experts nominated by governments, as well as representatives of international organizations, local and indigenous communities and other bodies. Unlike SBSTTA and the open-ended Working Groups these are usually not considered as intergovernmental meetings. The purpose of these meetings varies: Expert groups may provide scientific assessments, for example, while workshops may be used for training or capacity building. Liaison groups advise the secretariat or act as for cooperation with other conventions and organizations.

CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora) brings together the Conference of the Parties³⁰¹ (COP) is the supreme decision-making body of the Convention and comprises all its member States³⁰², At each regular meeting of the COP Parties submit pro-

³⁰⁰ CBD: 194 Parties, (168 Signatures); Cartagena Protocol: 167 Parties (103 Signatures); Nagoya Protocol: 0 Parties, 51 Ratifications, (92 Signatures)

³⁰¹ CITES: 180 parties

³⁰² Major donors to the CITES Secretariat besides EU are Denmark, France, Germany, Hong Kong SAR (China), Japan, Norway, Qatar, Sweden, and the United Kingdom of Great Britain and Northern Ireland. These countries continue to provide funding for capacity building, science-related activities, national legislation, enforcement, the sponsored delegates project.

posals based on agreed criteria to amend the species covered by CITES listed in three Appendices, according to the degree of protection the species need. Those amendment proposals are discussed and then submitted to a vote. The Convention also allows for amendments by a postal procedure between meetings of the COP.

The functions of the CITES Secretariat are:

- a) to arrange for and service meetings of the Parties;
- b) to perform the functions entrusted to it under the provisions of Articles XV and XVI of the present Convention;
- c) to undertake scientific and technical studies in accordance with programmes authorised by the Conference of the Parties as will contribute to the implementation of the present Convention, including studies concerning standards for appropriate preparation and shipment of living specimens and the means of identifying specimens;
- d) to study the reports of Parties and to request from Parties such further information with respect thereto as it deems necessary to ensure implementation of the present Convention;
- e) to invite the attention of the Parties to any matter pertaining to the aims of the present Convention;
- f) to publish periodically and distribute to the Parties current editions of Appendices I, II and III together with any information which will facilitate identification of specimens of species included in those Appendices;
- g) to prepare annual reports to the Parties on its work and on the implementation of the present Convention and such other reports as meetings of the Parties may request;
- h) to make recommendations for the implementation of the aims and provisions of the present Convention, including the exchange of information of a scientific or technical nature;
- i) to perform any other function as may be entrusted to it by the Parties.

The Basel³⁰³ (Control of Trans boundary movements of hazardous wastes and their disposal), **Rotterdam**³⁰⁴ (trade in hazardous chemicals), and **Stockholm Conventions**³⁰⁵ (Persistent Organic Pollutants) secretariats are all hosted by UNEP, Switzerland and their functions include making administrative arrangements for meetings of the COP and its subsidiary bodies, verifying information accompanying notifications and proposals, disseminating import responses provided by the Parties, facilitating assistance to developing country Parties, facilitating information exchange between Parties and fostering collaboration and cooperation with other international organizations.

UNEP is considered the principal body of the UN in the field of environment that '*sets the global environment agenda, promotes the coherent implementation of the environment dimension of sustainable development within the UN system and serves as an authoritative advocate for the global environment*'³⁰⁶. UNEP has been the main facilitator of the International Environment Governance (IEG) debate and setting the IEG agenda has formed a large part of UNEP's role. For many UNEP's most meaningful results are to influence national and local level action to achieve sustainable development. Global and regional level actions are critical, but in many respects, only means towards 'on the ground' impact from country level environmental governance and actions.

UNEP has since 2010 focused on six thematic priority areas: Climate Change, Disasters and Conflicts, Ecosystem Management, Environmental Governance, Harmful Substances and Hazardous Waste, Resource Efficiency and Resource Efficiency.

In the aftermath of RIO+20, UNEP's Governing Council has been elevated to the UN Environment Assembly (UNEA) with universal membership³⁰⁷. As the new governing body of UNEP, UNEA has the mandate to take strategic decisions, provide political guidance in the work of UNEP and promote a strong science-policy interface. Supported by a 10-member bureau, UNEA meets biennially starting in 2014 in Nairobi and concludes with a two-day high-level segment that would serve to replace the Global Ministerial Environment Forum, previously convened alongside the Governing Council sessions since 2000.

³⁰³ Number of Parties: 181; Number of Signatories: 53 (UNEP main web-site on the Conventions: 2013)

³⁰⁴ Number of Parties: 154; Number of Signatories: 72 (ibid)

³⁰⁵ Number of Parties: 179; Number of Signatories: 152 (ibid)

³⁰⁶ Nairobi Declaration, 1997

³⁰⁷ UN Resolution [A/RES/67/251](#)

Common for UNEP and all MEA Secretariats is that their mandates are to execute Assembly and COP meeting decisions only. Stated COP decisions are those decisions which all Parties can agree to. If there are divergent standpoints to a topic, a COP decision is usually not taken³⁰⁸.

Evidence of change: By 2007, it was recognised that the international community had taken a piecemeal approach to environmental issues, responding to them as they emerged and in isolation from one another, which led to a fragmented and irrational system resulting in the negotiation and agreement of more than 500 MEAs over the course of the past 40 years including 540 COP meetings at which 5,084 decisions were taken between the years 1992 – 2007³⁰⁹.

This required extensive preparation and follow-up as well as human and financial resources and time spent, resulting in a significant burden leveraged on governments, especially developing countries as well as the MEA secretariats. This inefficiency of the administration of the MEAs became apparent when comparing the combined financing of UNEP MEA Secretariats, roughly USD 445 million per year, with other international bodies such as the World Trade Organisation (annual budget of USD 222 million) and the ILO (annual budget of approx. USD 364 million), both of which have authority over all multilateral agreements within their respective areas of expertise³¹⁰.

Coherence and coordination of efforts emerged as a central issue for effective international environmental governance in particular within the UN system and UNEP and MEA secretariats. To address these issues, UNEP and the MEA Secretariats started a process with the aim of reforming International Environmental Governance (IEG) and Environmental Governance (EG)³¹¹ including a revision of the internal institutional framework for addressing environmental governance and prepared and presented a reform 'package' to the RIO+20 conferences³¹². RIO+20 did not endorse all the suggestions made but UNEP successfully orchestrated the idea of 'Green Growth' or 'Green Economy' and was entrusted

³⁰⁸ No examples have been found to the contrary

³⁰⁹ ETC Group web-page: There are currently over 500 Multilateral Environment Agreements, 2012

³¹⁰ Source: IISD, 2013: The future of Sustainable Development: Rethinking sustainable development after Rio+20 and implications for UNEP, Mark Halle, Adil Najam, Christopher Beaton

³¹¹ A distinction is made: *International Environmental Governance (IEG)*: the international environment regime (including UNEP and MEAs) within an international governance system. How the UN system is set up and organized to work towards environmental sustainability. *Environmental Governance (EG)*: concept, policy and practice: comprising legal and regulatory frameworks; institutions and institutional mechanisms; data, information and knowledge sharing systems at *country, regional and global level* to address agreed environmental priorities.

³¹² According to UNEP Governing Council (26th regular session, February 2011), reforms to address the fragmentation and irrationality of the current IEG system were needed to:

- Give ministers of environment the voice and the authority to protect global sustainability – establish a ministerial conference with universal membership for the world's ministers of environment to convene, deliberate and set the global environmental policy agenda in a democratic manner for governments and the UN system; to open up avenues that will allow UN system wide environmental strategies to be formulated; to establish a system, which allows alignment of global policy with global environmental financing; and to enhance review and accountability for the implementation of agreed commitments through a voluntary peer and expert review system, supported by capacity building and technology transfer mechanisms.
- Ensure an effective and accessible science base and science-policy interface – existing sources of science have to be made more accessible to policy makers through the establishment of a comprehensive science-policy interface that spans across different environmental sectors to fully take into account inter-linkages between sectors. Furthermore capacity for science generation in developing countries needs to be strengthened.
- Defragment and align the environmental finance architecture – reforms need to be undertaken that will increase the volume and effectiveness of UNEP's Environment Fund, as the premier fund for financing general environmental activities and the alignment of global policy making with global financing should be reviewed. In that regard, closer alignment/linkages of the Global Environment Facility (GEF) with the global platform of environment ministers should be considered.
- Rationalise the governance and administration of MEAs and enable coherence among global environmental policies and programmes – the current hierarchy of environmental decision-making at the international level needs to be clarified. In order to avoid overlap and inefficiencies of MEAs, the services of secretariats responsible for their administration need to be reviewed and streamlined. Emphasis and resources need to shift from administration of MEA secretariats to implementing MEAs at the national level.
- Enhance the MEA implementation capacity to better address countries' needs –implementation capacity needs to be enhanced to increase regional and national support for implementing MEAs and other internationally agreed commitments as well as integrate environmental considerations in economic and social policy making more effectively. This should go hand-in-hand with capacity building and the provision of technology support as the basis for national ownership and long-term success.

ed with an expanded mandate for involving stakeholders in its work. In addition, RIO+20 decided to establish the United Nations Environment Assembly of UNEP (UNEA) with universal membership. UNEA feeds directly into the General Assembly and enjoys universal membership of all 193 UN member states as well as other stakeholder groups. With this wide reach into the legislative, financial and development arenas, the new body presents a ground-breaking platform for leadership on global environmental policy. The creation of UNEA is thus by many seen as the coming of age of the environment as a world issue, as it places environmental concerns on the same footing with those of peace, security, finance, health and trade for the first time.

Although one of the smallest institutions of the UN-system³¹³, the UNEP is a key global player in advancing sustainable development giving real political meaning to the 'environment' leg of the sustainable development (the 3-legged stool: environment, economy and equity).

Some progress in implementation of specific MEA's (Basel, Rotterdam and Stockholm Conventions and CITES (see EQ 4).) has been noted. Most successful has been the implementation of the Montreal Protocol on substances that deplete the ozone layer which has led to a promising recovery of the ozone hole over the Antarctic.

Other major achievements during the period include UNEP's international initiatives that have expanded into self-governing initiatives such as the Intergovernmental Panel on Climate Change (IPCC), the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) and the Economics of Ecosystems and Biodiversity programme (TEEB <http://www.teebweb.org/>); the Minamata Convention (mercury) as well as the orchestrating the ground work which paved the way for the CBD post/2010 agreements (Aichi targets).

The '*on-the ground implementation*' of the MEAs is the responsibility of the national governments parties to the Conventions. The UNEP and MEA Secretariats cannot *ensure* their implementation but have provided guidance, tools and framework for national policy and strategy formulation, national capacity development for understanding the implication of the various MEA and necessary actions to be taken for their implementation.

However, in view of continued worldwide environmental degradation (GEO-5 report) UNEP needs to improve the strategy and approach for strengthening the capacity at national, regional and global levels to enable government interventions *on the ground*³¹⁴

The limited overall progress towards preventing loss of biodiversity (in spite of progress in areas legally established as protected areas) and system-wide change towards sustainable development underline the fact that global summits, universal agreements and independent commissions (IEG) have reached its limits. UNEP is able to '*bring the horse to the water... but cannot make it drink*'.

EU contribution: In the Memorandum of Understanding³¹⁵ (MoU) signed back in 2004 between the EU and UNEP; both sides agreed to consolidate, develop and intensify cooperation and increase its effectiveness to achieve goals and objectives in the field of environment policy. This has over the years been translated into a number of activities, programmes and projects in areas of common concern such as sustainable consumption and production, climate change, water, sound chemicals and waste management, environmental monitoring and assessment, strengthening environmental governance at the global, regional and national levels, including support for the national implementation of Multilateral Environmental Agreements.

Projects financed during the 2007-2010 ENRTP were by EU found to lack an overall strategic approach and there was no predictability of the likely level of support for UNEP, nor any flexibility in adapting the programme to respond to new challenges. The selection of the actions was until then mostly made on a case-by-case basis. Each year discussions took place to decide which actions with the various UNEP services would be included in the Annual Action Programme of the ENRTP. This process resulted in a dispersal of actions, a lack of strategic focus and a less-cost effective use of resources³¹⁶.

To address these issues, discussions on how the EU would provide its support to UNEP took place as part of their yearly High-Level Meetings (HLM). The 6th Commission-UNEP High Level Meeting of

³¹³ UNEP Secretariat receives only 0.67% of the overall UN regular budget for 2014-2015

³¹⁴ UNEP 2013: Evaluation of the UNEP Environmental Governance Sub-Programme

³¹⁵ Memorandum of Understanding (MoU) Concerning the strengthening of cooperation between the United Nations Environment Programme and the Commission of the European Communities in the field of environment, 20 September 2004.

³¹⁶ Strategic Cooperation Agreement between the European Commission and the UNEP, (covering Priorities 1.2 and 3.3 – Support for mainstreaming), DCI-ENV/2010/258-800.

June 2010 agreed to develop a multi-annual joint programme of work for consideration under the ENRTP Multiannual Strategy for the years 2011-2013³¹⁷. The ENRTP 2011-2013 Multiannual Strategy and Indicative Programme contains several references to the establishment of a longer-term and more strategic cooperation between the EU and UNEP under the existing MoU: “*The parties will also consider possibilities of an enhanced, more predictable, multi-year financial cooperation in area(s) agreed under the MoU*” (Art 4 (3)). On this basis the EU and UNEP agreed to establish Strategic Cooperation Agreements (SCAs) for their mutual benefit in the achievement of agreed goals and objectives in the field of the global environment. For practical and managerial reasons, two SCAs were developed and signed: One worth EUR 15 million for the 2011-2013 ENRTP priorities 1, 2 and 3.3 – Support for mainstreaming with DG DEVCO, which was topped up with EUR 18 million, and the second worth EUR 15.2 million for 2011-2013 ENRTP priority 3.1 (environmental governance) with DG ENV.

In summary EU-UNEP cooperation has evolved as follows:

Table 24 Evolution of EU-UNEP cooperation

2007-2013 Strategy and 2007-2010 Multi-Annual Indicative Programme (MIP)		Revised 2007-2013 Strategy and MIP for 2011-2013
2007-2008	2009-2010	2011-2013
ENRTP priority 4: Environmental Governance including Climate Change	ENRTP priority 4: Environmental Governance including CC	Strategic Cooperation Agreement for two distinct priorities: 3.1. Environment 3.2. CLIMA
1 DG implementing through ENV and CLIMA	2 DGs implementing separately: DG ENV and DG CLIMA	2 DGs implementing separately: DG ENV and DG CLIMA

Source: interview with Fabian Sordet, DG-ENV

Furthermore, the SCA included programmes/activities focussing on the implementation of AICHI targets (CBD/post 2010).

The EU change of *modus operandi* and the development of Strategic Framework Agreements have contributed to the improvement of the UNEP (UNEP-administered MEA Secretariats) ability for long-term planning of activities and thus supported the UNEP Institutional Reform process.

The reform process included the development of a Programme of Work introducing of six thematic sub-programmes with a focus on result-based planning and management in combination with all the associated past and on-going operation and administrative changes.

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:

- 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 and now also the Minamata Convention. 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 has been able to promote synergies between the different MEAs and assisted the Secretariats in efforts to strengthen the ability of parties to engage to implement decisions of the COPs³¹⁸, but equally important also giving UNEP a possibility (due to the flexibility and long-term commitment of the SCAs) to further develop its role as a ‘venture catalyst’ conceiving and mobilizing resources for devel-

³¹⁷ C/2010/9312 adopted by the European Commission on 22/12/2010.

³¹⁸ Interviews with CBD Secretariat

opment of innovative solutions (such as the TEEB³¹⁹, the Poverty and Environment Initiative (PEI) and Environment and Security Initiative (ENVSEC), which in the long term may have a stronger influence and provide an important incentive for national governments to fulfil their MEA commitments.

The 2012-2013 biennium completed the implementation of the first Mid-Term Strategy of UNEP for the period 2010-2013³²⁰ covering the period of also the first EU-UNEP SCA. For the first time UNEP has applied result-based management principles throughout the programme cycle, from planning to monitoring and evaluating implementation. UNEP's performance against expected accomplishments (EA) has been measured and showed that UNEP performed reasonably well reaching 64 % of EA on schedule, 30 % partially achieved with work still underway, and 6% not achieved owing to indicators that were not possible to measure.

Over the biennium, a mid-term evaluation of the Medium-Term Strategy for 2010-2013 and an evaluation of half of UNEP's sub-programmes (climate change, disasters and conflicts and environmental governance) were carried out in line with the organisation's rolling evaluation work plan. 48 project evaluations were also completed where 62 % were rated 'satisfactory' or higher which is a 2% increase from the previous biennium, and 5% fell within the 'unsatisfactory' range which also is an improvement from 11% rated 'unsatisfactory' in the previous biennium.

In the aftermath of Rio+20, UNEP's efforts to lead implementation of '*the Future We Want*' were recognised by the UN General Assembly and UNEP Governing Council. Governments also backed (Feb. 2013) more predictable, stable and increased funding for UNEP from the UN Regular Budget underlining increased confidence in UNEP's ability and role to deliver the environmental dimension of sustainable development.

The EU shares this confidence and renewed the Memorandum of Understanding with UNEP in June 2014 in response to the outcome of the Rio+20. It will contribute to a coherent and comprehensive approach to sustainable development and poverty eradication within the Post-2015 Agenda, and strengthen both Parties' capacity to ensure that environmental concerns are better reflected in broader policy-making. The agreement will enable more targeted cooperation on current and future global priorities for the two partners in areas such as climate change, green economy, biodiversity and the new mercury convention. EU will provide EUR 9 million per year over the next 7 years.

External Factors: The lack of outcome of Rio+20 (as well as earlier COPs such as Copenhagen in 2009) left many perplexed with a sense of negativity and hopelessness and challenges the way UNEP translate and operationalise its mandate. UNEP is a small organisation operating within a huge bureaucracy of the UN with its work and allocation of funds determined by the Parties to the UN. The inability of the UN system to promote any significant governance reform would seriously hamper UNEP's ability to adequately address and lead a new movement towards the end goal of sustainable development.

The Rio+20 showed that the idea of sustainable development had been embraced by all, but the phasing out of *un-sustainable behaviour* remained un-changed. A fundamental dilemma, in view of achieving the '3-legged' sustainability is that **we have an economy that needs more consumers than producers**. Increased population pressures on the resources we cannot exist without is no longer a theme in the global development discourse and governments have abandoned the one child policy (e.g. China) and some even encourage people to get more children (e.g. Iraq) with no consideration to the consequences on the ecosystem services available for human well-being or considerations to what an increased number of people in reality may live off.

The financial crisis in 2008 placed *equity* squarely on the international agenda. The global economic system has dramatically widened gaps between rich and poor both between countries and internally. Due to the lack of addressing *equity*, global negotiations on major topics related to sustainable development (including loss of biodiversity) are failing. The climate change talks are likewise stalled over issues of climate justice, climate space and responsibility for the carbon heritage.

This underlines the findings from Rio+20, that the world society no longer can rely on an approach centred on global summits, universal agreements and independent commissions, all of which impact the future work of the UNEP and MEA Secretariats.

³¹⁹ A recent global initiative – significantly funded by the EU – is the Economics of Ecosystems and Biodiversity (TEEB) study. This is a major international initiative to draw attention to the global economic benefits of biodiversity, to highlight the growing costs of biodiversity loss and ecosystem degradation, and to draw together expertise from the fields of science, economics and policy to enable practical actions moving forward

³²⁰ UNEP Programme Performance Report 2012-2013

6.1.2 I-612. Degree of participation (higher level of participation in meetings, higher capacity to engage) of developing countries in MEA negotiation processes in relation to biodiversity – as a result of support/facilitation from UNEP and its MEA Secretariats

Description: The annual Conferences of the Parties (COPs) and the intersessional meetings of the UNEP³²¹ are key forums for international environmental governance; it is at the COPs where international agreements related to biodiversity (including agreements on disposals of chemicals, COPs, and hazardous waste) are made, and the intersessionals (such as the Working Group on Protected Areas) are key events for preparations for the upcoming COPs as well as more detailed discussions on the implementation of internationally agreed commitments.

As such, these events are critical forums for all countries to attend in order to influence decisions, but it is expensive and hence difficult for LDCs and small island developing states (SIDSs) to send delegations to these meetings without financial support. For international agreements to be globally accepted, effective and progressive its stakeholders must feel a certain amount of ownership and coverage should be global. Participation in the process is therefore vital.³²²

Evidence of the change: The UNEP recognises the importance of engaging Major Groups and other Stakeholders as partners and appreciates the perspectives they bring to the table, valuable research and advocacy functions they perform and their role in helping foster long-term, broad-based support for UNEP's mission. To this end, the UNEP has established the Major Groups and Stakeholder Branch which unites (Global Fora) representatives from major groups such as Business and Industry, Farmers, Indigenous Peoples, Local Authorities, NGOs, the Scientific and Technological Community, Women, and Workers and Trade Unions (GMGSF). Meetings with the GMGSF are held every year since 2000.

UNEP commits to facilitate input resulting from Major Groups and other Stakeholders expertise and views, at the intergovernmental level, in line with applicable rules and regulations. Accredited Major Groups and other Stakeholders are invited to participate in all relevant global and regional fora, in particular the United Nations Environment Assembly (UNEA) of UNEP Sessions. Major Groups and other Stakeholders are invited to provide their input into the preparatory process, including agenda setting and into the UNEA Sessions can comment and provide expertise also during the preparatory process. Decisions then taken by member states at the UNEA serve as the basis to UNEP's Programme of Work.

Recently, the Global Major Groups and Stakeholder Forum (GMGSF-14, 2013) drafted the 'Principles of Stakeholder Participation in UNEP' as a follow up to the Rio+20 'The future we want, §88(h) where UNEP was mandated to engage in an even closer collaboration with the civil society to ensure "the active participation of all relevant stakeholders drawing on best practices and models from relevant multilateral institutions and exploring new mechanisms to promote transparency and the effective engagement of civil society" and to improve the integration of their participation at the UNEP Governing Council and in global environmental decision-making.

The financing of the GMGSF is provided in parts by the UN Regular budget, Earmarked Contributions, and Environmental Fund Contributions. UNEP is almost entirely funded (93%) by direct, voluntary contributions – largely from Member States. Meetings with the GMGSF are, in spite of limited funding, held every year since 2000.

The **Secretariat for the Convention on Biological Diversity** is financed from contributions made by Parties and non-Parties to the following three Trust Funds established by the Conference of the Parties:

- The General Trust Fund for the Convention on Biological Diversity (BY Trust Fund), which is the major source of funding for the Secretariat and is funded from the assessed contributions of Parties to the CBD, based on the United Nations scales of assessment;
- The Special Voluntary Trust Fund (BE Trust Fund) for additional voluntary contributions in support of approved activities of the Convention on Biological Diversity; and
- The Special Voluntary Trust Fund (BZ Trust Fund) for Facilitating Participation of Parties in the Convention Process.

³²¹ Unless otherwise stated, UNEP is understood in the text as including the UNEP Divisions, Regional Offices and UNEP administered Multilateral Environment Agreements (MEAs) Secretariats: CBD, CITES, Basel, Rotterdam, Stockholm

³²² Source: Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012

In addition, the CBD Secretariat operates with:

- General Trust Fund for Voluntary Contributions (VB) to facilitate the participation of Indigenous and Local Communities in the Work of the Convention established in 2010;
- Special Voluntary Trust Fund for Facilitating Participation of Developing Country Parties, in particular the Least Developed and the Small Island Developing States amongst them, and Parties with Economies in Transition (BI).

The BE, BZ, VB and BI Trust Funds are voluntary Trust Funds through which countries and organizations can support important work of the Secretariat which is not provided for within the regular budget. The BZ, VB, BI Trust Funds is used to cover travel costs of developing country Parties, in particular the least developed and small island developing States, and other Parties with economies in transition, to enable them to attend the meetings and conferences convened by the Secretariat.

To date, the **CBD** COP has held 11 ordinary meetings, and one extraordinary meeting (the latter, to adopt the Biosafety Protocol, was held in two parts). In October 2010 the CBD COP 10 with participation of all Parties agreed on the new Biodiversity Strategy 2011-2020 including the Aichi targets (see EQ 4). Next meeting will be in October 2014. Besides the COPs numerous technical and preparatory meetings have been held in particular by the Work Groups on Protected Areas and the Access and Benefit-Sharing (ABS) both of which should benefit from participation of indigenous and local communities and the LDCs where funds are made available through the BZ, VB, BI voluntary trust funds. The voluntary fund (BZ-VB) established in 2010 financed 21 participants from LDC countries for the COP 11 in Hyderabad, India, however, it has not been possible to establish the significance of this participation in relation to overall influence on decisions taken during the meeting nor the participation in the technical working groups. It is evident, though, LDC countries (through the G77³²³) at the COP meeting in Hyderabad (2012) had the capacity to question the feasibility of implementing the Aichi targets and hinted a possible suspension of the targets under the Nagoya Protocol unless sufficient financial resources became available. Developing countries, home to rich biological diversity, now express concern and are doubtful that the promise of increasing financial resource flows from developed to developing countries will materialise by 2015.

The **CITES** COP has held 16 ordinary meetings since its establishment in 1976. Meetings are held with an interval of 2.5 – 3 years with three meetings during the period 2007-2013. Characteristics of the CITES COP are that all parties to the convention participate with more than one person as well as a large number of observers including EU, UN system, International NGOs, and NGOs from developing countries bringing the number of participant in each meeting to well above 2000³²⁴. All parties propose and argue for inclusion or exclusion from the CITES lists and decisions are taken in consensus.

The Parties to the **Basel, Rotterdam and Stockholm** Conventions has since 2010 held the COPs jointly following the work and recommendations of an Ad hoc Joint Working Group established in 2007 on Enhancing Cooperation and Coordination among the Basel, Rotterdam and Stockholm Conventions (AHJWG). The mandate of the group was to prepare joint recommendations on enhanced cooperation and coordination for submission to the COPs of the three conventions. The simultaneous extraordinary Conferences of the Parties (ExCOPs) to the Basel, Rotterdam and Stockholm Conventions were held in February 2010 in Nusa Dua, Bali, Indonesia.

Subsequently, the eleventh special session of the UNEP Governing Council/Global Ministerial Environment Forum (GCSS-11/GMEF³²⁵) adopted the decision for a joint service, joint activities, and synchronization of the budget cycles, joint audits, joint managerial functions, and review arrangements. Over 1000 participants, representing more than 100 governments from both developed and developing countries, as well as intergovernmental organizations such as EU, UN agencies, and major groups and other stakeholders, attended the meetings.

The GCSS-11/GMEF concluded its work by adopting eight decisions on: International Environmental Governance (IEG); enhanced coordination across the UN, including the Environmental Management Group (EMG); a follow-up report on the environmental situation in the Gaza Strip; the intergovernmental science-policy platform on biodiversity and ecosystem services (IPBES); strengthening the environmental response in Haiti; oceans; a consultative process on financing options for chemicals and wastes; and environmental law.

³²³ By 2012 the Group of 77 had expanded to 132. The group was founded in 1964 to promote the collective economic interests of members and create joint negotiation capacity at the UN.

³²⁴ Refer to: www.cites.org/eng/cop/index.php for further details

³²⁵ Following the former meeting and held in Nusa Dua, Bali, Indonesia

The GCSS-11/GMEF session was largely viewed as a success by participants, taking into account the ambitious agenda. Delegates particularly welcomed the Nusa Dua Declaration as well as the decisions on IEG and IPBES. Some saw it as a signal for UNEP's increasing involvement in the UN sustainable development agenda, including the preparations for Rio+ 20. The session also appeared to restore some degree of confidence in multilateralism after Copenhagen (2009).

While the ENRTP Priority 4 Evaluation (2012) indicates an under-representation of developing countries, this information has not been confirmed.

Developing countries have gradually become more articulate and able to promote their view-points in relation to biodiversity and use of resources as witnessed by the Copenhagen Summit (2009), the CBD Nagoya COP (2010) and the Rio+20 summit in 2012. In particular, the active participation of the Group of 77 have influenced the decisions and agreements reached (or rather not been able to be reached) at COP meetings, but also shows that, developing countries recognise the UN system as a legitimate forum for raising their voices to achieve their goals.

EU contribution: Since participation from developing country delegates and experts clearly increase the Convention's credibility and support, thereby improving biodiversity governance; it makes sense to fund developing country participation in these meetings. A part of the EU ENRTP support has been used for this goal, either for bringing delegates together in order for them to prepare for the COP meetings or for their actual participation in the meetings, which is in line with the objective of Priority 4.

EU has actively supported the participation of developing countries in the relevant Convention processes, in particular LDCs and SIDSs, through the voluntary contributions to the UNEP and MEA Secretariats. These Trust Funds cover travel expenses and daily subsistence allowances for developing country delegates³²⁶. Even though it is not possible to know which specific ENRTP contracts classified as "International Environmental Governance" (there is a total of 102 contracts signed between 2007 and 2013) are directly targeted to effective participation, and capacity building to engage, in meetings and COPs concerned with biodiversity, it can be assumed that the ENRTP's contribution is relatively important considering the diversification and volume of support.

Table 25 *EU support to environment and climate change: International Environmental Governance funding (ENRTP)*

<i>Sub-sectors</i>	<i>Contracted amount (€)</i>	<i># of contracts</i>
Biodiversity	26,608,139	10
Biodiversity: CBD	3,620,000	5
Biodiversity: CITES	3,640,000	6
Biodiversity: other	2,100,000	3
Biodiversity: UNEP	1,500,000	1
Biodiversity: UNEP WCMC	750,000	2
Desertification	780,000	2
Environment & Sustainable Economic development	12,566,562	17
Environmental data & information	3,948,916	6
Other	5,902,533	14
UNEP	33,700,000	3
Waste & Chemicals	9,406,240	29
Water resources	780,000	4
Total	105,302,390	102

Source: CRIS, Particip analysis

The field visits have confirmed an increase in the participation of delegates from the developing countries in intersessionals and COP meetings. UNEP and MEA Secretariats have financed the participation of a number of delegates, although this support was found insufficient (Kenya and Rwanda) when only one delegate was sponsored. The majority of funding for participation of delegations was provided

³²⁶ Eligible countries for support are those, which in 2007 had an annual GDP below USD 7,500 and in the case of SIDSs below USD 14,000

ed through other sources, mainly bilateral donors working in the respective countries including EU. The actual events and sessions have been organised by UNEP and MEA Secretariats.

Unfortunately, the evaluation team could not gather a more accurate picture of the significance of EU's support, information on the proportion of the Voluntary Trust Fund's resources that has been provided by EU. Moreover, it was not possible to have access to statistical information on the funded participants disaggregated on gender, youth, and type of institution (government, civil society, academia, and the private sector) to assess the extent to which the funding is promoting inclusion.

6.1.3 I-613. Strengthened debates and tangible commitments (e.g. funding) from North and South parties vis-à-vis developing country needs and priorities in CBD and related negotiation processes

Description: This indicator measures the extent to which the debates in the CBD/post-2010 negotiations adequately consider the needs and priorities of LDCs and SIDSs, and whether the agreements and commitments made respond to the needs.

While the LDCs and SIDSs have a fairly limited consumption of products, they contribute significantly to the loss of biodiversity³²⁷ through habitat destruction and wildlife trade; they are generally also the countries, which will be effected most socially and economically by the loss of biodiversity. Furthermore, deforestation and un-sustainable land use practices in some developing countries contribute significantly to the GHG emissions thereby exposing the countries to additional calamities and impacts of climate change.

Evidence of the change: The CBD became effective in 1993 as an international legal instrument for the conservation and sustainable use of biological diversity. Furthermore, the Convention takes into account "the need to share costs and benefits between developed and developing countries" as well as "ways and means to support innovation by local people".

The LDC and SIDS were from the beginning Parties to the Convention and have all agreed to the CBD/post-2010 Aichi targets, however under the condition that financial resources would be forthcoming for their implementation.

Hence, from an LDC and SIDS perspective, it is critical that commitments are made a) to address the underlying courses of biodiversity loss, and b) ensure support so they can increase their implementation capacity, and c) ensure support for development of alternatives to deforestation and land use (crop and livestock) practices.

Therefore, the LDC and SIDS through the G77/China have called for implementation of the Strategic Plan for Biodiversity 2011-2020. This G77 Declaration was adopted during the 35th annual meeting of the G-77/China Ministers for Foreign Affairs. It calls for the implementation of the Strategic Plan for Biodiversity 2011-2020 as the overarching biodiversity framework, and highlights the importance of ongoing efforts aimed at translating the Strategic Plan's Aichi Targets into national biodiversity strategies and action plans (NBSAPs). The Ministers also took note of the adoption of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their Utilization, and reaffirmed the importance of the draft multi-year plan of action on south-south cooperation on biodiversity for development, to be adopted at CBD COP-11³²⁸.

Furthermore, at the CBD COP 11 in Hyderabad, India (2012) where the negotiations to mobilise resources for preservation of biodiversity were going nowhere, the Group of 77/ China hinted at possible suspension of the 'Aichi targets' under the Nagoya Protocol. Algeria, then G 77 chair, stressed in a statement at the COP 11, that developing countries had made significant commitments at COP 10 in Nagoya, Japan, on the expectation that financial resources would be forthcoming to meet the Aichi targets and hinted that unless COP 11 addresses the issue of resource mobilisation the gains at Nagoya would be negated and the momentum towards realising the Aichi targets lost.

A high-level 'Global Assessment of Resources for Implementing the Strategic Plan for Biodiversity 2011-2020', sponsored by Britain and India and released at the COP 11, informs that addressing the drivers of biodiversity loss and ecosystem restoration, over the 2013 – 2020 period could cost hundreds of billions of dollars³²⁹, it was also found that the greatest resource needs were around reducing the direct drivers of biodiversity loss – those which occur throughout our economies and societies³³⁰.

³²⁷ LDCs and SIDS are located in the most biodiversity rich ecological zones, thus also having most to lose.

³²⁸ <http://biodiversity-l.iisd.org/news/g-77china-ministers-call-for-implementation-of-strategic-plan-for-biodiversity-aichi-biodiversity-targets/>

³²⁹ The projected global needs of USD 150 – 440 billion per year (a) to implement the 2020 Aichi Targets for biodiversity are currently only partially met. Globally, an estimated USD 51.5-53.4 billion is allocated annually to fund

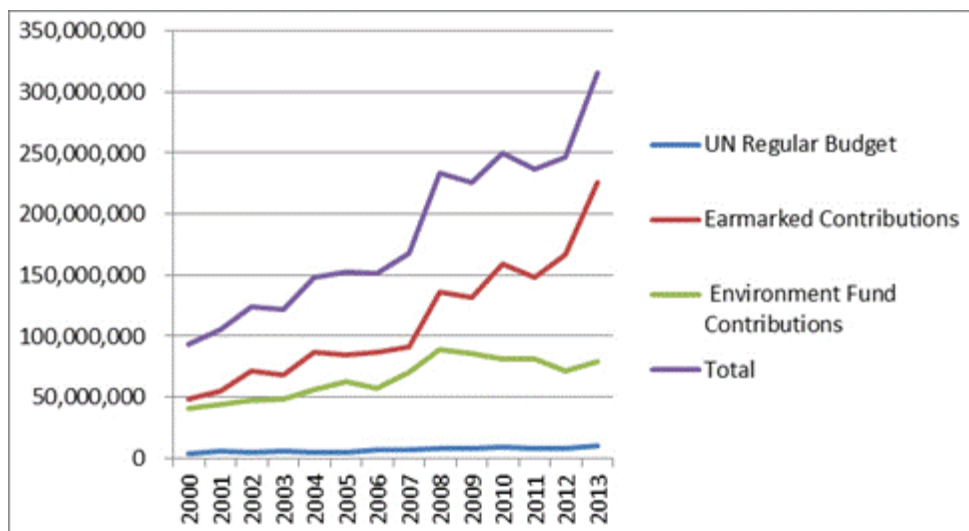
Most of the current financing for biodiversity, however, is delivered in the developed countries while economically developing regions with the highest predicted loss of biodiversity, such Africa, Asia, Latin America and the Caribbean, continue to suffer from the lack of resources. This suggests that, from the perspective of resource mobilisation for biodiversity, there is slight a mismatch between the current direction of flows and global threats to – and therefore also needs for – biodiversity conservation. Consequently, there is an urgent need to find additional and sufficient resources to enable developing countries to implement the 2020 Aichi Targets for biodiversity and, at the same time, fulfilling the commitments by developed countries to provide additional finance to match the costs of implementing the global targets³³¹.

Public funding and private sector investment (still under debate), innovative measures, incentives such as payments for ecosystem services, conservation agreements including with local communities, water fees, forest carbon offsets, and green fiscal policies are among possible sources.

In relation to tangible commitments from North and South providing funding for LDCs and SIDS implementation of the Aichi targets, some progress has been made in the period 2007-2013. In particular, the 5th replenishment of GEF (USD 4.37 billion) focused on the improvement of NBSAPs and it is expected that the 6th replenishment (USD 4.43 billion from 2014-2018) of GEF will focus on the financial requirement for implementation of the targets.

Also bilateral donors have increased their contributions to UNEP and MEA Secretariats for undertaking activities at national levels to facilitate the implementation of the MEAs as illustrated in the figure below.

Figure 45 UNEP contributions 2000-2013 by source of funding (USD)



Source: UNEP

<http://www.unep.org/about/funding/AboutOurFunding/Overview/tabid/131421/Default.aspx>

Rio+20 in 2012, agreed to strengthen and upgrade UNEP with the establishment of UNEA, including universal membership, so that it is able to ensure that environment plays an equal part in the sustainable development agenda and to help governments achieve their environmental goals. It was accepted that the vision for UNEP outlined in Rio was largely dependent on the security, stability and adequacy of its funding. Consequently, Member States agreed UNEP should *receive "secure, stable, adequate and increased financial resources from the regular budget of the United Nations and voluntary*

biodiversity and ecosystem services. A significant amount of the global needs (USD 74 – 191 billion in 2014-2018) is foreseen to take place in developing countries (b). a) UNEP/CBD/COP/11/INF/20; b) (UNEP/CBD/COP/11/INF/35) Estimated total investment needs for the Global Environment Facility (GEF) in 2014-2018 to achieve the Aichi Biodiversity Targets (UNEP/CBD/COP/11/INF/35)

³³⁰ Quote by Pavan Sukhdev, an economist and goodwill ambassador of U.N. Environment Programme at the COP 11

³³¹ Kettunen, M., D'Amato, D. ten Brink, P., Mazza, L., Malou, A. and Withana, S (2013) Potential of sectoral resource mobilisation to implement the Aichi targets in developing countries, Institute for European Environmental Policy (IEEP), Brussels, Belgium,

contributions to fulfil its mandate". This call was confirmed by the GA resolution 66/288 of December 2012 and Governing Council decision 27/2 of February 2013.

In addition, the Nagoya Protocol Implementation Fund (NPIF) was established in March 2011. The NPIF is a multi-donor trust fund and can receive voluntary contributions from multiple donors, including governments and the private sector. The NPIF was established to support developing countries and countries with economies in transitions that have signed, ratified, or are in the process of ratification of the Nagoya Protocol. The NPIF is administered by GEF and support activities such as: Initial scoping assessments, outreach and public awareness leading to accession to the Nagoya Protocol; Pilot projects leading to Access and Benefit Sharing (ABS) agreements between users and providers of genetic resources; Technology transfer and private sector engagement; Engagement of indigenous communities in project preparation and implementation; Knowledge transfer and scientific development; Reviews of capacities and needs on ABS with focus on existing policies, laws and regulations.

The above illustrates that the debate has been strengthened with the developing countries now in a much stronger negotiation position than previously. However, the LDC and SIDS still maintain the present financial and technical commitments are insufficient and will be one of the key discussions at the up-coming CBD COP12 in Korea in October 2014. The key outcomes of the meeting was the reaffirmation of the COP 11 agreement to double total biodiversity-related international financial resource flows to developing countries by 2015 and at least maintain this level until 2020. EU and its Member States reaffirmed their commitment to by 2015 contribute to doubling total biodiversity-related financial resource flows from a variety of sources to developing countries, in particular least developed countries and Small Island Developing States, as well as countries with economies in transition.

EU contribution: EU is a major contributor to the UNEP and MEA Secretariats' budget. With a contribution in 2012 of USD 44.7 million³³² to all sources of funding, the EU ranked as the top contributor to UNEP's work. UNEP has thus become the main implementing partner for EU's support to international environmental governance.

EU funding has contributed to a range of activities aimed at strengthening the CBD/post-2010 processes in order to reach consensus and tangible agreements; such as:

- The Trust Fund (BZ, VB) covering travel costs for LDC and SIDS delegates and experts for preparation (Intercessional Activities) and attendance in the different CBD-CITES-Basel/Rotterdam/Stockholm COP meetings and preparation of the Minamata Convention;
- Workshops, events, and technical meetings;
- Support for working groups and technical expert groups (such as the GMGSF, Protected Areas Work Group);
- Knowledge products, e.g. studies (mainly undertaken by UNEP in collaboration with the scientific society such as TEEB, IPBES, WAVES³³³), publications, guidelines, and website inputs to provide better knowledge prior to decisions;
- Both moral and financial support to the institutional reform programme.

At country level, four (DRC, Brazil, Cambodia and Uganda) surveyed EUD's felt that national debates on biodiversity related issues in particular the negotiation processes had been strengthened to a high extent by the EU support to UNEP and the MEA Secretariats. Three of them (Colombia, Guatemala and Ukraine) considered that EU support has contributed to a low extent. EU support contribution to the increase in tangible commitments in particular from non-state actors (private sector, etc.) has also been important in DRC, Cambodia and Colombia, and to a lesser extent in Guatemala, Uganda and Ukraine. Increased commitments by Governments have also been an effect, to a low extent, of EU support to five countries, including Brazil.

³³² <http://www.unep.org/about/funding/>

³³³ Interlinked with the TEEB the Wealth Accounting and the Valuation of Ecosystem Services (WAVES) project was launched at the Nagoya Conference in 2010. WAVES is a global partnership that aims to promote sustainable development by ensuring that natural resources are mainstreamed in development planning and national economic accounts. The partnership brings together the central banks, UN agencies, governments, international institutes, NGOs and academics to implement Natural Capital Accounting (NCA).

6.2 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)

6.2.1 I-621. Evidence of new data, knowledge, methodologies, guidelines/manuals, tools, and experiences being generated and made accessible to developing country decision-makers and stakeholders

Description: While there is now a growing recognition that biodiversity is essential for human well-being and for achieving sustainable development there is still a need for more knowledge to ensure that policies and agreements are well-informed and foster appropriate decisions at all levels.

The world needs a reliable source of information on the transition to a green economy and sustainable development more generally.

Equally important is the development, availability and access to technologies, methodologies and tools which can address the loss of biodiversity and its underlying causes. The challenge is to find ways to make this information more transparent and easily accessible.

Key areas concerning biodiversity in need of improvement fall into three classes: 1) addressing data gaps, data volume, and data quality, 2) aggregating new kinds of data for new applications, and 3) promoting ease-of-use and providing incentives for wider use. Addressing the challenge of providing high quality primary biodiversity data can potentially serve the needs of many international biodiversity initiatives, including the 2020-biodiversity targets of the Convention on Biological Diversity, the emerging global biodiversity observation network (GEO BON), and the new Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES).

Evidence of the change: During the period under evaluation biodiversity has become more prominent on the international agenda and many organisations have carried out work in relation to in-situ biodiversity conservation and more recently biodiversity conservation as an integral part of the man-made ecosystems (ecosystem management) thus gradually gathering more knowledge and experience in best practices.

Donors have allocated significant funding for biodiversity conservation, and as a result NGOs, think tanks, research institutions, and others have engaged in research, pilot actions on the ground, and development of methodologies, tools and manuals – and in disseminating through multiple channels their experiences and approaches within a range of climate related themes and across several sectors.

The gradual recognition and now wide-spread of the use Geographical Information Systems (GIS) including their ability to handle data and information systems have greatly improved (or have the possibility for improving) the knowledge and understanding of the functions and interrelationships of man-made ecosystems, biodiversity, geology, and natural resources. Furthermore, new data can easily be added and analysed and complex scientific result can be made available in an easy understandable manner to a broad audience, not only to the scientific world.

Moreover, new knowledge and approaches are generated on a continuous basis. Hence, there is now a lot of knowledge and practices available and accessible through the Internet, where searches on specific topics often generate millions of results. Only some of the main sources of information will be mentioned here.

Among the main contributors are the United Nations Information Portal on Multilateral Environmental Agreements (InforMEA), UNEP World Conservation Monitoring Centre, IUCN and the important network, Biodiversity Observation Network (GEO BON) which coordinates activities relating to the Societal Benefit Area (SBA) on Biodiversity of the Global Earth Observation System of Systems (GEOSS). Some 100 governmental, inter-governmental and non-governmental organizations are collaborating through GEO BON to organise and improve terrestrial, freshwater and marine biodiversity observations globally and make their biodiversity data, information and forecasts more readily accessible to policymakers, managers, experts and other users. Moreover, GEO BON has been recognised by the Parties to the CBD and has in response to a decision taken at the Nagoya conference of the Convention on Biological Diversity, produced and submitted to the CBD a report entitled "Adequacy of Biodiversity Observation Systems to support the CBD 2020 Targets".

The GEO BON is both a Community of Practice and a Task in the GEO Work Plan. It is a voluntary partnership that is guided by a steering committee comprising the key stakeholders, including DIVERSITAS, GBIF, IUCN, NASA, UNEP-WCMC and others. GEO BON draws on GEO's work on data-sharing principles to promote full and open exchange of data, and on the GEOSS Common Infrastructure to enable interoperability through adoption of consistent standards.

The Joint Research Centre of the European Commission has launched the Digital Observatory for Protected Areas (DOPA). The DOPA is designed as set of distributed web services to assess the state of, and pressure on, Protected Areas and to prioritise them accordingly in order to support decision making and fund allocation processes. It is also conceived as a monitoring and ecological forecasting service. DOPA is supported by the European projects EuroGEOSS and UncertWEB and developed in collaboration with GBIF, UNEP-WCMC, Birdlife International, RSPB and others. So far, the Central Africa BIOPAMA/DOPA observatory has been established and launched in 2014 in cooperation with the regional Observatory for Central African Forests (OFAC).

UNEP's constituents have limited use for raw information. UNEP has added value by gathering, quality-assuring and disseminating the information that they need in order to act. To this end, the early warning of problems and identification of trends continues to be highly valuable. In addition to data on environmental trends, one area where this service could be particularly valuable is in innovation. Tracking research and development in key technologies could prove to be a key aid in helping to speed deployment of innovations that are interesting and useful.

Provision of accurate, timely and relevant information to its constituents lies at the heart of UNEP's mandate. UNEP's scientific base is continually strengthened, and resources may be accessed on the following websites:

Climate Change: <http://www.unep.org/climatechange/Science/tabid/234/language/en-US/Default.aspx>

Disasters and Conflicts: <http://www.unep.org/conflictsanddisasters/Science/tabid/386/language/en-US/Default.aspx>

Environmental Governance:

<http://www.unep.org/environmentalgovernance/Science/tabid/343/language/en-US/Default.aspx>

Ecosystem Management:

<http://www.unep.org/ecosystemmanagement/Science/tabid/310/language/en-US/Default.aspx>

Harmful Substances and Hazardous Waste (Joint web-site for Basel-Rotterdam and Stockholm):

<http://www.unep.org/chemicalsandwaste/Science/tabid/268/language/en-US/Default.aspx>

Resource Efficiency: <http://www.unep.org/resourceefficiency-old/Science/tabid/368/language/fr-FR/Default.aspx>

Furthermore, all of UNEP's MEAs as well as cooperation partners such as universities e.g. UNU-IAS, research centres (e.g. RISØ), institutes (e.g. IISD), International NGO's such as IUCN and WWF provide a wealth of information via the Internet of both general and specific project related nature: e.g. the World Data Base on Protected Areas (WDPA www.protectedplanet.net); CBD Life-web on Protected Areas for financing purposes; all developed guidelines, manuals, kits and instructions related to the implementation of MEAs; as well as information education and training courses available.

In addition, the key functions of the MEA Secretariats are to prepare and service their respective COPs and related subsidiary bodies. In this function they play a significant role in supporting the implementation of the Conventions. This has been fulfilled, for example by compilation of national reports on compliance of the Conventions by domestic authorities. The Secretariats transmit such reports and information to the COP and sometimes elaborates a synthesis of the national reports and information on implementation. The Secretariats also act as information clearing house. In light of this, the Secretariats have strengthening their information dissemination activities on public awareness, information and training. However, time (and additional insight³³⁴) has made it clear that UNEP's constituents have limited use for raw information. UNEP adds value by gathering, quality-assuring and disseminating the information that they need in order to act. To this end, the early warning of problems and identification of trends continues are seen to be highly valuable. In addition to data on environmental trends, one area where the UNEP service (through partners and networks) has been particularly valuable is in innovation. Tracking research and development in key technologies could prove to be a key aid in helping to speed deployment of innovations that are interesting and useful.

However, UNEP largely applies a static form of information collection and dissemination, lacking crowd-sourcing approaches and full integration of the possibilities offered by new information technology. A graphic, location-based analysis in real time, offering "just-in-time" information, not just for policy analysts but also for citizens and decision-makers is still not fully developed although in the process through the GEOSS and DOPA programmes. UNEP's mission to *provide leadership and encourage partnership in caring for the environment by inspiring, informing, and enabling nations and peoples to*

³³⁴ Halle M, Najam A, Beaton Chr. 2013: The future of Sustainable Development: Rethinking sustainable development after Rio+20 and implications for UNEP, IISD

*improve their quality of life without compromising that of future generations*³³⁵ requires data provision for empowering and engaging with a range of new constituents, giving those tools to participate actively and effectively in the movement toward a green economy.

UNEP has the potential, to greatly shorten the distance between science and policy change by putting real-time information in the hands of governments, corporations and civil society.

EU contribution: An important area of support under ENRTP, in particular under the SCA between the EU and UNEP, is the support given to the UNEP and the UNEP Administered MEA Secretariats for their development of various (and innovative) programmes producing knowledge, data, methodologies, guidelines, best practice information and training materials. Some to mention:

- the International Platform on Biodiversity & Ecosystem Services (**IPBES**) programme have trained professionals and developed training materials on LCM, CCM, Water Foot printing and Carbon Foot printing available in English, draft materials available in Spanish;
- Biodiversity Indicators Partnership (**BIP**) in support of capacity development for incorporation of biodiversity indicators into the NBSAPs. Guidelines³³⁶ are available at www.bipindicators.net;
- The International Resource Panel (**IRP**) was established in 2007 to provide independent, coherent and authoritative scientific assessment on the sustainable use of natural resources and the environmental impacts of resource use over the full life cycle. By providing up-to-date information and best science available, the IRP contributes to a better understanding of how to decouple human development and economic growth from environmental degradation. The information contained in the IRP's reports is intended to be policy relevant and support policy framing, policy and programme planning, and enable evaluation and monitoring of policy effectiveness;
- The enhancement of the InforMEA Web-Portal (InforMEA.org), the first project of the MEA Information and Knowledge Management Initiative (MEA IKM), funded by the European Union, provides a number of innovative information categories are under development including an E-learning tool on Environmental Law and Conventions, the possibility to search through national plans and reports submitted by Parties from all participating MEAs and comprehensive ratification and national focal point information. See more at: www.informe.org
- Implementation of UNEP's project on Reflecting the Value of Ecosystems and Biodiversity in Policy-making (TEEB) was initiated within four months of the signing of the DG DG DEVCO SCA. The TEEB has progressed well without delays. The project is working on the development of a Guidance Manual for TEEB Country Studies. Supportive training materials were developed and are currently undergoing a peer review process. Liberia, Tanzania, Bhutan, the Philippines and Ecuador were selected by the TEEB Advisory Board for country studies on the value of biodiversity and ecosystem services feeding into national development planning³³⁷.

Besides the support allocated through the SCA agreements with UNEP under the ENRTP, the EU also supports important initiatives through other instruments to improve the access to knowledge on biodiversity conservation. The following box summarises some of this support.

Box 4 *EU additional support to generation and access to knowledge on biodiversity*

The Joint Research Centre of the European Commission has launched the Digital Observatory for Protected Areas (**DOPA**). The DOPA is designed as set of distributed web services to assess the state of, and pressure on, Protected Areas and to prioritise them accordingly in order to support national and local decision making and fund allocation processes. It is also conceived as a monitoring and ecological forecasting service. DOPA is supported by the European projects EuroGEOSS and UncertWEB and developed in collaboration with GBIF, UNEP-WCMC, Birdlife International, RSPB and others. The DOPA also work with the below in Bolivia. More information about DOPA can be found at <http://dopa.jrc.ec.europa.eu/>

The Biodiversity and Protected Areas Management Programme (**BIOPAMA**) aims to address threats to biodiversity in African, Caribbean and Pacific (ACP) countries, while reducing poverty in communities in and around protected areas. Specifically, the programme will enhance existing institutions and networks by making the best available science and knowledge available for building capacity to improve policies and better decision-making on biodiversity conservation, protected areas management

³³⁵ UNEP mission statement

³³⁶ The guidelines carry no credit to EU support to their development, only Norway.

³³⁷ Source: UNEP: First Annual Strategic Performance Overview Report (SPOR), Reporting Period: 16 September 2011-31 December 2012, 25 October 2013 (draft)

and access and benefit sharing. BIOPAMA is a four year-initiative (2012-2016) funded by resources from the intra-ACP envelope of the 10th European Development Fund (EDF) and consists of two main parts:

1. A protected areas component, jointly implemented by **IUCN and the EC-JRC**, that includes:
 - a) Capacity building for regional and national institutions, technical personnel, and protected areas managers;
 - b) Improved access and availability of biodiversity data through the establishment of regional observatories and information systems to improve decision making.
2. An Access and Benefit Sharing (ABS) component implemented by the Multi-donor ABS Capacity Development Initiative managed by Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

In addition, the EU has, under the 7th Framework (2007-2013) for Research, provided funding for several initiatives which provide information and knowledge on the ecosystem assessment and management in developing countries thus bringing scientists from developed countries together with scientists in developing countries and creates a possibility for complementarity between the EU supported activities in developing countries (see EQ 4 for further information).

In spite of that EU plays a major role in development of all UNEP and MEA Secretariats activities, the visibility of the EU as contributor to the actions have not been ensured throughout all interventions³³⁸.

Building on the EU-UN Joint Action Plan on Visibility from 2006, the EU has therefore initiated the development of Joint Visibility Guidelines (approved in 2014) to provide concrete advice to assist the UN and its specialised agencies, the EU DGs and Delegations in selecting the type of visibility activity best suited to specific actions and contexts. The information also includes information on the correct use of the EU logo and identity.

Five surveyed EUD's found that the UNEP and MEA secretariats had contributed to the generation of methodologies, guidelines and tools as well as sharing and exchange of experiences. The majority did not know, illustrating a lack of visibility also on the UNEP and MEA Secretariats' part.

6.2.2 I-622. Coverage and robustness of global and regional biodiversity and ecosystem monitoring

This subject (ecosystem monitoring) is discussed in EQ4 – JC42

6.3 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

6.3.1 I-631. Evidence of application, by national stakeholders and decision makers of skills and knowledge transferred/promoted by EU supported international entities

Description: Evidence of application of skills and knowledge would materialise through the availability and quality of the national level biodiversity related policies, strategies and plans developed and implemented in view of commitments to the MEAs by the national stakeholders as well as the participation in the development of and commitment to international agreements and their amendments. These results are detailed in EQ 4 – JC 41 – JC43 and I-612.

Therefore, this indicator will focus on the efficiency of the actual capacity building delivered (workshops-seminars) by the UNEP and MEA Secretariats with support from among others EU.

Evidence of Change: Today, capacity building is recognised as a cross-cutting issue in all sustainable development policy documents, including Agenda 21 and the Rio+20 outcome document. Many projects and programmes are now focusing on institutional capacity building instead of/or in combination with individual capacity building (hands-on result oriented training) in attempts to institutionalise new knowledge and capacities gained.

Capacity development is one of the core-function of the UNEP and MEA Secretariats. The UNEP and MEA Secretariats have held various capacity-building workshops and other expert processes have

³³⁸ DG-ENV technical evaluation of Support to the CBD secretariat (end 2008 – 2009 activities) 21.0401/2008/514760/SUB/E2).European Environmental Policy (IEEP), Brussels, Belgium

promoted technical and scientific cooperation among Parties by facilitating the exchange of experience and expertise³³⁹.

Notable among these are regional workshops on the updating of national biodiversity strategies and action plans, workshops on the preparation of national reports, a series of regional expert workshops to describe areas meeting ecologically or biologically significant marine areas (EBSA) criteria, workshops under the programmes of work on protected areas, invasive alien species, ecosystem conservation and restoration, and workshops on valuation and incentive measures and integration of biodiversity into efforts at the subnational level. Document UNEP/CBD/WGRI/5/3 provides a complete list of such efforts over the past three years. Other capacity building activities have included workshops on Articles 8(j) and 10(c), access and benefit sharing and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, and the Cartagena Protocol on Biosafety.

EU has through the EU-UNEP SCA supported all of these activities. In addition, the Japan Biodiversity Fund has contributed substantially, however for a period of five years after the CBD COP 10 meeting in Nagoya in 2010 whereas the EU support is expected to be stable and instrumental in the development and adaptation of the Aichi targets and the Nagoya Protocol on Access and Benefit Sharing (ABS) (now ratified by 54 CBD Parties) as well as the recent adaptation of the Minamata Convention on Mercury (2013). Another major source of financing is GEF.

In addition to organizing workshops, the Secretariats have prepared compilations of best practices, reference and users' manuals, guidelines, training programmes and other written materials. A number of online resources and e-learning modules have also been prepared. The Secretariat also provides partners, including other United Nations agencies, with relevant information for their efforts in delivering support to countries relevant to implementation of the Convention and Strategic Plan for Biodiversity 2011-2020. As a result of these capacity development workshops a large number of countries were in the process of upgrading their NBSAPs, however, progressing slowly due to national institutional limitations in budgets and human resources. Workshop outputs and evaluations are available at www.cbd.int/nbsap/workshops2.shtml.

The CBD Secretariat has headed a series of workshops³⁴⁰ to enhance the skills and knowledge of protected area staff and others who implement the Programmes of Work on Protected Areas PoWPA through the exchange of experiences and sharing of tools, available resources and capacity-building in the following areas: protected areas and climate change adaptation and mitigation, including integration of protected areas into wider land- and seascapes and sectors; developing or revising national action plans for implementing PoWPA; marine protected areas; governance; valuing the costs and benefits of ecosystem services of protected areas, and funding opportunities under GEF 5. Over 250 individuals from more than 100 Parties have participated in these workshops, which have resulted in a number of tangible outcomes.

After the first workshop, it was identified that a unified approach to developing national action plans for the implementation of the PoWPA was necessary for inter alia increased national coordination and regional cooperation as well as comprehensive reporting. Therefore, an action plan template was developed taking these issues into consideration³⁴¹. Additional workshops concerning the implementation of PoWPA have helped to identify targets – areas in need of protection in accordance with Aichi target 11 as well as actions for implementation of identified targets. In addition, the workshops have helped to:

1. facilitate national dialogues about obstacles to and capacity needs for PoWPA implementation and for achieving Target 11 of the Strategic Plan;
2. catalyse the development and consolidation of an array of learning tools and materials, including country-specific case studies covering topics such as successful governance in national protected areas;
3. prioritise strategies for improving climate resilience through site-level planning and specific actions, at least one strategy for protected area site-level planning for climate adaptation, and two important elements of biodiversity to mainstream into sectoral plans and policies, providing a rationale for integrating and mainstreaming protected areas;
4. create heightened awareness about funding opportunities under the GEF fifth replenishment, both within the System for a Transparent Allocation of Resources (STAR) and in terms of en-

³³⁹ UNEP/CBD/CBW-NBSAP/SEASI/3/2

³⁴⁰ In particular after 2010, in order to assist governments apply the Aichi targets.

³⁴¹ UNEP/CBD/COP/11/26

abling activities and opportunities to implement the protected area projects accessed under the GEF fourth replenishment;

5. provide a forum for region-wide discussions on cooperation and future collaboration through technical support networks for facilitating implementation (e.g. the Secretariat of the Pacific Regional Environment Programme (SPREP), the Latin American Technical Cooperation Network of National Parks, Other Protected Areas and Wildlife (REDPARQUES), and the IUCN Regional Offices for Eastern and Southern Africa and Central and West Africa);
6. They have also assisted 120 countries in identifying their national targets in working towards Target 11, taking into account ecological gap analysis and conservation planning studies, and over 100 countries in developing action plans for implementing PoWPA and for achieving Target 11, which further contribute to their revised NBSAPs.

As a result of these workshops, 108 PoWPA action plans have been formally submitted to the Secretariat.

All specific projects and programmes implemented through the UNEP and MEA Secretariats include capacity development – very often in under the concept of ‘training of trainers’ in order to them to reach a larger audience. However, many capacity development activities provided by UNEP and MEA Secretariats do not include engaging in national institutional capacity development, with the result that trained personal return to institutions that may not be able to adopt the required changes.

EU contribution: The objectives of EU support to environmental governance are to enhance the capacity of developing countries to implement the various conventions they have agreed upon and to actively participate in COP negotiations as well as scientific and technical activities.

The SCA has provided a number of opportunities to the EU, UNEP and MEA Secretariats to not only strengthen cooperation but to also pool expertise and resources to address common priorities to achieve the shared objectives of their respective programmes of work. Some examples of EU supported capacity development interventions are:

In the thematic sub-programme of *Biodiversity and ecosystem management* UNEP initiated implementation within four months of the signing of the SCA. Given their earlier start-up, all have been progressing without delays. The first two— IPBES and the Biodiversity Indicators Partnership (BIP)—are technical and scientific in focus, while the third project—the Poverty and Environment Initiative (PEI)—is closely related to environmental governance and has a strong focus on capacity-building. Major results for the reporting period 2012 include³⁴²:

1. IPBES, modelled along the lines of the Intergovernmental Panel on Climate Change (IPCC), but with additional mandates related to capacity building and consolidating knowledge systems, including the scientific community and other knowledge holders, was successfully established. Governments and MEAs related to biodiversity and ecosystem services can present requests to the IPBES. The platform’s work programme was agreed based on requests presented by governments, including MEA Secretariats;
2. During 2012, the plans and activities of the BIP project were integrated with the work programme of the Secretariat of the Convention on Biological Diversity (CBD) in support of the Strategic Plan for Biodiversity 2011-2020; the Executive Secretary of CBD serves as the Chairman of the BIP Steering Committee. Work has continued in the development of new biodiversity indicators in close collaboration with the CBD, resulting in the selection of six new indicators. Through the project, a comprehensive strategy for training of 20 biodiversity indicator development trainers/facilitators worldwide was developed. Two training workshops were planned for 2013. The trainers/facilitators are in turn expected to organise and facilitate capacity-building workshops in their respective regions. During 2012, three regional indicators capacity-building workshops were organised with UNEP regional offices, the CBD Secretariat, regional partners and host countries in Vietnam for Southeast Asia, Sri Lanka for South Asia and Peru for South America, involving a combined total of 27 countries. In August and September of 2012, the project supported the CBD regional National Biodiversity Strategy and Action Plan (NBSAP) workshops in the Pacific, Central and Eastern Europe and Central Asia respectively by offering sessions on indicator development. Project staff are currently updating and expanding the BIP website that supports national and regional biodiversity development.

³⁴² UNEP 25 October 2013: (draft) First Annual Strategic Performance Overview Report (SPOR) Reporting Period: 16 September 2011-31 December 2012.

3. Evaluations³⁴³ of the PEI concur that the programme has succeeded in increase awareness of linkages between environment and well-being in the pilot areas in which it has worked. In these areas it has had an impact on local decision makers with environment issues being noted in local planning processes, and in some cases provincial planning. These successes have been based on increased awareness from local communities and local level advocacy and engagement, and have built on the understanding gained from the Sub-Global Assessment process and the space opened for discussion through the broader programme. The programme has, however, had mixed results in delivering changes at policy and political levels. Limitations in integrating actions and outcomes into formal decision making processes, institutions and budget allocations have limited the prospects of sustainability of the programme's activities. Impacts have not achieved in these areas for a number of institutional and structural reasons including:
- a) Lack of initial technical and political investment in the programme;
 - b) Institutional structures that were not well suited to delivering all programme objectives and did not sufficiently incentivise change at the national level;
 - c) Introduction of new ideas into a complex and rigid institutional environment.

Despite these challenges the programme has made progress at developing a nationally appropriate approach to the Sub-Global Assessment and has gained significant experience in attempting to integrate environmental issues into provincial and national planning.

4. The CITES MIKE programme has much appreciated (e.g. Kenya and Ghana) capacity development of rangers, conservation area managers, wildlife authorities and decision makers for monitoring (ranger-based data collection system) of African and Asian elephants to improve the effectiveness of law enforcement on the ground.

Five projects implemented by MEA Secretariats fall under the thematic area of **Environment and Development**. These include two, each implemented by the Convention on Migratory Species (CMS) and CBD Secretariats and one by the MAP³⁴⁴ Secretariat. The main results achieved by these projects are:

1. Under the **UNEP/MAP** (Barcelona Convention) Ecosystem Approach Coordination Group (CG) a study on the socio-economic assessment of economic services was initiated in December 2012. The secretariat prepared initial documents on the ecosystem approach for the consideration of three of MAP's thematic clusters: pollution and litter, biodiversity and fisheries, and coast and hydrography, comprised of national experts, MAP partners and the scientific community. The consolidated report of the three clusters will be presented to the April 2013 meeting of the CG. Options for the project's pilot site are being considered in two areas of the Mediterranean: the Adriatic Sea and the coast of Montenegro. Preparations are also underway for a monitoring programme for the Mediterranean to assess progress towards the achievement of ecosystem approach targets;
2. Most of the activities of the **CMS** project on Development of Sharks Conservation Measures in the Context of the CMS MOU on Migratory Sharks (CMS-Sharks) were completed in 2012. Representatives of signatories to the CMS MOU on the conservation of sharks, range states and other relevant stakeholders agreed on institutional and financial arrangements of the MOU, as well as on the adoption of the Conservation Plan on priorities and actions for the conservation of sharks. A Sharks MOU website has also been created to raise awareness and support for the conservation of sharks and their habitats. The review of the conservation status of sharks has been completed and is in the process of translation so as to be available in three languages. The implementation of the Conservation Plan will go into effect in 2013;
3. The **CMS** project on Effective Implementation the African-Eurasian Migratory Water Bird Agreement (AEWA) and other CMS-family Instruments through Capacity-building commenced mid-2012, with only two of four outputs programmed to begin in 2012. Work on the development of learning tools in the form of a handbook and website-based tools on AEWA directed at national CMS focal points was initiated and tested in 2013. The AEWA Plan of Action for Africa was finalised with enhanced participation of the African region and adopted at AEWA-5 in May 2012;

³⁴³ Phil Cowling, Walaitat Worakul, Thailand PEI Evaluation Report, 2012; David Moore: Malawi PEI Mid-Term Review, 2011;

³⁴⁴ UNEP/MAP – Barcelona Convention

4. The **CBD** project on Support to the Nagoya Protocol on Access and Benefit-Sharing (NP-ABS) has progressed towards the achievement of two major outputs: a) establishment of the ABS Clearing-House, including elaboration of formats for submission of information by parties, and b) establishment of national ABS websites or databases. The project also supported the organization of the expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance. The draft compliance procedures and mechanisms adopted at the expert meeting were forwarded by COP-11 to the third meeting of the Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on Access and Benefit-Sharing (ICNP) for further consideration of and adoption by the first meeting of the Parties to the Protocol;
5. The **CBD** project on *Supporting Inter-sessional Activities prior to COP-11* (CBD-Intersessionals) covered a wide range of issues. Major results included:
 - a) The collation and compilation of available information on ecosystem restoration that led to COP decision XI/16;
 - b) The convening of an informal dialogue with Parties on financial flows, possible sources of financing and financial mechanisms and understanding the evolving nature of resources mobilization for COP-11 and beyond;
 - c) The initiation of a scenario study on future implementation needs for the Strategic Plan for Biodiversity and the Aichi Biodiversity Targets;
 - d) TEEB capacity-building workshops were held in North Africa and the Middle East, South America and Eastern Europe and Central Asia;
 - e) The establishment of the Global Invasive Species Information Partnership, which aims to improve access to information on invasive species that resulted in the development of a prototype Global Registry of Invasive Alien Species Information Providers and an Invasive Alien Species Pathway Management Toolbox; and
 - f) Initiating the piloting of collaboration among the Rio Conventions at the national level on the cross-cutting issue of biodiversity and climate change, including the biodiversity of dry and sub-humid lands. In 2012, a joint publication on gender mainstreaming within the Rio Conventions was launched on the margins of Rio +20 and two technical reports on climate-related geo-engineering were produced. A database of existing tools for assessing carbon stocks and potentials was also developed. Additional Information on other specific major outputs in the works will be available in 2013, such as country case studies and the study on valuation of the biodiversity of dry and sub-humid lands.

Judging by the amounts of activities and the evaluations of the workshops and seminars by the participants, the UNEP and MEA Secretariats have successfully and effectively fulfilled their mandates in terms of providing capacity building, training programmes, and dissemination of knowledge, data and information.

In addition, by applying the concept of 'training of trainers' they have the potential of reaching a much larger national audience, besides those directly participating in the activities. The national governments (Parties) to the Conventions usually nominate their participants/representatives so whether the participants are in a position to disseminate and provide training to others are uncertain.

The UNEP and MEA Secretariats do not have the mandate or capacity to engage directly in national institutional capacity development and reforms, with the result that trained personnel return to institutions that may not be able to adopt the required changes.

Clear outcome indicators in terms of application and/or dissemination of the knowledge gained through the training sessions, workshops and seminars provided are usually lacking. It is therefore difficult for UNEP and MEA Secretariats to follow-up on whether the capacity development provided has yielded the anticipated outcomes.

6.3.2 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

Description: This indicator is related to I-631 in the sense that it focuses on the implementation at the national level. However, the difference is that I-632 focuses specifically on the status of the formulation (and implementation) of key policies and plans that developing countries are committed to prepare in relation to post-2010 CBD to access international environmental funding. As such, it is a more quantitative indicator than I-631, which is more process-oriented and qualitative. This indicator is to a large extent informed by the field studies and interlinked with EQ 4.

Evidence of change:

Since COP-10 the CBD Secretariat has received 44 NBSAPs (by Jan 2015) which reflect varying degree of compliance with the Nagoya outcomes. Of the countries visited only Rwanda has revised the NBSAP (2014) with support from UNEP financed by GEF-5. All other countries visited are still in the process of revising their previous NBSAP.

GEF-5 became available for funding of NBSAPs and 5th national reports on biodiversity in 2011. Application and approval procedures are lengthy and may explain the delay in revisions of strategies and plans.

In Ukraine there is strong evidence that the skills imparted by UNEP or CBD by officials and stakeholders (UNEP-MEA guidelines and activities) have directly have been applied in development national policy, regulations, and national plans/programmes. The State Programme and legal requirement for the development of a National Ecological Network have resulted directly from cooperation with UNEP-MEA-Council of Europe. In the other countries visited

In addition, a number of countries (Bolivia, DRC, Ukraine, Rwanda, Egypt), are in the process of (or have) developed and approved policies, plans and strategies for productive sectors such as agriculture, fisheries, forestry, tourism, energy and the major extractive industries of oil and gas, where mainstreaming of biodiversity conservation and climate change is expected to feature more prominently. Evidence of this is found in the development of the Integrated Plan for Environment and Water (Bolivia), the National Constitution (Kenya and Bolivia), the national strategy for REDD in DRC and key sector policies in Ukraine thus. By doing so they address the Aichi Strategic Goal to Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society.

Box 5 *The most biodiversity-related important conventions***Convention on Biological Diversity (CBD)**

The CBD has three main objectives: 1) the conservation of biological diversity; 2) the sustainable use of the components of biological diversity; and 3) the fair and equitable sharing of the benefits arising out of the utilization of genetic resources. The Convention stresses the finiteness of natural resources and the need for their sustainable management, which will bring significant environmental, economic and social benefits in return. The Convention advocates the use of the precautionary principle, which states that when there is a threat of significant reduction or loss of biological diversity, scientific uncertainty should not be used as a reason for postponing cost-effective measures to prevent environmental degradation. The Convention is legally binding and reminds States of their right to exploit resources, and their responsibility to ensure that activities within their control do not cause damage to another State's environment.

With regard to national action, governments are required to:

- Develop national biodiversity strategies and plans that are integrated into their broader development plans;
- Identify and monitor biological diversity and processes and activities that may have adverse impacts on it;
- Establish protected areas and sustainable use plans and implement measures for rehabilitation and recovery of threatened species and ecosystems, prevent introduction of harmful pollutants and organisms;
- Respect traditional knowledge on sustainable use of biodiversity;
- Educate and raise public awareness of the importance of biodiversity; and
- Report on progress.

With regard to international action, governments are required to:

- Share best practices and policies;
- Provide financial and technical support to developing countries and support for capacity building and investment in projects to help developing countries meet their commitment under the convention. The Global Environment Facility (GEF) is a financial mechanism to support developing countries;
- Promote the safe transfer and biotechnology through the Biosafety Protocol;
- Share the benefits of genetic resources and recognise national sovereignty over them; and
- Recognise traditional knowledge and the dependence of indigenous people on these resources.

Convention on International Trade in Endangered Species of Wild Fauna and Flora 3 (CITES)

CITES is an international agreement between governments that was signed in Washington, D.C., on March 3, 1973 and amended in Bonn, on June 22, 1979. It focuses on international trade and aims to ensure that international trade in specimens of wild animals and plants does not threaten their survival. Today, it accords varying degrees of protection to more than 30,000 species of animals and plants, whether they are traded as live specimens, fur coats or dried herbs.

CITES is an international agreement to which the signed countries (known as Parties) adhere voluntarily. CITES provides a framework to be respected by each Party, but each Party has to adopt its own domestic legislation to ensure that CITES is implemented at the national level. For many years, CITES been a leader among conservation agreements in terms of membership size, and it now has 176 Parties.

CITES works by applying certain controls to international trade in specimens of selected species. All import, export, re-export and introduction from the sea of species covered by the Convention must be authorised through a

licensing system. Each Party to the Convention must designate one or more Management Authorities in charge of administering that licensing system and one or more Scientific Authorities to advise them on the effects of trade on the status of the species.

The species covered by CITES are listed in three Appendices, according to the degree of protection they require:

- Appendix I include species threatened with extinction. Trade in specimens of these species is permitted only in exceptional circumstances;
- Appendix II includes species not necessarily threatened with extinction, but in which trade must be controlled in order to avoid utilization incompatible with their survival;
- Appendix III contains species that are protected in at least one country, which has asked other CITES Parties for assistance in controlling the trade. Changes to Appendix III follow a distinct procedure from changes to Appendices I and II, as each Party's is entitled to make unilateral amendments to it.

When a specimen of a CITES-listed species is transferred between a country that is a Party to CITES and a country that is not, the country that is a Party may accept documentation equivalent to the permits and certificates described above.

7 EQ 7: Climate governance



To what extent has ENRTP contributed to strengthening international climate governance?

Rationale

The question evaluates an important element of the wider EU policy on climate change; support provided through ENRTP for international climate governance/external climate policy, focusing mainly on the support for the United Nations Framework Convention on Climate Change (UNFCCC) Secretariat,, but also looking on specific questions related to support for the IPCC and other institutions.

The context of the evaluation question is that:

- Addressing climate change is a significant element of the overall EU development policy, and due to its global nature and rapid development, it cannot only be tackled at the national level, but requires global agreements and mechanisms, both to reduce emissions (and hence the future impact of climate change) and to build the resilience, especially of poor countries and peoples who are particularly vulnerable to the impacts of climate change;
- EU is one of the main international actors in the climate change arena, both in relation to international negotiations and in relation to supporting development countries to enhance their resilience;
- The centrepiece of international climate governance is the UNFCCC, and the UNFCCC Secretariat plays a key role in facilitating the UNFCCC negotiation process and is thus the principal partner for the EU/ENRTP in relation to international climate governance.

The first judgement criterion assesses whether ENRTP support has enhanced the ability of the UNFCCC Secretariat to effectively support and facilitate international climate negotiations and ensuring effective participation of developing countries so that their needs and priorities are reflected in decisions, and in relation to ensuring the functionality of international climate funding mechanisms. The second criterion concerns knowledge management (for informed decision-making), and the third criterion covers the contribution towards building national capacities to implement commitments related to UNFCCC. This criterion and EQ2 (mitigation) are complementary; this criterion focuses on the capacity building and TA support provided by international organisations (mainly UNFCCC Secretariat), whereas EQ2 focuses on the results achieved at the national level in terms of governance, planning, and implementation.

7.1 JC71. Strengthened UNFCCC related negotiation processes and institutional frameworks in view of developing country participation

7.1.1 I-711. Degree of participation (higher level of participation in meetings, higher capacity to engage) of developing countries in UNFCCC negotiation processes

Description: The annual Conferences of the Parties (COPs) and the intersessional meetings of the UNFCCC are key forums for international climate governance; it is at the COPs where international agreements related to climate change are made, and the intersessionals are key events for preparations for the upcoming COPs as well as more detailed discussions on the implementation of internationally agreed commitments, and many of the decisions adopted at the COPs are drafted at the intersessionals and by ad-hoc working groups. As such, these events are critical forums for all countries to attend in order to influence decisions, but it is expensive and hence difficult for LDCs and small island developing states (SIDSs) to send delegations to these meetings without financial support. It was found by the ENRTP Priority 4 evaluation (2012) that developing countries are often under-represented at UNFCCC meetings due to financial constraints. The evaluation also highlights that *“Both the UNFCCC and its Kyoto Protocol can only remain relevant when all parties can actively participate in discussions and negotiations. For international agreements to be globally accepted, effec-*

*tive and progressive its stakeholders must feel a certain amount of ownership and coverage should be global. Participation in the process is therefore vital.*³⁴⁵

Evidence of the change: The table below shows the number of registrations for COP participation from developing countries; and for COP17-COP19 it also shows the actual attendance. As can be seen, the representation of developing country fluctuated but generally increased.

Table 26 COP registration and participation

Year	COP	Delegates (registered)		
		Total number	Non-Annex 1 (developing countries)	
			Number	Percentage
2005	COP 11	2765	1336	48.3%
2006	COP 12	2326	1345	57.8%
2007	COP 13	3486	1937	55.6%
2008	COP 14	3931	1761	44.8%
2009	COP 15	10541	6462	61.3%
2010	COP 16	6850	5025	73.4%
2011	COP 17	6776	5254	77.5%
2012	COP18	5231	3878	74.1%
2013	COP 19	4842	3199	66.1%
		Delegates (badge issued)		
2011	COP 17	5388	3941	73.1%
2012	COP 18	4350	3082	70.9%
2013	COP 19	4015	2515	62.6%

Source: UNFCCC Secretariat

Stakeholder interviews with DG DEVCO staff, UNFCCC Secretariat staff and national Focal Points all indicate that developing countries have over the years become more vocal and influential in the UNFCCC negotiations; as evidenced by the progress on climate finance, which is a key priority for developing countries. UNFCCC National Focal Points interviewed have also noted that “*much has changed*” and the awareness and capacity of delegates has increased; 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 a national Climate Change Secretariat which has enabled Kenya to institutionalise its participation, but the capacity building provided by e.g. the UNFCCC Secretariat has also contributed. However, some Focal Points (e.g. Rwanda) also note that there are still capacity gaps to be addressed, e.g. in relation to negotiation skills. The increased capacity is also reflected in the fact that several of the visited countries now participate actively in, or even chair, various working groups and technical groups (e.g. Egypt, Ghana, Kenya, DRC).

Developing countries still report that their delegations are still too small to follow all negotiation tracks, working groups/committees and processes at both COPS and intersessionals, and as one National Focal Point said: *Negotiations are very dynamic, and if one misses a few sessions then it can be difficult to follow.* To make up for this, the developing countries coordinate their participation in different groups, most notably the G-77 (+China) and the Africa Group (but also in other groups, such as COMIFAC), and report to each other on the tracks they each follow (Kenya, Ghana, Rwanda).

The ability to better coordinate and agree on common positions and “*speak with one voice*” is seen by Focal Points as a major step forward, which has strengthened to voice of developing countries.

EU contribution: Through ENRTP, EU has actively supported the participation of developing countries in the UNFCCC processes, in particular LDCs and SIDSs, through contributions to UNFCCC’s Trust Fund for Participation, which was established to “*support the participation of representatives of developing-country Parties, in particular those that are least developed countries or small island developing countries, and other Parties with economies in transition to the Conference of the Parties and its subsidiary bodies*” (Source: *Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012*). The Trust Fund covers travel expenses

³⁴⁵ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012

and daily subsistence allowances for developing country delegates; eligible countries for support are those, which in 2007 had an annual GDP below USD 7,500 and in the case of SIDSs below USD 14,000. The ENRTP Midterm Review (2009) found that EU's contribution ensured that at least one delegate from all Parties to the Convention (countries) eligible for support and two from all LDCs and SIDSs could be supported financially to participate in UNFCCC meetings³⁴⁶. The UNFCCC Secretariat confirms that this arrangement is still the same, and adds that for the participation in COP15-COP19, the Trust Fund financed two delegates from all eligible countries and a third delegate from LDCs and SIDSs. In 2011, for example, the Trust Fund financed 214 participants at the intersessional in Bonn in June and 333 participants at COP17 in Durban in December³⁴⁷, corresponding to 8% of the total developing country delegates, of which EU funded 29%, so EU support for UNFCCC in 2011 directly ensured the participation of 2+% of all developing country delegates. According to the UNFCCC secretariat, the current number of participants funded is 220 for intersessionals and 363 for COPs (2014). Statistical information on the funded participants disaggregated by gender, youth, and type of institution (government, civil society, academia, private sector) is not available, but in general the funded participants are government representatives. A number of countries have moved, or are moving, into mid-income status so the need and eligibility for support from the UNFCCC Trust Fund for Participation will reduce over time. EU's contribution to the Trust Fund for Participation was significant: in 2007-2013, EU on average provided 19.8% of the total Trust Fund resources; and EU's share had increased significantly, from 4.2% in 2008 to 40.9% in 2013 (see Table 27 for a detailed overview of the UNFCCC Secretariat's annual budgets).

The support for the participation in the intersessionals is seen as particularly useful by a number of countries (Ghana, Kenya, Egypt, Bolivia). It is at the intersessionals where the technical work is done, which is then adopted at the COPs, which is a political process. Without participation in the intersessionals, the COP process is difficult to engage in (Ghana). Moreover, the intersessionals provided the platform where a common understanding among G-77 countries was developed – the same applies for the Arab group of countries and the COMIFAC (Central African Group). Hence, in some countries, stakeholders believe that support for intersessional participation should be provided to more than one person per country (Ghana, Kenya, Egypt).

In addition to the support for the Trust Fund, EU funding provided to the UNFCCC Secretariat has also specifically supported UNFCCC Article 6 (education, training and public awareness, incl. enhanced participation of youth), by financing youth participation in the COPs and the preparation of youth related contents on the UNFCCC website (the Climate Change Information Network, CC:iNet).³⁴⁸ Article 6 is only financially supported by few donors and with limited funds, so EU support is instrumental for progress in this area.

Moreover, EU support for the UNFCCC Secretariat has also been used to organise UNFCCC meetings in developing countries³⁴⁹ (see I-712) as well as a regional workshop for LDCs in Bonn in June 2012 to discuss the implementation of article 6 (co-funded with Australia, Spain and Sweden)³⁵⁰.

External factors: Participation of developing country delegates in COPs and intersessionals was also funded by a range of donors (incl. EU and its member states) through other channels than the UNFCCC Participation Fund, e.g. delegates from Ghana, Kenya, and Bolivia, which had additional delegates funded under EU's geographic instruments. A number of developing countries (especially mid-income countries) are also able to fund some of their delegates, e.g. Ghana (but not always) and Egypt. While countries such as China and Ukraine did not have any delegates funded through the UNFCCC Participation Fund, EU did fund the participation of NGOs from Ukraine.

³⁴⁶ 557171 Annex 2 Implementation.doc – from 2009 ENRTP MTR or from Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012.

³⁴⁷ Final report for Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat, UNFCCC, 2012.

³⁴⁸ UN final report, for Contribution Agreement No.21.0401/2012/603409/SUB/CLIMA.AI).

³⁴⁹ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012.

³⁵⁰ Final report for "Regional workshop on the implementation of Article 6 of the United Nations Framework Convention on Climate Change in the Least Developed Countries, UNFCCC, 2013.

7.1.2 I-712. Strengthened debates and tangible commitments (e.g. funding) from North and South parties vis-à-vis developing country needs and priorities in UNFCCC negotiation processes

Description: This indicator measures the extent to which the debates in the UNFCCC negotiations adequately consider the needs and priorities of LDCs and SIDSs, and whether the agreements and commitments made respond to the needs. Although the contribution of LDCs and SIDSs to greenhouse gas (GHG) emissions from industry and energy consumption is very limited, they are generally also the countries, which will be effected most severely by climate change, while they also have less capacity to adapt to the changes. Nonetheless, deforestation and land use practices in some developing countries contribute significantly to GHG emissions. Hence, from an LDC and SIDS perspective, it is critical that the commitments made a) significantly reduce GHG emissions from developed countries, b) ensure support so they can increase their adaptive capacity, and c) ensure support for alternatives to deforestation and land use (crop and livestock) practices that are significant GHG emitters. The UNFCCC Secretariat plays a central role in planning the COPs and intersessionals, and thereby in creating a conducive environment for a strengthened debate and achieving tangible commitments by the parties (countries).

Evidence of the change: The UNFCCC became effective in 1994. It does not contain any binding agreements and commitments itself, but provides the framework for negotiating international protocols with binding agreements on curbing greenhouse gas emissions. The Kyoto Protocol provided binding targets for the signatory countries for the 2005-2012 period. Efforts to enter into a new binding post-Kyoto agreement have so far not been successful, so the Kyoto Protocol was in 2012 extended with emission reduction targets for 2012-2020. However, this extension has not yet been ratified. Nonetheless, while it has so far not been possible to reach a new binding agreement for emission reductions, it was agreed in with the Bali Action Plan in 2007 that countries should prepare Nationally Appropriate Mitigation Actions (NAMAs), plans with targets for reducing emissions. In Cancun in 2010 it was agreed that global warming in the future should be limited to below 2°C compared to pre-industrial levels, and in Durban (2011) it was agreed to develop a new treaty to be adopted in 2015 and implemented in 2020, and according to stakeholders close to the negotiation process, there is now a stronger will to reach a political agreement at COP 21 in Paris in 2015 than there was at COP15 in Copenhagen, where the objective to reach a binding agreement was not met.

At COP7 in 2001 the framework was established for the preparation of National Adaptation Programmes of Action (NAPAs) for LDCs. These NAPAs have now been prepared, and the Cancun Adaptation Framework from 2010 enables Parties to formulate and implement national adaptation plans (NAPs).

In relation to providing climate change funding for LDCs, important progress has been made since 2007; this is described in under I-713. Climate funding is one of the main priorities for developing countries. Interviewed stakeholders close to the negotiation process have informed that LDC and SIDS delegations have been very active in the negotiations on the Adaptation Fund and the Green Climate Fund. Hence, the progress made in relation to climate funding illustrates that this high priority for developing countries has gained increased prominence in the UNFCCC negotiations and debates.

An example of the increased capacity to engage is Bolivia, which currently opposes a REDD+ mechanism and presented at the COPs on 2001 and 2012 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 approach alternative to the current REDD+ market-based approach. A high level mission from the UN-REDD programme concluded in 2012 that Bolivia would not be eligible for UN-REDD funding under the conditions that Bolivia is putting forward. 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 at the upcoming COP in Paris 2015.

DRC also engages heavily in the negotiations in relation REDD+, where it unlike Bolivia supports the REDD+ market-based mechanism.

EU contribution: EU is a major contributor to the UNFCCC Secretariat’s budget (EUR 7.5 mill provided to the UNFCCC Secretariat through ENRTP), and the main implementing partner for EU’s support to international climate governance. EU funding for the UNFCCC Secretariat supported a range of activities aimed at contributing to strengthening the UNFCCC process in order to reach consensus and tangible agreements; such as:

1. The above-described Trust Fund covering travel costs for LDC and SIDS delegates and experts;
2. Financial support for the COPs, e.g. venues, furniture, exhibits, and side events;
3. Workshops, events, and technical meetings (e.g. a stand at COP17: "EU Response to Climate Change in South Africa and Beyond"; organisation of a side event at COP19 on "climate change and development");
4. Support for working groups and technical expert groups (such as the Ad-hoc Working Groups on Long-term Cooperative Action, the Technology Executive Committee, the Ad-Hoc Working Group on the Durban Platform for Enhanced Action, and the Ad-Hoc Working Group on the Kyoto Protocol), e.g. workshops, travel costs, and funding facilitation staff.³⁵¹ Ad-hoc working groups are important forums to participate in as they prepare draft decisions, which are then subject to adoption at the COPs, so participation enables countries to raise and address concerns, to ensure they are addressed;
5. Knowledge management and communication, e.g. publications, guidelines, and website inputs (for example support for the Climate Change Media Partnership).

Hence, through ENRTP, EU actively supports the strengthening of the UNFCCC processes, including strengthening the participation of developing countries, especially LDCs and SIDSs.

While EU's share of the total budget for the UNFCCC Secretariat in 2007-2013 was only relatively small, the proportion of funding provided for workshops and support activities, which are mainly covered under the Supplementary Trust Fund was significant, on average provided 14.2% of the funding for such activities, and EU's showed a growing (albeit fluctuating) trend, and went from 0.7% in 2008 to 21.4% in 2013 (see the table below).

Table 27 UNFCCC Secretariat budget (Euros)

UNFCCC Secretariat budget (Euros)						
Year	Source	FCA – Core budget (EUR)	FRA – Supplementary Trust Fund (EUR)	FIA – Participation Fund (EUR)	ITL – International Transaction Log (EUR)	Total (EUR)
2007	EU	417,140	760,815	214,106	42,375	1,434,436
	All	17,387,695	9,035,017	2,503,766	1,695,000	30,621,478
	EU %	2.4	8.4	8.6	2.5	4.7
2008	EU	449,216	127,456	237,677	85,363	899,712
	All	18,868,517	18,353,302	5,597,821	3,243,967	46,063,607
	EU %	2.4	0.7	4.2	2.6	2.0
2009	EU	414,878	955,319	839,550	80,504	2,290,251
	All	17,263,418	15,986,240	5,420,258	3,150,707	41,820,624
	EU %	2.4	6.0	15.5	2.6	5.5
2010	EU	521,521	2,037,483	908,828	76,928	3,544,760
	All	21,627,776	14,970,169	5,789,692	3,014,423	45,402,060
	EU %	2.4	13.6	15.7	2.6	7.8
2011	EU	510,135	3,604,138	1,509,000	76,928	5,700,201
	All	21,172,836	17,351,575	5,265,049	3,014,423	46,803,883
	EU %	2.4	20.8	28.7	2.6	12.2
2012	EU	568,052	2,152,845	916,626	74,087	3,711,610
	All	23,489,012	16,756,374	3,684,860	2,885,010	46,815,256
	EU %	2.4	12.8	24.9	2.6	7.9
2013	EU	556,381	3,208,064	1,475,225	74,087	5,313,757
	All	23,022,400	14,982,044	3,610,457	2,759,483	44,374,384
	EU %	2.4	21.4	40.9	2.7	12.0

³⁵¹ Signed agreement for No.21.0401/2012/603168/SUB/CLIMA.AI.

UNFCCC Secretariat budget (Euros)						
Ave- rage	EU	491,046	1,835,160	871,573	72,896	22,894,726
	All	20,404,522	15,347,817	4,553,129	2,823,288	43,128,756
	EU %	2.4	12.0	19.8	2.6	7.4

Source: UNFCCC Secretariat

The table below provides three examples of UNFCCC technical workshops financed by EU. As can be seen, these workshops in particular reach country representatives from government and civil society; and the gender balance was good. A survey among workshop participants in the 2013 workshop on ecosystem-based approaches showed a high level of satisfaction with the quality and format of the workshop³⁵². These technical workshops enhanced the knowledge of the participants, and also led to recommendations on the way forward on the themes covered.

Table 28 Sample of EU funded UNFCCC workshops

Workshop name	Participants						
	Total	Gender		Gov	UN	IGO	NGO
		M	F				
Technical workshop on ecosystem-based approaches for adaptation to climate change under the Nairobi Work Programme on Impacts, Vulnerability and Adaptation to Climate Change, Dar es Salaam, Tanzania. (21-23/3 2013)	83	35	48	22	7	3	21
Expert meeting on a range of approaches to address loss and damage associated with the adverse effects of climate change, including impacts related to extreme weather events and slow onset events, Bridgetown, Barbados. (9-11/10 2012)	81	41	40	32	3	4	19
Expert meeting on national adaptation plans, Vientiane, Lao People's Democratic Republic. (15-17/9 2011)	68	22	46	34	6	3	6

Source: UNFCCC Secretariat

EU also provided support under ENRTP for other international organisations, research institutions and even through service contracts with private firms for specific actions (e.g. studies, workshops, publications, meetings), which (directly or indirectly) support the UNFCCC process. The organisations supported, include: The Alliance of Small Island States (AOSIS), OECD (for the Climate Change Expert Group), UN, IDDRI (*Institut du Développement Durable et des Relations Internationales*), GIZ, the University of Cape Town, and UCLG (United Council of Local Governments) and ICLEI (Local Governments for Sustainability). Some examples are:

- Support for IDDRI for policy dialogue to facilitate international negotiations on a global and comprehensive post-2012 climate change agreement using informal meetings to facilitate a get-together of delegates during UNFCCC meetings. The action provided opportunities for delegates to discuss politically sensitive issues, which can be difficult to discuss in formal sessions, thereby contributing to consensus building³⁵³;
- Support for the Secretariat for the UN Secretary-General's High Level Panel on Global Sustainability (GSP). The support financed meetings, travel costs, and secretariat staff salaries. The bringing together of renowned figures to prepare a blueprint for a sustainable future was a contribution to building consensus on global issues such as climate change³⁵⁴;
- Support for UCLG and ICLEI to strengthen the involvement of local governments in the climate debate towards reaching a global and comprehensive post-2012 climate change agreement. The support financed media/communication work (incl. newsletters), the establishment of a pool of experts, partner meetings, COP15 participation, and local and national dia-

³⁵² Survey Report: NWP Workshop on ecosystem-based approaches, March 2013-Adaptation Programme, UNFCCC Secretariat

³⁵³ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012

³⁵⁴ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012; Contribution Agreement for "Secretary-General's High-level Panel on Global Sustainability, EC, 2008 (updated in 2010)

logues.³⁵⁵ The action enhanced awareness on the important role of local governments in tackling climate change and enabled local governments to develop climate policies. It also enhanced the visibility and recognition of local governments in the UNFCCC debates³⁵⁶.

- Support for the UNEP ACP MEAs project, which has supported the participation of some developing countries, incl. Rwanda, meetings (e.g. Eastern Africa Sub-regional meetings) to support the development of the African Common negotiations position.

Developing countries (Kenya, Ghana, Rwanda) report that the EU supported informal Cartagena Dialogue for Progressive Action (UK and Australia initiated) is a particularly important forum for developing countries for analysis, developing technical papers, for enhancing their negotiating capacity, and for reaching shared understanding and positions.

Hence, the support provided by EU both created platforms and opportunities to reach consensus and also provided knowledge to support informed decision-making.

Overall, the ENRTP support has been important for the ability of the UNFCCC Secretariat and other partners to create a conducive environment for reaching ambitious climate agreements. Considering the significance of EU's contribution, it becomes evident that without EU support, several of the activities supporting the UNFCCC process would not have been implemented. The Evaluation of Priority 4 concluded "...if EU contributions stop, the UNFCCC secretariat will have a significant problem." The evaluation also concluded that a discontinuation of the support provided through ENRTP would have "serious impacts for the efforts of reaching a globally binding agreement in the future...." and that "...EU desk officers are convinced that the co-financed activities are playing a significant role in achieving progress in the climate change regime. It is even felt that discontinuing the ENRTP would have disastrous impacts for the possibility of reaching a globally binding agreement in the future..."³⁵⁷ This impression is confirmed by interviews with EC and UNFCCC Secretariat staff.

An ongoing action, which is worth mentioning, although it falls outside the scope of this evaluation (implementation takes place in 2014-15), is the EU support for the World Resources Institute (WRI) and a number of research institutions from developed and developing countries to design a possible global climate change agreement, in line with the commitment made in Durban.³⁵⁸

External factors: The international climate governance is driven by a multitude of interests and priorities among a large number of stakeholders, and the perspectives are very different between countries, but also among different stakeholders within countries.

After 2008, the financial crisis has had a significant impact on the willingness (and ability) of countries to reduce their emissions and commit funding for adaptation in developing countries; as political priorities focused on generating economic growth and employment, and many view emission reductions as an obstacle to economic growth and competitiveness on the global market.

During the implementation of ENRTP, the negotiations have not resulted in reaching a global binding agreement on emission reductions. For example, Japan, New Zealand, Russia and Canada have all refrained from taking on new targets for the second commitment period (2012-2015) under the Kyoto Protocol; and Canada withdrew from the Protocol in 2012.

While countries have generally agreed that climate funding for developing countries should be new and additional, some of the climate funding has in practice been taken from existing development assistance budgets.

Moreover, the contributions of many donors to the UNFCCC Secretariat have reportedly fluctuated significantly over the years. One key feature of the support from EU to the UNFCCC Secretariat compared to some other donors is consistency in which it is provided, which facilitates the planning of activities and continuity of processes. However, at an average of 8.2% of the total UNFCCC budget, the EU funding through ENRTP remains a small proportion of the total funding.

Hence, even if EU support has been instrumental to the UNFCCC process in terms of ensuring the continued capacity of the UNFCCC Secretariat and others to create a conducive environment for the global climate policy dialogue, some very important external factors influence the UNFCCC process and commitments, the negotiation processes, and the ability or inability to reach global agreements.

³⁵⁵ Local Governments' mobilisation and backing for the development and implementation of a global and comprehensive post-2012 climate change agreement", Description of the Action, 2008.

³⁵⁶ ICLEI Europe Aid Final Narrative Report.

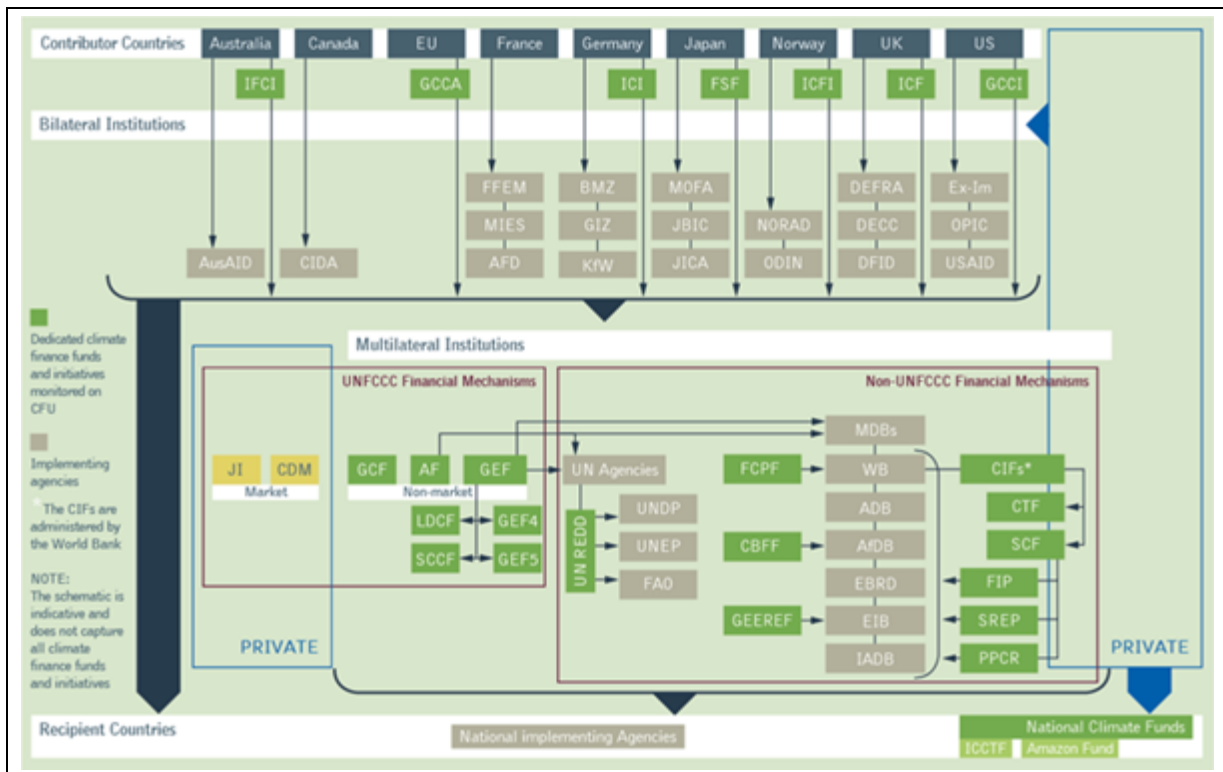
³⁵⁷ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012.

³⁵⁸ Grant Contract, Designing the 2015 Global Climate Change Agreement, EC, 2013.

7.1.3 I-713. Progress in testing and establishing international financing mechanisms, e.g. the Adaptation Fund and the Green Climate Fund

Description: From the LDC and SIDS perspective, a critical element of the UNFCCC negotiations is to secure access to sufficient financing to build their adaptive capacity and financial mechanism to cover the socio-economic costs associated with reducing their carbon emissions through forest protection and changes in land use. Hence, a pivotal element in the UNFCCC negotiations relate to securing financial commitments from developed countries and establishing and rolling out climate financing mechanisms that are accessible for LDCs and SIDSs. Over the years a plethora of multilateral and bilateral climate financing mechanisms have emerged some within the framework of UNFCCC, others outside. UNDP estimates that there are more than 50 international public funds, 45 carbon markets and 6000 private equity funds for climate financing. EU and the member states use than 22 multilateral channels for climate financing. The large number of funding mechanisms makes coordination and accountability challenging and can reduce the overall effectiveness of climate finance.³⁵⁹ The figure below provides a schematic overview of the major mechanisms.

Figure 46 Major international climate financing mechanisms



Source: <http://www.climatefundupdate.org> (Heinrich Böll Stiftung and ODI)

For measuring this indicator, the two best funding mechanisms are the Adaptation Fund (AF) established under the Kyoto Protocol in 2001 and made operational in 2009 and the Green Climate Fund (GCF) adopted under UNFCCC in 2010 (COP16, Cancun) and launched in 2011 (COP17, Durban), but still to become operational. The Special Climate Change Fund (SCCF) and the Least Developed Countries Fund (LDCF), the other climate financing mechanisms established directly under the UNFCCC framework, became operational prior to the establishment of ENRTP and are thus less relevant for measuring this indicator.

Evidence of the change: The Copenhagen Accord from 2009 agreed on the provision of USD 30 billion in fast-start finance (FSF) for 2010-2012. Moreover, the Copenhagen Accord contains a commitment to raise USD 100 billion per year by 2020, to be leveraged from multiple sources, including both public and private, and bilateral and multilateral sources. However, contributions from individual developed countries were not determined.

³⁵⁹ Special Report No 17/2013 (pursuant to Article 287(4), second subparagraph, TFEU) EU climate finance in the context of external aid together with the Commission and EEAS's replies.

At COP16 (Cancun, 2010), the Standing Committee on Finance was established to provide guidance and coordination and improve the coherence in the delivery of climate financing, fund mobilisation and measurement, reporting and verification. The Standing Committee thus provides recommendations and expert inputs into the review of UNFCCC finance mechanisms, and prepares overviews of climate finance flows.

Building on the Copenhagen Accord, it was decided in Cancun in 2010 (COP16) to establish the Green Climate Fund (GCF) as the main channel for the agreed funding for both adaptation and mitigation and the Transitional Committee was established to design GCF; The Committee comprised 25 members from developing countries and 15 from developed countries. The GCF was launched in Durban in 2011 (COP17), where it was decided that the World Bank would be an interim trustee for the GCF subject to evaluation three years after the operationalization of the fund. The GCF Secretariat was established in 2013 in Incheon, Republic of Korea. The initial resources mobilization process is anticipated to be prepared by December 2014; the goal is to mobilise at least USD 10-15 billion.

EU member states and the European Commissions have made contributions to the GCF, but not in a joint act. Currently the Commissions financing is mainly done through bilateral programmes.³⁶⁰

The Adaptation Fund was established in 2001 under the Kyoto Protocol, but only became operational in 2009, after the management and structure was agreed in the Bali Action Plan (from COP13 in 2007). Funding is mainly derived from a two per cent levy on carbon emission reduction credits sold under the Clean Development Mechanism (CDM), but in Poznan in 2013 (COP19), funding pledges were made by Austria, Belgium, Finland, France, Germany, Norway and Switzerland; thereby the goal of raising USD 100 million by end 2013 was reached. The total amount pledges till now is USD 223 million, of which 205 million have been disbursed and 69 million been disbursed to projects.³⁶¹

While not part of the UNFCCC financing mechanisms, commitments were made in 2009 in Copenhagen (COP15) for financing for REDD (Reducing Emissions from Deforestation and Degradation). The main multilateral vehicles for REDD funding are the UN-REDD managed by UNDP (USD 249 million pledged, 157 million disbursed for projects) and the World Bank's Forest Carbon Partnership Facility (USD 388million pledged, no funds disbursed for projects yet). Moreover, Norway had pledged to provide USD 1.6 billion for REDD+ through its International Climate and Forest Initiative.³⁶²

However, while progress has been made in relation to climate financing, the access to financing varies among developing countries. Non-LDC countries like Ghana and China finds it difficult to access climate funding, although their climate issues are severe, in the case of Ghana, their climate issues and constraints, e.g. in coastal areas, are similar to those of the other West African countries. Ghana, China and Egypt have not received any support from the Adaptation Fund. Kenya, which is also a non-LDC country, has so far not experienced this as a major disadvantage, although most donor programmes are tailored to LDCs; Kenya has recently had one project approved for support from the Adaptation Fund. Rwanda has as an LDC country been successful at securing funding for adaptation from different donors, and has its first Adaptation Fund project under implementation. But Rwanda has a challenge with accessing mitigation funding, since Rwanda's emissions are very low. DRC has made considerable progress on readiness for REDD+ financing, and has been lead negotiator for the African countries in this regard.

EU contribution: There is no doubt that one key factor behind the progress on climate financing is the demand from developing countries for such funding support. The EU support for participation in UNFCCC processes, knowledge access, and capacity building has helped developing countries in articulating and advocating for their priorities (described under I-711, I-712 and the indicators for JC72 and JC73).

For example, in 2012 EU provided EUR 4 million in support for the Implementation of the decisions of the Durban COP17/CMP7 Climate Conference, including Support to the start-up of the Green Climate Fund.

Some of the ENRTP support for the UNFCCC Secretariat has been used for support for the Standing Committee on Finance in 2012-2013 to carry out its functions in relation to the establishment of the financial mechanism.³⁶³ EU support was used to arrange meetings for the Standing Committee, to

³⁶⁰ Special Report No 17/2013 (pursuant to Article 287(4), second subparagraph, TFEU) EU climate finance in the context of external aid together with the Commission and EEAS's replies.

³⁶¹ <http://www.climatefundupdate.org> (Heinrich Böll Stiftung and ODI).

³⁶² <http://www.climatefundupdate.org> (Heinrich Böll Stiftung and ODI).

³⁶³ "Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat", Final report, UNFCCC, 2013.

prepare background documents in order to help the Standing Committee to develop and carry out its initial work programme, and support for the Committee Co-chairs to engage in COP18 and the GCF Board³⁶⁴. This support has contributed the work of the Standing Committee, which is preparing 6 of 10 decisions to be adopted at COP 20 in Lima in 2014. Moreover, the Standing Committee provides guidance to the GCF.

Moreover, the UNFCCC Secretariat has been supported in holding workshops to increase the knowledge base for discussions at COP18 (2012) on long-term finance. The Secretariat was also supported in arranging workshops on results-based financing for REDD+ actions in order to support the adoption of decisions at COP18 (2013) to enable the full implementation of results-based REDD+ actions.³⁶⁵ To support the reaching of international consensus on a possible REDD+ mechanism and to support the scaling up of REDD+ finance, EU provided funding to UNEP for the interim REDD+ Partnership Secretariat to provide secretariat services.³⁶⁶

EU is also providing funding for the UN-REDD programme, which has been a central programme behind the significant progress made in DRC on REDD+ readiness.

While the ENRTP support has played a useful and seemingly important role in the provision of inputs for improved negotiations on climate financing, an at least equally important contribution of the EU to facilitate the process is the pledges to provide climate funding; as such pledges are important in inspiring other countries to commit themselves to provide funding:

- The EU and its member States have pledged to provide EUR 7.2 billion for FSF, of which the European Commission pledged to provide EUR 150 million, but *“Given differences and the lack of common definitions and methods to identify climate-related spending, the extent to which the FSF commitment was fulfilled by the EU and its Members is unclear”*³⁶⁷;
- The Copenhagen Accord does not determine the contributions to be made from individual developed countries/parties to raised USD 100 billion per year by 2020, but *“The Commission estimates, however, that the EU and Member States’ share in this global effort lies between 29% and 38% of the total (i.e. between 22 billion and 29 billion”*³⁶⁸.

External factors: As for I-712, the progress in relation to the establishment of operational climate financing mechanisms is a result of many factors and the priorities and actions of many countries and stakeholders – the same range of external factors apply as to the negotiations on emission reductions. Hence, is difficult to measure the direct and indirect contribution of ENRTP.

7.2 JC72 Improved access for developing country stakeholders to knowledge on climate change (with a view to ensure informed decision-making)

7.2.1 I-721. Engagement of developing country scientists and experts in the IPCC and Expert Groups

Description: Knowledge about climate change is critical to ensure that the right policy measures are taken and that appropriate global agreements are made. The Intergovernmental Panel on Climate Change (IPCC) is the leading international body for the assessment of climate change, with thousands of scientists contributing to its work. Its periodic Assessment Reports are a cornerstone for the global climate change negotiations, collating and presenting existing scientific, technical and socio-economic knowledge on climate change impacts, mitigation and adaptation. Knowledge gaps are particularly pertinent in relation to the impacts in developing countries, which are also the countries, which will be most severely affected and having the least capacity to adapt. It is therefore critical to ensure the active participation of scientists from developing countries in the IPCC and also in various UNFCCC re-

³⁶⁴ UN final report, for Contribution Agreement No.21.0401/2012/603409/SUB/CLIMA.AI and Technical Evaluation For Final Payment Contribution (JM) to UNFCCC, Support to the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the work of the secretariat for National Communications, expert training and review, and GHG Reviews and Post Cancun Activities. DG Clima, EC, 2013).

³⁶⁵ "Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat", Final report, UNFCCC, 2013.

³⁶⁶ Contribution Agreement, REDD+ Partnership Secretariat Services, EC, 2011.

³⁶⁷ Special Report No 17/2013 (pursuant to Article 287(4), second subparagraph, TFEU) EU climate finance in the context of external aid together with the Commission and EEAS's replies.

³⁶⁸ Special Report No 17/2013 (pursuant to Article 287(4), second subparagraph, TFEU) EU climate finance in the context of external aid together with the Commission and EEAS's replies.

lated expert groups in order to ensure that knowledge is available for the international climate policy processes as well as for the national strategy and policy-making in developing countries. However, as in the case of participation in the UNFCCC processes, the participation of scientists from developing countries is limited by financial and capacity constraints.

Evidence of the change: No data on the participation of scientists from developing countries in the IPCC was available for the Evaluation Team, so it was not possible to quantify the extent to which the participation of the scientists and experts from developing countries has increased. The interviews with IPCC focal points and other stakeholders in the countries visited indicated a positive trend towards greater participation as well as increased scientific capacity and availability of climate information and data in developing countries. For example:

- 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 WG2 (working group 2) ‘Impacts, Adaptation and Vulnerability’ and WG3 ‘Mitigation of Climate Change’, and membership of the Task Force on National Greenhouse Gas Inventories.
- 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.
- Egyptian experts, funded by a variety of sources, are part of IPCC expert panels and are contributing to international knowledge on climate change.
- A number of Kenyan experts are involved in the IPCC and UNFCCC expert groups. Some Kenyan experts are registered as lead experts. 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. Kenya will host a regional IPCC workshop in Sep 2015.
- 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.
- Rwanda is currently not represented in any UNFCCC expert groups or working groups, but Rwanda was previously represented at the Technology Executive Committee (TEC).

EU contribution: The EU has supported the IPCC through the IPCC Trust Fund and its host, WMO (the World Meteorological Organisation), with a total of EUR 2.35 million. In turn, IPCC consistently funds that participation of national IPCC Focal Points in IPCC workshops (Kenya). In relation to the 4th assessment Report, EU provided support to enable an understanding of the findings of the Report among policy-makers, stakeholders and technical experts in developing countries. One aspect of this support was to enable centres of scientific expertise to act as interfaces between scientists and policy-makers to enable science-based decision-making and to identify research priorities for this. This included increasing the capacity to undertake climate research and increased participation in the IPCC.³⁶⁹ Support was also provided to both the preparation of the 5th Assessment Report and Dissemination of its findings. The focus of the support for the preparation was to ensure the participation of around 85 experts in annual meetings from developing countries by providing financial support for travel costs and for meetings held in developing countries (3 meetings annually)³⁷⁰. The Evaluation of ENRTP Priority 4 found that: *“... By providing the funds for these experts to join the IPCC meetings, it is likely that the 5th Assessment Report will be more credible and authoritative than if contributors only come from developed countries. As a result, the findings from the Report will be more readily accepted, thereby making it easier to reach consensus on expected impacts and the need for global action.”* The support for the dissemination of the Report is used for database and software maintenance, publications, communication activities, translation, publication, and distribution.³⁷¹

EU support through ENRTP also enhanced the participation of developing country experts in other UNFCCC related technical activities. For example, through support for the UNFCCC Secretariat, the process of reviewing GHG inventories submitted by Convention Parties (countries) was strengthened through financial support for the participation of developing country experts (e.g. 10 experts in 2012) and training of both experienced experts and new experts to increase the pool of experts. The

³⁶⁹ 2008 Annual Action Programme implementing the “Thematic Strategy Paper for the Environment and Sustainable Management of Natural Resources, including Energy (ENRTP) for the period 2007-2010” for the Development Cooperation Instrument, Com(2008)4129 PE/2008/4247, Decision of 7/8/2008.

³⁷⁰ Figures to be confirmed. Grant Contract for “Support the Intergovernmental Panel on Climate Change (IPCC) to facilitate the preparation of their 5th IPCC Assessment Report”, EC, 2010

³⁷¹ Contribution Agreement No 21.0401/2013/649704/SUB/CLIMA.A4, Support the Dissemination of the Results of the 5th IPCC Assessment Report.

UNFCCC Secretariat reports that the activities had significantly strengthened the annual review process by enhancing the knowledge and increasing number of experts (now around 170) – the review capacity is now to review 41 submissions annually.³⁷²

Finally, the Evaluation of ENRTP Priority 4 (2012) found that the focus on increasing developing country participation in technical issues “*have the potential to increase coverage and ownership of the UNFCCC and its Kyoto Protocol with all Parties.*”³⁷³

External factors: No major external factors affecting the delivery of this indicator have been identified. However, in Rwanda the ongoing restructuring of the meteorological services hampers its ability to coordinate inputs from Rwandan scientists to IPCC Assessment Reports and limits the ability of the national IPCC Focal Point to engage and participate in IPCC meetings and processes; but Rwanda is still able to submit its national communications to IPCC. WMO has provided training for developing countries, e.g. Kenyan Meteorological Department staff have been trained in China on multi-hazard early warning systems, but it is not clear whether ENRTP funding has been used for this and not all countries have participated in this, e.g. nobody from Rwanda were trained by WMO.

7.2.2 I-722. Evidence of new data, knowledge, methodologies, guidelines, manuals, tools, and experiences being generated and made accessible to developing country decision-makers and stakeholders

Description: While there is now little doubt that anthropogenic GHG emissions are the main cause of global temperature increases, there is still a need for more knowledge to ensure that policies and agreements are well-informed and thus appropriate decisions are made at all levels. Equally important is the need of access to appropriate technologies, methodologies and tools to address climate change. Key areas where more and more accurate knowledge is needed include:

- The nature of climate change at the national and local levels, e.g. in relation to the frequency and magnitude of extreme weather events, as well as general changes in rainfall patterns;
- The socio-economic impacts of climate change at the national and local levels, e.g. in relation to economic development and food security;
- Technological options for emission reductions and low-emission economic growth;
- Options and approaches for adapting to climate change; and
- Appropriate policy and investment measures.

Moreover, methodologies, guidelines/manuals and tools are necessary to enable developing countries to implement the commitments made at UNFCCC and to benefit from the new and emerging international climate funding mechanisms.

Evidence of the change: During the period under evaluation climate change has been very prominent on the international agenda and a plethora of organisations have carried out work in relation to both mitigation and adaptation. Donors have allocated significant funding for climate change, and as a result NGOs, think tanks, research institutions, and others have engaged in research, pilot actions on the ground, and development of methodologies, tools and manuals – and in disseminating through multiple channels their experiences and approaches within a range of climate related themes and across several sectors. Moreover, new knowledge and approaches are generated on a continuous basis. Hence, there is now a lot of knowledge and practices available, e.g. on the Internet, where searches on specific themes often generate millions of results.

However, a critical area of improving access to knowledge, guidelines and tools for developing countries is in relation to adhering to the agreements and commitments made at UNFCCC and in relation to meeting the requirements of the new international financing mechanisms, e.g. in relation to MRV (measuring, reporting and verification). A related key area where knowledge is needed concerns the further development of UNFCCC related tools and climate financing; for example in relation to performance-based financing of REDD+ actions. A number of tools have been developed in this regard, both within the UNFCCC framework and by other entities. For example, at the end of 2012 the LDC

³⁷² Final report for "Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat, UNFCCC, 2013 and Technical Evaluation for Final Payment for " Support to the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the work of the secretariat for National Communications, expert training and review, and GHG Reviews and Post Cancun Activities, EC, 2013).

³⁷³ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012.

Expert Group of the UNFCCC has published guidelines for the NAP (national adaptation plan) process and initial guidelines for NAP preparation were published in 2011. A Common Reporting Format (CRF) has been developed for developed countries, various organisations have developed guidelines for MRV and NAMAs, and the UNFCCC secretariat, UNDP and UNEP-Risø in end 2013 published a “*Guidance for Nationally Appropriate Mitigation Actions (NAMA) Design: Building on country experiences*”.

EU contribution: An important area of support under ENRTP is the support given to the UNFCCC Secretariat for the work of the Subsidiary Body on Scientific, Technical, and Technological Advice (SBSTTA) on MRV (measuring, reporting and verification) of GHG emissions. The support has focused on the preparation of reporting guidelines and development of electronic tools and databases for the Common Reporting Format (CRF) and a common tabular format (CTF) for GHG emissions. While these tools are meant for developed countries, they are expected to provide design solutions for a GHG reporting format for developing countries, which currently are obliged to use the 1998 guidelines (and encouraged to use the 2006 guidelines developed by IPCC) for the preparation of national communications and biannual updates. The guidelines and tools provided by the UNFCCC Secretariat are found by national stakeholders as being very useful and of a good quality, e.g. Ghanaian EPA staff appreciate the guidelines for NAPs, which although focusing on LDCs also have a section for non-LDC countries, and Ghana now plans to develop a NAP. Moreover, developing country participants were funded to participate in CRF related workshops, which both helped building their capacity but also helps maintaining transparency between developed and developing countries³⁷⁴.

More directly related to the needs of developing countries is the support provided to the UNFCCC Secretariat and its Subsidiary Body for Implementation (SBI) to develop a NAMA registry and of a first version of the technical NAMA guidelines³⁷⁵. The NAMA Registry is now fully developed (since October 2013) and available as an online resource on the UNFCCC website, where countries publish requests for support for NAMA preparation and implementation, and also provides a space, where developing countries can learn from each other.

EU funding for the UNFCCC Secretariat has also supported the LDC Expert Group (LEG) to provide technical guidance and support to the NAP process; the LEG has prepared information resources and compiled and synthesised information provided by countries on their NAP process, and prepared technical guidelines. National technical experts were also trained and their capacity was increased the NAP process, which is currently under implementation in developing countries³⁷⁶ (see I-732). The UNFCCC Secretariat indicates that EU funding is critical for ability of the Secretariat and LEG to carry out trainings. A key feature is the consistency of EU funding, which allows for planning of activities in advance.

EU funding has also supported a range of research and science-based actions to generate new knowledge, e.g. in relation to carbon budgeting and climate risk management, including “*support for development of scientific capacities through engaging European researchers and institutes with developing country partners to improve the quality and flow of relevant climate risk information*”³⁷⁷.

The ENRTP funded EUROCLIMA has generated new knowledge and tools for Bolivia, by supporting and publishing more than 35 studies on effects of climate change and responses for mitigation and adaptation; methods, inventories, manuals, and tools. Moreover, 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.

³⁷⁴ UNFCCC (2013): Final report for "Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat"; UN final report, for Contribution Agreement No.21.0401/2012/603409/SUB/CLIMA.AI; Technical Evaluation For Final Payment Contribution (JM) to UNFCCC, Support to the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the work of the secretariat for National Communications, expert training and review, and GHG Reviews and Post Cancun Activities. DG Clima, EC, 2013.

³⁷⁵ UNFCCC (2013): Final report for "Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat"; UN final report, for Contribution Agreement No.21.0401/2012/603409/SUB/CLIMA.AI).

³⁷⁶ UNFCCC (2013): Final report for "Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat).

³⁷⁷ Evaluation of Visibility of EU external action, Vol. 8 Thematic report on Climate Change and Energy, June 2012

Geographic instruments have also supported the generation of climate knowledge at the national level, which has fed into the IPCC process, e.g. in Ukraine, where Climate Change and Security in the Dniester River Basin cross-border cooperation (CBC) project appears to have funded projections on climate change in the Dniester River Basin, carried out by the Ukrainian Hydro meteorological Institute (UHI), which is responsible for climate change modelling and projections as inputs to IPCC reporting. Moreover, the EU Joint Research Centre at Ispra (Italy) funded improvements in data processing and use of satellite data in developing climate and hydrological models for the Carpathian Mountains.

External factors: No major external factors affecting the delivery of this indicator have been identified. The large number of climate change interventions implemented by several organisations and funded from multiple sources all contribute to this indicator. This includes the large array of EU supported actions at global, regional and country levels funded through ENRTP as well as geographical instruments.

7.3 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

7.3.1 I-731 Evidence of application, by national stakeholders and decision makers, of skills and knowledge transferred/promoted by EU supported international entities (linked to EQ2 – Mitigation)

Description: While the international agreements made under UNFCCC provide direction for, and commitments by, the Parties/countries, the actual implementation of the provisions of the Convention takes place at the national level. It is at the national level where political and financial decisions that determine the framework for emission reductions and adaptation happen. It is also at the national and local levels that the implementation of tangible interventions to curb emissions and enhance resilience is done. Hence, the main challenge for developing countries is how to apply the Convention in national policies, plans, regulations and investments. Knowledge and skills at both the decision and technical levels are thus critical – but knowledge is not enough in itself, it also has to be applied. This indicator measures exactly this. The indicator is closely related to I-733, but where I-733 measures end-results (i.e. the status of key policies and plans), this indicator looks more at processes, such as whether climate change has become more prominent in national discourses and in the day-to-day work of stakeholders. The indicator is informed by EQ2, especially JC23.

Evidence of the change: While there is no doubt that the awareness on climate change among policy-makers has increased significantly over the last decade, this awareness is not uniform. Climate change is now featuring much more prominently in public debates than before. In some developing countries there are sectors (typically environment, agriculture and water) where climate change is high on the agenda, but there are also sectors, where this awareness and understanding of the impact of climate sector is much lower. Moreover, even in sectors where there is a high level of awareness about climate change, there are still capacity constraints in many countries in terms of addressing climate change and the related uncertainty in policies, plans, and budgets. However, there are significant differences among developing countries, both in relation to awareness and in relation to the capacity to address climate change in policies.

The good progress in several countries on the NAMA and MRV development and NAPA submission as well as national climate change policies and strategies (see I-732) indicates that skills imparted through the UNFCCC Secretariat and various international organisations are being applied – this is not surprising, considering that many of these actions carry the promise of potential funding. Moreover, UNFCCC Secretariat staff finds that the quality of reporting (e.g. national communications) has improved and the number of countries, which are able to submit their communications timely, has increased.

Specific examples of the use of skills found in the countries visited include:

- DRC: Skills obtained have been used to carry out REDD related studies, implementation of REDD+ pilot projects, staff training and the launching of a university curriculum on REDD+.
- Egypt: knowledge gained on CDM and MRV from UNFCCC Secretariat trainings and support from other donors has been applied in the development of an MRV system and NAMAs, in the updating of the greenhouse gas (GHG) inventory, and the implementation of CDM projects. However, the skills are still not sufficient to ensure robust management of the GHG inventory and MRV system.

- Ghana: Skills gained from UNFCCC trainings and workshops have been useful for the preparation of NAMAs and will also be used in the preparation of the planned NAP.
- Kenya: Skills gained from UNFCCC trainings and workshops have been used in the preparation of NAMAs and policies (National Climate Change Action Plan, draft Climate Change Policy, draft Climate Change Bill). A dedicated CC Secretariat and a GHG inventory with staff assigned have been established in response to UNFCCC. Other countries have visited Kenya to learn from this experience. However, stakeholders see a missing link from the UNFCCC and IPCC technical work and policy-making, and therefore there is no direct integration of IPCC's 5th Assessment Report into national and sub-national policies.
- Rwanda: the Green Growth and Climate Resilience Strategy was informed by IPCC science. The Green Growth and Climate Resilience Strategy, guidelines on climate mainstreaming in district and sector planning and the reportedly high number of climate projects are all evidence of an increased capacity, but this increase appears more to be related to national processes and programmes than UNFCCC processes and global interventions.
- China: Skills and knowledge developed under actions related to climate change have been applied in the updating of GHG inventories. But like in Rwanda, the increased capacity appears mainly to be related to national processes and programmes.
- Bolivia: In response to UNFCCC, the Government has passed legislation, which responds to its commitments (Law of the Rights of Mother Earth, National Strategy for UNFCCC implementation, Plan Integral de Medio Ambiente y Agua). However, this is not fully reflected in the National Development Plan, which plans to expand the area under agriculture, which will lead to increased emissions from deforestation.

EU contribution: As described in relation to the other indicators for EQ7 the focus of EU support to international climate governance has been on enhancing the capacity of developing country delegates and experts to engage in the UNFCCC negotiations as well as scientific and technical activities through enabling participation in negotiations, technical working groups, and workshops and through the provision of training. Support was also provided to build the capacities of national stakeholders in relation to the preparation of NAMAs, MRV, NAPAs, as described under I-732 and EQ2. Some additional examples of capacity development interventions are:

- Support for the Consultative Group of Experts and the development of national communications (training workshops and materials); which enhanced the capacity of national experts and Parties/countries to prepare national communications;³⁷⁸
- A service contract with Ecologic Institut GmbH (Germany) for a summer university course on emission trading systems;³⁷⁹
- Capacity building to strengthen the modelling capacity to support the development and implementation of climate change mitigation strategies for nationally appropriate mitigation actions in selected Latin American countries, implemented by the Energy Research Center of the Netherlands (ECN);³⁸⁰
- Technical training in Asia on MRV under the Partnership for Market Readiness (see EQ2, I-211).
- UNEP ACP MEAs project has assisted African countries in engaging in the global carbon market. This included the transfer of CDM knowledge and experience through capacity building activities and workshops. UNEP also under the ACP MEAs project contributed to operationalising the Designated National Authority (DNA) in Rwanda.

Moreover, EU support for the UNFCCC Secretariat to implement Article 6 (education, training and public awareness, incl. enhanced participation of youth), has according to the UNFCCC Secretariat enabled the supported stakeholders to create awareness in their countries reaching beyond government.

There is no doubt that the UNFCCC Secretariat plays a key role in building the capacity of developing countries to meet their obligations under UNFCCC, and that EU support has played an important enabling role for the Secretariat by providing funding for training activities; without such support fewer trainings would have been carried out and fewer people would have been reached. Similarly, other

³⁷⁸ UN final report, for Contribution Agreement No.21.0401/2012/603409/SUB/CLIMA.AI; Technical Evaluation for Final Payment Contribution (JM) to UNFCCC, Support to the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the work of the secretariat for National Communications, expert training and review, and GHG Reviews and Post Cancun Activities. DG Clima, EC, 2013.

³⁷⁹ Service contract, No 210401/2012/635392/SER/CLIMA.B3.

³⁸⁰ Service contract, No 210401/2012/633708/SER/CLIMA.A4.

capacity building support (see above-mentioned examples) under ENRTP for international climate governance has contributed to building the capacity of national stakeholders in developing countries.

External factors: Multiple actors have provided significant resources and inputs to building the capacity of developing countries vis-à-vis climate change policy formulation and planning, mitigation and not least adaptation. The combined efforts by all these actors are mutually reinforcing in the sense that they all contribute to enhanced capacities and broad coverage of a range of climate change issues. National policy and political priorities are also a key factor. The push forward DRC is making on REDD+ is a good example of this, where the recognition of the country's great potential for REDD+ due to its large area of tropical rainforest resulted in DRC already having moved ahead from the planning to the implementation stages of REDD+ preparedness, with a national REDD+ strategy and a full National Programme (Readiness Plan). Also, DRC's National UN-REDD Programme document was signed in October and funds were disbursed in November 2014.

7.3.2 I-732 Progress made by developing countries in formulating climate policies and MRV, NAPA and NAMA development (linked to EQ2 – Mitigation)

Description: This indicator is related to I-731 in the sense that it focuses on the implementation at the national level. However, the difference is that I-732 focuses specifically on the status of the formulation (and implementation) of key climate policies and plans that developing countries are committed to prepare in relation to UNFCCC and also to access international climate funding. As such, it is a more quantitative indicator than I-731, which is more process-oriented and qualitative. This indicator is closely related to, and is informed by, EQ2.

Evidence of the change: Progress has been made by many developing countries in the development of national climate change related policies, and strategies, including those specific to the UNFCCC framework. In the case of NAPA development, the status is very clear; 50 developing countries have submitted their NAPAs and 38 of these were submitted during the period under evaluation³⁸¹; NAPAs are now in the implementation phase. 47 out of 49 LDCs have NAPAs³⁸². The NAPAs were specifically intended for LDCs, and thus not prepared by non-LDCs. By mid 2014, 16 developing countries had submitted a total of 51 NAMAs (of which one was withdrawn)³⁸³. MRV action is ongoing in 14 countries, but often not in an integrated and strategic way, and 14 countries are finalizing or drafting Low Emission Development Strategies (LEDS)³⁸⁴. No NAPs are finalised yet, but the UNFCCC Secretariat hopes that five NAPs will be ready in 2015. Many countries have prepared national climate change policies and/or strategies. The table below shows the status of climate change policy and strategy development in the case countries visited; most of the countries show good progress; national climate policies and strategies are generally in place, most countries eligible for NAMA funding are making progress on NAMA development, even if most of them have not yet been successful in securing funding for their implementation and MRV development in general goes hand-in-hand with NAMA development. In addition to the national policies presented in the table, some countries also have sector-specific climate change strategies or plans; one example is Bolivia's Joint Mitigation and Adaptation Mechanism for Integrated and Sustainable Management of Forests (JMA).

³⁸¹ UNFCCC website.

³⁸² Directorate General for Development and Co-operation – EuropeAid Management Plan 2013, Ref. Ares (2012)1540160 – 21/12/2012.

³⁸³ <http://www.namapipeline.org> (UNEP-RISØ NAMA pipeline).

³⁸⁴ Directorate General for Development and Co-operation – EuropeAid Management Plan 2013, Ref. Ares (2012)1540160 – 21/12/2012.

Table 29 National climate policy and strategy development status in case countries

Country	National policy / strategy	NAPA	LEDs	NAMA	GHG inventory	MRV	Other	EU support
Ghana	National Climate Change Policy (NREG supported)	-	-	5 NAMAs under development	-	Under development	Plans to develop a NAP	LECB NREG
Kenya	National Climate Change Action Plan; draft Climate Change Policy; draft Climate Change Bill	-	-	NAMA Registry; 3 NAMAs unsuccessfully submitted for funding; 5 NAMAs under development (3 NAMAs LECB supported)	Yes	Overall MRV developed; MRVs developed for 3 NAMAs, under development for new NAMAs (LECB supports development of 3MVRs)	Forest inventory	LECB
Rwanda	Green Growth and Climate Resilience Strategy	Yes	-	None, 7+ planned, NAMA guidelines developed	-	-		-
DRC ³⁸⁵	National Climate Plan	Yes	-	2 NAMAs under development (LECB supported)	-	Under development (GCCA supported)	REDD strategy/national programme	LECB GCCA
Egypt	National Strategy for Adaptation to Climate Change And Disaster Risk Reduction	-	-	2 completed 9 planned to be developed (LECB supported)	Partial	Under development (LECB supported)	Adaptation plans for specific sectors; standardised CDM baseline	LECB
China	National Climate Change Programme	-	Provincial LEDSS developed and under implementation	Several NAMAs prepared	Yes	MRV connected to ETS (emissions trading system) piloted		LECB PMR
Ukraine	National		Under development (EU supported)	- (Ukraine not eligible for NAMA funding)	Limited progress (supported by EU)	Limited progress	Basin mitigation plans; draft MRV legislation not passed	PMR
Bolivia	Law of the Rights	Not by	-	Not by Government	Not by Govern-	No formal sys-	Adaptation plans for	-

³⁸⁵ DRC was not visited, but distance interviews were carried out

<i>Country</i>	<i>National policy / strategy</i>	<i>NAPA</i>	<i>LEDs</i>	<i>NAMA</i>	<i>GHG inventory</i>	<i>MRV</i>	<i>Other</i>	<i>EU support</i>
	of Mother Earth; National Strategy for UNFCCC implementation; Plan Integral de Medio Ambiente y Agua	Government			ment	tem	specific sectors; Strategy for participation in CDM and other trading schemes; Villamontes Municipal Plan on Adaptation to Climate Change; But the National Development Plan/ Agenda Patriótica 2025, to a certain degree counteracts CC policy commitments	

Source: Country notes, EQ2

EU contribution: Some actions supported through ENRTP have specifically aimed at supporting the development of NAPAs, NAPs, NAMAs and MRV. For example, in 2008 alone EUR 2.5 mill were allocated under ENRTP to support the capacity development of developing countries to develop adaptation measures (NAPAs) and plan mitigation strategies (NAMAs); EQ2 provides more detailed information on the progress and results in relation to NAMAs and MRV.³⁸⁶

Support provided to the UNFCCC Secretariat facilitated the implementation of the main components of the CAF (Cancun Adaptation Framework), including technical guidelines, capacity building and TA for the formulation and implementation of NAPs.³⁸⁷ This support is contributing to enabling developing countries to embark on the ongoing formulation of NAPs. All developing countries are expected NAPs (only LDCs and SIDSs were expected to prepare NAPAs, and NAPs have a long term perspective, whereas NAPAs focused on immediate needs).

In relation to the preparation of NAMAs, Low Emission Development Strategies (LEDSs) and MRV, EU supports the UNDP implemented Low Emission Capacity Building Programme (LECB), which currently assists 26 developing countries. Through ENRTP, EU has contributed with a total of EUR 18 mill for the first and second phase of LECB. Support was provided public sector capacity building on formulation of NAMAs, LEDSS, MRV systems and GHG emission inventory systems. The LECB is currently supporting the development of 70 NAMAs in 26 countries, which is a significant number compared to the currently available 50 NAMAs from 15 countries. By mid 2013, the MRV element was still in an early stage. As described in EQ2, LECB has contributed to significant progress on the MRV processes, as evidenced in Lebanon, although it is in most countries still too early to measure the results of the MRV process. The second component was support for capacity building of private sector/industry in mitigation actions, i.e. action plans and MRV systems. Please refer to EQ2 for more information on the progress and results of LECB).³⁸⁸

The World Bank implemented (EU funded) PMR (Partnership for Market Readiness) initiative has supported seven countries, which are now in the implementation of feedback phases for their MRV systems (see EQ2). PMR has among its objectives to pilot innovative carbon pricing mechanisms, including emissions trading schemes (ETS) for emissions trading, but as of 2013, the piloting has not begun yet, and so far the activities implemented are technical workshops, expert meeting and events, so it is too early to assess the results³⁸⁹.

As described under I-722, EU also supported the UNFCCC Secretariat and the UNFCCC Subsidiary Bodies in relation to NAMAs, MRV and establishing a common reporting format. This support also included funding for the Consultative Group of Experts (CGEI) on national communications from non-Annex 1 Parties, i.e. for the provision of technical support for the development of GHG inventories. It also included support to the provision of capacity-building support for NAMA preparation and implementation, which has contributed to enabling the development of the 50 complete NAMAs as well as the NAMAs under preparation, and the development of MRV guidelines to facilitate the ongoing MRV development.³⁹⁰

Moreover, a service contract was entered with GTZ (now GIZ) for capacity building on MRV and national GHG inventories for Indonesia and Mexico, this project has contributed to significant progress on the processes, and while the leading position of Mexico on MRV cannot be attributed to GIZ as it is

³⁸⁶ 2008 Annual Action Programme implementing the "Thematic Strategy Paper for the Environment and Sustainable Management of Natural Resources, including Energy (ENRTP) for the period 2007-2010" for the Development Cooperation Instrument, Com(2008)4129 PE/2008/4247 Decision of 7/8/2008.

³⁸⁷ UNFCCC (2013): Final report for "Support to the United Nations Framework Convention on Climate change, the Kyoto Protocol and the work of the secretariat); and Technical Evaluation for Final Payment Contribution (JM) to UNFCCC, Support to the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the work of the secretariat for National Communications, expert training and review, and GHG Reviews and Post Cancun Activities. DG Clima, EC, 2013.

³⁸⁸ Low Emission Capacity Building Programme Programme Progress Report, 01/07/2012 – 30/06/2013, DCI-ENV/2010/243-093/TPS; Action Fiche U for EU-UNDP climate change capacity building programme, DCI-ENV/2010/243-093; LECB website.

³⁸⁹ Partnership for Market Readiness, Annual Report FY2013.

³⁹⁰ Technical Evaluation for Final Payment Contribution (JM) to UNFCCC, Support to the United Nations Framework Convention on Climate Change, the Kyoto Protocol and the work of the secretariat for National Communications, expert training and review, and GHG Reviews and Post Cancun Activities. DG Clima, EC, 2013; Support to the United Nations Framework Convention on Climate Change, The Kyoto Protocol and the work of the secretariat for National Communications, expert training and review, and GHG Reviews and Post Cancun Activities.

also a result of strong national commitment, GIZ has assisted Mexico in concretising its aspirations; EQ2 provides more information on the GIZ project.³⁹¹

External factors: A number of actors have provided significant resources and inputs to assist developing countries vis-à-vis climate change policy and strategy formulation. In most of the countries visited, EU was not the only donor supporting this. National policy and political priorities and views on climate change are key factors in relation to the energy and staff resources invested in policy formulation and choice of LEDS and NAMA sectors – the limited MRV progress in Ukraine is a clear example of this.

³⁹¹ Service contract, No 210401/2010/580015/SER/A3.

8 EQ 8: Mainstreaming Approach



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?

Rationale

This question evaluates an important element of the intention of the EU to integrate/mainstream environmental sustainability and climate change resilience in EU external aid. EU staff, especially Delegations, need access to clear and comprehensive approaches and tools, as well as sufficient knowledge and capacity in order to successfully engage in mainstreaming. This EQ thus focuses on whether the approach, modalities, tools and institutional capacity are appropriate and sufficient to enable EU staff to promote mainstreaming, with a focus on Delegation staff.

ENRTP also had environment and climate change mainstreaming as a sub-priority (sub-priority 3.3 in Phase 2), and a number of ENRTP initiatives deal with mainstreaming, such as the UNDP-UNEP Poverty-Environment Initiative (PEI), the UNEP hosted Economics of Ecosystems and Biodiversity (TEEB) initiative, and the Global Climate Change Alliance (GCCA). However, this evaluation question will not cover mainstreaming efforts under ENRTP for the following reasons:

- The ENRTP mainstreaming support is not sector specific, and the evaluation ToR specify that the evaluation shall cover mainstreaming in two specific sectors two sectors: 1) agriculture and rural development, and 2) infrastructure (covered in EQ9);
- PEI and GCCA are subject to full evaluations in 2014;
- TEEB is covered under EQ6.

The first judgement criterion is assessing whether EU policies, guidelines and tools were/are adequate/appropriate/sufficient for promoting mainstreaming of environment and climate change in EU support in a systematic manner as intended. The second criterion focuses on whether institutional capacity were/are sufficient to engage meaningfully in environmental mainstreaming; i.e. whether Delegations in partner countries are provided with sufficient capacity (skills, time) and guidance on mainstreaming.

8.1 JC81. Appropriateness of the strategic approach and related guidelines and tools to deal with environmental and CC mainstreaming

8.1.1 I-811 Adequacy and consistency of EU policies in relation to promoting mainstreaming/integration of environment and climate change concerns across sectors

Description: This indicator measures the extent to which the EU strategies/policies are consistent with, and supportive of, mainstreaming environment and climate change into development policies and actions across sectors, and the extent to which they are in principle supportive of national processes. The responsibility for bringing about changes aiming at integrating environment and climate change actions in decision-making and planning ultimately lies with national governments. Nonetheless, the EU can through its funding, policy dialogue and direct involvement at the national level encourage and support national governments to establish necessary enabling frameworks for mainstreaming environment and climate in policies, plans, programmes and decision-making within the context of national development priorities. Moreover, the EU has a responsibility in relation to the interventions it finances, to ensure that they support (and do not contradict) EU's international environmental and climate commitments; i.e. that a) unintended negative impacts on the environment and GHG emission increases are avoided, b) the results achieved are not vulnerable to the impacts of climate change, and even that c) the actions contribute to increased environmental sustainability and a low-carbon development pathway. To achieve these aims EU development policies and strategies need to be conducive and provide an adequate enabling framework that is supportive of the systematic integration of environment and climate change in EU strategies, programming and policy dialogue.

Findings: Numerous EU policy documents address or refer to /integration of environment and climate change into development policies and programming. Table 30 below provides a non-exhaustive and brief overview of important policy documents and contents related to integration and mainstreaming.

EU policy repeatedly emphasises the importance of integrating environmental concerns, and to an increasing extent also climate change, into economic development, i.e. into policy-making, planning/programming, regulation, and implementation. While the call for integration goes as far back as to the Single European Act of 1986, the emphasis has over time become stronger, with an increasing amount of policy documents and a move from general statements towards increasingly detailed reflections on how integration relates to EU's own policies, policy dialogue and programming. Since 2001, EU has had a strategy for "Integrating the Environment into EC Economic and Development Cooperation" with practical steps and indicators. In recent years, the growing emphasis on pursuing the transition to a green economy with sustainable consumption and production (SCP), low-emission development and climate change resilience further underscores the importance of mainstreaming.

The 2005 European Consensus on Development (ECD) is a central policy which confirms EU's commitment to mainstreaming, as it states that it is a major aim to: "*integrate environmental protection requirements and climate change action into the Community's development and other external policies as well as to help promote the Community's environmental climate and energy policies abroad in the common interest of the Community and partner countries and regions*". The 2007 communication *Building a global climate change alliance between the European Union and poor developing countries most vulnerable to climate change* has as one of its five priority areas the integration of climate change into poverty reduction strategies and programmes.

Another important finding is that a number of EU policies emphasise the need to ensure that mainstreaming is done within the framework of national priorities and policies, rather than being externally superimposed. Nonetheless, several policy documents emphasise that EU should consider environment and climate change in all its development cooperation, including policy dialogue, strategic programming, and implementation – in order to avoid unintended negative impacts and to enhance positive impacts on environmental sustainability.

EU has also in the global environmental governance context been proactively promoting mainstreaming. For example, EU was instrumental in the CBD post-2010 agreements that resulted in the adoption of the Aichi targets, which has among its strategic goals (*Strategic Goal A*) to: "*Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society*" (see EQ4 and EQ6).

Mainstreaming appears to increasingly become a primary strategy of EU to ensure environmental sustainability; one example is biodiversity, where EU now operates with the strategic and operational approach of mainstreaming biodiversity into all sectors. In the 2020 strategy, the following is stated: "*In dialogue with recipient countries and partners, the goal is to integrate biodiversity and ecosystem services into every sector of development cooperation. The conservation of ecosystems should be mainstreamed in the forestry sector, mining sector, in climate change projects, in rural development and in marine resources management incorporating biodiversity values into the sector assessments and development policies including corresponding capacity development.*"

Hence, EU policies related to development assistance are not only conducive for mainstreaming, they explicitly require/demand mainstreaming in order to meet EU development policy goals and objectives. Although there are several policies as shown in the table below, they appear to be consistent and coherent in their promotion of mainstreaming, and no contradictions have been found in the policies reviewed.

All the EUD's visited found that the EU policies on mainstreaming environment and climate change were consistent, appropriate, and clear. Several EUDs also found the policies well balanced in the sense of a) being pragmatic (Egypt, DRC, Bolivia) and b) attempting to address mainstreaming already in the design phase (DRC, Bolivia). However, the large number of policies and communications can make it difficult to read everything and to know where to find needed positions and information (Kenya, Rwanda).

Table 30 Coverage of environment and climate change mainstreaming in EU policy documents

Year	Title	Document	Mainstreaming related content	General	Policy dialogue	Pro-gramming	Green economy
1986	Single European Act		Call for the inclusion of environmental concerns into all Community activities	X			
1997	Treaty of Amsterdam amending the Treaty of the European Union, the Treaties establishing the European Communities and certain related acts		Article 6: "environmental protection requirements must be integrated into the definition and implementation of the Community policies [...] in particular with a view to promoting sustainable development" Article 177 calls for: Developing countries should include environmental aspects in economic and social policies Calls for systematic acknowledgement of linkages between poverty and environment in policy dialogue with developing countries Regulations in developing countries of international investment should environmental protection into take account	X	X		
1997	European Council in Luxembourg		"Environmental protection requirements must be integrated into the Community's policies and activities, in particular with a view to promoting sustainable development". Asked EC to submit a strategy on this	X			
1998	A strategy for integrating the environment into EU policies	COM (1998) 333	A gradual approach based on two priority objectives: Agenda 2000 (Common Agricultural Policy and Cohesion policies' reforms, as well as Enlargement process) and the Kyoto Protocol The need to integrate environment into other policies, including that of development, is mentioned as an issue that would require early attention	X			
1999	European Council in Brussels		Calls for: "initiating an in-depth discussion within the Commission and with the EIB and EBRD in order to take climate change in an explicit and systematic way into consideration and in order to mainstream sector specific measures and opportunities for integrating climate change consideration into their ongoing activities"	X		X	
2000	Integrating environment and sustainable development into economic and development cooperation policy – elements of a comprehensive strategy	COM (2000) 264	Calls for: Inclusion of environmental concerns into programming and project cycle Enhanced in-house capacity Continuous evaluation of the performance of environmental integration			X	
2000	Regulation EC No 2493/2000 on measures to promote the full integra-	Official Journal L 288 of 15.11.2000	Promotes full integration of environment in the development process of developing countries. Defines areas that are eligible for aid and assistance, incl.: addressing environmental impact of the integration of developing countries into the			X	X

Year	Title	Document	Mainstreaming related content	General	Policy dialogue	Pro-gramming	Green economy
	<i>tion of the environmental dimension in the development process of developing countries</i>		world economy and of their macroeconomic and sectoral policies; consideration of environment concerns in development cooperation projects, sustainable consumption and production (SCP). Promotes EU support for e.g.: drawing up of policies, plans, strategies and programmes for sustainable development; formulation of guidelines, operating manuals and instruments promoting sustainable development; development and application of environment assessment tools				
2001	<i>Council Conclusions document of 31 May 2001: Strategy for the integration of environmental considerations into development policy to promote sustainable development</i>		Underlines the importance of integrating environmental considerations into all Community initiatives in the field of development cooperation. Priority should be given to: Enhanced policy dialogue with partner countries on environment Incorporating environment into the preparation of all EC strategic plans and programmes for EC development cooperation Mainstreaming environment into the 6 priority themes for EC development cooperation (trade and development, regional cooperation, poverty reduction, transport, food security and institutional capacity building) Monitoring progress made		X	X	
2001	<i>Integrating the Environment into EC Economic and Development Cooperation, a global strategy</i>	SEC (2001) 609 (10.04.2001).	A strategy to ensure that the environment plays a key role in EU's economic and development aid to partner countries, to enable them to assume their environmental responsibilities in the long term Asks for environmental concerns to be included in cooperation instruments and programmes Calls for improved use of EIA Calls for integrating environmental considerations into international institutions' activities Sets out expectations, practical steps and indicators			X	
2001	European Council in Gothenburg		Environmental questions to be taken into account when EU external policies are drawn up and implemented Environment to be mainstreamed into all priority themes Economic growth to be decoupled from the use of natural resources Guideline 11: "to encourage the sustainable use of resources and strengthen the synergies between environmental protection and growth"	X			
2001	<i>A sustainable Europe for a better world: A European strategy for Sustainable Development</i>	COM (2001) 264 final	Calls for: Enhanced policy dialogue with partner countries on environmental issues Environmental concerns to be incorporated in preparation of all strategic plans and programmes of EU development cooperation, in particular CSPs, with the use of e.g. CEP and SEA. Mainstreaming environment into 6 priority themes (trade and development, regional cooperation, poverty reduction, transport, food security,		X	X	

Year	Title	Document	Mainstreaming related content	General	Policy dialogue	Pro-gramming	Green economy
			institutional capacity building) Updated in 2005 and 2011				
2002	European Council in Barcelona on environmental integration		Calls for: Regular dialogue on environment and inclusion in cooperation instruments and programmes. Inclusion of environmental concerns in actions on conflict prevention, post-conflict reconstruction, human rights, democratisation and governance.		X	X	
2003	<i>EU Action Plan on Climate Change</i>		Promoting environmental integration in relation to: Trade and regional integration (sustainable growth), transport (minimising negative effects), rural development and territorial planning (sustainable territorial development) and human development (mainstreaming)	X			
2003	<i>Climate Change in the Context of Development Cooperation, Communication from the Commission to the Council and the European Parliament</i>	COM (2003) 85	Aims to assist the developing countries in reconciling economic development needs with environmental protection and sustainable use of energy and natural resources. Guiding principles include coherence with other policies and strategies and national ownership. Contains action plan with practical measures		X		
2004	<i>EC Working paper: Integrating environmental considerations into other policy areas – a stock-taking of the Cardiff process</i>	COM (2004) 394	Requires nine Council formations to integrate environment into their activities, incl. key sectors (e.g. energy, transport, industry). Promotes integration of environment into all EU policies. Triggered the elaboration of a comprehensive strategy for the EU, viz. the EU Sustainable Development Strategy, and sectoral strategies (e.g. Transport White Paper). Points out that the mid-term review of the EU SDS and of the Lisbon strategy offer opportunities to examine how environmental integration and economic growth can be mutually supportive. ³⁹²			X	
2005	<i>European Consensus on Development (ECD)</i>	DEVGEN 229 RELEX 678 ACP 155	Reconfirms EU intention to <i>lead global efforts to curb unsustainable consumption and production patterns</i> Aims to help developing countries incorporate environmental concerns into development Implementation of the UNCCD through effective mainstreaming of sustainable land management issues in developing countries' strategies Calls on the EU to intensify dialogue with partner countries to promote the mainstreaming of the environment into national policies and PRSPs.	X			X

³⁹² Giljum et al, 2005

Year	Title	Document	Mainstreaming related content	General	Policy dialogue	Pro-gramming	Green economy
2006	Regulation EC No <u>1905/2006</u>		The purpose of Regulation (EC) No <u>1905/2006</u> is to continue the Community action on the basis of experience acquired during the implementation of the former Regulation (EC) No <u>722/97</u> in relation to helping countries with integrating environment in their development processes.			X	
2007	<i>Building a global climate change alliance between the European Union and poor developing countries most vulnerable to climate change</i>	COM (2007) 540	One of the five priority areas of this policy is the integration of climate change into poverty reduction strategies and programmes	X	X	X	
2009	<i>Millennium Development Goals – Impact of the Financial Crisis on Developing countries</i>	SEC (2009) 0445	Calls for “ <i>support to countries to integrate climate resilience and low carbon strategies into their development plans through assistance for adaptation, clean energy and technology</i> ”	X			X
2009	<i>Joint EEAS-EC Reflection Paper: Towards a comprehensive climate change agreement in Copenhagen</i>	COM (2009) 39	Calls for: Strengthening climate change expertise of EEAS at HQ and Delegations (CC experts assigned, staff training on CC diplomacy) Mainstream climate action in the multiannual country and regional strategy papers, in the context of the next programming cycle;	X	X	X	
2009	<i>Improving environmental integration in development cooperation</i>	SEC(2009) 555 (21.04.2009)	Calls for: Enhancing national ownership by: Including environmental integration in policy dialogue Improving knowledge base, e.g. through research Improving use of mainstreaming tools and capacity building Improving mainstreaming of environment in new issues, e.g. governance, conflict prevention Integrating environmental issues in budget support Improving M&E and reporting Improving coordination and division of labour Establishment of an expert group on environment integration in development policy to support the work on improved mainstreaming, to share lessons and to improve reporting.		X	X	
2009	<i>Council Conclusions on integrating environment in devel-</i>		Adopted the conclusions on the Commission Staff Working Paper: “ <i>Improving environmental integration in development cooperation</i> ”			X	

Year	Title	Document	Mainstreaming related content	General	Policy dialogue	Pro-gramming	Green economy
	opment cooperation, 2953 rd Environment Council meeting, Luxembourg		EC to prepare an ambitious EU-wide environment integration strategy by late 2011				
2009	<i>White Paper – Adapting to climate change: Towards a European framework for action</i>		Commits EC: "... the Commission will work with Member States and stakeholders setting guidelines and exchanging good practice, to ensure that account is taken of biodiversity and climate change impacts when implementing the Environmental Impact Assessment (EIA) and Strategic Environmental Assessment (SEA) Directives and spatial planning policies." Encourages Member States to adopt ecosystem-based approaches, including green infrastructure.			X	
2011	<i>Renewed environment integration strategy</i>		Update of the 2001 sustainable development strategy: <i>A sustainable Europe for a better world: A European strategy for Sustainable Development.</i>			X	
2011	<i>Increasing the impact of EU Development Policy: an Agenda for Change</i>	COM (2011) 637	Calls for EU support to the development of a green economy				X
2011	Council Conclusions on EU Climate diplomacy		Calls for support to low-emission and climate resilient development: linkage between climate and development actions, and the need to further integrate climate considerations in the broader aid portfolio		X	X	
2011	<i>Our life insurance, our natural capital: an EU biodiversity strategy to 2020</i>	COM (2011) 244	Calls for 'Biodiversity proofing' EU development cooperation. Screening of actions to minimise negative impacts on biodiversity, and undertake SEAs and/or EIAs for actions likely to have significant effects on biodiversity			X	

8.1.2 I-812 Adequacy of the tools and methodologies developed in support of mainstreaming environment and CC in relation to all steps in the programme cycle

Description: The implementation of the policy objectives for environment and climate change integration requires that EU Delegations and other relevant stakeholders are provided with clear and specific guidance and tools on how environment and climate change in practice can be mainstreamed into strategic planning, programming, implementation and policy dialogue with national partners. Hence, this indicator measures the adequacy of the tools and methodologies applied by EU across the entire programme cycle. This specifically involves answering the following questions:

- Are the methodologies and tools promoted appropriate and sufficient for mainstreaming?
- Are there significant gaps?
- Are the guidelines clear and easy to use?

While EU has published different manuals and tools of relevance to mainstreaming, the assessment of the indicator focuses mainly on the key tools, namely the *EU Guidelines on the Integration of Environment and Climate Change in Development Cooperation (Guidelines no. 4), 2009* and the sector scripts on climate change from 2009.

Findings: EU policies have promoted and committed EU to integrating environmental and later on climate change concerns into economic development and all sectors for three decades, and since 2001 EU has had a strategy for this (see I-811). However, the implementation of mainstreaming had only taken place to a limited extent prior to 2007. In 2006, the European Court of Auditors looked at the progress of the environmental mainstreaming in EC's development cooperation³⁹³, and found that:

- By 2002, country environmental profiles (CEPs) had only been produced for 6 out of 60 Country Strategy Papers (CSPs), but in 2005 EC had started producing CEPs for the new CSPs;
- Strategic environmental assessments (SEAs) were rarely used and there were no guidelines on when or how to use either SEAs or more limited environmental assessments. No assessments had been made of the possible environmental impact of government policies and programmes supported by budgetary aid;
- Environmental impact assessments (EIAs) had not been done for several projects deemed environmentally sensitive, including large infrastructure and mining projects, and there were no system to ensure that mitigating measures identified in EIAs were implemented. EC had no central register of EIAs.

In 2007, WWF, FERN and Birdlife reviewed EC environmental tools³⁹⁴, and found that while important improvements had been made in the systematic approach to carrying out CEPs, there was no systematic approach to carrying out EIAs and SEAs. Moreover, there was ambiguity regarding the mandatory nature of environmental integration, and a lack of clarity regarding the division of roles and responsibilities between EC staff regarding environmental integration was found.

EU mainstreaming guidelines

It is against this background that EC in 2007 introduced the *Environmental Integration Handbook for EC Development Cooperation* to provide better guidance to Delegation staff. In 2009, the handbook was updated and published as the *EU Guidelines on the Integration of Environment and Climate Change in Development Cooperation (Guidelines no. 4)*. One significant change was the enhanced coverage of climate change. Moreover, by making the 2009 version part of the core set of guidelines for programming (Guidelines No 1,2, and 3 were on log frames, budget support and sector programmes), the mainstreaming guidelines became more prominent in EU's programming approach. These guidelines provide an explanation of the reasons and importance of environment and climate change mainstreaming, followed by specific guidance on which tools and approaches to use at all stages of the programming cycle for all three aid modalities used by EU (general budget support, sector policy support programmes, and projects), acknowledging that the entry points and mainstreaming opportunities are different for the different aid modalities. The guidelines are logically structured in chapters on 1) multiannual programming, 2) sector policy support programmes, 3) general budget support, and 4) projects; each of these chapter are then divided into sub-chapters on a) identification, b) formulation, c) implementation, and d) evaluation. Moreover, template ToRs, checklists, lists of key issues to consider, and possible indicators are provided in annexes. This structure facilitates its use,

³⁹³ European Court of Auditors: Special Report 6/2006 concerning the environmental aspects of the Commission's development cooperation

³⁹⁴ WWF, FERN and Birdlife: Environmental tools in EC development cooperation, Transparency and public availability of documentation, a review, September 2007

as Delegation staff can use it as a reference and easily find the guidance on the relevant tools, as and when needed.

In 2011, a third version of the guideline was drafted; the only major change was the introduction of the climate risk assessment (CRA) tool. However, the new version was not adopted, the reason for this appears to be a combination of a) concerns that the introduction of the CRA tool would contribute to overloading Delegations with too many tools and instruments, b) that the CRA tool had not been tested/piloted due to lack of funds, and c) internal staff movements and restructuring in DG DEVCO, whereby the responsibility for the guidelines became less clear. Reportedly, the 2011 Guidelines and the use of the CRA tool have in 2014 been formally approved by DG DEVCO, but the finalised version is not yet made available on the website.

The table below shows the tools and approaches, which the guidelines instruct or recommend to be used for the different modalities and at the different stage of the programme cycle. It shows that a number of important, appropriate and internationally accepted tools and approaches are proposed, such as CEP/REP (country/regional environmental profiles), SEA (strategic environmental assessment), EIA (environmental impact assessment), environmental indicator monitoring, evaluation/assessment, and policy dialogue. In that sense, the guidelines have been appropriate as they provide an easy-to-access reference. They also take into account that the mainstreaming options and tools are different for the different aid modalities, for examples, tools such as EIAs are relevant and useful for projects, whereas SEAs are useful for sector policy support programmes. The introduction of the CRA tool by the draft 2011 revision on CRA is relevant, as it further strengthens the mainstreaming of climate change, although some stakeholders would have preferred that climate change was better integrated in existing tools (e.g. SEA and EIA) rather being covered in a separate tool.

Table 31 Mainstreaming tools and approaches promoted in EU Guidelines on the Integration of Environment and Climate Change in Development Cooperation (Guidelines no. 4), 2009

Phase	Multi-Annual Programming	Aid modality		
		Project Approach	Sector Policy Support Programmes (SPSP)	General Budget Support (GBS)
Identification	CEP/REP	Env'I/EIA screening CC risk screening	SEA screening	Preliminary review of env'l and CC considerations in: policy/strategy, MTEF, donor coordination, indicators, institutional capacity
Formulation		EIA (if required) Address env'l and CC issues in formulation study (if EIA not required)	SEA (if sector requires) Checklist for identification of env'l and climate-related issues (if SEA not required)	SEA (if required) Comprehensive assessment of the eligibility criteria, seven assessment areas: policy/strategy, macro-economy, PFM, MTEF, donor coordination, indicators, institutional capacity
Implementation		Check compliance with EIA results and studies Env'l performance review CC risk review Monitoring of env'l indicators Check compliance with law	Monitoring of env'l indicators Policy dialogue on issues in CEP and SEA	Monitoring of env'l indicators Policy dialogue Capacity building
Evaluation		Eval of mainstreaming results and use of EIA	Assessment of: contribution to sust. dev't, mainstreaming results, and use of SEA	Assessment of: contribution to sust. dev't, mainstreaming results, and use of SEA

Nonetheless, it should be noted that while the guidelines provide quite detailed guidance on the tools to be applied during the identification and formulation stages (e.g. screening, SEA, EIA), the guidance for the implementation and evaluation stages (e.g. monitoring, assessment/evaluation, policy dialogue) is more brief and generic.

The CEP is the only tool where a specific EU format is promoted/used, whereas the other tools promoted, i.e. SEA and EIA, are internationally used tools (see the box below). The inclusion of an envi-

ronmental summary was made mandatory for Delegations to undertake in connection with the preparation of the CSPs for the 2007-2013 programming cycle. This meant that many Delegations prepared CEPs as an input to the CSP formulation. However, with the anticipated stronger alignment to national development policy and programmes in the 2014-2020 programming cycle, the CSP and hence the environmental summary is no longer a requirement, as the responsibility for environmental integration is increasingly with the national partners. Moreover, interviews with EU staff and consultants indicate that Delegations feel that CEPs often had added limited value. One reason appears to be that the CEPs do not provide indicators and targets for measuring progress, and its value as an input to policy dialogue is thus diluted. Another reason is that similar documents are sometimes already prepared by other donors (World Bank), so CEPs have duplicated existing efforts. Furthermore, CEPs were prepared in response to a push from Brussels so there was limited ownership and use of the results by Delegations and national partners. Nonetheless, for the 2014-2020 programming cycle some countries are preparing CEPs on their own initiative; on example given by stakeholder is Lesotho, where a targeted CEP on the sectors chosen for support was carried out and the CEP recommendations are reportedly reflected in the draft NIP – so when a CEP is based on a national demand and need, then it appears to be a useful tool.

Box 6 *Brief description of the main tools promoted in EU Guidelines on the Integration of Environment and Climate Change in Development Cooperation (Guidelines no. 4), 2009*

CEP/REP (country/regional environmental profile): An EU format to facilitate the integration of the environmental dimension in the country/regional analysis, response strategies and multi-annual programming. The CEP can also be used to underpin policy dialogue. A CEP provides an analysis of a country's environmental situation, current policies, institutional capacities and environmental cooperation experience and highlights the main links between the environment, climate, the economy and poverty reduction and contains information to facilitate dialogue. This is usually based on information extracted from the National State of the Environment Report. Moreover, the CEP identifies and assesses the environmental issues to be considered during the preparation of the Country Strategy Paper (CSP)/National Indicative Programme (NIP), and provides recommendations for integration of environmental considerations into the focal sector selection and detailed programming, as well as for the establishment of environmental safeguards. Similar or related tools include the World Bank's country environment assessment (CEA), and state of the environment reports (SoE).

SEA (strategic environmental assessment): A systematic process for assessing the potential environmental consequences of proposed policies, plans or programmes (e.g. at sector level) in order to ensure they are fully included and appropriately addressed at the earliest stage of decision making. The SEA is meant to analyse alternatives and scenarios. In EU, SEA is a legally enforced assessment procedure required by Directive 2001/42/EC (known as the SEA Directive), but it is rarely a legal requirement in developing countries.

EIA (environmental impact assessment): A widely applied tool to measure the environmental impact assessment at the project level. Procedures are set out in the handbook for integration manuals whereby different phases of the study are being described. However, while the environmental impacts of a project are addressed in the EIA, the EIA does not examine the risks posed to the implementation and sustainability of a project by environmental factors, including climate change. In many countries, EIAs are a legal requirement in relation to projects, which can significantly impact the environment.

The tools promoted in the *EU Guidelines on the Integration of Environment and Climate Change in Development Cooperation* tend to focus on assessment/identification of the negative environmental impacts of economic activity and how these can be mitigated, and whether mitigation measures have been implemented. There is less focus on other important aspects of effective mainstreaming, such as:

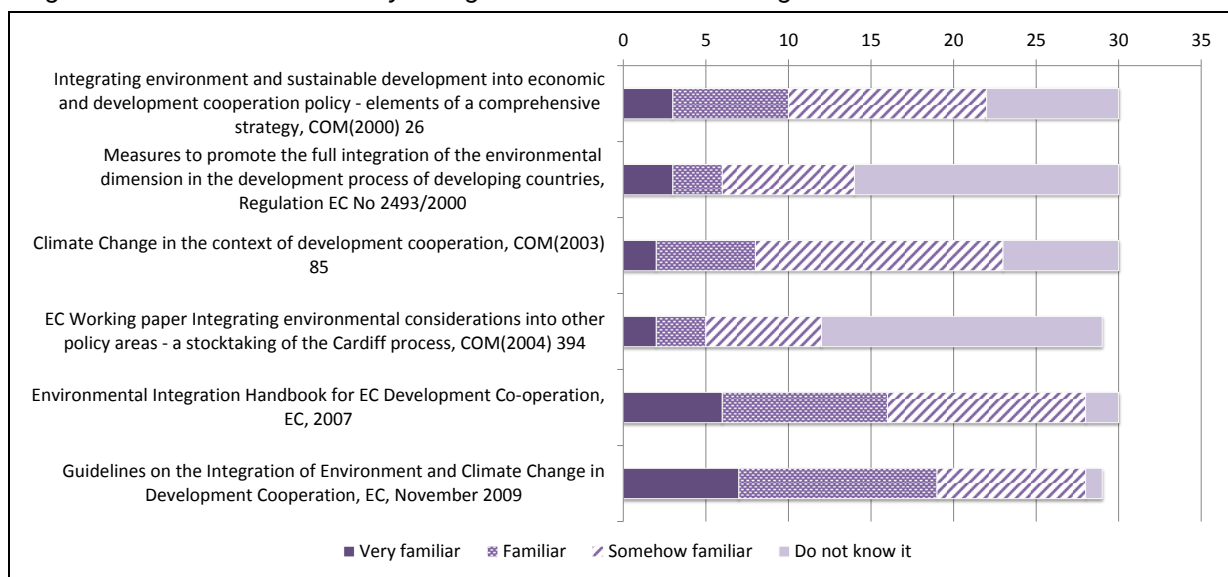
- Identifying how sectors can contribute positively to improving the environment;
- Identifying and demonstrating how improved environmental management can contribute positively to sector performance and economic growth (e.g. agriculture, energy, water);
- Awareness raising and creating national ownership of the mainstreaming agenda;
- Promoting that environment and climate change mitigation/adaption are sufficiently reflected in sector policies and that national/sector budgets include environmental lines/items;
- Building national mainstreaming and regulatory capacity (e.g. to ensure that SEAs and EIAs are consistently applied and their recommendations are implemented);

- Taking into consideration aspects related to good governance, transparency, political will, vested interests, corruption, and the political economy.

Addressing these aspects can facilitate mainstreaming, as it changes the paradigm from a) having to address environmental and climate change considerations, although this comes at a cost, to b) wanting to integrate environment and climate change concerns, as it benefits sector performance and economic development. Some ENRTP funded initiatives already address these elements, e.g. by taking the economic benefits of environmental protection into consideration (labelled by PEI as “*making the economic case*”) and assessing the public environmental expenditures, e.g. PEI’s PEER (public environmental expenditure review)³⁹⁵ or TEEB’s economic evaluation of ecosystems and biodiversity³⁹⁶ (see EQ6). Moreover, economic tools to and address market failures and reduce environmentally damaging subventions (e.g. environmental fiscal reforms) can be important elements of mainstreaming. Hence, PEI, TEEB and GCCA have developed new innovative tools, concepts and approaches for mainstreaming. However, while EU funded them through ENRTP, there appears to be little learning (e.g. adoption of the tools developed) and collaboration between the programming of EU Delegations and these initiatives, although the current training modules provided to delegation on mainstreaming are building on both PEI and GCCA concepts (see I-821), and the guidelines reportedly were significantly influenced by the PEI methodology³⁹⁷. Nonetheless, a number of EU actions at the national level also aimed at building national mainstreaming systems and policies, such as: the ECBP programme in China; the NREG programme in Ghana; policy dialogue in Rwanda (agriculture and more lately energy); and technical support for focal sectors in DRC, Bolivia (water and rural development), and Egypt (water and energy).

The guidelines resulted in a significant step forward for the mainstreaming of environment and climate change. As the figure below shows, the EUDs’ awareness of the guidelines is much higher than the awareness of the earlier communication promoting mainstreaming. It is thus not surprising that the EUDs report a much higher use of the guidelines than of previous mainstreaming guidance, as exemplified by the figures below.

Figure 47 EUD familiarity with guidance on mainstreaming



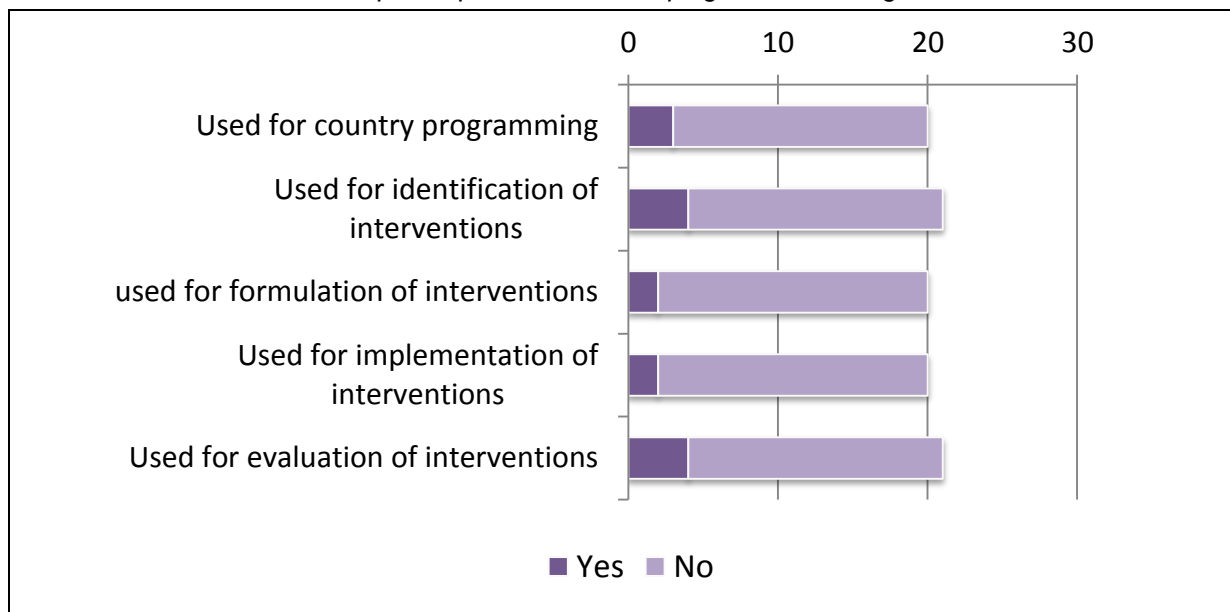
Source: EUD survey

³⁹⁵ www.unpei.org

³⁹⁶ www.teebweb.org

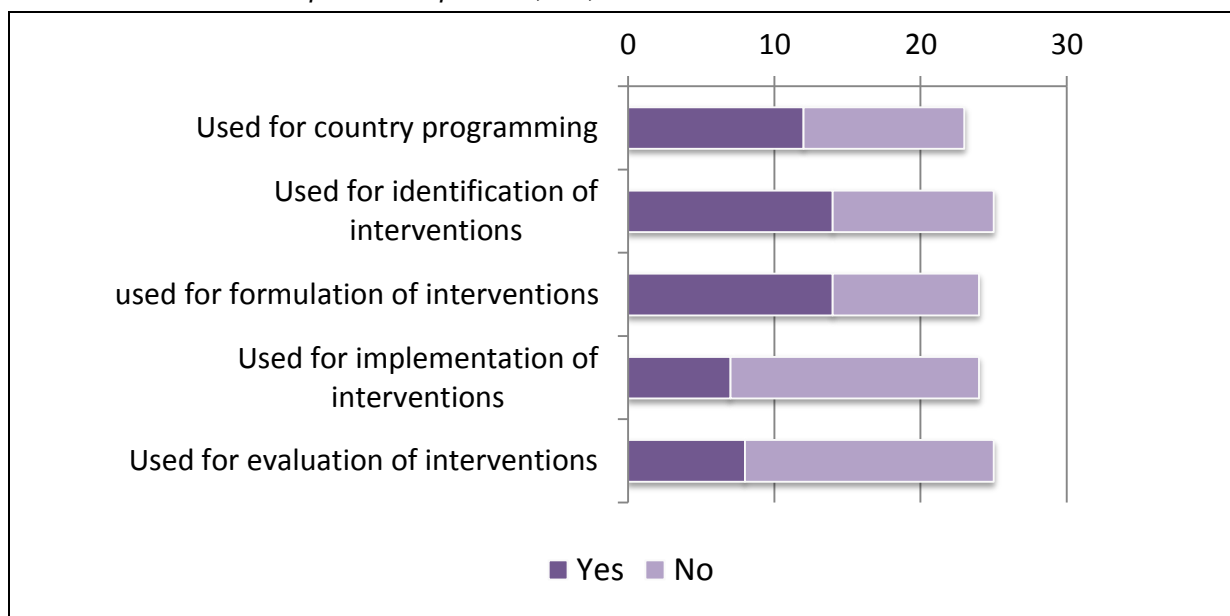
³⁹⁷ Stakeholder interviews

Figure 48 EUD use of: Measures to promote the full integration of the environmental dimension in the development process of developing countries, Regulation EC No 2493/2000



Source: EUD survey

Figure 49 EUD use of: Guidelines on the Integration of Environment and Climate Change in Development Cooperation, EC, November 2009



Source: EUD survey

Climate change sector scripts

In 2009, EC published a series of sector scripts: “Sector Scripts, EC Cooperation: Responding to climate change, 2009”. Five scripts were published, one was an introduction and key concepts, and four covered the following sectors: agriculture & rural development, education, energy supply, health, infrastructure, solid waste management, trade & investment, and water supply & sanitation. Other sector scripts were drafted, but not finalised³⁹⁸. The sector scripts are structured in three sections, covering 1) the impact of climate change, 2) adaption, and 3) mitigation. The latter two chapters list a range of adaptation and mitigation options, disaggregated by sub-sectors. The sector scripts were around 15-20 pages. However, while fairly brief, their uptake and utilisation by Delegations was reportedly

³⁹⁸ Ecosystems & biodiversity management, governance

low, since the sector scripts were seen as too long and heavy to read and the use of illustrations, figures and boxes was limited. In 2012, work was initiated to develop new, briefer, sector guidance notes, which would also cover environment. The development of new sector sheets is still ongoing. Seemingly, the process was delayed by DG DEVCO staff relocations.

Other mainstreaming tools

EC has also developed other tools of relevance to environment and climate change mainstreaming at the global and regional levels. These include:

- *Good Practice Guide for preparing CEPs*. This guide was drafted by the Helpdesk and submitted to the EC for review. However, it seems that this guide was never finalised and made available to Delegations;
- *Handbook on estimation of external costs in the transport sector*, 2008. This handbook included cost estimates of a range of negative environmental impacts and mitigation costs of road construction, such as: air pollution, noise, climate change, nature and landscape, soil and water pollution, and sensitive areas (e.g. mountains). One EC staff member interviewed viewed this publication as pivotal for mainstreaming in the infrastructure sector, and even more important the above-described mainstreaming guidelines;
- *Guidance on Integrating Climate Change and Biodiversity into Environmental Impact Assessment*, 2013. Given its novelty, it is too early to verify the extent to which it can/will be utilised by Delegations and national partners. However, given the narrow focus on EIAs and the fact that it focuses on EIAs in EU member states, its application in development assistance will possibly be limited.

In general, the EUD's visited found the guidelines and tools relevant and useful (e.g. for SEA preparation in Kenya and Rwanda), except that the Kenya EUD found the environmental screening tool not relevant for the screening of a capacity building project in the roads sector. However, in China the guidelines were not used much, since a significant part of the support was directly targeting environment and climate change. The Ukraine EUD was not aware of the guidelines and tools, and in Egypt not all staff were aware of the guidelines. It is also noted that while the guidelines were useful, it is of greater importance to a) have consultants who are capable of mainstreaming and b) ensure that national legislation is followed (Egypt, Bolivia, DRC). It was also found 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, which asks detailed questions (DRC, Egypt, Bolivia). It was also noted that the application of the guidelines and approach is much easier, when there is an openness and reception among national partners (DRC, Egypt, Bolivia, Rwanda).

8.2 JC82 Increased capacity developed within the Delegations to mainstream environment and CC in their operations

8.2.1 I-821 – Availability, quality and use of technical support for Delegation staff on environment and climate change mainstreaming

Description: Effective mainstreaming requires that both EC HQ staff, Delegations and their national counterparts working with a given sector have a good understanding of why environmental and climate change concerns are important to address for their sector and how environment and climate change can be integrated into policy, planning and implementation. It thus requires that environment is not left to only environmental experts to address, but that other staff members also have the necessary basic knowledge and skills required to ensure mainstreaming as well as access to support when required, as well as access to new knowledge and information. The role of EC Headquarters (HQ) staff in relation to mainstreaming is to provide support and guidance to Delegations, whereas the actual responsibility for the programming lies with the Delegations, hence the focus of this indicator on whether Delegations have access to the support needed. This indicator assesses whether EC has sufficiently made capacity building and support available to Delegations, and whether the quality has been sufficient to meet the needs of Delegation staff. The indicator focuses on the thematic mainstreaming support arranged by the EC HQ, in particular the environment helpdesk, which provided mainstreaming support and capacity building in 2007-2009, but capacity building and support provided in 2010-13 is also covered. Capacity building arranged by Delegations or carried out as part of regional or country level initiatives, programmes and projects is captured under EQ9. Mainstreaming capacity building provided by UN entities with ENRTP funding is not covered by this evaluation. Hence, capacity building provided for national counterparts is captured in relation to their participation in capacity building arranged by the EC HQ.

Findings: During, and prior to, the period evaluated, EC has provided centralised capacity building and technical advisory support on mainstreaming to Delegation staff, EC staff and to some extent also to counterparts from partner countries.

Prior to 2004 some sporadic capacity building efforts for EU staff were undertaken; a training manual was prepared and some courses implemented. However, EC staff in Brussels express that these early efforts to build capacity on mainstreaming were overcomplicated.

2004-2009 – the Helpdesk: In 2004-2009, EC engaged an external consulting company to implement a technical assistance project (service contracts) for providing capacity building support, with the purpose to “*strengthen the awareness and develop capacities for environmental integration of the target group (staff involved in the delivery of EC external cooperation: staff from the EC, partner countries’ governmental and non-governmental organisations.*”³⁹⁹.

The EU Helpdesk, with a core team of experts and a resource pool of additional experts, provided *on demand* technical support to EU staff (both in the EC HQ and Delegations) and also provided advice and strategic guidance on environment and climate change mainstreaming at policy, programme and project level. It also provided capacity building and to some extent policy dialogue. The box below provides an overview of the Helpdesk’s functions.

Box 7 Helpdesk functions in 2007-2009⁴⁰⁰

A. Technical advice and methodological support:

- 1) Technical advice for the development, update and application of tools for mainstreaming (mainstreaming guidelines (incl. ToR templates and checklists) and sector scripts, see I-812);
- 2) On-demand technical advice and methodological support on the application of mainstreaming tools and methodologies;
- 3) Information gathering to enable monitoring, including analysis of case studies and facilitation of access to information on mainstreaming (incl. data gathered on quality and/or numbers of CSPs, CEPs, SEAs, EIAs, log frames).

B. Seminars, workshops and presentations:

- 1) Thematic seminars in Brussels and regional seminars;
- 2) Lunch talks with guest speakers, workshops and presentations;
- 3) Production and dissemination information materials, including case studies;
- 4) Participation in international expert meetings and technical consultations.

Technical advisory and support: The advisory services provided by the Helpdesk were overall in high demand, but as shown in the figure below, the demand declined significantly over time. The need for support was significantly higher in early-mid 2007, than in the following months; this high need appears to be correlated with the development of CSPs (2008-2013). After July 2007, the demand for support fluctuated, albeit with a declining trend; this could be an indication that the support, capacity building and development of information materials led to an increase in the capacity of EC and Delegation staff to address mainstreaming. The low number of requests received in the second half of 2009 also appears to at least partly justify the decision not to extend the Helpdesk, although while the demand for this voluntary assistance has clearly gone down there are still needs for support and capacity building to further strengthen mainstreaming, as described in I-822.

According to some interviewees, the most frequent area where support was requested was climate change, followed by requests related to training, CEPs and the mainstreaming guidelines. Requests for advice on SEAs over the period declined gradually, but discussions had often focused on the EC commitments for undertaking SEAs, and the need for a more streamlined approach and ways of promoting SEAs.⁴⁰¹

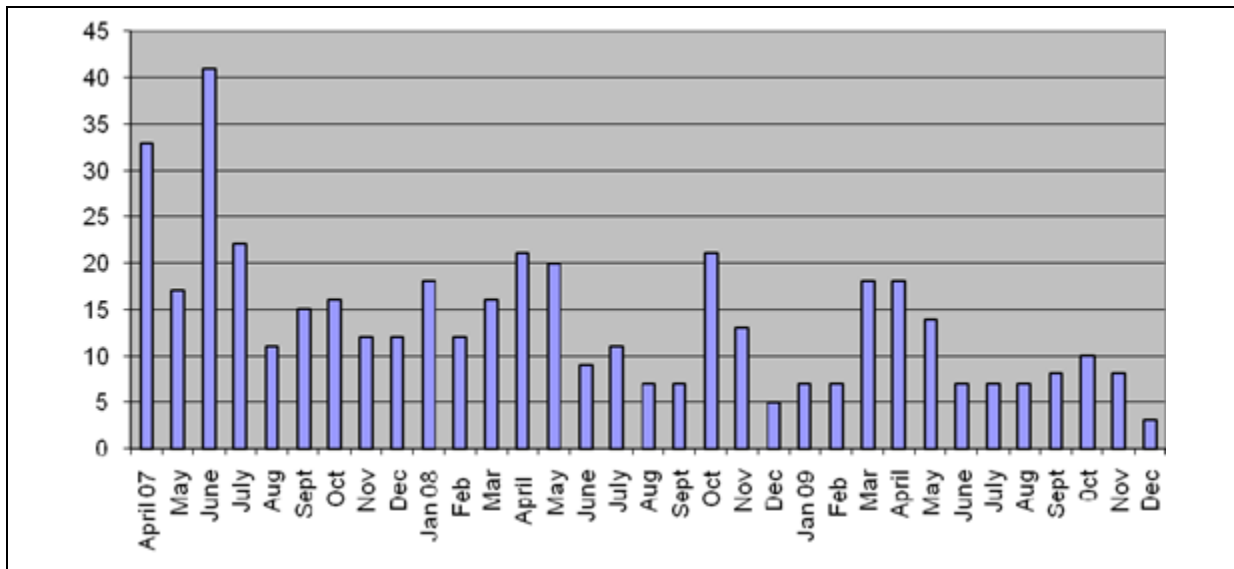
³⁹⁹ Advisory services, methodological support and seminars on integrating the environment in development co-operation, final report 2009, January 2010

⁴⁰⁰ Adapted from: Advisory services, methodological support and seminars on integrating the environment in development co-operation, final report 2009, January 2010

⁴⁰¹ Interviews in Brussels with key EC staff;

Advisory services, methodological support and seminars on integrating the environment in development co-operation, final report 2009, January 2010

Figure 50 Number of Advisory requests per month April 2007 – December 2009



Source: Advisory services, methodological support and seminars on integrating the environment in development co-operation, final report 2009, January 2010

During 2007-2009, the Helpdesk provided support to the drafting or analysis of 59 key documents (CEPs, CSPs, SEAs, EIAs); it is interesting to note that the highest number of documents supported was in 2009 (27 documents supported), i.e. not in relation to the programme formulation for 2007-2013.

In 2009, the last year of the Help Desk, a user survey showed that 74.1% of the respondents were very satisfied with the support received from the Helpdesk, 25.9% were satisfied, and none were unsatisfied (although the response rate to the survey appears low, with only 27 responses). Among the country case countries, DRC, and Ghana reported to have used the Helpdesk; in DRC the help was found very useful, in Ghana it was found useful, but not adequately adapted to the context in Ghana.

Capacity building: On an annual basis, Helpdesk staff carried out ten trainings at the regional level for Delegations and national counterparts. Training seminars were also conducted in Brussels for EC HQ staff; in 2009 six such seminars were carried out in English or French. Moreover, the Helpdesk also provided online training modules. During 2008-2009 a total of 737 people were trained, of whom approximately 52% were EU staff from Delegation or Brussels, and 41% were national counterparts from governments or NGOs. On average, each person received 3.2 days of trainings, with longer training provided to Delegations and national counterparts than to EC HQ staff. Reportedly, the number of people trained was higher in the early days of the Helpdesk and gradually declined over time, due to a reduced demand.

Table 32 Helpdesk training outreach 2008-2009

Stakeholder category		People trained		No of training days per person
		Number	%	
EU	EC HQ staff	161	21.8	2.0
	Delegation staff	223	30.3	3.4
National partners	Government staff	235	31.9	3.7
	NGO staff	65	8.8	3.6
Other	EU member state representatives	30	4.1	3.3
	Other donor representatives	12	1.6	3.7
	Other	11	1.5	3.3
Total		737	100	3.2

Source: Advisory services, methodological support and seminars on integrating the environment in development co-operation, final report 2009, January 2010

Participants were trained on the mainstreaming guidelines, tools and methods, and EU procedures. In the beginning there was mainly focus on environment mainstreaming, and climate change integration was subsequently added to the training courses in later years.

Moreover, the Helpdesk delivered “à la carte” seminars/presentations for specific audiences on specific topics (upon request); the box below lists those carried out in 2009.

Box 8 *Helpdesk “à la carte” seminars and presentations implemented in 2009*

- Presentation: “*Mainstreaming environment in ROM – Tips for monitors*”. Audience: EC Aidco E5 staff, ROM monitors/consultants;
- Seminar: “*Environmental aspects in Results- Oriented Monitoring*”;
- Presentation: “*Sector approaches in Environment and Natural Resources*”. Audience: Delegation in Fiji;
- Presentation: “*Climate change capacity development: Increasing climate change training capacities in developing countries*”. Audience: European journalists;
- Presentation: “*Agricultural Policies and Sub sectors*” given at an EC-Aid Delivery Methods seminar. Audience: Delegation staff;
- Presentation: NAPA process. Audience: EC DG DEVCO staff;
- Assistance to an activity on project climate change screening at COP15.

EC staff and consultants indicates that following the training the Delegations and EC staff were more active; one interviewee expressed that SEAs or CEPs were almost always initiated and driven by someone who had been motivated by trainings. However, the increased preparation of CEPs is also related to fact that the inclusion of an environment summary in CSPs was made mandatory for the 9th EDF. Moreover, the quality of CEPs prepared by Delegation staff has reportedly improved after they were trained by the Helpdesk on the use of the integration handbook from 2007.

Interviews with stakeholders revealed that in relation to the training of national partners, it seems that the Helpdesk trainings did not often reach the intended target audience. The Delegations would usually identify the national stakeholders to invite for trainings. The Helpdesk staff would emphasise that the right people to train on mainstreaming would not be those working in the environment sector, but those working in other sectors and the ministries of finance/planning. However, the national partners participating in Helpdesk trainings would mainly be environmental experts and people working in the environment sector, and people working in other sectors and finance/planning would rarely participate in the trainings.

Information and communication: The helpdesk also developed various communication materials to raise awareness, including a website, posters, and case studies in the EuropeAid four page format.

Box 9 *Case studies developed by the Helpdesk in 2007-2009*

- “Strengthening the adaptive capacity of rural poor to water scarcity in Kenya’s dry lands”;
- “Community Based Adaptation Measures to Weather and Climate related Disasters in Western Nepal”;
- “Increasing resilience of pastoral communities in Mongolia”;
- “Programme d’appui à l’Office du Niger, Mali (2010-2012)” .

2010-2013 – after the Helpdesk: After the Helpdesk closed in 2009 the support became less intensive and more irregular, but two regional training course programmes on mainstreaming were (and are still) provided to EC and Delegation staff (PPCM⁴⁰² contracts), a general course on environmental mainstreaming tools and methodologies and also a course specifically on country-led environment and climate change integration. The EUD survey indicates that most participated in these trainings and found them useful (see the table below). However, in the case countries visited, the assessment is mixed: some EUDs found the training very useful (Kenya, DRC), but in other countries it was found too basic (Rwanda, Ghana); the Chinese EUD found that the training was useful for non-specialist staff, but not for environment/climate change specialist; this is understandable, considering the intended target audience of the trainings – and it also reflects that there is still a tendency of the training participants being environment officers, rather than the intended non-environment staff (Egypt, Ghana). However, in Rwanda, the training was found too basic for the Rwandan context, where mainstreaming is fairly well developed. 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.

⁴⁰² EuropeAid’s Project and Programme Cycle Management guidelines

Table 33 EUD participation and assessment of training on environment and climate change

EUD Participation		Usefulness	
Used training	67%	Very useful	35%
Training available but not used	17%	Useful	40%
Training not available	10%	Somehow useful	20%
Do not know	6%	Not useful	0%
		Do not know	5%

Source: EUD survey

Both training courses take departure in the EU guidelines, earlier trainings provided by the Helpdesk, but also use the UNDP-UNEP PEI mainstreaming model and TEEB. The country-led mainstreaming course was originally prepared and implemented under GCCA as a series of regional seminars for national counterparts/partners; it was in 2013 adapted and provided for EC and Delegation staff, but the provision of training for national counterparts was now limited to participants from the host country for the trainings, as funding constraints did not all allow for coverage of travel costs for national counterparts from other countries in the region. Hence, while EU's current mainstreaming guidelines have not adopted the approaches developed by the UN implemented mainstreaming programmes funded under ENRTP, at the training level there are some synergies with these programmes, which are at the forefront of current mainstreaming thinking and expertise. Moreover, governance and the political economy are now being addressed in the general course on mainstreaming tools and methodologies.

The more limited participation of national counterparts appears to have left a gap, since the national stakeholders have the ultimate responsibility for ensuring that environment and climate change issues are adequately addressed and since capacity constraints still affects their ability to do so. This gap appears particularly pertinent in relation to the course on country-led mainstreaming; since they are the ones intended to actually lead the national mainstreaming process rather than Delegations, although Delegations can provide support to the national mainstreaming process. One EC HQ interviewee expressed that *"it is good to train Delegation staff, but what about training the countries we work with? If Ministry of Finance staff and people from the sectors are well trained, then we can go far. We train our partners [national authorising officers with ministries of finance] on financial management, but I do not think we train them on environment"*. One positive trend in relation to the training of national partners is that while the majority still comes from the environment sector, participants now also come from ministries of finance/planning and other sectors.

However, the frequency of trainings on mainstreaming has gone down since the Helpdesk, the funding available for the individual courses has been reduced, and the number of Delegation staff requesting training on mainstreaming has also gone down. Moreover, funding constraints is sometimes affecting the ability of Delegation staff to participate in trainings. Some stakeholders see this seemingly reduced prominence of the guidelines and trainings as being a result of:

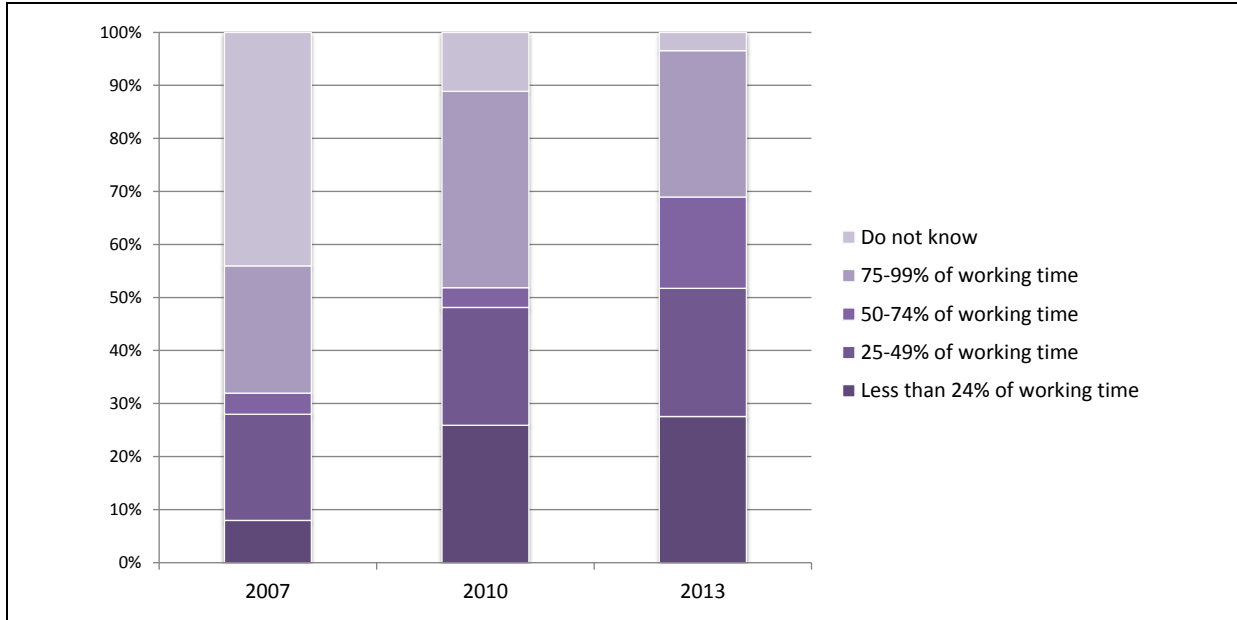
- Internal staff movement and restructuring in DG DEVCO, which has causes a lack of continuity and periodically an unclear allocation of the responsibility for mainstreaming;
- The political attention to climate change peaked in 2009 up to COP-15 in Copenhagen, and is now not as prominent in the political agendas as in 2009;
- The general guidance given to Delegations on the broad priorities for programming (e.g. for the 10th EDF) shows that environment and climate change has been taken on board and integrated more than previously.

Delegation staff can ask DG DEVCO, DG Environment and DG Clima for advice, when needed. Interviewed staff and consultants indicate that DG DEVCO now has the technical capacity to provide mainstreaming support, although there is a constraint in the ability to respond to all requests from Delegations. In the case of DG Environment the staff indicates that with a limited number of staff working on development cooperation they are unable to provide support to all Delegations, but focus on selected key countries. DG Clima carries out climate screening of a number of projects. In connection with the design of new programmes and projects quality support groups are established to review the design and provide comments and recommendations. The quality support groups comprise around ten people including DG DEVCO staff from different units, including the relevant geographic and sector units and the environment unit. Consultants are also engaged for specific support actions, e.g. in 2014 consultants were engaged to assess draft CSPs and NIPs. Some of the EUDs visited found the support from HQ to be readily available and very useful when needed (Rwanda, Kenya), but the Egypt EUD felt that they could not always get the technical/specialist support needed from HQ on specific requests, and the EUD in Ghana felt an unfulfilled need for strong advice on how to engage

effectively in climate change policy dialogue and how to link the national and international/global levels.

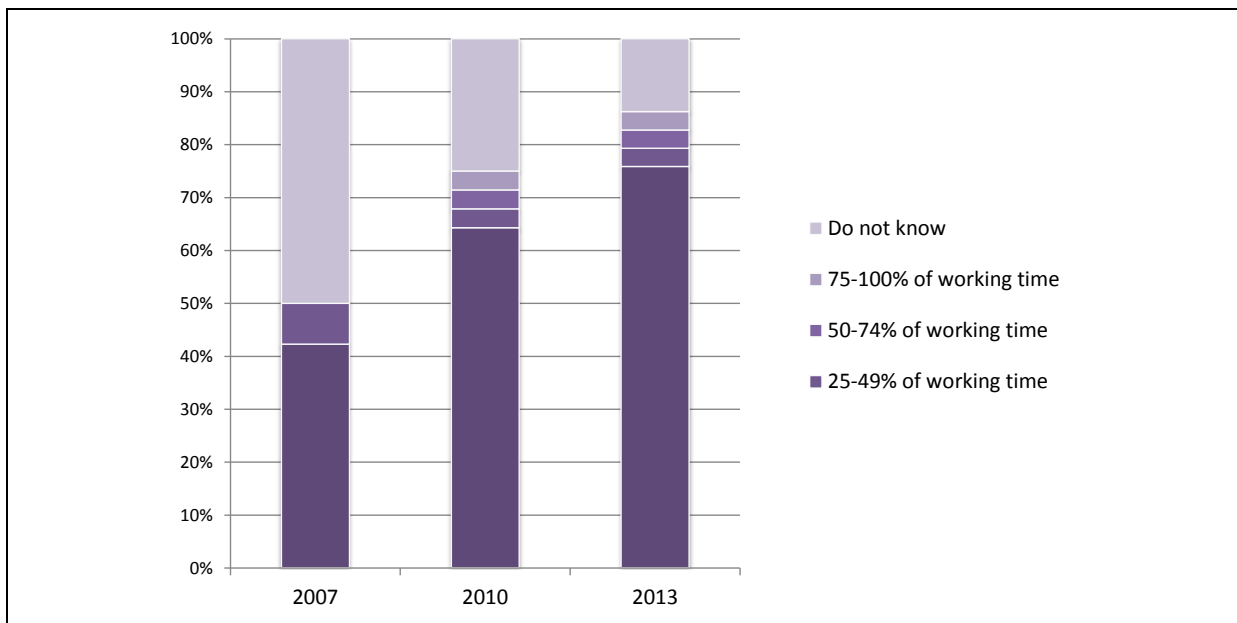
Internal EUD mainstreaming support: As can be seen from the figures below, the staff time spent on environment and climate change staff within the EUDs increased from 2013-2017 – and the environment and climate change staff spent a significant and increasing amount of their work time on providing mainstreaming support to their colleagues.

Figure 51 Average % of working time dedicated to ENV & CC by relevant staff



Source: EUD survey

Figure 52 Average % of working time dedicated to ENV & CC mainstreaming guidance to other staff dealing with non-specific ENV & CC support



Source: EUD survey

8.2.2 I-822 – Increased capacity (time, skills) of Delegations to identify relevant needs for environment and CC mainstreaming and to apply the tools developed.

Description: As described under I-821 effective mainstreaming requires that EC HQ, Delegations and national counterpart staff have the necessary knowledge and skills. However, capacity building is

not the only means to ensure that staff has the skills needed. Employing people with certain educational backgrounds and professional experience is another way to ensure that adequate capacity is in place. Moreover, staff capacity and awareness in itself is not enough; staff also needs a work environment, which is conducive to mainstreaming, i.e. clear roles and responsibilities, support from their supervisors and senior managers, sufficient time allocated and support/collaboration from colleagues. Since the role of EC HQ staff in relation to mainstreaming is to provide support and guidance to Delegations, the sufficiency of their capacity is generally captured under I-821, so this indicator focuses mainly on Delegations.

Findings: As described in I-812, the European Court of Auditors in 2006⁴⁰³ and found that the use of CEPs had only begun to take off in 2005, and that SEAs were rarely used and EIAs were often not done for environmentally sensitive projects. This is an indication that the capacity at Delegations in 2006 was insufficient to adequately ensure mainstreaming. Moreover, the institutional arrangements and environment were not conducive to ensuring the environment and climate change was mainstreamed; the 2007 review of EC's environmental tool mentioned in I-812⁴⁰⁴ found that there was ambiguity regarding the mandatory nature of environmental integration, and a serious lack of clarity regarding the division of roles and responsibilities between EC staff regarding environmental integration was found.

The table below provides an overview of the 2009 status on the use of mainstreaming tools. In 2009, the situation had changed, with a far more extensive use of CEPs, SEAs, EIAs and environmental screenings and a much stronger reflection of environment in CSPs, SPSPs and project designs. These changes are evidence of an increased Delegation capacity and especially prioritisation of environmental integration. No documents were provided to the evaluation team on the status after 2009; it appears that monitoring and reporting on the indicators was discontinued with the closure of the Helpdesk.

However, there were still in 2009 significant challenges related to the adequacy and quality of environmental integration, e.g. in relation to the coverage of climate change in CSPs or the incorporation of SEA findings in SPSPs. Moreover, stakeholder interviews indicate that the use of SEAs still remains primarily driven by the EC HQ, i.e. many SEAs are carried out as a result of a specific demand from Brussels and while some SEAs are done on the initiative of Delegations (e.g. in Rwanda and Kenya), SEAs are still not used systematically, reportedly due to a limited awareness of how to use them. So a capacity constraint appears to remain in terms of ensuring that Delegations more broadly understand the use and value of SEAs, so that they assume ownership of the tool and apply systematically in a manner that benefits the programming. A related challenge with SEAs is reportedly that partner governments often see them as an EU requirement to get funding support since they are not part of the national legal framework, and as a result the national ownership of SEA findings and implementation of the recommendations remain low. This however, was not the case in Rwanda, where the SEAs funded by EU were highly appreciated by the Government and have inspired Government to require SEAs of all sector policies and plans, even if the implementation of SEA recommendation were low in the agriculture sector strategy. In Ghana, SEAs are also a legal requirement, and they are likely to become so in Kenya.

Nonetheless, the understanding of environmental issues among Delegation staff has increased over time (not only due to the previous trainings, but also due to a generally higher emphasis and prioritisation of environment and climate change in the education system and the public discourse). EC staff and consultants interviewed are of the opinion that environment and climate change issues are now significantly better covered in programming than previously. This was confirmed by the field visits, where all EUDs showed a good understanding of the importance of, and interest in, mainstreaming (even if this reportedly did not apply to all staff in some of the EUDs), and several EUDs financed actions promoting mainstreaming.

Moreover, some tools in the 2009 Guidelines on Mainstreaming are reportedly used only to a limited extent, such as the annex on environmental screening, which is intended to be annexed to action fiches, but which is rarely included in action fiches.

⁴⁰³ European Court of Auditors: Special Report 6/2006 concerning the environmental aspects of the Commission's development cooperation

⁴⁰⁴ WWF, FERN and Birdlife: Environmental tools in EC development cooperation, Transparency and public availability of documentation, a review, September 2007

Table 34 Summary of environmental integration indicator status, as of 2009

Indicator		Status			
		Very good	Good	Meets min req's	Insufficient
2	% of CSPs that adequately address environmental problems and institutional weaknesses	32.7%	26.5%	32.7%	8.1%
3	% of CSPs that specifically address climate-related issues	10.2%	4.1%	12.2%	73.5%
4A	% of partner countries for which a detailed CEP is available	CEPs available for 40.3% of 139 partner countries (56 countries)			
4B	% of CEPs that can be considered very good, good and acceptable	23.2%	21.4%	41.1%	14.3%
5	No. of sectoral SEAs available, ongoing or planned in relation to SPSPs in 'sensitive' sectors	17 sectoral SEAs available, ongoing or planned			
6	% of SPSPs in 'sensitive' sectors that meaningfully address the environmental dimension in the assessment of the sector policies to be supported, and/or incorporate the recommendations of an SEA or similar assessment and/or include measures to deal with identified environmental concerns (in "environmentally sensitive" sectors)	8.3%	16.7%	25.0%	50.0%
8	% of projects the logical framework and formulation of which show adequate attention was paid to integrating the environmental dimension (in "environmentally sensitive" sectors ⁴⁰⁵)	8.2%	40.8%	26.5%	24.5%
9	% of projects with evidence of environmental screening in the identification phase	40.8% of the sample showed evidence of environmental screening			
10	% of category A projects for which an EIA has actually been conducted	53.8% of the sample subject to an EIA			

Sources, adapted from:

- *Advisory services, methodological support and seminars on integrating the environment in development co-operation, final report 2009, January 2010*
- *Environmental Integration in EC Development Cooperation. Developing and using indicators to track progress achieved in integrating the environment in EC development cooperation, Final report. Helpdesk, December 2009*

Nonetheless, interviews with EC HQ staff and consultants indicate that the mainstreaming capacity and prioritisation has increased in the Delegations. For example, while external consultants have reportedly prepared many CEPs, Delegation staff have themselves prepared others. EC staff and consultants interviewed are of the opinion that environment and climate change issues are now significantly better covered in programming than previously, and that the understanding of environmental issues among Delegation staff has increased over time. One interviewee expressed the view that a generally higher emphasis and prioritisation of environment and climate change in the education system meant that staff recruited within the last decade joined the Delegations with a stronger understanding of, and interest in, environmental issues than previously recruited staff. Nonetheless, interviewees see significant differences between Delegations. First and foremost, the mainstreaming depends on the understanding of the individual staff member and her/his interest to engage in mainstreaming. The country visits also indicate that the mainstreaming capacity of EUDs is generally good, but that some constraints still remain, as shown in the table below. However, most EUDs (17 EUDs) in the survey reported that they had a low or limited capacity to address environment and climate change due to insufficient (and sometimes even reduced) staffing, whereas only 8 EUDs reported an adequate, fair or good capacity.

⁴⁰⁵ Agriculture, rural development and food security; energy; environment and natural resource management; transport; and water supply and sanitation

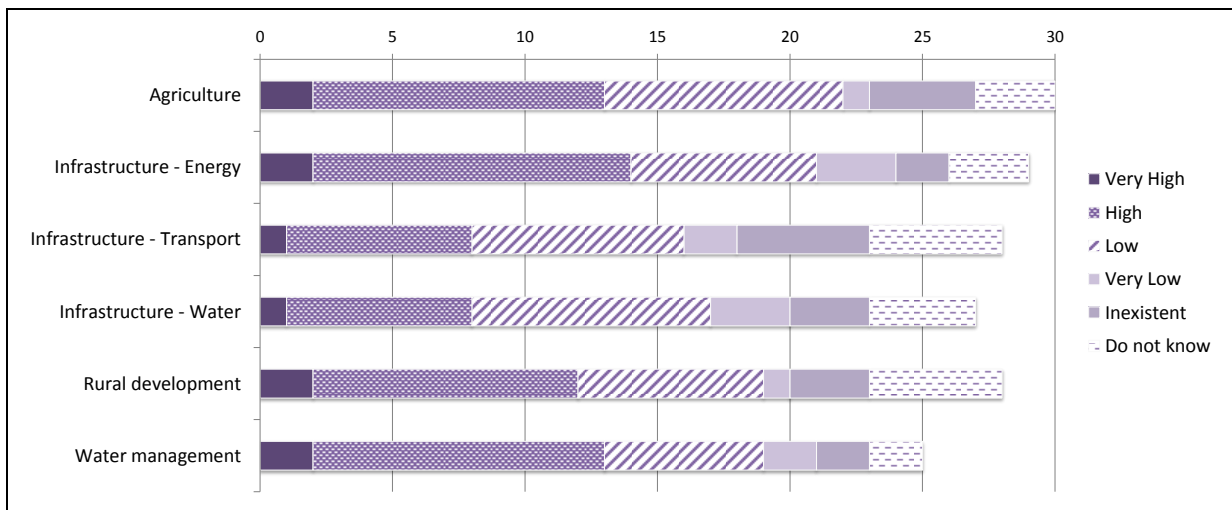
Table 35 EUD Mainstreaming capacity

EUD	Mainstreaming capacity
Ghana	Good capacity. Staff could easily be trained and engage in mainstreaming.
Kenya	Good capacity, e.g. in agriculture/rural development sector. The road sector team has good capacity to follow up on EIAs, but less capacity to handle broader environmental issues.
Rwanda	Good capacity. Staff engaged in policy dialogue, SEAs and follow-up on EIAs
DRC	Good capacity.
Egypt	Good capacity with all staff knowledgeable on integration of environment and climate change The environment and climate change focal point strategy is working well.
Ukraine	Limited knowledge on mainstreaming. No staff engaging in mainstreaming with national counterparts.
China	Insufficient capacity on ENV/CC due to staff reductions.
Bolivia	Good capacity.

Source: Country notes

The EUD survey indicates that the mainstreaming capacity is not equally high in all sectors. As shown in the figure below, the mainstreaming capacity appears quite high in the energy and agriculture sectors, but lower in the infrastructure sectors.

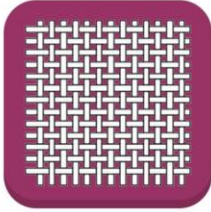
Figure 53 EU contribution to environment and climate change mainstreaming into national sector strategies



Source: EUD survey

Interviewees also report that the degree of support and interest of the individual Head of Delegation is an important determinant for the ability of Delegations to mainstream environment and climate change across their programming. Apparently, the support from the Heads Delegation varies and staff reportedly experience that mainstreaming is more difficult without support from the Head of Delegation. Hence, the implementation of the mainstreaming agenda is to a significant extent determined by personal preferences and depending on champions pushing it forward. This is supported by a couple of EUD staff members, who indicated that: a) EU's overall structure is not conducive for cross-sectoral work, and it can be difficult to bring in mainstreaming if not an explicit objective of the country programme; b) there is not yet a buy-in to the mainstreaming agenda from all DG DEVCO and EUD staff members; and c) there is a tendency of referring all environmental mainstreaming issues to the environment team within EUDs, which is not conducive for mainstreaming.

9 EQ 9: Mainstreaming practice



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?

Rationale

EU policy has the objective to integrate environmental concerns in development assistance across sectors. This evaluation question evaluates the extent to which Delegations ensure that mainstreaming is done in EU support (e.g. funded projects and sector budget support) as well as promote the integration of environment and climate change in sector policy, planning and implementation by national governments. Two environmentally sensitive sectors have been selected for this assessment: agriculture and rural development and infrastructure (transport and energy).

The rationale for selecting this area for an evaluation question is that:

- a) Mainstreaming is essential to reach EU's international commitments on climate change, environment and sustainable development;
- b) Agriculture and rural development is a critical sector for sustainable land/water/natural resource management;
- c) Agriculture and rural development is a key sector for economic development in developing countries and the primary livelihoods strategy for the poor; but agriculture is also highly vulnerable to the impacts of climate change. At the same time, agriculture can be a significant GHG emitter;
- d) Good quality infrastructure is a key ingredient for sustainable development, but at the same time, infrastructure can potentially have high negative impact on the environment, unless environmental concerns are taken fully into account in their design and mitigation measures are adequately implemented;
- e) Infrastructure can be highly vulnerable to the impacts of climate change, which can cause significant damage and hence high financial losses, unless infrastructure is planned carefully to ensure it is resilient to future climate change on the mid- to long term;
- f) EU Delegations can play an important role in promoting mainstreaming, both in relation to the development of their strategies and programmes, as well as in relation to the overall sector governance by partner governments and national stakeholders.

This EQ9 focuses entirely on mainstreaming practices used under the geographic instruments and policy dialogue.

In phase 2 (but not phase 1), ENRTP also has environment and climate change mainstreaming as a sub-priority (sub-priority 3.3). This evaluation question will not cover mainstreaming efforts under ENRTP for the same reasons as given for EQ8.

The judgement criteria aim to capture a) the application of the mainstreaming agenda in EU programming, and b) the ability to assist national stakeholders (e.g. governments) in integrating environment and climate change in national policy-making, planning and implementation. The first criterion assesses whether mainstreaming measures and tools are adequately applied as part of the planning of EU programmes. The second criterion focuses on whether the results emanating from mainstreaming the measures and tools are taken adequately into account in policy dialogue and implementation.

It should be noted, however, that in reality the various modalities and policy dialogue are mutually supportive and it thus virtually impossible to view them as fully separate endeavours with different results.

9.1 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 budget support modalities (throughout the programme cycle)

9.1.1 I-911 Existence and quality of Country Environmental Profiles

Description: Effective mainstreaming requires that environment and climate change considerations are taken adequately into account from the early stages of the programme formulation, in order to ensure that the strategic focus and orientation is not inadvertently damaging the environment and to ensure sustainable development opportunities are identified. The programming phase is crucial for environmental integration because key decisions concerning the overall cooperation focus and process are made that can be difficult to adjust in later phases. During the period under evaluation and for the programming of the 9th EDF, the Country Environmental Profile (CEP) was promoted by EU as the key tool to ensure that CSPs were informed about environment and climate change issues and opportunities – both to inform the selection of focal and non-focal sectors as well as to inform the strategic orientation and mainstreaming needs and opportunities within the sector chosen (the CEP tool is briefly described in EQ8). This indicator assesses the rigour with which CEPs were prepared, and whether they provided adequate knowledge and guidance for the CSP process on environment and climate change mainstreaming.

Evidence of Change: Although the concept of the Country Environmental Profile has been around in the EU for some years, they have only recently been produced in a more systematic and rigorous manner.

A review⁴⁰⁶ of 60 CSPs in 2006 (based on figures from 2002 onwards) found that only 6 CEPs had been produced out of which only three were considered as “good” CEPs. The first generation of CEPs tended to consist of very short documents with little analysis and providing few (if any) recommendations; these documents were often not very useful for the purposes of environmental integration in programming. From 2004 more CEPs started to be produced, albeit most of them were first generation short and non-rigorous documents.

In 2005, the CEPs (or environmental summaries) became mandatory for the next generation of Country Strategy Papers (CSPs) for ENPI countries, Asia, Latin America and the Mediterranean partner countries as well as taking steps to put CEPs in place for ACP countries. This led to the production of more structured and detailed CEPs, which became the norm rather than the exception. By 2004 approximately 11% of the existing 44 CEPs were “detailed”. The percentage of “detailed” CEPs increased (31% by 2005, 35% by April 2006 and 48% by the end of 2006; with total numbers of 95, 97 and 113 CEPs respectively. By 2009, CEPs were available for about 40% of partner countries⁴⁰⁷.

According to the EU Environmental Help Desk Final Report⁴⁰⁸ the quality of the more “detailed” CEPs has improved considerably, by 2009 only around 14% were judged to be ‘insufficient’. The state of the environment is comprehensively described; the geographic areas where environmental problems are encountered, trends and causes of environmental problems are explored. However, links to poverty are not always explored in a clear manner and it is not always clear how the environmental situation (or trends if available) should influence the choices to be made in the CSPs. The increase in quantity and quality of CEPs has been a result of a push by the EU to promote the instrument as part of the commitment towards environmental mainstreaming (see EQ8). However, there were still opportunities for further improvement in order for the CEPs to become documents that were more useful to inform programming on the incorporation of an environmental point of view. For example, it is suggested that the appraisal of the environment in the main national policies and sectors should present an analysis of the likely poverty-environment impacts of national policies and strategies and could, if included, to a larger degree inform the choices to be made.

Experiences on environmental integration in the infrastructure and rural development/agriculture sectors for the programming period 2007-2013 are drawn from CEPs and CSPs/NIPs from the following case countries: The agriculture/rural development sector is a focal sector in Chad, Pakistan, Bolivia,

⁴⁰⁶ European Court of Auditors: Special Report 6/2006.

⁴⁰⁷ EuropeAid/ENV/2008-168975, Final Report 2009: Advisory Service, methodological support and seminars on integrating the environment in development cooperation. Data beyond 2009 has not been made available to the Evaluation Team.

⁴⁰⁸ Developing and using indicators to track progress achieved in integrating the environment in EC development cooperation: Final report, EU Environment Help Desk, 2009

Rwanda, Kenya and Egypt. Infrastructure is a sector in Chad, DRC, Ghana, China (Aviation), Kenya, Egypt, Ukraine (Transport sector), and Tonga (Energy).

In general, the CEPs have been developed as part of the process to provide inputs to – and guide the future development to the CSP. Most have been developed in 2005-2006 in order to guide the 2007-2013 planning period. The CSPs all include, as an annex, the brief CEP or a summary of the more detailed CEP. Some of the included CEPs are based on environmental profiles that have been prepared by other donors (e.g. WB Country Environmental Analyses or National Environmental Action Plans). They all tend to recall the overall development co-operation objective, which is poverty eradication in a context of sustainable development, as well as the commitment to pursue the Millennium Development Goals. In both of these elements of policy, environment is included implicitly (environment being a pillar of sustainable development, and environmental sustainability being one of the MDGs). In most of countries studied the CSPs for 2007-2013 have strengthened the focus on environment or related NRM sectors.

When addressing ‘environmentally sensitive’ sectors⁴⁰⁹, such as rural development/agriculture and infrastructure, the CSPs usually included: ‘it is envisaged that very careful attention will be paid to environmental sustainability in the design and implementation of all EC-funded cooperation activities in 2007-13’. When including the rural development/agricultural sector (Egypt, Pakistan, Chad) environmental concern is further reflected through proposed indicators such as ‘decreased level of utilisation of water resources’; ‘efficiency of irrigation schemes’; less pollution of fresh water resources; less use of fertilizers and pesticides and ecological sustainable land-use addressing land degradation.

In addition, environmental integration is found in most cooperation in infrastructure and energy sectors (Egypt, Ghana, Chad, Bolivia, DRC, Rwanda, Kenya) where renewable energy, rail and sea transport are emphasised as well as requirements for Environmental Impact studies of new projects.

Table 36 Overview of status of CEPs in case countries with rural development & agriculture or infrastructure focal sectors in CSP

Sector (A&RD/IF)	Pakistan	Egypt		Ghana	Chad		China	Bolivia		DRC	Rwanda		Ukraine	Kenya	
	RD/A	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A
SPSP (Y/N)	N	Y	Y	N	Y	N	N	N	Y	N	N	Y	Y	N	N
I-911															
Has CEP been prepared? (Y/N)	Y	Y (shortend version as annex) but not a requirement for 11 th EDF		Y	Y		Y simplified	Yes as annex		Y	Y but not for the new programming period		Y as annex	Y but not for the new programming period	
Good Quality CEP? (Y/N)	N	N		N	Y		N	Y		Y	N		Y but brief	Y	

9.1.2 I-912 Rigour with which SEAs and EIAs have been applied in the preparation of interventions

Description: The principal mainstreaming tools applied by EU (and other donors) for the detailed planning of sector programmes and projects are Strategic Environment Assessment (SEA) and Environmental Impact Assessment (EIA). Like CEPs, they are assessment tools to identify possible negative and positive impacts on the environment, options for mitigating negative impacts, as well as opportunities for maximising the positive impacts, and can thus propose alternative scenarios/options, which are more environment friendly (e.g. to expand the public transport system instead of expanding the road network). As the name implies, SEA’s target the strategic level and are to assess new policies, plans, strategies and programmes, e.g. in the EU context SEA can be an element of the SPSP

⁴⁰⁹ ‘Environmentally sensitive’ sectors include: agriculture and rural development and food security, energy, transport (rail, road, highway), water supply and sanitation, industries, mining, thermal power plants, ports, harbours and airports, communication, atomic energy, tourism (including hotels, beach resorts)

formulation process. EIAs are used in connection with the formulation/design of specific projects. The SEA and EIA tools are briefly described in EQ8 (I-812).

Decision-making can be viewed as a hierarchy. At the top of this hierarchy are policies in support of long-term goals. These policies are given greater definition by plans or programmes of actions with discrete time lines and targets. They are ultimately put into effect by projects on the ground. Hence, the ideal application of SEA and EIA is that SEAs are applied for the higher planning levels, whereas EIA is subsequently applied for the projects developed for the implementation of policies and plans, making use of the findings of the SEA. However, while EIAs are legal requirement 'environmentally sensitive' sectors in most countries, SEAs are really so, which means their application is far less widespread.

This indicator assesses the extent to which SEAs and EIAs have been applied in the formulation of EU SPSP's and projects.

Evidence of Change: From 2005 till 2009 only 17 sectoral SEAs were available, ongoing or planned⁴¹⁰. However, in some cases the EU choice and focus within 'environmentally sensitive' sectors seems to have been influenced by the strategic sector assessments, although not specifically classified as SEAs, for example:

- In DRC no SEA was been undertaken to inform the support to the infrastructure sector. Nevertheless, the approach to support in the sector has 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.
- In Ukraine, SEAs are not normally carried out and development alternatives are not considered. 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. For the Ukraine infrastructure sector, where all support is provided as SBS, the programme was formulated to support the implementation of existing national and sector (transport) strategic documents. This included considerations on cross-cutting issues, such as environment aiming at: a) alignment to EU norms and environmental standards such as CO2 emissions; b) wider application of the EIAs for infrastructure projects; c) energy efficiency through optimisation of the transport system management, regulation and control; d) improved infrastructure and operating conditions; and e) introducing data exchange and monitoring systems, including measures (statistics) to ensure reliable statistical data collection and use. These aspects are to be strengthened in the new comprehensive EU supported transport sector strategy implementation from 2014-2020. As part of the implementation of for this support it was planned to undertake an SEA of the sector to inform the sector policy reform and future EU support to the programme implementation. However, the present EU support to the transport sector does not include integration of environmental concerns into national transport planning/policy as a priority.
- In Egypt, a specific strategic environmental assessment (SEA) was not undertaken to detail the SBS support to the main sectors (energy and water). These sectors have inherent elements of environmental mainstreaming (i.e. energy efficiency, wastewater treatment and reduction of water losses). This makes mainstreaming almost automatic. EIAs are applied with a high degree of rigour and in accordance with Egyptian Law for EIA. Only one SEA has been done in the RD/A sector 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 need to undertake SEAs to inform the formulation of the support has only been identified in few of the country samples:

- The CSP process in Ghana called for an SEA of the National Transport Master Plan. SEAs, EIAs and environmental management plans are required by law since 2003. This was implemented with a comprehensive SEA carried out in 2009-2010 of the EU supported Transport Integration Plan (TIGP). The analysis of issues and impacts was found by an EU evaluation in 2010 as being comprehensive and generally of good quality, but the linkage to the TIGP de-

⁴¹⁰ EuropeAid/ENV/2008-168975, Final Report 2009: Advisory Service, methodological support and seminars on integrating the environment in development cooperation.

sign process and team was limited, and the timing meant that much of the design process, including decisions regarding key ring roads, had already taken place prior to the SEA. The main advantage of the SEA was its utility in terms of increased awareness of the process of mainstreaming environment and sustainability in policies, plans and programmes at all levels. The SEA process is now being formally incorporated in Ghana's planning system and thus guides the donor community including EU⁴¹¹. The SEAs has however 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 Kenya SEAs are likely to become a legal requirement if a new draft bill is adopted⁴¹². In RD/A: an SEA of the National Sugar Strategy was carried out in 2012. The EUD finds it of very good quality. All Community Development Trust Fund projects must have an environmental component.
- In Rwanda EU has funded SEAs for agriculture (2012) and for energy (2014). All stakeholders find them as being of very good quality. As a result of the experience with the agriculture SEA, GoR is now promoting the use of SEA on all policies and programmes.

For many of the 17 SEAs, such as that for the Ghana Transport Policy and those for sugar in Zambia, Mauritius and Tanzania, the SEA was conducted as a very separate exercise with limited interface and inter-linkage between the SEA and programme design teams. Moreover, several SEAs commenced once the PPP was already under design and even nearing completion. This timing issue emerged as a concern to both EU Delegations and governments. Many felt that delays in initiating SEAs such as in Ghana meant that outputs were not timely and thus unable to influence programme design. Better integration between the PPP design and SEA would help to address this common shortcoming⁴¹³.

Globally, some 25 CSPs under the 10th European Development Fund (2007-13) included commitments to employ SEA as a programme development tool and it is therefore assumed that the number of SEAs commissioned by the EC has risen⁴¹⁴ but these studies are not available at present.

Environmental Impact Assessment (EIA) has been carried out at project level in most of the case study countries, in particular in relation to infrastructure projects such as construction of roads and road rehabilitation work. The EIAs have been carried out to assess the impact of proposed interventions and to suggest alternatives (e.g. change of route in Chad to avoid possible impacts on protected areas) as well as to develop Environmental Management Plans to be adopted by the contractors.

EIA recommendations have usually been monitored during the project period by the EUD, No specific follow up is made after completion of the projects.

An analysis of indirect and possible long-term impacts seems often lacking in particular in infrastructure projects concerned with road rehabilitation and/or road construction. Some of the indirect negative impacts are commonly related to changes in land-use, land ownership, and increased consumption of fossil fuel. To counteract these indirect impacts and achieve environmental improvements, enhanced climate resilience and/or reduced (unintended) damage, it would be necessary first to recognise such impacts and secondly to establish and implement a programme specifically addressing these issues during and after the construction/rehabilitation of work. EU has engaged implementation of such a comprehensive programme in connection with its support to the construction of the highway between Bolivia and Brazil (2005-2009)⁴¹⁵

⁴¹¹ Developing and using indicators to track progress achieved in integrating the environment in EC development cooperation: Final report; CSP; Review of Strategic Environmental Assessment in EC Development Cooperation, EuropeAid, 2010

⁴¹² EU – UNDP-UNEP global Poverty Environment Initiative (PEI) supports the process.

⁴¹³ Review of Strategic Environmental Assessments in EC Development Cooperation, EuropeAid 2010

⁴¹⁴ Review of Strategic Environmental Assessments in EC Development Cooperation, EuropeAid, 2010

⁴¹⁵ Proyecto de Protección Ambiental y Social (PPAS) en El Corredor Santa Cruz – Puerto Suárez, Informe Auditoría Ambiental, No 1, 2006

Table 37

Overview of use of SEA/EIA in case countries with rural development & agriculture or infrastructure focal sectors in CSP

	Paki- stan	Egypt		Gha na	Chad	Chi na	Bolivia	DR C	Rwanda		Ukrai ne	Kenya			
Sector (A&RD/IF)	RD/ A	IF	RD/A	IF	I F	RD /A	IF	IF	RD /A	IF	IF	RD/A	IF	IF	RD/ A
SPSP (Y/N)	N	Y	Y	N	Y	N	N	N	Y	N	N	Y	Y	N	N
I-912															
SEA screening done for SPSP? (Y/N)	N/A	N	N	Y	N	N/A	N/A	N	N	N	N/A	N	Not known	N/A	N/A
SEA found necessary? (Y/N)	N/A	Y A SEA unit in MOT – in practice it is an ENV Unit	SEA was done for RD support, but not relevant	Y	N	N/A	N/A				N for 10 th EDF, Energy SEA done for 11 th EDF	N for 10 th EDF, but SEA was done in 2012	Not known		N/A – SEA was done for the National Sugar Strategy
SEA done for SPSP? (Y/N)	N/A			Y	N	N/A	N/A	N/A	N	N/A			N	N/A	
Env screening/EIA/CC risk screening done for projects? (Y/N)	N	Y	Y (although too small to fall under regulations)	Y	Y	N	N	Y	Y	Y	Y, required by law	Y, EIA is a legal requirement	Not known	Y, required by law	Y, when required by law

External factors: Many of the national partners have already undertaken studies and assessments to formulate national sector strategies in response to the donor requirements for receiving SBS or SPSP and SEAs are only in few countries a legal requirement. Many governments may therefore have little priority and reservations towards additional studies such as the SEAs to inform policy level decisions.

Whether SEAs are undertaken to inform the formulation of SPSP and SBS programmes in the infrastructure and agriculture and rural development sectors seem to depend on the availability of other assessments and requests from the specific government authorities.

Whether these changes in the EU CSPs can be attributed to the development of the specific EU CEPs is uncertain as many other factors influence the EU choices such as the increased focus on climate change impacts; general increase in awareness of our dependency on a well-functioning ecosystems and/or simply because it makes economic sense to in the long term to focus on contributing to restore a balance between human activities and the ecosystems we depend on (in other words a more profound realisation even among economists of 'not to cut the branch we sit on').

9.1.3 I-913 Existence of EU plans to support in national sector frameworks in relation to: a) sector policy reform, b) environment and climate change indicators and targets in sector monitoring plans, and c) inclusion of environmental and climate items in sector budgets

Description: While CEPs, SEA, EIAs are important assessment tools to enable informed decision-making and planning, they in themselves are not enough to ensure that mainstreaming is implemented in practice. At the sector level, three of the principal actions to ensure that environment and climate change issues are addressed and opportunities are taken advantage of are, a) ensuring that environment and climate change are sufficiently addressed and prioritised in sector policies and plans, b) including environment and climate change indicators in the national sector monitoring, so that up-to-date information is available on a continuous basis to inform decision-making and prioritisation, c) and including specific environment and climate change budget items and financial allocations in national sector budgets to ensure resources are available to implement mainstreaming. Ultimately, the responsibility for integrating environment lies with the national government. However, EU can play a role in creating awareness and provide assistance to the mainstreaming process. This indicator assesses whether EU is planning to support the strengthening of mainstreaming in national sector processes.

Evidence of Change – At the specific identification and formulation levels of the SPSPs and SBS for 2007-2013, it is evident that all include elements of support to sector policy reform and some explicitly specify environmental and climate change considerations as an integral part of the intervention at policy level:

- In Bolivia a part of the EU support is given as SBS to implement national plans for watershed, water and sanitation in peri-urban areas and biodiversity. The SBS operations for water and sanitation have included support to national sector policy reform that evolves around environment and climate change. As the support is general 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 of the SBS.
- In Egypt the Transport Sector Policy Support Programme (TSPSP 2009) supporting the implementation of the National Transport Policy, was targeted to establish an institutional and regulatory framework best suited for an efficient, competitive, safe and sustainable multimodal land (rail & road) and inland waterway freight transport system. Environmental sustainability was to be achieved through establishment of a SEA Unit within the Ministry of Transport; revival of environmental friendly rail and river transport and systematically applying EIA for transport infrastructure projects. Setting up an SEA in the Ministry of Transport did 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);
- In the Ukraine Energy Sector SP the December 2009 Financing Agreements included two SBS programmes, one of which would support Ukraine's strategy in the area of energy efficiency and renewable energy sources (EUR 63 million to be disbursed over a three-year period plus EUR 7 million of technical assistance);
- In Ghana, the SPSP supported the development of a Transport Integration Plan (TIGP). The main element for promoting the consideration of environment issues was the SEA. Climate change appears not specifically addressed other than in the study "*Preparation of a Transport Research Strategy, Climate Change and Coasted Implementation Plan*"⁴¹⁶. The support to the transport sector follows the GOG's environmental laws and policies and thus includes EIA of all activities;
- In Chad, the support for the transport sector seems to be an SPSP, where EU will support institutional strengthening, development of an up-dated transport sector strategy as well as investments in road construction. Integration of environmental and climate change concerns is only planned at project level through EIAs. The support to the agriculture and rural development sector seems also to be an SPSP, although classified with 'partially decentralised management'⁴¹⁷, supporting the national follow-up of the Plan of Action for Rural Development developed in cooperation by other donors such as WB, GIZ, and the African Development Bank. The Plan of Action for Rural Development programme includes a focus on sustainable use of resources and conservation of biodiversity. An EIA was guiding the road-building activities in support to the transport sector;
- In Ukraine, the SBS to the transport sector focuses on sector policy reform including the implementation of restructuring policies and reorganising the administration mainly by separating the regulatory responsibilities from the operational. The policy, strategy and reform programme for the transport sector is stated in the "Concept of Stable National Transport Policy of Development of all Types of Transport and Principles of Transport Policy" (The Concept) that was approved by the Ukrainian Ministry of Transport and Communications in May 2007⁴¹⁸. This document contains the main lines for strategic development for the sector up to 2015, one of which is the Ukrainian aim to achieve full integration with EU environmental regulations, norms and standards.

The SBSs reviewed include sector indicators; however measurable environment and climate change indicators are usually absent and, if present, mainly established around the number of EIAs (Egypt). An exception is the EU SPSP for the aviation sector in China, which includes an indicator stated as: a) reduced overall carbon emissions from air transport in China; b) reduced overall fuel consumption per flight by 2012⁴¹⁹.

⁴¹⁶ Source: CSP, Action Fiche 2008 Annex 2, Support to the Transport Sector Development Programme – CRIS reference: 2008 / 019-875; Monitoring Report MR-144689.02, June 2013)

⁴¹⁷ Technical and Administrative Dispositions (DTA)

⁴¹⁸ The Ministry of Transport and Communications have changed name to Ministry of Infrastructure (EAMR 2013)

⁴¹⁹ Logical Framework Institutional Capacity Building for the Civil Aviation Sector in China, 2009

Environment and climate change sector budget items are equally lacking in most SPSP/SBSs.

The SPSPs for Egypt presents an exception where attempts to include environment and climate change indicators as well as budget items have been made in the small pilot rural development project. Indicators for the transport sector are established around the number of tender documents for new projects requesting EIAs and the development of principles and guidelines for conducting EIA studies published by the Ministry of Transport. Specific environmental and climate change indicators (e.g. reduction of CO₂) are not included.

Table 38 Overview of EU plans to support national sector mainstreaming systems in case countries with rural development & agriculture or infrastructure focal sectors in CSP

	Paki- stan	Egypt		Gha- na	Chad		Chi na	Bolivia	DR C	Rwanda		Ukrai ne	Kenya		
Sector (A&RD/IF)	RD/ A	IF	RD/ A	IF	IF	RD/ A	IF	IF	RD/ A	IF	IF	RD/A	IF	IF	RD/ A
SPSP (Y/N)	N	Y	Y	N	Y	N	N	N	Y	N	N	Y	Y	N	N
I-913															
SPSP support policy re- form? (Y/N), if yes:	N/A	Y (ener- gy, water, transp ort)	N	N (main ly pro- ject sup- port)	Y strat- egy	Y strat- egy	N/ A	N/ A	Y	N	N/ A	Y	Y	N/ A	N/A
Does it promote main- streaming? (Y/N)	N/A	Y	Y	N/A	N	Y	N/ A	N/ A	Y	N/ A	N/ A	Not needed, GOR legal require- ment	Y	N/ A	N/ A
As general statement or concrete measures? (GS/CM)	N/A	CM	CM	N/A	N/A	CM	N/ A	N/ A	CM	N/ A	N/ A	GOR require CM	GM	N/ A	N/ A
SPSP re- quire ENV/CC indicators (Y/N)	N/A	Y	N/A	N	N	N	N/ A	N/ A	Y	N/ A	N/ A	Y (1 env indica- tor)	N	N/ A	N/ A
SPSP call for env and CC items in sector budget? (Y/N)	N/A	Y	N/A	N	N	Y	N/ A	N/ A	Y	N/ A	N/ A	N GOR require- ment	Y	N/ A	N/ A

9.2 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

9.2.1 I-921 Level of incorporation of Country Environmental Profile recommendations in the design of sector support

Description: I-911 assessed the extent to which CEPs were prepared and the quality. This indicator assesses the extent to which the CEP findings and recommendations were actually taken into consideration in the design of CSPs.

Evidence of Change: In general, where available, recommendations from the referred CEPs (or similar national studies) are incorporated in the CSPs. The increased focus on environment seems to have led to the inclusion of an environment related focal sectors or attempts to mainstream environment and climate change (to a lesser degree) in objectives of the SPSP/SBS.

The degree of consideration for mainstreaming the environmental dimension varies from general statements, to addressing the issues in real terms (concrete measures) in the design. An example of

the latter is the EU support to Egypt's Water, Energy and Transport sectors. 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).

In Bolivia 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. 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. In addition, biodiversity conservation is equally mainstreamed. EU clearly advocates mainstreaming of environment and climate change in line with the official GoB discourse.

In Rwanda the GOR is already mainstreaming environment and climate change in district and sector development plans, including indicators and costed budget items. MINECOFIN⁴²⁰ has issued guidelines on mainstreaming with help from MINIRENA, and CREMA assesses plans submitted and provides feedback. 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).

In DRC EU – DRC cooperation (geographic instrument) had by 2013 mainstreamed environment and climate change in all interventions dealing with natural resources. DRC is well advanced in the REDD + processes. 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.

An example where environmental and climate change concerns are expressed as general statements is the Civil Aviation sector programme in China, where it seems difficult to address the long-term environmental and climate impacts of an increase in aviation. Instead the programme document states: "Impact of aviation on the environment will be reduced through the adoption of environmentally friendly operating standards and their implementation", and, includes the following associated indicator: "Reduced overall carbon emissions from air transport in China, reduced overall fuel consumption per flight by 2012". It is obvious that 'consideration' and 'intentions' are mentioned, but it is debatable whether activities proposed would bring about environmental sustainability of air traffic, which is the development objective. EU has therefore at a later stage proposed and incorporated support to development of a comprehensive approach to assess aviation's impact on the environment in terms of emissions and more research into 'greener technologies'. In addition, aviation has been included into the EU Emission Trading Scheme (ETS) since 2009. However, the impact of aviation on the environment and the climate is not a concern of the relevant GOC ministries and departments, but promoted by the technical assistance to the programme which through a continuous dialogue with the Chinese authorities has succeeded in adding a component to the programme which includes improvements in Air Traffic Management (ATM) and more investment in research into greener technologies as well as including aviation into the EU Emissions Trading Scheme (ETS)⁴²¹.

The degree of consideration is therefore ambiguous. Out of 49 projects submitted in 2008 (agriculture and rural development and food security; energy; transport, and water supply and sanitation), 25% showed insufficient and inadequate attention to integrating the environmental dimension, the main reason being that the CEPs' in general were lacking clear recommendations on how to mainstream environment and climate change into the 'environmentally sensitive' sectors⁴²².

Mainstreaming of biodiversity conservation is only predominant in the EU-Bolivia cooperation.

⁴²⁰ PEI has since 2005 supported mainstreaming into the MINECOFIN guidelines for sector and district planning, including specific indicators, costed budget items.

⁴²¹ China-EU CSP 2007-2013

⁴²² EuropeAid/ENV/2008-168975, Final Report 2009: Advisory Service, methodological support and seminars on integrating the environment in development cooperation.

Table 39 Overview of the implementation CEP recommendations in case countries with rural development & agriculture or infrastructure focal sectors in CSP

	Paki- stan	Egypt		Gha- na	Chad		Chi- na	Bolivia		DRC	Rwanda		Ukrai- ne	Kenya	
Sector (A&RD/IF)	RD/A	IF	RD/ A	IF	I F	RD/ A	IF	IF	RD/ A	IF	I F	RD/ A	IF	I F	RD/ A
SPSP (Y/N)	N	Y	Y	N	Y	N	N	N	Y	N	N	Y	Y	N	N
I-921															
Does CSP reflect CEP recommendations? (Y/N)	Y	Reflects the NEAP and CEP		Y	N	Y	N/A	Y	Y	Y partially	Y	N	Y	N	Y
If not, is an explanation provided? (Y/N)	N/A	N/A	N/A	N/A	N	-	N/A	N/A	N/A	N/A	N/A	N/A	N	N/A	N/A

9.2.2 I-922 Degree of monitoring and implementation of SEA and EIA recommendations

Description: I-912 assessed whether SEAs and EIA were prepared systematically and in sufficient quality. This indicator assesses the extent to which the SEA and EIA findings and recommendations were actually taken into consideration in the implementation of SPSPs and projects.

Evidence of change: In general, monitoring and implementation of SEAs is difficult to assess based on the information available at present.

However, where projects and programmes from the onset have incorporated specific outcomes and indicators clearly directed towards improvement of the environmental situation, the actual implementation seems to correspond with the intentions. This is mainly seen in the agriculture and rural development sector, for example the Rural Development Support, SRD, to Egypt: "*Perhaps no other agricultural rural development project addresses the issue of environment as directly as this project*"⁴²³. Environment management and protection was a core element governing the implementation of the programme and a pre-condition for all actions to be funded by it. Reduction of the environmental impact of agricultural practices was also an expected outcome of the programme. It was anticipated to monitor indicators of this pilot programme in order for the experiences to feed into the revised sector policy, but the programme is implemented at a very 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..

Where projects and programmes have environmental concerns included as add-ons to the core purpose of the project, the actual implementation of intentions is often lacking or lagging behind. For example, it is the obligation of the contractors for road construction (e.g. in Transport Sector Support Programme in Ghana) to develop and implement an Environmental Management Plan (EMP) to govern the work in the field, but expertise was lacking or in place very late in the process. The EMP was only presented after being requested by several interim audits. The monthly reporting on environmental issues was also lacking or not being produced as scheduled but improved over time. Analysis of direct environmental impacts are included in the progress reports as 'positive' and 'negative' impacts and often assessed in view of the construction phase, therefore stated as being temporary and handled through mitigation measures (Environmental Management Plans) during the construction phase.

Monitoring of EIA indicators are undertaken by the EUDs until completion, and stated more clearly as intentions. For example, Ghana's biannual audits of the Tarkwa-Bogoso-Ayamfuri road construction indicate that previous recommendations are followed up upon⁴²⁴. However, a Monitoring Report⁴²⁵ from 2013 found that good environmental practices were not shown in the construction of a road, and that the mitigation plan was not fully operational.

In most of the transport sector support programmes monitoring and implementation of environmental mitigation measures at the project level are the responsibility of the contractors (e.g. in Chad, DRC, Egypt, Ukraine). In the agriculture and rural development sector, indicators are related to the programme results rather than indicators of monitoring compliance with EIA mitigation measures.

⁴²³ Gideon Kruseman, Wies Vullings, 2007. *Rural Development policy towards 2025; Target Conditional Income Support: A sustainable option?* Wageningen, Alterra.

⁴²⁴ Source: Interim Audit Reports, 2011-2013.

⁴²⁵ Source: Monitoring Report MR-144689.02, June 2013

Table 40 Overview of monitoring and implementation of SEA/EIA recommendations in case countries with rural development & agriculture or infrastructure focal sectors in CSP

	Pakistan	Egypt		Ghana	Chad		China	Bolivia		DRC	Rwanda		Ukraine	Kenya	
Sector (A&RD/IF)	RD/A	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A
SPSP (Y/N)	N	Y	Y	N	Y	N	N	N	Y	N	N	Y	Y	N	N
I-922															
Were SEA indicators monitored? (Y/N)	N/A	Y (unit in MOT)	N	Y	N/A	N/A	N/A	N/A	N/A	N/A	To early to say	Joint assessment planned for 2015	N/A	N/A	N
Were SEA recommendations implemented? (Y/N)	N/A	Not known yet	N/A	Y (progress unknown)	N/A	N/A	N/A	Not known	N/A	N/A	To early to say	To a limited extent	N/A	N/A	N
Were EIA indicators monitored? (Y/N)	N/A	Y	N/A	Y (by EPA)	Y	N/A	N/A	Y	N/A	Y	Y	N/A	N/A	Y annual audits are required by law	
If yes, did they show improvements? (Y/N)	N/A	Y	N/A	Y	Not known	N/A	N/A	Y	N/A	Assumed	Y	N/A	N/A	Y	gradual improvement
Were EIA recommendations implemented? (Y/N)	N/A	Y	N/A	Y by EPA	Not known	N/A	N/A	Y	N/A	Assumed	Y	N/A	N/A	Y	Y

External factors: Some of the preliminary findings on main problems and constraints to the effective environmental integration relate to the following⁴²⁶:

- Lack of emphasis on capacity building for mainstreaming of environment and climate change in countries where 'environmental sensitive' sectors are focal areas – national mainstreaming of environment in such sectors is essential (at institutional level as well as in budgets);
- A lack of political will can be observed many partner countries – environment is still low on the priority list and considered more as an unnecessary cost than as a business and sustainable development opportunity. This is often exacerbated by an overcomplicated legal system for environmental protection – long, complicated and overlapping procedures;
- A common problem in many countries, in particular in the Africa region, seems to be the poor administration and enforcement of numerous obligatory formal procedures intended to secure the integration of the environmental concerns into the planning and decision-making.

9.2.3 I-923 Degree of support provided by EU to mainstreaming in national sector frameworks in relation to: a) sector policy reform, b) environment and climate change indicators and targets in sector monitoring plans, and c) inclusion of environmental and climate items in sector budgets

Description: I-913 assessed the extent to which EU was planning to support the strengthening of the mainstreaming in the national sector policy, planning and budgeting frameworks, with a focus on three key areas of action. This indicator assesses the extent to which EU in practice provided support for the strengthening of national sector frameworks through policy dialogue and programmes, and whether this support led to identifiable changes in relation to the three key areas of action.

⁴²⁶ Review of Strategic Environmental Assessments in EC Development Cooperation, 2010

Evidence of Change: The degree of support provided by EU to mainstreaming in national policies varies between the sample countries. Policy dialogue takes place in all the countries. However, whether mainstreaming of environment and climate change is at the forefront of the agenda is not always visible: In the transport sector programme in DRC there seems to be no reference to policy dialogue addressing environment and CC issues but in real terms the EU Urban Sanitation rehabilitation programme (EUR 99 million) addressed solid waste, drainage and sanitation in and around Kinshasa directly addressing socio-environmental objectives.

In Chad it was anticipated to support the development of a new transport sector strategy, where there would be opportunity for EU to enter into a dialogue with the Government integrating these issues. This would also have provided an opportunity to include the undertaking of an SEA to guide the strategy formulation process. However, the AAP, CSP, and EAMRs do not make reference to mainstreaming discussions nor anticipate the development of an SEA. Donor coordination within the sector takes place and EUD coordinates with the other donor, the African Development Bank, on investments in the transport sector. The Chad agriculture and rural development programme, SIDRAT, attempts to establish national environment and climate change indicators for rural development through the support to the establishment of a comprehensive and interchangeable GIS system, and through dialogue with all concerned stakeholders in order to guide development and monitoring of the Plan of Action.

In Ghana Transport Sector Programme the CSP specifies that policy dialogue is taking place in the transport sector, but environment and climate change are not mentioned in this context. In 2010, the Delegation indicated to the SEA evaluation that they would try to use the SEA to influence transport sector work, but the lack of specific recommendations/actions in the SEA was a limitation⁴²⁷.

In Ukraine, extensive policy dialogue takes place within all sectors (transport, energy and environment) in order to assist Ukraine in developing and implementing the requirements to meet the European regulations, norms and standards. At present, EU and Ukraine are negotiating the Association Agreement as well as the Common Aviation Area agreement, both of which will include significant commitments for the transport sector. The legal approximation process is managed by the Ministry of Transport and Communication, MoTC, based on annually approved plans for regulatory acts preparation in all transport sub-sectors. The coordination structures between EU and MoTC also including other donors are in place. The coordination of activities between the European Commission Delegation and the MoTC is carried out on the daily basis with the MoTC is highly cooperative.

In the Ukraine Energy Sector, EU assistance focused on the diversification and security of energy supplies, nuclear safety, energy market reforms, the development and modernisation of energy infrastructures, energy efficiency and the use of renewable energy sources. However, the Ukraine strategic planning of social and economic development and sectoral policies hardly takes environmental protection considerations into account. Strategic Environmental Assessments are not normally carried out and alternatives are not considered. The Law of Ukraine "On State Forecasting and Development of the Programs of Economic and Social Development of Ukraine", which defines the order of preparation, approval and content of economic and social development programmes, does not provide for environmental considerations and Environment Civil Society Organisations point out that nothing has been undertaken on "greening" the transport and energy sectors. In 2008, discussions started between the European Commission and Ukraine on a revised Charter and Founding Agreement to re-establish the Regional Environmental Centre (REC) in Ukraine. A year later in December 2009, Ukraine submitted its Fifth National Communication to the UN Framework Convention on Climate Change (UNFCCC). It includes a greenhouse gas inventory for 2007. The inter-agency commission (chaired by the Vice-Prime Minister) on reduction of greenhouse gas emissions continued to meet regularly. Mitigation measures were identified for the energy, transport, industry, housing, agriculture and forestry sectors. However, sustainable development/green economy/adaptation to climate change are still not fully understood as cross-cutting issues (in transport, production, energy sectors) and continue to be formally dealt with by relatively low-level departments without any capacity to initiate the profound changes needed in the country. Similar difficulties are encountered in the field of environment whenever mainstreaming would require intra-ministerial cooperation. The EU seems not to have changed this situation.

In China, the EU support to Protection of Biodiversity (national parks) has led to an extended policy dialogue and efforts to mainstream biodiversity considerations into agriculture, wetlands, forests, deserts and grasslands, and most important, into China's mainstreaming policy. The analysis of relevant

⁴²⁷ CSP; Developing and using indicators to track progress achieved in integrating the environment in EC development cooperation: Final report; Review of Strategic Environmental Assessments in EC Development Cooperation, Final Report, December 2010

documentation concludes that the EU support to conservation efforts has transformed the way biodiversity is regarded in China and the way that it will be protected in the future⁴²⁸.

Whether the intended policy reform measures for environment and CC mainstreaming have been implemented is at present uncertain. There is little evidence that reform measures are implemented, national environmental and CC indicators established and reported against. However, EU overall influence on policies in China is limited.

At policy level the EU supports through the work of the UNEP and MEA Secretariats the attempts to establish the national and global indicators for environment and climate change issues e.g. the reduction of CO₂ emissions (see EQ6). However, it is difficult to see how this is applied and budgeted for with the purpose of mainstreaming into the 'environmentally sensitive' sectors at national levels mainly because the EU support has been provided as SBS or SPSPs indicating the need to review the national sector budget items.

EU Regional focus on policy harmonisation and knowledge sharing have strengthened the Regional Integration Organisation's (African Union/ECOWAS) and countries' capacity in diagnosis and monitoring of the natural resources base, contributing to the integration of environmental management into socio-economic development. Positive trends are also underlined in the implementation of agricultural research programmes adapted to the needs of specific sub-regions, countries and agro-ecosystems and able to respond food security, biodiversity loss, environmental threats or trade requirements, therefore making national agricultural research institutions more responsive to macro and micro-economic needs in productive sectors. Multilateral agreements signed between East African Community and Indian Ocean Commission member states proved to be effective in developing common procedures and management tools, such as regional environment impact assessment (EIA) guidelines for shared ecosystems. The application and enforcement of these common tools at national level remains heterogeneous and dependent on the capacity of national institutions. (East Africa & Indian Ocean Evaluation 2008).

Table 41 *Overview of engagement by Delegations in supporting national sector mainstreaming processes in case countries with rural development & agriculture or infrastructure focal sectors in CSP*

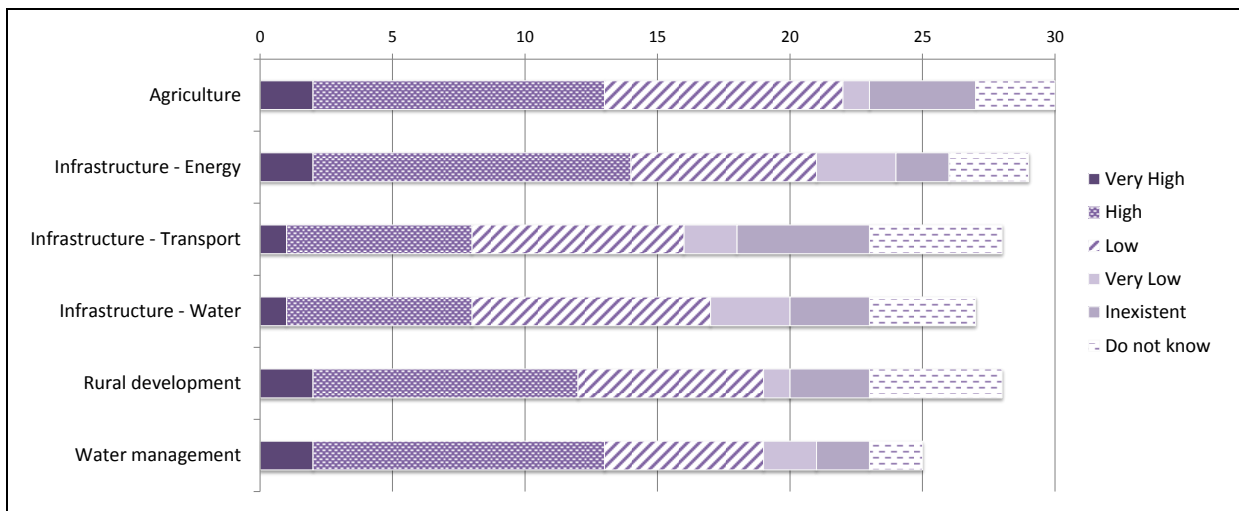
Sector (A&RD/IF)	Pakistan	Egypt		Ghana	Chad		China	Bolivia		DRC	Rwanda		Ukraine	Kenya	
	RD/A	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A
SPSP (Y/N)	N	Y	Y	N	Y	N	N	N	Y	N	N	Y	Y	N	N
I-923															
Is policy dialogue addressing env and CC? (Y/N)	N/A	Y	Y	N	N	Y partially	Y partially	Y	Y	Weak policy dialogue	N	Y	Y	N	N
Are policy reform measures for env and CC implemented? (Y/N)	N/A	Y	N/A	N/A	N	Not known	Y	N/A	Y	Formulated (REDD)	N/A	Y	Some	N/A	N/A
Are env and CC indicators reported on? (Y/N)	N/A	Y	Y	N/A	N/A	N/A	Y	Y	Y	N	N/A	Y	Y	N/A	N/A
Is EU	N	Y	Y	N	Y	Y	N	N	Y	Y	N	N	Y	N	N

⁴²⁸ CSP China 2007-2013

	Pakistan	Egypt		Ghana	Chad		China	Bolivia		DRC	Rwanda		Ukraine	Kenya	
asking for data on env and CC indicators? (Y/N)								A							
Are there env and CC items in sector budget? (Y/N)	N/A	Y as part of specific project SEA/EIA	Y as part of the grants	N/A	F or EIA	N/A	Y	N/A	Y	Y	Y GOR requirement	Y GOR requirement	Y	N/A	N/A
Evidence that EU promoted env and CC budget items? (Y/N)	N	Y	Y	N	N/A	N/A	N	Y	Y	Y	N (only PEI)	N (only PEI)	Y	N	N

This indicates that about half the delegations in the sample countries are in the process and find it important to mainstream environment and climate change into the 'environmentally sensitive' sectors. A finding which is confirmed by the EUD survey, where about half the respondents rate that EU contribution to mainstreaming of environment and climate change has been high in particularly in sectors such as energy, water management, and agriculture.

Figure 54 EU contribution to ENV & CC mainstreaming in sectors other than ENV & CC in national sectorial strategies for the period 2007 to 2013



Source: EUD survey

Table 42 Quick Overview Table

	Pakistan	Egypt		Ghana	Chad		China	Bolivia		DRC	Rwanda		Ukraine	Kenya	
Sector (A&RD/IF)	RD/A	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A	IF	IF	RD/A
SPSP (Y/N)	N	Y	Y	N	Y	N	N	N	Y	N	N	Y	Y	N	N
I-911															
Has CEP been prepared? (Y/N)	Y	Y (shortened version as annex) but not a requirement for 11 th EDF		Y	Y		Y simplified	Yes as annex		Y	Y but not a requirement for 11 th EDF		Y as annex	Y but not for the new programming period	
Good Quality CEP? (Y/N)	N	N		N	Y		N	Y		Y	N		Y but brief	Y	
I-912															
SEA screening done for SPSP? (Y/N)	N/A	N	N	Y	N	N/A	N/A	N	N	N	N/A	N	Not known	N/A	N/A
SEA found necessary? (Y/N)	N/A	Y	SEA was done for RD support, but not relevant	Y	N	N/A	N/A	N/A	N	N/A	N for 10 th EDF, Energy SEA done for 11 th EDF	N for 10 th EDF, but SEA was done in 2012	Not known	N/A	N/A – SEA was done for the National Sugar Strategy
SEA done for SPSP? (Y/N)	N/A	A SEA unit in MOT – in practice it is an ENV Unit		Y	N	N/A	N/A						N		
Env screening/EIA/CC risk screening done for projects? (Y/N)	N	Y	Y (although too small to fall under regulations)	Y	Y	N	N	Y	Y	Y	Y, required by law	Y, EIA is a legal requirement	Not known	Y, required by law	Y, when required by law
I-913															
SPSP support policy reform? (Y/N), if yes:	N/A	Y (energy, water, transport)	N	N (mainly project support)	Y strategy	Y strategy	N/A	N/A	Y	N	N/A	Y	Y	N/A-	N/A
Does it promote mainstreaming?	N/A	Y	Y	N/A	N	Y	N/A	N/A	Y	N/A	N/A	Not needed, GOR legal re-	Y	N/A	N/A

	<i>Pakistan</i>	<i>Egypt</i>		<i>Ghana</i>	<i>Chad</i>		<i>China</i>	<i>Bolivia</i>		<i>DRC</i>	<i>Rwanda</i>		<i>Ukraine</i>	<i>Kenya</i>	
(Y/N)												quirement			
As general statement or concrete measures? (GS/CM)	N/A	CM	CM	N/A	N/A	CM	N/A	N/A	CM	N/A	N/A	GOR require CM	CM	N/A	N/A
SPSP require ENV/CC indicators (Y/N)	N/A	Y	N/A	N	N	N	N/A	N/A	Y	N/A	N/A	Y (1 env indicator)	N	N/A	N/A
SPSP call for env and CC items in sector budget? (Y/N)	N/A	Y	N/A	N	N	Y	N/A	N/A	Y	N/A	N/A	N GOR requirement	Y	N/A	N/A
I-921															
Does CSP reflect CEP recommendations? (Y/N)	Y	Reflects the NEAP and CEP		Y	N	Y	N/A	Y	Y	Y partially	Y		N	Y	
If not, is an explanation provided? (Y/N)	N/A	N/A	N/A	N/A	N	N/A	N/A	N/A	N/A	N/A	N/A		N	N/A	
I-922															
Were SEA indicators monitored? (Y/N)	N/A	Y (unit in MOT)	N	Y	N/A	N/A	N/A	N/A	N/A	N/A	Too early to say	Joint assessment planned for 2015	N/A	N/A	N
Were SEA recommendations implemented? (Y/N)	N/A	Not known yet	N/A	Y (progress unknown)	N/A	N/A	N/A	Not known	N/A	N/A	Too early to say	To a limited extent	N/A	N/A	N
Were EIA indicators monitored? (Y/N)	N/A	Y	N/A	Y (by EPA)	Y	N/A	N/A	Y	N/A	Y	Y	N/A -	N/A	Y annual audits are required by law	
If yes, did they show improvements? (Y/N)	N/A	Y	N/A	Y	Not known	N/A	N/A	Y	N/A	Assumed	Y	N/A	N/A	Y gradual improvement	Y
Were EIA recommendations implemented? (Y/N)	N/A	Y	N/A	Y by EPA	Not known	N/A	N/A	Y	N/A	Assumed	Y	N/A	N/A	Y	Y

	<i>Pakistan</i>	<i>Egypt</i>		<i>Ghana</i>	<i>Chad</i>		<i>China</i>	<i>Bolivia</i>		<i>DRC</i>	<i>Rwanda</i>		<i>Ukraine</i>	<i>Kenya</i>	
I-923															
Is policy dialogue addressing env and CC? (Y/N)	N/A	Y	Y	N	N	Y partially	Y partially	Y	Y	Weak policy dialogue	N	Y	Y	N	N
Are policy reform measures for env and CC implemented? (Y/N)	N/A	Y	N/A	N/A	N	Not known	Y	N/A	Y	Formulated (REDD)	N/A	Y	Some	N/A	N/A
Are env and CC indicators reported on? (Y/N)	N/A	Y	Y	N/A	N/A	N/A	Y	Y	Y	N	N/A	Y	Y	N/A	N/A
Is EU asking for data on env and CC indicators? (Y/N)	N	Y	Y	N	Y	Y	N	N/A	Y	Y	N	N	Y	N	N
Are there env and CC items in sector budget? (Y/N)	N/A	Y as part of specific project SEA/EIA	Y as part of the grants	N/A	For EIA	N/A	Y	N/A	Y	Y	Y GOR requirement	Y GOR requirement	Y	N/A	N/A
Evidence that EU promoted env and CC budget items? (Y/N)	N	Y	Y	N	N/A	N/A	N	Y	Y	Y	N (only PEI)	N (only PEI)	Y	N	N

10 EQ 10: Complementarity



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?

Rationale

The question evaluates the extent to which there has been a synergy and complementarity between environment support funded under geographic instruments (usually where environment/climate change is a focal sector) and the ENRTP.

The question covers environment and climate change interventions financed by both geographic instruments and the ENRTP in countries with environment/climate change as a focal or non-focal sector for the EU (i.e. in the 11 case countries selected for this evaluation).

The context of the evaluation question is that:

- The original intention of the ENRTP was to deal with important environment and climate change issues that could not be covered (as well) by geographic instruments – often these are global issues or have a global (or transboundary) aspect;
- There are opportunities for synergies between the two instrument types, which should have led to additional benefits;
- There is also a risk that actions under ENRTP merely substituted or duplicated efforts under geographic instruments;

The first judgement criterion assesses the extent to which actions funded under ENRTP enabled EU to address environment or climate issues, which it would be difficult to address sufficiently under the geographical instruments. The second judgement criterion assesses the extent to which actions financed by ENRTP and by geographic instruments have benefitted from/been strengthened by each other. The last judgement criterion is similar to the second criterion, but focuses on the complementarity between ENRTP and actions funded by member states and other donors.

10.1 JC101. 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

10.1.1 I-1011. Interventions under ENRTP differ in their focus, approach, scope and implementation from interventions that can be, and are, implemented under geographical instruments

Description: The rationale behind the thematic instruments is that they enable EU to respond to thematic issues, which are of a global nature or for other reasons cannot be addressed easily under the geographic instruments. Hence, ENRTP should finance interventions, which are of a different nature or have different implementation modalities than actions under the geographic instruments. Without such a differentiation, there would be little justification for having a thematic programme like ENRTP, as the value added would be more limited and there would be a risk of duplication of efforts.

Findings: A fundamental difference between thematic instruments such as ENRTP and geographic instruments is that geographic instruments focus on assisting developing countries and regions in addressing their own development priorities, whereas thematic instruments focus on global challenges and EU's priorities and goals. Hence, geographic programmes are usually agreed with the national governments, national governments do not have a say in the formulation of programmes under ENRTP due to their usually more global or regional nature, although are prepared in consultation with stakeholders⁴²⁹. This is also reflected in the actions and partner choices, the main partner choice for ENRTP is UN agencies (UNDP, UNEP), the World Bank and bigger NGOs⁴³⁰. Other partners include research institutions, EU member state government agencies and also national governments in devel-

⁴²⁹ ENRTP MTR 2009

⁴³⁰ ENRTP MTR 2009

oping countries. This distribution of partners differs from the geographical instruments, which have national governments as the main partners.

Table 43 *Implementing channels of ENRTP funded actions*⁴³¹

<i>Channels</i>	<i>Total funding (EUR)</i>	<i>Percentage</i>
Civil society organization	151,472,913	14,56%
International NGO	116,705,910	
National NGO	34,268,087	
Research institution	498,916	
EU Member states	70,818,723	6,8%
EU Member states	70,818,723	
Government	32,019,266	3%
Local government	3,998,667	
National Government	23,020,599	
No information on contracting party available	5,000,000	
International organisation	522,298,744	50,23%
IFI -international financing institution	156,197,982	
IGO-Intergovernmental organisations	38,748,715	
no information on contracting party available	45,350,000	
UN agency	282,002,047	
Private company	36,224,176	3,5%
no information on contracting party available	155,815	
Private company	36,068,361	
Regional organization	26,950,000	2,6%
Regional organization	26,950,000	
Research institution	86,947,404	8,3%
Research institution	86,947,404	
no information on contracting party available	112,920,300	10,86%
no information on contracting party available	112,920,300	
Grand Total	1,039,651,526	100%

Source: CRIS, Particip analysis

There is a significant diversity in the actions implemented under ENRTP. However, there are some distinct types of actions, which clearly fall outside the scope and focus of the geographic instruments. These include:

- Support for international environment and climate change governance, including support for to strengthen international negotiations for multilateral environmental agreements (MEAs) to facilitate the achievement of internationally binding agreements. Important examples of this include: support for the UNFCCC process, including the UNFCCC Secretariat and the IPCC (Intergovernmental Panel on Climate Change), support to the CBD and CITES processes and convention secretariats, and support to promote synergies between the three conventions on waste and chemicals and their joint secretariat (see EQ6 and 7). Moreover, ENRTP support helps building the national level capacity to plan and implement their international commitments; examples of this is the UNDP LECB initiative, which assists countries in preparing NAMAs and MRV systems as required by UNFCCC as well as UNEP projects such as the MEA focal point points project where regional focal points provide capacity building and advice for MEA parties, and the synergies between the 5 major biodiversity MEAs project;
- Support to multilateral global thematic programmes. Important examples include funding for: strategic cooperation framework agreements with UNEP (including the above-mentioned projects and support for UNEP administered MEA secretariats), as well as support for the global UNDP-UNEP PEI (Poverty-Environment Initiative) on environmental mainstreaming, the World Bank administered CEPF (Critical Ecosystems Partnership Fund);

⁴³¹ CRIS, Particip analysis

- Support to EU initiated global and regional innovative and thematic programmes, such as: GCCA (Global Climate Change Alliance), GEEREF (Global Energy Efficiency and Renewable Energy Fund), EUWI (EU Water Initiative), FLEGT (EU Forest Law Enforcement, Governance and Trade);
- Support to creating awareness and increased attention to import environment issues, which do not receive sufficient attention at the national level. One example are the numerous actions on climate change, an area, which at the onset of ENRTP was often neglected under geographic programmes⁴³². Regional examples include the installation of solar panels and communication systems in remote villages in Latin America (incl. Bolivia) under the EUROSOLAR programme; where the promotion of renewable energy was not high on the Government's agenda in Bolivia;
- Support to developing and piloting new approaches, tools and innovations. Important examples include: GEEREF support to provide seed funding and leverage significant amounts of especially private sector investment in renewable energy, FLEGT labelling and tracking of legal tropical timber for export to the EU market. Country-specific examples include the support provided in DRC to test the establishment of fuel-wood forests and the testing of payments for environmental services in Bolivia.

Without ENRTP, support for global programmes such as UNDP-UNEP PEI and the UNDP LECB would have had to be provided on a more fragmented country-by-country or regional basis, and support could not have been provided for the global coordination and capacity building functions. Moreover, the global programmes provide an important opportunity for countries to share and learn from the experiences of other countries and regions. The global actions of ENRTP also allow EU to tap into leading international expertise as well as the neutrality, credibility and global ownership of the UN system, e.g. through the support for UNEP, where the support also enables EU to link to the high-level representation of all countries at the UNEA (UN Environment Assembly).

In relation to the action under the ENRTP priority areas 3.1 and 3.2 (Old priority 4, strengthening international environmental governance), the 2010 Evaluation of ENRTP Priority 4 found that “*Several of the EU co-financed activities under the climate change thematic area would not have been implemented without ENRTP support....*”. Another finding was that ENRTP provided the flexibility to adapt to changing circumstances and fund the most needed activities.⁴³³

As shown in the table below, 54% of the planned funding under ENRTP was allocated to actions at the global level (including actions which covered two or more countries from different regions). This alone gives an indication that the majority of ENRTP actions could not have been funded through geographic instruments.

Table 44 Geographical scope of ENRTP funded actions⁴³⁴

Geographical scope	Total funding	Percentage
Global	560,185,527 €	54%
Regional	176,042,750 €	17%
Country-specific	303,423,249 €	29%
All ENRTP	1,039,651,526 €	100%

Source: CRIS, Particip analysis

However, the extent to which ENRTP financed interventions at the regional and country levels differ from those that can be implemented under geographic instrument appears more mixed; I-1012 provides an assessment of whether these activities are better implemented under ENRTP or under geographic instruments. Nonetheless, the 2013 review of grants awarded under ENRTP calls for proposals found that country-level calls for proposals under ENRTP can fund local projects that cannot be covered by geographic funds and thereby provided an important access to EU funds for local governments and NGOs, communities and research institutions that would otherwise have had limited/poor access to EU funding⁴³⁵, for example in countries where most geographic support was provided as budget support to the Government (e.g. Bolivia), and in DRC, ENRTP enabled EU to provide support

⁴³² ENRTP MTR, 2009

⁴³³ Evaluation of ENRTP 2007-2010 Actions under Priority 4: Strengthening of International Environmental Governance, June 2012

⁴³⁴ CRIS, Particip analysis

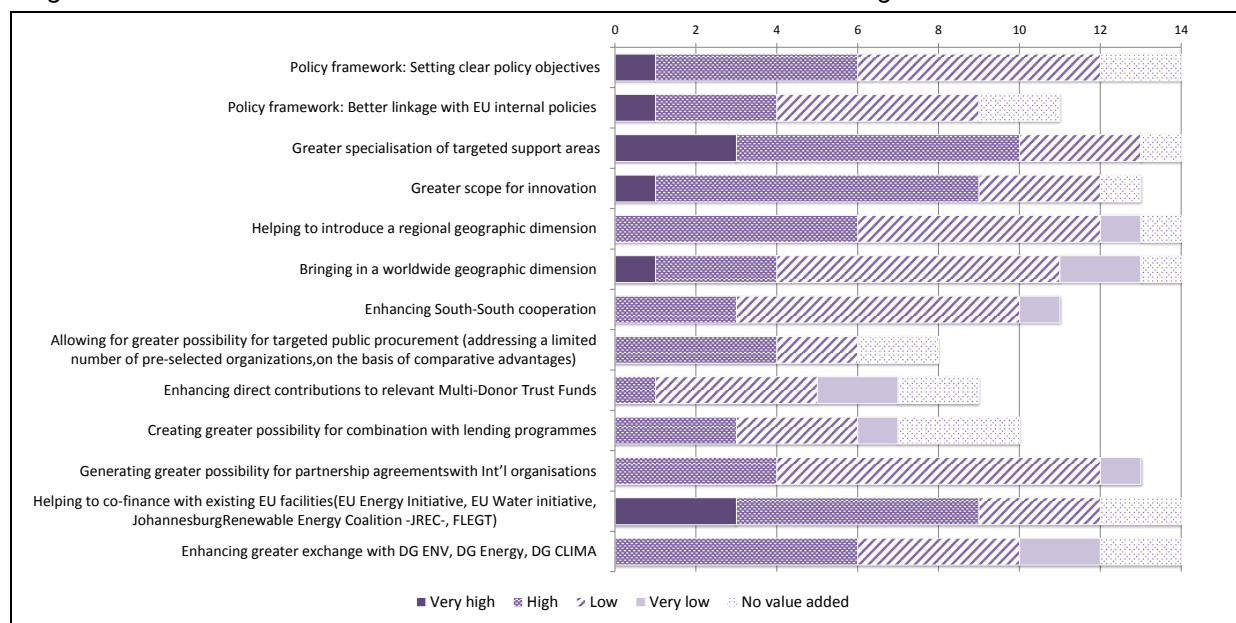
⁴³⁵ Review of the grants awarded under the calls for proposals financed from the Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP), October – December 2013

for NGOs. As described above, ENRTP actions at country level have also enabled the testing of innovative approaches and engagement and awareness-creation in environmental themes, which are not high on the national/government agenda. However, the 2009 MTR of ENRTP does refer to one ENRTP project, which could have been implemented under geographic instruments; the CCT (Clean Carbon technology) or CCS (Carbon Capture & Storage) projects in China, which would have fitted under the environment, energy and climate change sector in the CSP⁴³⁶. Similarly, the GCCA funded action on land regularisation in Rwanda could in principle have been covered under the geographic support for Rwanda (provided allocation had been made for it in the CSP/NIP); the same applies to Mau Forest project in Kenya, even if implemented by UNEP.

At the regional level, the 2009 MTR of ENRTP found that funding under the ENPI geographic instrument covered regional/multi-country actions to tackle issues such as environmental governance, air quality, water and waste management, industrial pollution and civil protection, ENRTP complemented ENPI by addressing more global challenges such as climate change and biodiversity, where the benefits go beyond the ENP region, and assisted partner countries to improve related policies and better implement commitments and strategies⁴³⁷. The field visit to Ukraine partly confirmed this; although ENRTP in particular had funded actions related to tackling transboundary environmental problems related to steppe ecosystems and transboundary waters (Danube basin, Tsis basin, Black Sea); topics, which potentially could have been covered under geographic instruments. Geographic instruments were also used to support other regional programmes, such as RAPAC/ECOFAC in Central Africa, and the difference in what ENRTP and geographical instruments can fund at the regional level does not appear entirely clear.

ENRTP thus enabled EU to support global processes, cross-country sharing/learning, and innovations and tap into international best practice in order to address global environmental and CC challenges in a coherent and strategic manner; as exemplified by FLEGT, the Environmental Entrepreneurship in Africa Project, PEI, LECB, which are described in earlier EQs, as well as other UNEP projects. The figure below generally confirms this observation; EUD's find that ENRTP in particular adds value by allowing for a) greater specialisation, b) greater scope for innovation, and c) providing a cofunding opportunity – and to a lesser but still significant extent setting clear policy objectives, strengthening the regional dimension, and allowing for greater exchange with EU DGs on environment and climate change.

Figure 55 EUD view on ENRTP's value added vis-à-vis other budget lines



Source: EUD survey

⁴³⁶ ENRTP MTR 2009

⁴³⁷ ENRTP MTR 2009

10.1.2 I-1012. Degree to which the ENRTP has been used for interventions that could not have been done equally well or better using available geographic instruments.

Description: Whereas I-1011 focused on the extent to which ENRTP funded actions that cannot be fund through geographic instruments, I-1022 provides an assessment of whether those ENRTP actions that could have been funded through other instruments would have been better done through these or whether ENRTP covered a gap or an additional need.

Findings: EC has three geographic instruments (ENPI, EDF, DCI), which cover different countries (no country is covered by more than one geographic instrument). The response strategy and programming at country level are determined by the EU Country Strategy Paper (CSP), in which a few priority sectors (up to three sectors) for support and other non-focal and cross-cutting issues are also identified for EU support. Support for environment or climate change under the geographic instruments can only take place if they are included in the CSP. Priority sectors are selected in close dialogue with the partner country governments and need to be aligned with the national development strategies. However, environment is often not a key priority in developing countries, where economic development, poverty reduction and provision of social services are the focus. Moreover, the Paris Declaration limits the number of priority sectors that can be chosen. As shown in the table below, environment and climate change are selected as a focal sector in 22% of the countries receiving EU development assistance, and environment and climate change are covered in 71% of the countries⁴³⁸. Hence, in most countries, the support that is provided for environment cannot, or can only to a limited extent, be provided through the geographic instruments. Moreover, since a CSP normally covers a five-year period, it can be difficult to respond to new and emerging issues in the rapidly changing international discourse on environment and climate change.

Table 45 Inclusion of environment and climate change in country-level support through geographic instruments (2007-2013)

Environment and climate change coverage in CSP ⁴³⁹	No of countries	Percentage
As focal sector	28	22%
Within focal sector	46	37%
As non-focal sector	15	12%
No environment and/or climate change coverage	44	35%
Total	125	100%

Hence, ENRTP complements the geographic instruments by providing a funding opportunity for environment and climate change interventions in countries where these cannot be financed through the geographic instruments (or only when in connection to a specific sector or defined in CSP as “other programmes”) – or, as shown under I-1021, providing a cofunding opportunity for environmental actions. The 2009 MTR of ENRTP noted that while the first place a government should go for financial support is the geographic programme/CSP (or regional strategy), but since only few of these have environment as a priority, ENRTP became a substitute, where funding was accessed for environmental actions, which in their scope and nature could in principle have been covered by the geographic instruments if environment had been a priority sector⁴⁴⁰. The two tables below illustrates that ENRTP has enabled the EU to engage in environmental and climate change actions in 45 additional countries and significantly increased (almost doubled) the environmental funding available for and additional 37 countries; only 20 countries received environmental funding exclusively from geographic instruments. The second table below also shows that environmental funding from geographical instruments on average the funding available per country is far more significant for ENP countries, and also greater for DCI countries than ACP countries, but on the contrary ENRTP funding is on average highest for ACP countries and lowest for ENP countries, which underscores that ENRTP allows for environmental actions where there is less access to geographical funding for environment, although this is not the intention of ENRTP.

⁴³⁸ Refer to Vol 3 Annex 2 for further details

⁴³⁹ In three countries, Azerbaijan, Cuba and Morocco, environment is present both as focal sector and within a focal sector. In Malaysia, Mali, Sierra Leone and South Africa, it is covered both within a focal sector and as non-focal sector. In Central African Republic, it is covered within a focal sector and as non-focal sector.

⁴⁴⁰ ENRTP MTR 2009

Table 46 Sources of country level funding for environment and climate change

	Total funded by ENRTP	Only funded by ENRTP	Funded by both ENRTP and geographic instruments
Number of countries	82	45	37

Table 47 Country level funding for environment and climate change from ENRTP and geographical instruments

Instrument	Total funding	N° of countries	Average per country
ENRTP	310,181,801 €	82	3.782.705 €
ACP Countries	200,373,632 €	43	4,659,852 €
ENP Countries	11,234,303 €	9	1,248,256 €
DCI (Other countries)	98,573,866 €	30	3,285,796 €
Geographic instruments	1,007,234,548 €	57	17,670,782 €
EDF (ACP)	254,962,852 €	35	7,284,653 €
ENPI (ENP)	526,179,936 €	9	58,464,437 €
DCI (Other countries)	226,091,760 €	13	17,391,674 €

However, the second table also shows that the level of funding provided through ENRTP for a given country is much lower than what the geographic instruments provide and hence cannot fully make up for the absence of environment as a focal sector. This is confirmed by the findings of the 2009 MTR of ENRTP, which found that a weakness is the limited budget of ENRTP does not allow for full complementarity in the sense of providing sufficient coverage for areas not covered by geographic programmes, as ENRTP's budget does not allow for a full response to the need for local projects not covered by country strategies. It was also found by the MTR that the general preference under ENRTP for global and regional (multi-country) projects can lead to the exclusion of good national level projects, which could in some cases contribute better to the implementation of EU development policies, but often are not covered by geographic strategies.⁴⁴¹

While there is no doubt that the use of ENRTP funds for partial substitution of geographical funding has enabled environmental actions where environment is not a priority sector, it also poses a challenge in relation to the subsidiarity principle and the delineation of the roles and boundaries between thematic and geographic instruments, as found by the 2009 MTR of ENRTP. On one hand, when environment is not included in geographic strategies, ENRTP is the only mechanism that ensures environmental issues can still be addressed (albeit not to the same extent and scale as a geographic priority can); but on the other hand, such use can dilute the strategic focus on tackling global issues and EU policy priorities. Hence, the 2009 MTR of ENRTP raises the following question: "Is it more important to respond to local needs or to keep a clear line in development policy?"⁴⁴². The intention with thematic programmes is that they should only intervene at a national level to provide a value-added which could not be effectively obtained through the implementation of the aforementioned national programming documents⁴⁴³. However, the 2009 MTR of ENRTP found that there is lack of a clear definition of when a given action is national (i.e. being implemented in a single country) or global, an example is given where a single country intervention provides global benefits, through generating lessons for an intended replication in other countries.

The 2009 MTR thus found that in order to achieve a better subsidiarity between ENRTP and geographic instruments, it is important to change a common perception of ENRTP as an instrument for compensating for the absence of environmental focus in geographic programmes. The MTR suggested that a clear delineation of the types of actions belonging under geographic and those belonging under thematic instruments be defined by EC. However, the MTR also recognised that local environmental projects should not be excluded from EC assistance and thus proposed three measures:

- Mainstreaming of environment in country strategies – which is something EU already pursues (see EQ9 for an assessment of the progress on this);
- Systematic allocation to environment of a significant part of the funds not earmarked for the two priority sectors in the country strategies;
- Local calls for environment proposals under ENRTP, where this cannot be done through geographic instruments – this is already done, but the above described issues with funding limitations and balancing local needs with strategic focus then remains. After the MTR, the use of

⁴⁴¹ ENRTP MTR 2009

⁴⁴² ENRTP MTR 2009

⁴⁴³ Annual Activity Report, 2013, Directorate-General for Development and Cooperation — EuropeAid

call for proposals was reduced, partly due to the administrative costs associated with processing and managing numerous proposals and small grants, partly due to the high number of proposals which meant that only a small proportion would be selected for support and thus the investment for NGOs was high compared to the chances of success.

10.2 JC102 Environment and climate change interventions financed by ENRTP and geographic instruments have benefitted from/complemented each other

10.2.1 I-1021. Evidence that environment and climate change interventions implemented under geographic instruments have used information and research provided by ENRTP interventions in their country/region

Description: There are two main aspects to the complementarity between ENRTP and geographic instruments, a) the extent to which ENRTP actions differ in nature from those financed through geographic instruments or a implemented in different places, as described under JC101, and b) the extent to which these differences enable the actions on ENRTP and geographic instruments to build on, and strengthen, each other. This indicator focuses on the extent to which ENRTP actions have strengthened the actions funded through the geographic instruments – i.e. by providing knowledge, innovative approaches or tools, which are useful to the geographic actions, or by strengthening the linkages to actions at global or levels.

Findings: The information about complementarity is scarce and limited in the available documentation. While action fiches sometimes do mention other projects with which a given action can achieve complementarity/synergies, they do usually not provide detail or specific guidance on how complementarity will be sought/achieved. Some reports, especially reviews and evaluation, do provide some information on how actions benefit from each other, but in most cases (e.g. in AAPs and progress reports) such inform is either absent or limited to statements about the action complementing certain actions without any description of the nature of the complementarity and the manner in which different actions coordinate, collaborate and strengthen each other, how well it worked or what the results were. Moreover, reference is usually made to specific projects, but not the funding instrument. In some documents, there is a tendency of putting more emphasis on the complementarity with actions funded by other donors than other EU actions. This seems in part to be related to the available reporting formats; for example, the progress reporting format provided to partners under complementarity ask the partners to describe how the action builds on previous grants to the partner, but not about the wider complementarity with other actions. The lack of description of complementarity could perhaps also in some cases be a reflection of the challenges to coordinate and capitalise on actions of other projects in day-to-day work where staff are busy ensuring the timely delivery of specific project activities and targets. Hence, this could be an indication that the potential for mutual benefits have not always been taken full advantage of, as the statements in the box below also hint at.

Box 10 ENRTP vs. Non-ENRTP: Potential for mutual benefits

“Coherence and complementarity is difficult to implement in practice and there is room for improvement. In this regard, programming under the new external aid instruments for the 2014-2020 Multiannual Financial Framework put a special emphasis on providing the required framework to promote synergies and complementarities between them.” (Annual Activity Report, 2013, Directorate-General for Development and Cooperation — EuropeAid)

“Geographic programmes and thematic programmes have different potentials and should be more complementary.” (ACP ROM Results Study 2000-2013, Thematic Study 3, Environment, Climate Change & Disaster Prevention Sector, February 2014)

“... ENRTP activities are environmentally relevant and respond to the development related objectives of the DCI, without exception. There is also no doubt over the appropriateness of every single activity; however, when evaluating the ENRTP as a whole and assessing the relation of ENRTP projects and initiatives carried out under the ENRTP with other development cooperation instruments and budget lines, the situation becomes less clear.”

Source: ENRTP MTR 2009

It thus seems that sometimes opportunities for synergies are not fully capitalised on; for example the DCI-ASIE funded Europe-China Energy Clean Centre (EC2) has private sector funding for sustainable energy as a focus area, and while GEEREF works in other countries one would assume there would be scope for mutual learning and perhaps collaboration on approaches, but there is no evidence of such collaboration in the available documentation.

In the case of GCCA in Mauritius, the 2014 GCCA evaluation found that the programme had not made links to relevant EDF funded regional programmes implemented by the Indian Ocean Commission in the area of environment and natural resources, and from mid-2013 on Renewable Energy develop-

ment and Energy Efficiency. Several of the GCCA (GCC-GBS – GCCA's programme in Mauritius) outcomes, such as energy efficiency promotional campaigns or the development of energy efficiency standards and labels were found directly relevant to the latter regional programme.⁴⁴⁴

The EUDs consulted had mixed opinions on the influence of ENRTP on geographic actions, with five EUDs observing a high influence, but seven EUDs observed a low or even no influence. However, this is not entirely consistent with the responses to another question, where two EUDs saw a substantial contribution of ENRTP to non-ENRTP environmental actions, seven EUDs observed a reasonable contribution, and five EUDs saw a limited or no contribution. Nonetheless, the tendency observed is that the contribution of ENRTP varies significantly from country to country.⁴⁴⁵

This was confirmed by the field visits, which also revealed that the scope for complementarity is often limited due to a) different thematic foci of ENRTP and the country programme and/or b) limited presence of ENRTP funded actions (Ukraine, Egypt, Kenya, Rwanda, China); moreover, the generally limited involvement and low level of awareness among EUDs and implementers at the country level of the EU contribution to a given global programme (e.g. PEI in Rwanda) also posed limitations to exploring opportunities for synergies. The active involvement of EUDs in ENRTP was mainly in relation to a) FLEGT, b) GCCA, and c) calls for proposals (Ghana, Kenya, Rwanda). Moreover, while EUDs were involved in the project selection under the ENRTP calls for proposals, synergies with the country programme was not among the assessment/selection criteria, and some EUDs reported that this meant that actions that would have strengthened the delivery of the country programme were not selected (Kenya, Ghana).

Nonetheless, the available documents reveal some examples of complementarity and mutual strengthening between ENRTP and actions funded under geographic instruments, although the available documents for most of these actions talk about intended complementarity rather than actual synergies and results. Furthermore, the field visits revealed additional examples of complementarity, where geographic programmes benefitted from ENRTP actions – indeed, it is the impression of the evaluation team that synergies are achieved to a higher extent than reflected in programme documentation.

One particularly prominent example of complementarity is the FLEGT programme, which combines actions under ENRTP and geographic instruments; ENRTP finances the global support for the European Forestry Institute (EFI), the host of the global EU FLEGT Facility, and the global FAO FLEGT Programme, which provide support to Voluntary Partner Agreement (VPA) negotiations, national dialogues, technical assistance, capacity building, and project support and information services for FLEGT countries. The geographic instruments then finance the development and implementation of VPAs by the national government, and thereby ensure that FLEGT is embedded in the national systems (Ghana). In addition to this, ENRTP provided funding at the country level for NGOs to engage in forest governance, such as ensuring transparency and building community capacity to engage in local forest governance and in forest law enforcement; an example of this is Liberia, where ENRTP funding was provided to two Liberian CSOs to build the capacity of civil society to monitor VPA implementation. ENRTP funding was also used for pilots at the country level, in Liberia pilot projects were implemented to refine social agreements between logging enterprises and affected communities; and to train community organisations, government authorities and private sector actors on independent forest monitoring and to use GIS mapping to identify illegal forest activities and advocate for improved law enforcement⁴⁴⁶. The box below provides a brief description of the complementarity achieved by FLEGT in Ghana, which is a particularly well performing FLEGT country and anticipated to be the first country to produce FLEGT certified timber.

⁴⁴⁴ GCCA Evaluation 2014, Mauritius Aide Memoire

⁴⁴⁵ EUD survey

⁴⁴⁶ FLEGT (AAP 2012-13, Annex 5) European Union – Council of Europe project Preparation of the Emerald Network of Nature Protection Sites, phase II (EU-CoE Emerald II)

In Ghana, the NREG (Natural Resource and Environmental Governance) Sector Policy Support Programme (2010-2014) with EDF funding provides broad support to environmental governance, including support to the completion of the VPA process, and Ghana may become the first country to export FLEGT certified wood.

The CARE Denmark NGO received support from ENRTP to facilitate stakeholder engagement, transparency and accountability in Ghana through the GIRAF (Governance Initiative for Rights & Accountability in Forest Management) project; and although the ROM reports indicate significant challenges in the GIRAF implementation and delivery of objectives, it played a role in creating advocacy, awareness and education at the National, District and Community level. Hence, the ENRTP funded GIRAF strengthened the NREG SPSP for strengthened forest governance by enhancing public participation and the ability of stakeholders to hold the government accountable.

The EU Energy Initiative Partnership Dialogue Facility (EUEI PDF, hosted by GIZ) is aimed at reinforcing Africa–EU Energy Partnership (AEEP) and Africa-EU dialogue on energy, and aims at scaling up investments in renewable energy, and complements other global EU initiatives, such as the Infrastructure Trust Fund, the Energy Facility, and GEEREF. It was the intention to establish and maintain communication links to EU's national level energy programmes under EDF and ENPI as well as regional initiatives such as Euro-Mediterranean energy cooperation. The action would then establish a dialogue framework for coordination of activities at national level and the continental energy strategies – But the extent to which this has happened and the results are not clear from the available documents.⁴⁴⁷

ENRTP financed a EUR 5 million pilot phase with small renewable energy and energy efficiency projects, which generated lessons on renewable energy options for the larger EDF funded Africa-EU Renewable Energy Cooperation Programme (RECP).⁴⁴⁸

The ENRTP funded UNDP-UNEP Poverty-Environment Initiative (PEI) had made concrete results in mainstreaming environment in the PRSPs of Malawi and Rwanda, and reflections on how to bring this experience into the geographic instruments were ongoing in 2009 – but in the case of Rwanda there were no deliberate attempts of ensuring complementarity between PEI and support on the country programme – nonetheless some synergies were achieved unintentionally. PEI helped the Government in developing mainstreaming tools and methodologies. The EUD's programming has benefitted from this, as PEI's input has enhanced the Government'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 – concrete examples are PEI support for the inclusion of sustainable agriculture objectives and indicators in the PRSP and the agriculture sector plan. PEI also supported the Government in relation to the preparation of the EU funded agriculture SEA. At the global level, the EU mainstreaming guidelines and training courses as well as GCCA incorporated elements of the PEI approach and tools. Overall, the collaboration and synergies between PEI and EU appears mainly to take place at the global level, although PEI reports that there has been synergies with EU actions in some countries.

The ENRTP MTR found that GCCA pilot actions would be useful for the identification of new activities under the geographical instruments – but the extent to which GCCA has delivered an input to, or informed, the formulation of geographic actions is not clear from the available documents.⁴⁴⁹ In Rwanda GCCA funding for the land regularisation process reinforced the actions under the SBS for the agriculture sector by creating the enabling environment for investments in land productivity, control of land degradation, and climate change adaptation.

In Kenya, the experiences and approaches of the ENRTP funded Mau Forest project will inform the new Water Towers project.

A recent evaluation (2013) of EU support to ENP East and South found that ENPI funded regional activities in relation to biodiversity, land degradation and nature protection had been marginal but some improvements had been identified as a result of the linkage to complementary ENRTP actions, e.g. in

⁴⁴⁷ Action Sheet D for the EUEI in Africa, Under Priority 2 of the ENRTP: EUEI Continued support to the Partnership Dialogue Facility (2010-2012) (Ref.: 219569) – Africa-EU energy partnership, 2010
2008 Annual Action Programme implementing the “Thematic Strategy Paper for the Environment and Sustainable Management of Natural Resources, including Energy (ENRTP) for the period 2007-2010” for the Development Cooperation Instrument

⁴⁴⁸ Annex, Identification, Support to the Sustainable Energy for All (SE4All) initiative ACP/FED/024-335; Action Fiche for 10th EDF – Regional Indicative Programmes for Central Africa, SADC, West Africa and ESA-IO, EU Support to the Sustainable Energy for All (SE4All) initiative

⁴⁴⁹ ENRTP MTR 2009, Annex 2

relation to approximating nature protection practices in Ukraine to the EU Birds and Habitats Directives⁴⁵⁰.

Also in the ENP region, the ENPI funded “Towards a Shared Environmental Information System (SEIS) in the European Neighbourhood” programme reported that it had regular communications and information exchange with several EU funded projects to identify possible synergies and joint activities, including a couple of ENRTP financed actions⁴⁵¹:

- TAIX (Technical Assistance Information Exchange Instrument) support on environmental accounts to the State Secretariat for Water and Environment of Morocco;
- Support for the implementation of the Convention on biological diversity programme of work on protected areas in the EU Neighbourhood policy East area and Russia: extension of the implementation of the EU’s NATURA 2000 principles through the Emerald Network.

No examples were found in Ukraine of geographic actions benefitting from ENRTP.

The DCI-ASIE financed EU China Low Carbon, Urbanisation and Environmental Sustainability Programme, intended to build on ground work carried out by several other EU actions by looking at existing data availability at sector level and looking at overall strategies for Emission Trading Systems (ETS). The following ENRTP financed actions were looked at to provide information⁴⁵²:

- GHG Emission Trading System Outreach to DCs: Information on the feasibility for ETS development in China, the most appropriate sectors for ETS, and infrastructure and capacity building needs for ETS implementation;
- Partnership on Carbon Market Readiness: Anticipated to provide information on different carbon market mechanisms, including sectoral crediting;
- EU-UNDP climate change capacity building program: anticipated to be of use to development of an MRV system for ETS in terms contributing to raising general awareness.

Also in China, the Provincial Climate Change Mitigation and Adaptation project 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, provides approaches and evidence for construction of low energy housing.

In Bolivia, lessons from the ENRTP funded EUROSOLAR and Climate Change Mitigation and Adaptation through Payments for Environmental Services projects are expected to inform the future SBS to the Integrated Environment and Water plan implementation.

10.2.2 I-1022. Evidence that ENRTP interventions have benefitted from interventions financed by EU under its geographic instruments

Description: This indicator is similar to I-1021, but looks at benefits moving in the opposite direction; namely the benefits ENRTP actions have received from actions under geographic instruments.

Findings: The limitations on information in available documents as described under I-1021 also applies to this indicator, and here it could also be an indication that potential synergies are not fully capitalised upon. The examples found of ENRTP building on, or being strengthened by, actions funded through geographic instruments are relatively few, but there are some, as described in the following examples. It is also the impression of the EUDs consulted that ENRTP benefitted to a lesser extent from geographic actions than vice-versa, with the majority of EUDs responding finding that the influence on ENRTP was low or even none⁴⁵³. This is not surprising, considering the more innovative or knowledge generating nature of many ENRTP actions.

The arrangements for FLEGT with complementing actions under both ENRTP and geographic actions described above in I-1021 are a very good example of full leverage of mutual benefits and leverage between the two instrument types; FLEGT is seemingly the programme with the most strategic use of complementarity between ENRTP and geographic instruments which benefits and strengthens both the geographic and the thematic action.

A particularly interesting example is the SWITCH programme, which promotes sustainable consumption and production (SCP) patterns through support to SMEs with a focus on the industry and services

⁴⁵⁰ Evaluation of the European Union’s Support to two European Neighbourhood Policy Regions (East and South), Final Report, Volume 1, June 2013

⁴⁵¹ Towards a Shared Environmental Information System (SEIS) in the European Neighbourhood, First Interim Progress Report 27 September 2011 – C-210-629_ENP

⁴⁵² Standalone Project Identification Fiche, DCI-ASIE/2011/ 023-093, (Tentative2) Low Carbon and Environmental Sustainability Programme, China, 2011

⁴⁵³ EUD survey

sectors in urban areas. SWITCH-Asia, the first and most mature programme (initiated in 2007), was funded through DCI-ASIE, whereas the support for new SWITCH Africa Green, which is replicating the experience of SWITCH-Asia, was funded by ENRTP in 2013. SWITCH-Asia in turn, initially built upon other EU actions, including both geographic actions (e.g. Small Projects Facility programmes, the Environmental Management Co-operation Programme and the Energy and Environment Programme in China) and thematic actions such as GEEREF according to its 2007 Action Fiche.⁴⁵⁴

The DCI-ASIE funded EU-China Environmental Governance Programme was intended to complement the ENRTP funded EU-China CDM Facilitation Project by engaging in awareness raising and promoting proactive and sustainable practices in the business sector (it was also envisaged to complement SWITCH-Asia in promoting policy and CSR for sustainable production and consumption).⁴⁵⁵

In Ukraine, the PMR (Partnership for Market Readiness) proposal for ENRTP funding made use of actions funded under the SBS supporting the implementation of the Ukrainian Environment Strategy, which includes goals to improve GHG emissions inventories.

As described in EQ6, in relation to the ENRTP support for strengthened environment governance there are potential opportunities for complementarity, which are not always fully taken advantage of. UNEP and the MEA secretariats hosted by UNEP do not have the mandate and capacity to engage in national level institutional capacity building, which means that the people trained by UNEP or UNEP administered MEA secretariats sometimes return to institutions, which do not have adequate capacity to implement the proposed changes or provide an enabling environment for the trained person to put the skills obtained into practice. Complementary actions at the national level through geographic instruments can help alleviate this bottleneck.

10.3 JC103 Environment and climate change interventions financed by ENRTP and those financed by EU Member States or other donors have benefitted from/complemented each other

10.3.1 I-1031. Evidence that environment and climate change interventions implemented under non-EU financing have benefitted from interventions financed by ENRTP in their country/region

Description: This indicator is similar to I-1021, but looks at the synergies between ENRTP and actions implemented by other donors, including EU member states.

Findings: The limitations on information in available documents as described under I-1021 and I-1022 also apply to synergies with actions of other donors.

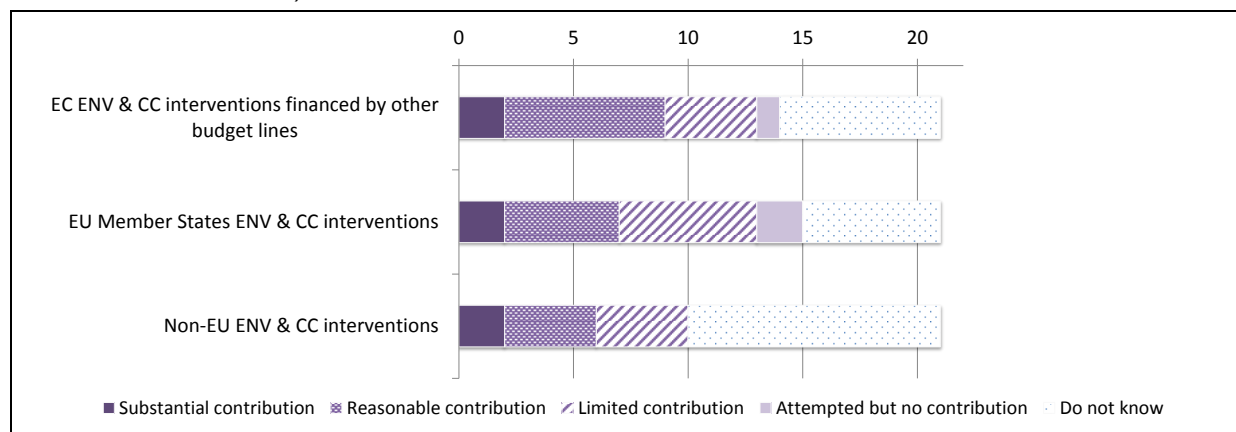
One obvious synergy between ENRTP and actions by other donors is that many ENRTP actions are not only funded by EU but also receive significant financing from other donors. This of course enhances the delivery and capacity of the funded programmes, but it also generates lessons, knowledge and approaches, which both EU and the other donors can then benefit from in relation to their other programmes. Other benefits of such joint funding are that it reduces transaction costs and enhances cost-effectiveness by using the same mechanisms and structure for implementation (economy of scale) and reduces the risk of duplication. The examples of cofunding are numerous, and given the benefits are obvious and widely accepted and used by EU as well as other donors, there is no need to go further into the synergies of cofunding in this evaluation.

The EUDs consulted only to a limited extent found the ENRTP contributed to the bilateral actions of EU members states and other donors, as can be seen from the figure below. But as the figure shows, this picture varies significantly from country to country; while the perceived contribution is limited in many countries, it is found substantial in others.

⁴⁵⁴ Action fiche, SWITCH-Asia Promoting Sustainable Consumption and Production (SCP) – 2007/019-266; Description of Action: Helping Vietnamese SMEs Adapt & Adopt CSR for Improved Linkages with Global Supply Chains in Sustainable Production, SWITCH-Asia 2008

⁴⁵⁵ Action Fiche N° 4 for China, EU-China Environmental Governance Programme DCI-ASIE/2008/19804

Figure 56 ENRTP contribution to increasing the impact of the actions of other donors (EUD views)



Source: EUD survey

Some specific examples of ENRTP adding value to the actions of other were identified. UNDP-UNEP PEI is one clear example. In Tajikistan, PEI used the DFID funded; UNDP implemented Rural Growth Programme (RGP) as delivery mechanisms. The benefits of this were mutual; on one hand PEI benefitted from using the staff, infrastructure and processes of RGP to reach rural district authorities and benefit from their commitment to RGP; on the other hand, PEI strengthened the ability of RGP to ensure that environmental concerns were mainstreamed and taken into account in district and regional development plans. In Bhutan, PEI Phase 2 and Danida funds were put together under the Joint Support Programme: Capacity Development for Mainstreaming Environment, Climate Change and Poverty Concerns in Policies, Plans and Programmes (JSP). The PEI/JSP component of the programme was important for Danida as a capacity building mechanism, which supported the larger Danida budget support provided under the Sustainable Environment Support Programme. At the same time, PEI benefitted from the significant funds provided by Danida for environmental mainstreaming, which made it the largest PEI country projects (and generally seen as one of the most successful PEI country projects) and also enabled PEI to expand the focus in Bhutan to also cover climate change.⁴⁵⁶ In Rwanda, PEI 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.

A particularly important area, where ENRTP support is contributing to laying the foundation upon which the interventions of other donors can benefit is in relation to the MEAs as described under EQ6 and EQ7. For example, EU support for strengthening the UNFCCC processes has helped by generating knowledge, developing approaches and tools and facilitating global agreements and priorities, upon which donor action at the country level is based. One example is that the UNFCCC negotiations have led to an international commitment to the REDD+ concept as an incentive for developing countries to reduce emission from deforestation and forest degradation, for which Norway has committed to provide substantial funding in the coming years.

The recent global GCCA evaluation (2014) found that GCCA supported interventions at country level are generally well harmonised with and linked to other climate change initiatives. GCCA actions in most countries had helped strengthening actions lead by EU member states and by multilateral donors by providing both additional funding as well as policy support, while GCCA actions benefitted from the existing structures and systems of those actions of other donors, resulting in relatively quick results. This connection also meant that fragmentation of climate change support was avoided and a basis for a joint European climate action is emerging. GCCA provided an opportunity for EU member states to support climate action with low transaction costs. Moreover, the GCCA evaluation found that there was specific added value of the GCCA-funding to an ongoing EU member state or multilateral organisation's actions by adding climate change objectives or allowing for undertaking pilot projects on climate change.⁴⁵⁷

However, the GCCA intervention in Mauritius is an outcome of the collaboration between Agence Française de Développement (AFD) and EC on climate change mitigation assistance to the Govern-

⁴⁵⁶ Mid Term Review of the UNDP-UNEP Poverty-Environment Initiative (PEI) Scale-Up, 2011

⁴⁵⁷ Evaluation of the Global Climate Change Alliance (GCCA), Global Programme, World-Wide, Final Report (2nd revised Draft), 19th September 2014

ment. AFD is providing budget support for the environment and energy sector, specifically the 'Maurice Ile Durable' initiative, through a two-year Environment Aid Programme (EAP) with a EUR 125 million loan. Disbursement conditions for GCCA were aligned with key actions foreseen in the AFD programme, in order to achieve complementarity and synergy between the two programmes. However the 2014 evaluation of GCCA was not fully convinced of the added value of the EUR 2.8 million GCCA grant to the EUR 60 million loan provided by AFD. Nonetheless, the evaluation did find that both the GCCA and AFD support strengthened the GEF-funded UNDP-GEF-MEPU project on energy efficiency entitled 'Removal of Barriers to Energy Efficiency and Energy Conservation in Buildings', but at the same time the evaluation is not entirely clear, as it also states that since two of the GEF project's target were the same as the GCCA disbursement indicators, the GCCA support appeared to add little value.⁴⁵⁸ The evaluation has similar findings in Rwanda, where the GCCA co-funding for the Land Tenure Regularisation (LTR) programme was found to add limited value as *"it did not have a specific focus on land use or climate change, beyond the programme's primary land registration target"*⁴⁵⁹. However, early evidence from a recent World Bank study suggests that the land registration has led to farmers investing in land productivity and adaptation measures; moreover, EU/GCCA was the only donor to support the programme with budget support directly managed by the Government. In Nepal, GCCA experience has reportedly helped the design and localisation of other projects, such as the USAID funded Initiative for Climate Change Adaptation (ICCA) project, which will build the capacity of poor and rural communities⁴⁶⁰.

The FLEGT programme in Liberia is expected to feed into the new World Bank Forest Carbon Partnership Fund's support to the development of a REDD (reducing emissions from deforestation and degradation) strategy. The VPA (voluntary partnership agreement) is anticipated to strengthen this work, as the VPA provides clarity on forestland rules and regulations, builds institutional capacity to regulate forest use, addresses illegal logging and strengthens forest governance. The stakeholder processes established for FLEGT would be relevant for the REDD project, but the extent to which this has been utilised for the benefit of the REDD project is not known.⁴⁶¹ A similar situation was identified in Ghana, where both EU and other donors (DFID and the Netherlands) are supporting different elements of the FLEGT/VPA process, and there are thus strong synergies between EU ENRTP, EU geographic funding, and other donors.

Also in Ghana, current USAID support for coastal forest management is using the CREMA (Community Resources Management Area) community-based conservation approach developed under the ENRTP funded PADP (Protected Areas Development Project).

The 2007 Action Fiche for SWITCH envisaged that Asian Centres for SCP (sustainable consumption and production) established by UNIDO/UNEP and/or bilateral support would be closely involved in SWITCH-Asia to further build their capacity. SWITCH-Asia was also intended to complement *"all recent national and other regional energy activities"*, including the *SIDA FUNDED GERIAP-project on Greenhouse gas Emission Reduction from Industry in Asia and the Pacific*. But the extent to which this has happened and the results are not known.⁴⁶²

The 2009 MTR of ENRTP found that while EU member states were consulted in ENRTP programming, they were not actively involved in the programming although this could have ensured full coherence between EU and member state support. The low level of involvement of EUDs in ENRTP programming is reflected in a) the findings of the field visits, where EUDs often were unaware that ENRTP funded projects were funded by EU and b) survey responses, where a some EUD comments revealed e.g. an unawareness by some EUDs that ENRTP funded actions in their country or that GCCA was funded by ENRTP. Not surprisingly, the coordination with non-EU donors was found to be less. It was found that the extent of coordination with other donors in partner countries was determined by whether the EU delegations ran environment projects in the country. As illustrated by the box below, coordination of global and regional ENRTP projects with actions of other donors was limited in countries, where there are no environmental actions managed by the EUDs, which concurs with the findings of the country visits of this evaluation. Indeed, as described in I-1021 EU delegations have been involved only to a limited extent in ENRTP funded global and regional actions.⁴⁶³

⁴⁵⁸ GCCA Evaluation 2014, Mauritius Aide Memoire

⁴⁵⁹ GCCA Evaluation 2014, Rwanda Aide Memoire

⁴⁶⁰ GCCA Evaluation 2014, Nepal Aide Memoire

⁴⁶¹ FLEGT (AAP 2012-13, Annex 5) European Union – Council of Europe project Preparation of the Emerald Network of Nature Protection Sites, phase II (EU-CoE Emerald II)

⁴⁶² Action fiche, SWITCH-Asia Promoting Sustainable Consumption and Production (SCP) – 2007/019-266

⁴⁶³ ENRTP MTR 2009

“In some countries, EC Delegations are members of multi-donor steering committees and have a very active role, in others they are only consulted when issues related to their single project (e.g. in climate change) are discussed. The limited number of projects under the ENRTP therefore limits the involvement of EC Delegation in local donor coordination, as the EC is often considered rather a minor player in environment related development coordination. Multi-country and global projects are managed centrally, therefore the Delegations are often neither informed nor involved. It is not clear how far international organisations carrying out global ENRTP projects involve the local EC Delegation; among the delegations interviewed for this assessment none was in contact with the UN for any local component of an international ENRTP project.”⁴⁶⁴

10.3.2 I-1032. Evidence that ENRTP interventions have built on interventions financed by other EU Member States and/or other donors

Description: This indicator is similar to I-1032, but looks at benefits moving in the opposite direction; namely the benefits ENRTP actions have received from interventions implemented by other donors.

Findings: The limitations on information in programme documentation as described under I-1031 in particular apply to this indicator; this is not surprising, since ENRTP had an important focus on global actions as well as a focus on innovations and new developments and hence not a focus on upscaling interventions initiated by others.

As described under I-1031, UNDP-UNEP PEI benefitted in Tajikistan from utilising the infrastructure and team in place as well as the established linkages to local governments of the larger RGP programme, and in Bhutan the significant bilateral co-funding from Danida significantly enhanced the coverage of PEI.

Another example is described under I-212; EU funding for the UNDP implemented LECB leveraged significant cofunding from bilateral donors; which in turn allowed for additional activities expanding the breadth of technical support, and thereby enhanced the private sector participation and increased the number of participating countries from 15 to 25 which meant a wider geographic representation and increased impact.

The 2014 GCCA evaluation found that in Bhutan GCCA had not taken some relevant actions of other donors properly into consideration. The now completed Danida supported Performance-based Climate Change Adaptation (PBCCA) had built the capacity of four local governments and increased the climate resilience of water supply and transport in the target area covered by GCCA support, but was not found to have fed in to the GCCA funded CCA-RNR project. The examples given of ongoing projects that should be taken into account were: a) SNV support for the development of climate-smart agriculture, which is anticipated to provide lessons on cost-effective adaptation; and b) UNDP support of the Department of Hydro-Met Services, in order to avoid duplication of data collection and ensure system compatibility.⁴⁶⁵

In Mauritius, the GCCA Evaluation found that donor coordination is effective and that formulation of the GCCA funded action was coordination with the other donors (AFD and UNDP) supporting the environment sector, and that these donors provided complementary TA to assist with the overall implementation of the economic reform programme. However, it was also found that a *“lack of clear coordination of climate change-related action across institutions appears to result in sub-optimal use and exchange of relevant experience and limited synergy between various projects and programmes, according to various resource persons”*.⁴⁶⁶

In Nepal, the GCCA actions built on and reinforced the LAPA (Local Adaptation Plan for Action) support initiated under a previous DFID funded project; the evaluation found this choice appropriate given the LAPA is a key policy framework for climate change adaptation action *“and gives high priority to climate change action in a poverty reduction perspective, including disaster preparedness and good governance”*. The DFID experience was also found to bring in added benefits, as it allowed building on the structures and experience gained in the Livelihoods and Forestry Project. Indeed, other donors/development partners, such as USAID, SDC, and CARE, also adopt the LAPA framework. Moreover, the Ministry of Science, Technology and Environment would like to scale up the GCCA funded NCCP project through an increase in pooled funds. The evaluation observed that NCCP to a large ex-

⁴⁶⁴ ENRTP MTR 2009

⁴⁶⁵ GCCA Evaluation 2014, Bhutan Aide Memoire

⁴⁶⁶ GCCA Evaluation 2014, Mauritius Aide Memoire

tent builds on the achievements of forestry programmes, e.g. by utilising well-established local community-based organisations.⁴⁶⁷

In Liberia, which is a FLEGT country, several donors work in the forest sector and there appears to have been a good coordination of efforts to ensure complementarity and synergies. USAID has been a lead donor on support for the improvement of forest law and policy financed work including support for the development and start-up of the LiberFor timber Chain of Custody system. EU, DFID and the World Bank were through a World Bank trust fund providing financial support the operation of LiberFor till the end of 2011. FLEGT support to establishing a VPA (voluntary partnership agreement) builds directly on the earlier support for LiberFor. In support of FLEGT, DFID has provided support for the VPA preparation and the VPA Secretariat, and DFID has indicated that it will also support VPA implementation.⁴⁶⁸

The ENRTP funded and UNDP implemented “Building Transformative Policy and Financing Frameworks to Increase Investment in Biodiversity Management” project (the EC-UNDP project) was intended to take advantage of complementarities from projects financed by other donors. Firstly, the EC-UNDP project would build on the tools developed by the World Bank’s Global Partnership for Wealth Accounting and the Valuation of Ecosystem Services (WAVES) to measure and value ecosystem services, which the EC-UNDP project would use to assist countries in developing financing plans and identifying funding opportunities for biodiversity conservation and preservation of ecosystem services. Secondly, the EC-UNDP project would also benefit from the GEF funded and UNEP implemented Project for Ecosystem Services (ProEcoServ), which covers different countries than the EC-UNDP project, but has a similar focus on economic valuation of ecosystem services, so there would be significant areas of leaning and sharing.⁴⁶⁹ But the extent to which this has happened and the results are not clear from the available documents.

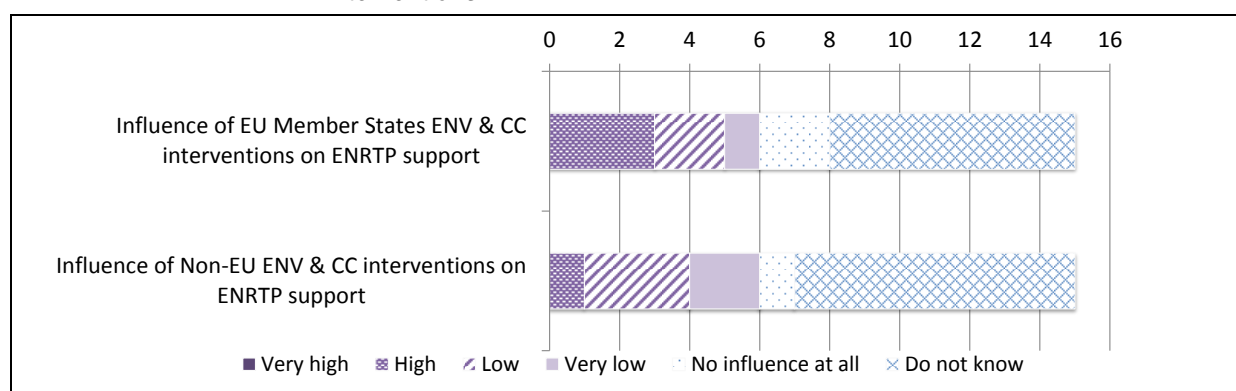
In Ukraine, the ENRTP funded PMR (Partnership for Market Readiness) programme appears to some extent to have built on a) an earlier UNDP project funded by Germany for capacity building on low carbon growth which developed a roadmap for Emissions Trading Scheme, and b) and an EBRD funded project on preparing for emissions trading (PETER).

The ENRTP funded LECB project in Kenya will be followed up on with USAID funding under the EC-LEDS project.

In a number of cases complementarity and synergies have strengthened ENRTP actions, but in other cases synergy opportunities have not been utilised fully. In yet other programmes, e.g. those piloting new innovations, the scope for complementarity was probably more limited.

The figure below shows that EUDs a) had a low level of awareness of whether actions of other donors benefited ENRTP funded actions and b) often only saw a limited degree of such complementarity.

Figure 57 In your view, to what extent have Non-EU ENV & CC interventions influenced ENRTP interventions?



Source: EUD survey

⁴⁶⁷ GCCA Evaluation 2014, Nepal Aide Memoire

⁴⁶⁸ FLEGT (AAP 2012-13, Annex 5) European Union – Council of Europe project Preparation of the Emerald Network of Nature Protection Sites, phase II (EU-CoE Emerald II)

⁴⁶⁹ AF (ENRTP) Annex 21, IDENTIFICATION, Building Transformative Policy and Financing Frameworks to Increase Investment in Biodiversity Management