



SWEDISH ENVIRONMENTAL  
PROTECTION AGENCY

Terms of Reference

Final Evaluation

Of the

Swedish Environmental Protection Agency  
Global Programme  
September 2014 – June 2018

Strengthening Environmental Governance for Sustainable Natural  
Resource Management

# 1 BACKGROUND

The Swedish Environmental Protection Agency (Swedish EPA) is the public agency in Sweden that has an overview of conditions in the environment and progress in environmental policy. The agency also has the task of coordinating, monitoring and evaluating efforts, involving many agencies, to meet Sweden's environmental objectives. The Swedish EPA has long experience of putting the key principles of democratic governance (effectiveness, accountability, transparency, participation, rule of law and non-discrimination, integration, coordination and coherence and responsiveness) into practice in carrying out its mandate, both in Sweden and abroad. The agency conducts international cooperation both bilaterally and multilaterally with the view of contributing to the achievement of the Swedish generational goal, environmental objectives as well as the Sustainable Development Goals under the global 2030 Agenda. This is done focusing on the development of effective environmental authorities for mutual strategic benefit, such as implementing commitments under international environmental conventions.

The Swedish EPA, in partnership with the United Nations Development Programme (UNDP), the United Nations Environment programme (UNEP) through the Sustainable United Nations (SUN), the World Bank and the Environment for Development Centres, has been implementing a Global Programme on *Strengthening Environmental Governance for Sustainable Natural Resource Management*. The programme aims at increasing institutional capacity in developing and transition countries, and the UN System, to sustainably manage natural resources and ecosystem services. The programme has been operational for four years, between September 2014 and June 2018, with a total funding support of SEK 63.3 million from the Swedish International Development Cooperation Agency, Sida. By decision in February 2019, the programme was extended to June 2019. In February 2018, the programme received an extension from Sida until June 2019. The total funding support for the five year is SEK 82.2 million.

The programme, built on the experiences from the Swedish EPA's previous Global Programme 2006-2012; and the experience, infrastructure and global network of the partner organisations, consists of four different sub-programmes. Table 1 below outlines the summary of individual sub-programmes.

**Table 1. Summary of the individual sub-programmes.**

Sub-Programme	Formal Collaborative Partners	Timeframe	Budget (SEK)	Scope
1. Environmental Governance for Sustainable Natural Resource Management (EGP)	UNDP	Sept 2014 - Aug 2015 ( <i>Phase 1 - Inception</i> ) Sep 2015 – Jun 2019 ( <i>Phase 2</i> )	58 270 121	Global & 4 programme countries (Colombia, Kenya, Mongolia and Mozambique)
2. Partnership for an environmentally sustainable One UN	UN Environment Sustainable UN	Sept 2014 – Jun 2019	11 455 763	Global with pilot organisations (The Democratic Republic of Congo, Kenya, Thailand and the USA)
3. Ecosystem services assessment for development (ESAforD)	Wealth Accounting for Ecosystem Services (WAVES), the World Bank and the Environment for Development (EfD)	Sept 2014 – Jun 2019	9 570 070	Global with pilot countries (Costa Rica, Kenya, Ethiopia, Tanzania, South Africa, China, and Sweden)

4. Capacity development of staff at Swedish EPA	--	Sept 2014 – Jun 2019	1 079 234	Sweden
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The main target groups for the global programme are environmental public administration agencies, ministries or other institutions and organisations relevant for the environment including non-governmental organisations and civil society. The programme also targets organisations and officials within the UN System, including the Environmental Management Group (EMG) which purpose is to enhance the United Nations system-wide inter-agency coordination related to specific issues in the field of environment and human settlements, the Sustainable UN Facility (SUN), the World Bank, the Environment for Development Centres, and possible collaboration partners in the development field.

The Swedish EPA is responsible for the overall management of the global programme. Each sub-programme has developed a detailed description of organisation, staff and management structure, outlining roles and responsibilities between Swedish EPA and formal collaborative partners, namely UNDP, SUN, Efd Centres and the World Bank. The Swedish EPA has mainly mobilised its own staff but also other experts from Swedish government institutions, academia and consultancy firms.

## 2 PURPOSE AND SCOPE OF THE EVALUATION

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This Evaluation is intended to assess the performance and achievements of the global programme and individual sub-programmes, to document project results and lessons, and to provide recommendation for future efforts. The evaluation criteria of relevance, effectiveness, efficiency, sustainability and degree of change will be used. It looks at the effects from sub-programme activities on the target groups or beneficiaries, as well as the complementarity<sup>1</sup> between sub-programmes in contributing to the global programme's overall objective:

*Increased institutional capacity in developing and transition countries, and the UN System, to practice environmental governance to sustainably manage natural resources and ecosystem services.*

The Evaluation also aims to identify and document lessons, including examples of success stories and good practices, and makes recommendations that programme partners and stakeholders might use to improve the design and implementation of a potential next global programme.

The Evaluation needs to critically examine the partnership and management arrangements through which these sub-programmes have been operating, if what was done was the right approach, and if contextual and/or circumstantial adjustments were made in a timely manner to ensure optimal programme activities and results. It also needs to assess if the design of the programme/sub-programmes' *logical model*<sup>2</sup> (see Annex 1), *theory of change*<sup>3</sup> (Annex 2) and assumptions were coherent and valid for explaining how change was or was not actually brought about, and why so. It is important that the Evaluation is built on a thorough understanding of each sub-programme, including: demand, scope, beneficiaries, results and resources framework, and pathways of change and transformation.

The Evaluation is guided by the principles of gender equality, the human rights based approach and human development. It will also assess the extent to which the programme has considered mainstreaming a gender perspective in design, implementation and outcome, and to which extent the programme has advocated for the principle of equality and inclusive development, and has contributed to the enjoyment of human rights and cross-cutting environmental sustainability.

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<sup>1</sup> The four sub-programmes were not designed to complement each other in any specific way but this evaluation would hopefully help identify potential (missed) opportunities for such complementarity.

<sup>2</sup> Local model refers to the causal relationship between inputs, outputs, outcomes and impact.

<sup>3</sup> Theory of change refers to that factors in the bigger picture that influence change.

The Evaluation will cover the entire period of the global programme, from September 2014 to June 2018 (or earlier, when this evaluation is undertaken). This evaluation will not cover the potential extension of the programme beyond June 2018.

### 3 EVALUATION CRITERIA AND QUESTIONS

The Evaluation should be carried out against the expectations set out in the Results Framework (see Annex 1) and the assumptions of how desired change happened set out in the Theory of Change (see Annex 2) of individual sub-programmes. The Evaluation will at a minimum answer the following set of evaluation questions under the OECD DAC criteria (i.e. relevance, effectiveness, efficiency, sustainability and impact - degree of change is used instead of impact in this outcome focussed evaluation). Each sub-program should be processed and reported separately in the inquiry. Please note that the specific questions to be answered will be finalized and agreed with the selected evaluation firm.

<b>Evaluation criteria</b>	<b>Key questions</b>
Relevance	<ul style="list-style-type: none"> <li>a. To what extent is the intervention relevant to the needs and priorities as defined by stakeholders and beneficiaries, policies of partner countries and donor agencies?</li> <li>b. What is the added value of the partnership configurations in addressing the global environmental challenges and in meeting the needs of the sub-programme countries?</li> <li>c. To what extent do the sub-programmes' logical model and theory of change remain appropriate to the context or require revision for the next phase?</li> </ul>
Effectiveness	<ul style="list-style-type: none"> <li>a. To what extent has the intervention made progress towards planned outcomes and outputs? Which areas or outcomes have made the most progress and which have the least and why?</li> <li>b. How effective were the implementation strategies (including outreach &amp; dissemination efforts) in achieving expected results?</li> <li>c. To what extent did the interventions develop and build capacities of partners?</li> <li>d. How effective have the interventions been in establishing ownership?</li> <li>e. How effective have activities been implemented by partner institutions and to what extent have they contributed to the programme and sub-programme outcomes?</li> <li>f. What are the key lessons from these partnerships and the possibilities to replicate them in the next phase and elsewhere?</li> <li>g. How have the partnership configurations and the sub/programme logical model enabled/constrained the delivery of the sub/programme Theory of Change?</li> </ul>
Efficiency	<ul style="list-style-type: none"> <li>a. Have resources (funds, human resources, time, expertise, etc.) been allocated strategically to achieve results? Have resources been used efficiently and timely?</li> <li>b. Were sub/programme management capacities adequate and efficient?</li> <li>c. Has relevant international, regional and local expertise been sought?</li> <li>d. How effectively did the management team monitor performance and results?</li> <li>e. Can the costs of the intervention be justified by the results?</li> </ul>
Degree of change	<ul style="list-style-type: none"> <li>a. What are positive or negative, direct or indirect, intended or unintended, changes observed on the target groups or beneficiaries?</li> <li>b. To what extent have environmental governance capacities been strengthened at global, regional, national or community level as a result of the sub/programme?</li> <li>c. To what extent has the sub/programme created institutional changes in environmental governance (i.e. changes on the rules (formal and informal), processes, norms, beliefs and values that govern behaviour and relationships between agents, between agents and organisations, and between organisations and the public)?</li> </ul>

Sustainability	<p>a. What steps have been taken to ensure sub/programme sustainability (including, e.g. disseminating sub/programme results, lessons and experiences)? Are the sub/programme results, achievements and benefits likely to be durable?</p> <p>b. Are results anchored in national institutions and can they be maintained at the end of the sub/programme?</p> <p>c. Can the sub/programme approach or results be replicated or scaled up by national partners? What would support their replication and scaling up?</p>
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Evaluation ratings on each of these criteria are recommended to complement the qualitative analysis (see Annex 3 for evaluation rating scales as an example). The evaluation team is welcome to propose another approach.

## 4 EVALUATION APPROACH AND METHOD

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The Evaluation must provide evidence-based information that is credible, reliable and useful. The Evaluation is expected to follow a participatory and consultative approach ensuring close engagement with the strategic global partner organisations, the programme management team based in the Swedish EPA in Stockholm, sub-programme management teams, pilot countries implementing and participating partners, technical experts and other key stakeholders at global, regional and national levels.

The Swedish EPA is dedicated to minimizing the environmental effects of travelling in this evaluation. Thus, the evaluation should consider working with local evaluators, using telephone and video meetings or internet-based data collection methods, where suitable and possible. International field missions are not expected, unless agreed with the Evaluation Manager. Interviews will be held with the following personnel and organizations and individuals at a minimum (the complete list will be discussed and finalised with the Evaluation Manager):

- Programme and Sub-programme Managers
- Representatives of global partnership organisations (UNDP, UN Environment and Sustainable UN, Gothenburg University)
- UNDP country offices and local government and non-government partners (Sub programme 1)
- Lund University knowledge management and ongoing evaluation experts (Sub programme 1)
- Representatives of the piloting UN agencies (Sub-programme 2)
- Representatives from the Environment for Development Centres, the World Bank Waves, UN Stat. (Sub-programme 3)
- Staff of Swedish EPA and other Swedish public agencies/ministries including in the Network for Learning (Sub-programme 4)
- Members of Programme and Sub-programme Advisory Boards

The Evaluation will review all relevant sources of information, such as the sub/program documents, contacts list, progress/annual reports, activity reports, knowledge products, budget and financial data, tracking tools of implementing agencies, quality assurance reviews, global/national strategic and legal documents, and any other materials that may be useful for this evidence-based Evaluation. It is worth noting that EGP, sub-programme one, has an ongoing evaluation and knowledge management resource at Lund University that has established additional evidence base for this final evaluation. A list of documents that will be provided for the Evaluation kick off meeting. The full scope methods used in the evaluation are at the discretion of the evaluator(s), but a mixed method of document

review, interviews, focus group discussions, survey and observations should be considered. The evaluation team is expected to present an analytical framework for the explanation of institutional change. The Evaluation inception report and Evaluation final report should detail all the methods used.

The Evaluation will assess the extent to which the project was successfully mainstreamed with other Swedish international development cooperation strategies and cross-cutting issues, including human rights, gender equality, environmental sustainability and poverty reduction.

The Evaluation should be conducted in accordance with Sida and OECD DAC evaluation principles, UNDP evaluation policy and the United Nations Evaluation Group (UNEG) standards and ethical guidelines for evaluation in the UN system.

## 5 MANAGEMENT ARRANGEMENT

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An Evaluation reference / steering group would include representatives of at least one of the following members: Swedish EPA and formal collaborative partner organisations. The typical tasks for an Evaluation reference / steering group include:

- providing inputs to the terms of reference,
- formally accepting the terms of reference,
- monitoring the recruitment of external evaluators,
- approving the selection of evaluators,
- commenting on draft reports, and
- approving the final report.

The principal responsibility for managing this Evaluation resides with the Swedish EPA in Stockholm. The Swedish EPA will contract the evaluators and, if international travel is deemed necessary by the Evaluation Manager, support the travel arrangements of the evaluation. The Swedish EPA global programme and sub-programme management team will be responsible for liaising with the Evaluation team to provide documentation, set up stakeholder interviews and provide clarification.

Programme Manager at the Swedish EPA will act as the Evaluation Manager:

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## 6 DELIVERABLES AND TENTATIVE TIMEFRAME

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The evaluation is intended to run during May to November 2018, with regards to summer break, according to the following deliverables and tentative time plan:

<b>Deliverables</b>	<b>Tentative Deadlines/Timing</b>
Participate in the <b>kick-off meeting</b> with the Evaluation/Programme Manager in Stockholm to refine the Evaluation purpose, scope, data collection approaches and field missions; <b>Desk Review</b> of programme documents and <b>Inception Report</b> .	Tentative kick-off meeting May 2018
Conduct <b>Evaluation (data collection) Mission; Presentation of Initial Findings/debriefing</b> to in-country teams where appropriate, and to the Swedish EPA Programme and Sub-programme Managers	Tentative meetings with Sub programme 1 and 3 in June 2018
A <b>Draft Evaluation Report</b> for review and comments by the Evaluation reference/steering group. This must include the following	First draft – September

annexes; completed evaluation matrix, list of interviews conducted, data collection tools (e.g. interview guides), photographs/videos, and a list of reviewed documents.	Final draft – October
<b>Validation workshop</b> (tentative)	Tentative WS sub programme 1 – Mid October 2018
A <b>Final Evaluation Report</b> with feedback addressed, where unaddressed clear rational as to why is provided.	31 October 2018
Presentation of the Final Report at a <b>Dissemination Seminar</b> in Stockholm to Swedish EPA, Sida and other stakeholders.	Early November

The Evaluation is expected to meet with project partners and stakeholders during two planned sub-programme events in Sweden to collect further data and/or validate findings as necessary and possible: Sub-programme 1 will have an event in Stockholm in June and Sub-programme 3 in Gothenburg after the midsummer in the 3<sup>rd</sup> week of June. The evaluation effort across the four sub-programmes should be appropriated according to the budget and implementation rate of each sub-programme.

A draft report, written in English, should be submitted electronically to the Swedish EPA Evaluation Manager upon completion of the Evaluation Mission. Comments to the draft report will be given within three weeks. The Final Evaluation Report shall be no more than 40-50 pages, including a 2 - 4 page summary with recommendations at aggregated programme level and at sub-programme level. Each sub-programme should have a dedicated session or chapter in answering the evaluation questions and in drawing conclusions. Other useful findings may be included in the annexes. The Final Evaluation Report should be submitted in two copies no later than three weeks after the receipt of comments on the Draft Report from the Swedish EPA.

The lead evaluator is expected to present the evaluation findings at a dissemination seminar in Stockholm in early November.

The Evaluation Report, once finalised, will be published on Swedish EPA and partner agencies websites. It will also be distributed to all programme and sub-programme advisory groups and stakeholders through email, and knowledge-sharing platforms (including the GOXI).

## 7 REQUIRED QUALIFICATIONS

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The evaluation team will be selected based on the essential and desirable experience and qualifications outlined below. The evaluation team should be composed of at least two qualified members. Collaboration with national evaluators with contextual knowledge in programme countries are highly encouraged. The lead evaluator should have senior experience. The evaluators selected should not have participated in the programme preparation and/or implementation and should not have conflict of interest with programme-related activities. The composition of the team shall reflect the following qualifications and experiences:

- Proven knowledge and professional experience in international development, environmental governance, environmental management systems, ecosystem services, public administration, human rights, capacity development, social sciences and/or related fields;
- experience of at least 2 theory- and outcome-based evaluations related to multi stakeholder projects or programmes;
- Understanding of public sector reform issues as related to implementation of the principles of environmental sustainability, human rights, rule of law and gender equality;
- Fluency and excellent writing skills in English.



Responsibilities of the Lead Evaluator:

- Liaising with the Swedish EPA Evaluation/Programme Manager
- Leading the evaluation team in planning, conducting and reporting on the evaluation
- Deciding on division of labour within the Team and ensuring timeliness of reports
- Ensuring best practice evaluation methodologies in conducting the evaluation
- Leading the drafting and finalization of the Inception Report for the Evaluation
- Leading presentation of the draft evaluation findings and recommendations
- Conducting the de-briefing for the Swedish EPA core programme and sub-programme management teams
- Leading the drafting and finalization of the Evaluation Report

Responsibilities of the Evaluator:

- Contributing to the development of the review plan and methodology
- Conducting those elements of the evaluation determined jointly with the international consultant and Evaluation manager
- Contributing to presentation of the review findings and recommendations at the wrap-up meeting
- Contributing to the drafting and finalization of the review report

## 8 PAYMENT MODALITIES AND SPECIFICATIONS

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<b>%</b>	<b>Milestones</b>
10%	At submission and approval of inception report
50%	Following submission and approval of the 1st draft Evaluation Report
40%	Following submission and approval of the final Evaluation Report



## ANNEX 1: RESULTS AND RESOURCES FRAMEWORK OF SUB-PROGRAMMES

### Annex 1-1 Results Framework for Sub-programme 1 EGP (2017-8-29 version)

<b>Programme Impact</b>  <b>(Change in people's lives)</b>	<b>Communities affected by mining experience greater quality of living when a rights-based rule of law culture is established for governing the sector.</b>			
<b>Indicators</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
Proportion of countries represented in the EGP project and Community of Practice showing improvement in respecting, protecting and promoting Human Rights and the Rule of Law in the environmental governance of mining.		Universal periodic review per country 2016  Resource Governance Index score: <a href="http://resourcegovernanceindex.org/">http://resourcegovernanceindex.org/</a>	<a href="#">(2017 UPRs)</a>  <a href="#">RGI filterable index 2017</a>  Col:71 Mng:64 Moz:50 (oil and gas) Ken:no data	There are no longer specific questions, comments or recommendations in the UPR/outcome report regarding human rights impacts of mining. Improved composite ranking for mining sector. Improved ranking per "enabling environment," component with a focus on comparing additional data for licencing, legal framework and implementation where this data exists.
<b>Programme Outcome</b>	<b>Citizens expectation for sustainable development, voice, participation, the rule of law and accountability are met by stronger environmental governance of the mining sector.</b>			

(Institutional Performance)			
Indicators	Means of verification	Baseline	Target
Proportion of the affected population satisfied with their latest experience of environmental public service.	ROLPA survey or similar perception survey.	0 To be specified after ROLPA surveys, and similar perception surveys in Kenya) are finalized.	2016: 0 2017: 0 2018: 50 % of surveyed communities have improved confidence in the public administration in relation to a specific function or process as compared to first assessment disaggregated by sex and age.
Number of agencies that have addressed gaps between de jure and de facto performance in relation to legal and institutional frameworks.	Action plans, strategies or policies that incorporate SESA and ROLPA findings, programme reports	0	2016: 0 2017: 0 2018: 1 public agency in each of the 4 countries report to have bridged the gap between de jure and de facto performance in relation to at least one specific function and processes across the mining cycle compared to the onset of the project.

Number of examples where countries or institutional actors report using, have drawn on, tested or integrated EGP approaches and knowledge in environmental governance of the mining sector.	Surveys, study,	0	2016: 0 2017: 1 2018: 3
Number of target countries where EGP interventions are on track to have a transformational impact.	Annual project reporting	0	2016: 0 2017: 2 2018: 2
<b>Output 1: (improved capacities)</b>	<b>The national environmental and mining authorities in Colombia, Kenya, Mozambique and Mongolia have the capacity to manage natural resources in the mining sector in line with human rights and rule-of-law principles.</b>		
Indicators	Means of verification	Baseline	Target
Number of institutions in each targeted country that identify actionable measures to improve environmental governance in the mining sector in a participatory manner	ROLPA reports SESA reports Workshop reports/stakeholder consultations reports	0	2016: 0 2017: 1 2018: 1
Number of action plans, guidelines or concrete interventions in each country to address recommendations for more participatory environmental governance based on the gaps identified in the ROLPA or SESA	Reports and plans	0	2016: 0 2017: 1 2018: 1
Number of officials/staff per targeted country effectively applying new skills, knowledge, tools or network gained through programme activities	Questionnaire. Interviews Focus group discussions during workshops	0	2016: 6 2017: 8 2018: 8
Number of new or strengthened partnerships between civil society organizations, NHRIs, local and central government agencies and ministries of different types built to deliver interventions per targeted country.	Progress reports from COs	0	2016: 1 2017: 2 2018: 1

<b>Activity 1a:</b>	<b>Conduct a comprehensive set of participatory and rights-based assessments of policy and implementation gaps in environmental governance of mining.</b>		
Indicators	Means of verification	Baseline	Target
Number of agencies that have assessed their mining policies and legal and institutional frameworks in a consultative and actionable manner.	ROLPA reports SESA report	0	2016:1 2017:3 2018:0
<b>Activity 1b:</b>	<b>Deliver a series of learning activities to strengthen institutional capacities for human rights based environmental governance of the extractive sector.</b>		
Indicators	Means of verification	Baseline	Target
Number of demand driven peer to peer workshops conducted based on inception visits and assessment findings.	Workshop reports.	0	2016: 3 2017: 3 2018: 0
<b>Output 2</b>	<b>Guidance, tools and experience on strengthening capacities for integrating Rule of Law, human rights and gender equality in environmental governance of mining disseminated based on country experience, lessons learned and research.</b>		
Indicators	Means of verification	Baseline	Target
Growth in number of EGP Community of Practice (CoP) active membership	Web data analytics	0	2016: 10 2017: 20 2018: 15
Number of EGP global and/or regional south-south/triangular knowledge sharing events regarding environmental public administration of the mining sector (sex disaggregated)	Workshop reports	0	2016: 1 2017: 2 2018: 1
Number of countries/organizations or development partners making requests for more information about application of the RoLPA Toolkit, guidance notes and knowledge products in mining sector environmental governance.	Post event survey Emails Hits on UNDP website that contains tools	0	2016: 1 2017: 1 2018: 2

Number of new knowledge products disseminated by EGP.	Project reports, GOXI statistics	0	2016: 0 2017: 2 2018: 2
Number of countries that have piloted new and innovative approaches	Project reports	0	2016: 0 2017: 1 2018: 3
Number of webinar and online trainings developed and disseminated	Reports, links to webinars and trainings	0	2016: 0 2017: 5 2018: 3
Number of advocacy events in addition to national learning workshops and EGP Annual Event on the right to a clean and healthy environment and linkages between mining, SDGs, human rights and the environment.	Project annual reports	0	2016: 1 2017: 1 2018: 1
<b>Activity2.a</b>	<b>Conduct a series of global and regional south-south and triangular knowledge sharing events on issues in human rights based environmental in the extractive sector.</b>		
<b>Indicators</b>	<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
Number of global and regional workshops	Programme reports	0	2016: 1 2017: 1 2018: 1
Number of countries that participate	Programme reports	0	2016:2 2017:3 2018:5
<b>Activity 2b:</b>	<b>Create a web based platform and conduct webinars on human rights based environmental public administration with a focus on extractives.</b>		
<b>Indicator</b>	<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
Existence of sub- group on GOXI on socio-environmental issues and conflict in mining	Web site is up and running	0	1
Number of global webinars developed and launched.	Webinar documentation	0	2016: 0 2017: 5 2018: 3

Number of non-EGP country public institutions, CSOs and individuals that participate in webinars.	Webinar documentation	0	2016: 0 2017: 5 2018: 5
<b>Activity2c:</b>	<b>Develop and disseminate knowledge products presenting research on human rights based environmental policy and environmental public administration in extractive sectors globally, including a toolkit to assess respect for human rights principles in environmental public administration of the mining sector.</b>		
Indicators	Means of verification	Baseline	Target
Number of high quality and relevant knowledge products developed and disseminated	Annual report	0	2016:0 2017:2 2018:2
<b>Output 3:</b>	<b>The foundation for a long-term, sustainable partnership over an initial period of from 8-10 years on environmental governance between Swedish EPA, UNDP and other relevant organizations is in place.</b>		
Indicator	Means of verification	Baseline	Target
Collaborative programme implementation between UNDP and the Swedish EPA is extended beyond 2018.	New contribution agreement. Continued secondment of SEPA staff to UNDP beyond July 2018	0 1	1 1
Number of additional partners directly supporting extension of programme work	Agreements with donors and partners, documentation of advocacy or use of the support packages, documentation of planned engagement.	0	2016: 0 2017: 1 2018: 2
Number and name of organizations/institutions that have participated in the collaboration.	Documentation collaboration, e.g. participant lists, agreements etc.		2016: 2 2017: 4 2018: 8

**Annex 1-2 Results Framework for Sub-programme 2 UN Environment/ SUN (New version)**

<b>Development goals:</b>		<b>Organisations and people, especially vulnerable groups, benefit from a healthy environment and a sustainable use of natural resources. Collaboration partners at national and local levels in selected countries have reduced their negative environmental impact.</b>		
<b>Impact:</b>		<b>UN agencies have reduced their negative environmental impact and enhanced their positive environmental impact.</b>		
<b>Indicator</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
1.	The proportion of environmental objectives <sup>4</sup> – for both negative and positive impact – that targeted <sup>5</sup> UN agencies have reached.	Reporting on targeted UN agencies' achievement of objectives, to the central UN coordination body (SUN) and the agencies top management.	In June 2015 no environmental objectives do yet exist as a result of this project.	70%
2.	The number of other <sup>6</sup> UN agencies than the targeted ones that have established new environmental objectives – for both negative and positive impact, after June 2015.	Reporting on UN agencies' achievement of objectives, to the central UN coordination body (SUN) and the agencies top management.	In June 2015 no environmental objectives do yet exist as a result of this project.	6 of the UN agencies in the EMS Working Group (the EMS pilots not included)

<b>Outcome 1:</b>		<b>Targeted UN agencies apply EMS in the fulfilment of their mandates.</b>		
<b>Indicator</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
3.	Number of targeted UN agencies that have introduced an EMS for facilities and operations.	Information from internal or external auditors, where they consider that the EMS is implemented.	In June 2015 the targeted UN agencies have not introduced an EMS.	All the targeted UN agencies

<sup>4</sup> The environmental objectives can be designed in various ways, such as measurable reduction of emissions, the establishment of procedures, awareness raising activities etc.

<sup>5</sup> “Targeted UN agencies” refer to the EMS pilot agencies. The steering group has in April 2015 decided that there will be four pilot agencies in the project, see list at the end of this appendix.

<sup>6</sup> For the purpose of this indicator ‘other agencies’ refers to the UN agencies that are part of the SUN working group on EMS in April 2015, see the list of agencies at the end of this appendix.



4.	Number of targeted UN agencies that have considered gender in their environmental assessment, before setting the environmental objectives.	Information from respective agency received by the central coordinator (SUN) on request.	In June 2015 the targeted UN agencies have not yet established environmental objectives.	All the targeted UN agencies
5.	Number of targeted UN agencies that as part of their EMS have established measurable environmental objectives within at least the following areas: GHG emissions, waste and fresh water use and awareness-raising or training of staff.	Information from respective agency received by the central coordinator (SUN) on request.	In June 2015 the targeted UN agencies have not yet established environmental objectives.	All the targeted UN agencies

Outcome 2:		Functional coordination, guidance and follow-up of EMS in the UN system exist in line with the principles for One UN.		
Indicator		Means of verification	Baseline	Target
6.	Number of UN agencies that use the online platform for EMS guidance developed as part of the project.	Specific measurement made by SUN to gain information about active users/visitors on the platform.	An online platform, "UNITE" do already exist and will be developed as part of this project. The first quarter 2015, there were 5 organisations using the platform.	All participating organisations in the EMS Working Group
7.	Number of UN agencies that regularly monitor and report the environment parameters decided by HLCM: GHG emissions, waste, fresh water use and awareness-raising or training of staff.	Regular reporting from respective agency to the central coordinator (SUN).	In January 2015 GHG emissions are reported by 56 agencies yearly and 7 regularly for a total of 64. In June 2015 no UN agencies report waste, fresh water use or awareness-raising.	64 reporting agencies for GHG emissions and 30 reporting agencies for the other described indicators

<b>Intermediate outcome 1.1: Targeted UN agencies have capacity and mandate to implement EMS.</b>				
<b>Indicator</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
8.	Number of targeted UN agencies that have formally approved – in their management group/top level of the management – to implement EMS.	Documented information from respective agency received by the central coordinator (SUN) on request.	We have received documented information on formal improvement from one of the four pilots; MONUSCO	All the targeted UN agencies
9.	Number of designated management representatives (“MR”) for EMS and EMS coordinators in the targeted UN agencies.	Information from respective agency received by the central coordinator (SUN) on request. The information should contain data on gender disaggregation.	The Secretariat: One MR (Stephen Cutts) and one EMS coordinator (Brennan van Dyke) MONUSCO: One MR (?) and one EMS coordinator (Tom Sengalama) ESCAP: ? WFP: ?	At least one champion at high management level (in senior management group in the agency) At least one EMS coordinator designated officially (part of staff performance appraisal)
10.	Number of targeted UN agencies that have allocated resources for implementing and maintaining an EMS.	Information on resources (mainly personnel) from respective agency received by the central coordinator (SUN) on request. The information should contain data on gender disaggregation.	In June 2015 possible already allocated resources has not yet been investigated. It will be looked into autumn 2015 and reported in the annual report to Sida spring 2016.	All the targeted UN agencies

11.	Gender balance in EMS teams both at managerial and technical level. <sup>7</sup>	Information from respective agency received by the central coordinator (SUN) on request.	In June 2015 complete EMS teams are not yet established in the targeted UN agencies.	All the targeted UN agencies have a gender balance in their teams.
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<b>Output 1.1.1: Effective collaboration mechanisms established between Swedish EPA, SUN and the UN system</b>				
<b>Indicator</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
12.	A documented consensus on common approaches (defined as transparency in sharing of information, sharing of tasks, understanding of roles etc.) concerning collaboration among the collaborating partners.	Written project plan between Swedish EPA and SUN	When the funding from Sida was approved in Sep 2014, no detailed project plan existed.	A written project plan between Swedish EPA and SUN was established in January 2015. It will be followed up and (if needed) revised at least once a year.
13.	Perception of effectiveness of collaboration among the involved parties.	Meeting minutes. Will be rated and discussed by the participants (Isabella, Kristina and Emma) quarterly at steering group meetings.	Meeting in June: rating 4 Meeting in December: rating X	High effectiveness (rated at least 3 on a 5-graded scale)
<b>Output 1.1.2: Relevant actors have received recommendations from stock taking exercise of the stage of development and implementation of EMS across the UN system</b>				
<b>Indicator</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
14.	Number of dissemination seminars in relevant forums about the result of the stocktaking exercise.	Meeting minutes with participant lists, gender disaggregated.	In June 2015 the stocktaking exercise is not yet finished.	The results are provided to the following four forums: CEB/HLCM, the

<sup>7</sup> We have given preference to pilots that can show gender balance potential in the EMS team

				Development group (UNDG), EMG and IMG
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<b>Output 1.1.3: A knowledge base in the form of methodologies and guidelines exists and has been made available</b>				
<b>Indicator</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
6.	Number of UN agencies that use the online platform for EMS guidance developed as part of the project.	Specific measurement made by SUN to gain information about active users/visitors on the platform.	An online platform, “UNITE” do already exist and will be developed as part of this project. The first quarter 2015, there were 5 organisations using the platform.	All participating organisations in the EMS Working Group
<b>Output 1.1.4: Targeted UN agencies have increased their knowledge of the environmental impact from own operations and programmes.</b>				
<b>Indicator</b>		<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
15.	Gender considerations are part of the environmental management system training plans resulting from the project, for the targeted UN agencies.	Each training plan and material used during trainings.	In June 2015 no training as yet been performed as result of this project.	All major trainings include gender considerations.
16.	Number of targeted UN agencies that report that they apply the knowledge they have received <sup>8</sup> as a result of this project in their work.	A questionnaire to all the environmental focal points and other key personnel in the EMS, compiled by SUN.	In June 2015 no training has yet been performed as result of this project.	All the targeted UN agencies report that they apply the knowledge received from the training.
17.	Number of key personnel per targeted UN agency who have received appropriate EMS training provided by this project, gender disaggregated.	Participant lists from trainings, gender disaggregated.	In June 2015 no training has yet been performed as result of this project.	All the targeted UN agencies

<sup>8</sup> It could be from EMS trainings, capacity development activities, technical support, “EMS helpdesk support” etc.

## Annex 1-3 Results Framework for Sub-programme 3 ESAforD (2017 08 31 version)

Development goals:	Natural capital maintained economic growth sustained and benefiting the poor.			
Indicator		Means of verification	Baseline	Target
Enhancement of MDG 7: Environmental sustainability, particularly 7a:” integrate the principles of sustainable development into country policies and programs and reverse the loss of environmental services.  - CO2 emissions (metric tons per capita)  - Protected terrestrial areas (% of total surface area)  - Average and annual deforestation (%)		Global community. UN agencies, World bank/IMF, Economic agencies.	CO2 emissions 2.7 2004, 3.1 2008 Protected area: 12.0% 2006, 12.1 % 2010 Deforestation 0.3 % 1990-2000, 0.2 % 2000-2010	This indicator will not be measured as a part of this subprogramme.
Impact 1:	Natural capital analysis is incorporated in policy analysis and development planning.			
Indicator		Means of verification	Baseline	Target
Number of WAVES core partner developing countries with policy notes and analytical work based on NCA.		Strategies and planning documents in selected countries. WAVES secretariat.	0	At least 5 countries
Impact 2:	Policy reforms e.g. budget for protecting ecosystems, resource taxes, investments in conservation and other assets are implemented.			
Indicator		Means of verification	Baseline	Target
No. of WAVES core partner developing countries in which NCA is cited or NCA indicators or data are used in country policies, development plans, progress		Global review of policy uses and Application. WAVES Secretariat responsible for data collection.	0	At least five countries

reports, and the broader policy analysis literature (may include World bank ESW, AAA and project formulation documents)				
<b>Outcome:</b>	<b>Guidelines for ecosystem accounting for global implementation developed</b>			
<b>Indicator</b>	<b>Means of verification</b>		<b>Baseline</b>	<b>Target</b>
International guidelines are developed on physical and monetary accounts for ecosystems in the SEEA (2012), Volume 2.	Reports of UNCEEA the London group and WAVES.		Current state of guidelines.	WAVES provides input to the revision of SEEA-EEA when guidelines are revised. Date for revision not set.
<b>Intermediate outcome 1:</b>	<b>Project output contributes to the development of guidelines and add to policy analysis</b>			
<b>Indicator</b>	<b>Means of verification</b>		<b>Baseline</b>	<b>Target</b>
Findings are referred to and used in the development of guidelines for global implementation or regional or national policy analysis.	WAVES annual report, London group meeting, pilot studies, guidance notes and policy examples.		0	At least four
<b>Output 1:</b>	<b>Advancement in methodology for ecosystem accounting for decision making.</b>			
<b>Indicator</b>	<b>Means of verification</b>		<b>Baseline</b>	<b>Target</b>
Number of countries carrying out field studies	Swedish EPA reports and EfD annual report.		0	At least four countries
Findings and results are referred to and presented in conferences and seminars or discussed in relevant fora in ecosystem service valuation.	Referees in reports, articles presentations and conference agendas. Source: Google and conference agendas.		0	At least four
The gender dimension is highlighted in the findings	Gender perspective documented in final article or report. Source: The final report.		0	Highlighted
<b>Output 2:</b>	<b>Increased knowledge generated about identified gaps in knowledge in ecosystem accounting recognized by the accounting community.</b>			
<b>Indicator</b>	<b>Means of verification</b>		<b>Baseline</b>	<b>Target</b>
The program presents findings at WAVES PTECs meetings, the London Group	Agenda from meeting and slides from meetings. Possible sources: WAVES homepage		0	Four meetings

meeting, UNCEEA and other relevant dissemination points.	<a href="http://www.wavespartnership.org/">http://www.wavespartnership.org/</a> London Group <a href="https://unstats.un.org/unsd/envaccounting/londongroup/">https://unstats.un.org/unsd/envaccounting/londongroup/</a>		
The work and findings of the project is an integral part of WAVES and UNCEEAs work.	WAVES, UNCEEA and the London Group reports on the program findings in report or homepage. Source: WAVES homepage <a href="http://www.wavespartnership.org/">http://www.wavespartnership.org/</a>	0	Four

Follow up of the indicators will be made annually or as appropriate.



**Annex 1-4 Results Framework for Subprogramme 4 Capacity Development of Staff at Swedish EPA (2014-1-27 version as in ProDoc)**

Follow up of the indicators will be made annually or as appropriate.

TBD = To Be Decided

<b>Development goal:</b>	<b>The poor and vulnerable groups in partner countries benefit from a more sustainable, equitable, transparent, and non-discriminatory management of natural resources.</b> <b>The state of the environment enables good health and sustainable livelihoods for present and future generations.</b>		
<b>Impact:</b>	<b>A better understanding and implementation of a development perspective, an environmental governance perspective and human rights based approach in international development collaboration, negotiations and implementation of selected Multilateral Environmental Agreements as well as other relevant measures for a sustainable use of natural resources.</b>		
<b>Indicator</b>	<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
Examples on how the gained knowledge has contributed to a better understanding in different international fora such as selected Multilateral Environmental Agreements and in bilateral collaboration etc.	Minutes from meetings in different international fora, bilateral collaboration etc and other relevant documentation	0	TBD
<b>Outcome 1:</b>	<b>The staff of the Swedish EPA has used the tools, knowledge and skills they have acquired from the programme in relevant fora such as international development collaboration and selected Multilateral Environmental Agreements.</b>		
<b>Indicator</b>	<b>Means of verification</b>	<b>Baseline</b>	<b>Target</b>
Follow up with staff off the Swedish EPA and other relevant organisations.	Enquiry	0	TBD
<b>Output 1.</b>	<b>The professional competence and skills of the staff at the Swedish EPA on capacity development, the development perspective and human rights based approaches is strengthened.</b>		

Indicator		Means of verification	Baseline	Target
Plan for capacity development is developed		The plan incl. an analyse of the needs	Will be measured in the beginning of the programme.	The plan
A number of completed trainings		Programmes, minutes from training and developed knowledge material.	0	An adequate number of trainings
<b>Output 2:</b>	<b>Sw. EPA staff is better equipped to contribute to the outcomes of the global programme and to other international cooperation.</b>			
Indicator		Means of verification	Baseline	Target
Number of employees at the Swedish EPA taking part in different trainings.		Participant lists from trainings.	0	75% of staff working in international cooperation.
Level of satisfaction of the support among participants		Evaluation after each training		More than 75% are satisfied with the training
Exchange of experiences among staff.		A mechanism for continuous improvements through continuous learning and exchange of experiences has been developed.	0	A network among staff is established.

## ANNEX 2 THEORY OF CHANGE OF INDIVIDUAL SUB-PROGRAMMES

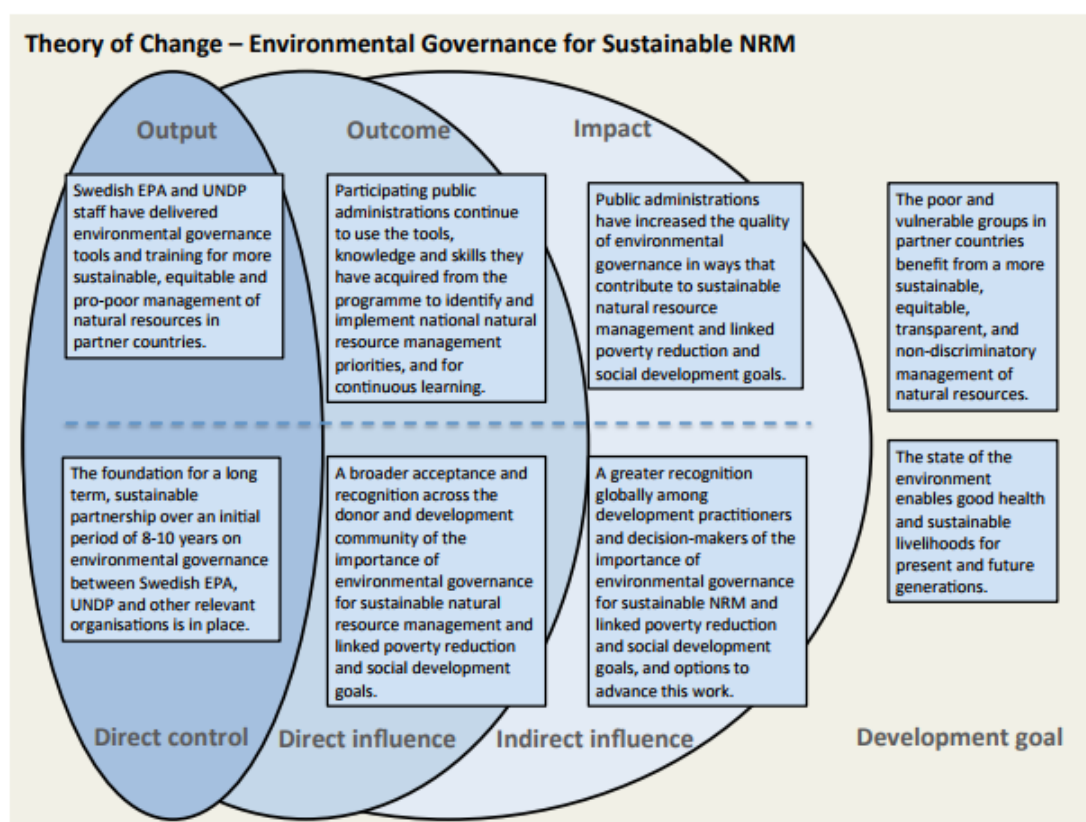


Figure 1: Theory of change, subprogramme 1, “Environmental governance for sustainable natural resource management”.

NOTE: Updated Theory of Change for subprogramme 1 will be provided for the inception report.

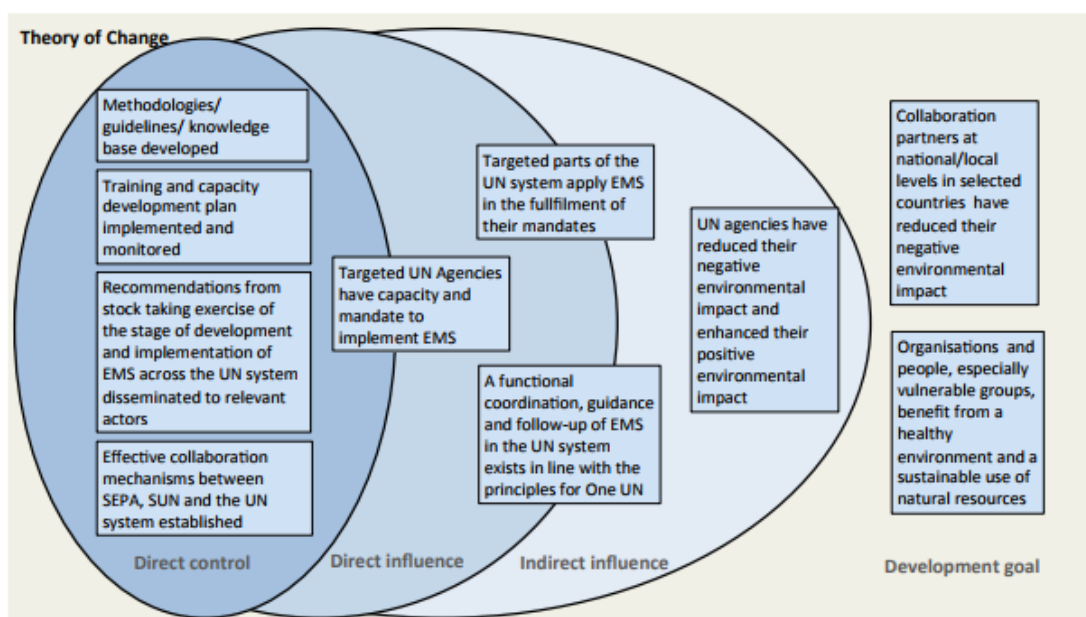


Figure 2: Theory of change, subprogramme 2, “Partnership for a sustainable One UN”.

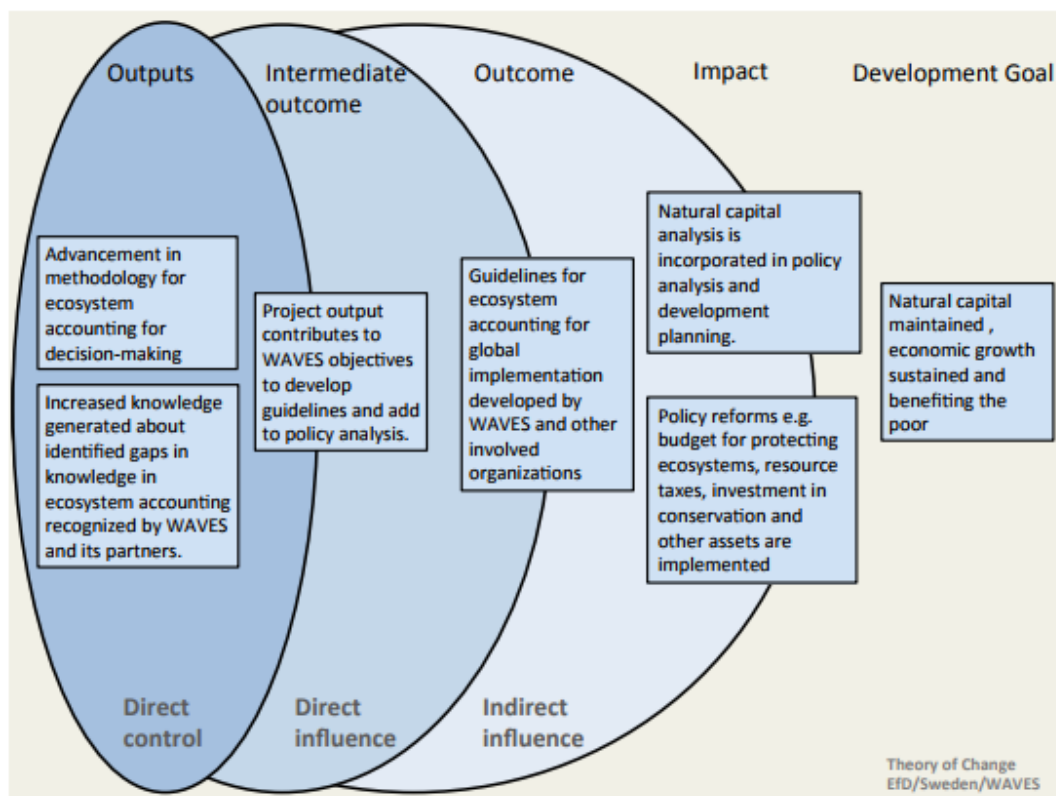


Figure 3: Theory of change subprogramme 3, 'Ecosystem services accounting for development'.

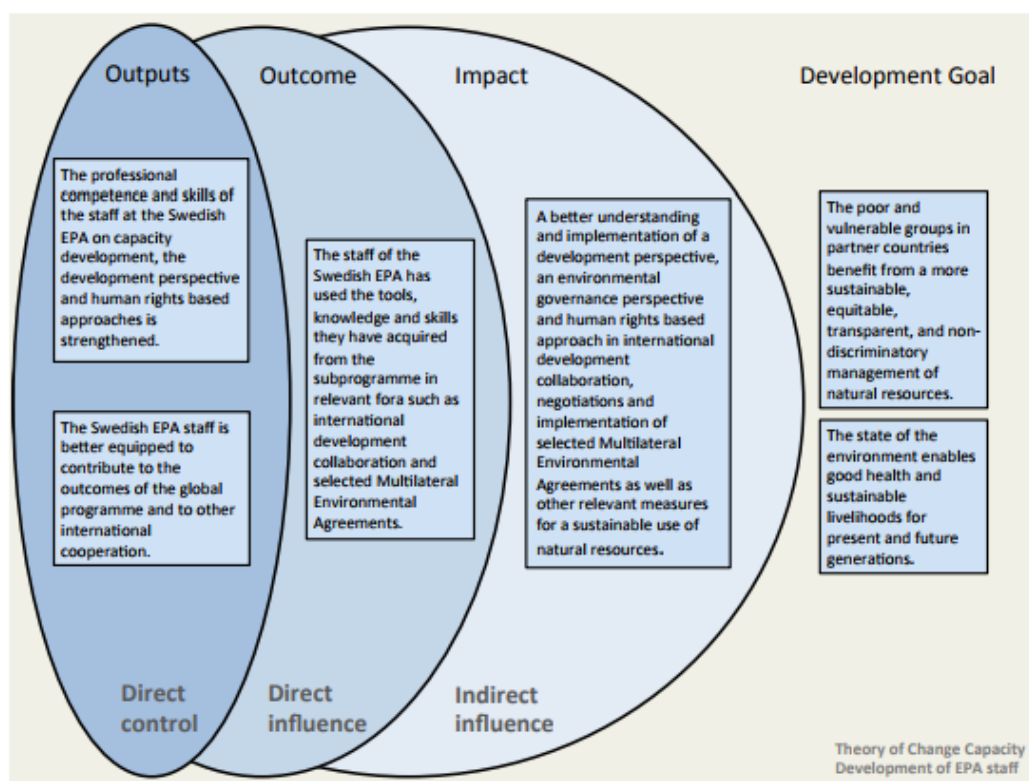


Figure 4: Theory of change for subprogramme 4, 'Capacity development of EPA staff'.



## ANNEX 3 EXAMPLE OF RATING SCALES FOR INDIVIDUAL VALUATION CRITERIA

Evaluators will have to decide whether to assign an equal value or a weighted value to each sub-criterion, because the contribution of each sub-criterion to the criterion rating may not be equal. This judgment should be supported in the inception report.

### Overall Assessment Methodology

Criterion	Weight (%)	Definition	Rating Description	Rating Value
1. Relevance	20	Relevance is the consistency of a project's impact and outcome with the government's development strategy, the Asian Development Bank's lending strategy for the country, and the Asian Development Bank's strategic objectives at the time of approval and evaluation and the adequacy of the design.	Highly relevant Relevant Partly relevant Irrelevant	3 2 1 0
2. Effectiveness	30	Effectiveness describes the extent to which the outcome, as specified in the design and monitoring framework, either as agreed at approval or as subsequently modified, has been achieved.	Highly effective Effective Less effective Ineffective	3 2 1 0
3. Efficiency	30	Efficiency describes, ex post, how economically resources have been converted to results, using the economic internal rate of return, or cost-effectiveness, of the investment or other indicators as a measure and the resilience to risk of the net benefit flows over time.	Highly efficient Efficient Less efficient Inefficient	3 2 1 0
4. Sustainability	20	Sustainability considers the likelihood that human, institutional, financial, and other resources are sufficient to maintain the outcome over its economic life.	Most likely Likely Less likely Unlikely	3 2 1 0
<b>Overall Assessment</b> (weighted average of above criteria)	Highly Successful: Overall weighted average is greater than 2.7. Successful: Overall weighted average is between 1.6 <u>and less than</u> 2.7. Partly Successful: Overall weighted average is between 0.8 <u>and less than</u> 1.6. Unsuccessful: Overall weighted average is less than 0.8.			