Annexes

Annex A. Tools for Mainstreaming Environmental Sustainability

The 8 tools in this Annex are introduced in section 4 of the Guidance Note on Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF. Environmental sustainability is a concern for all actors and stakeholders during support for country analysis, and UNDAF preparation and implementation. Each of the tools offered in this Annex can be used by UN staff and country partners. The steps, and related tools, for UN country programming are:

Plan of Engagement (section 4.1)

A.1 Tool: Screening checklist for environment in country analysis
A.2 Tool: Stakeholder consultations

Support Country Analysis (section 4.2)

A.3 Tool: Assessment options
A.4 Tool: Considerations for mainstreaming environment in a Poverty Reduction Strategy (PRS) process

Select Strategic Priorities for the UNDAF (section 4.3)

No tools for this step. Please see important actions in the guidance note.

UNDAF Preparation (section 4.4)

A.5 Tool: Criteria and questions to appraise UNDAF results

Agency Programme and Project Preparation (section 4.5)

A.6 Tool: Environmental screening checklist for agency projects
A.7 Tool: Planning an Environmental Impact Assessment – key steps and issues

UNDAF Monitoring and Evaluation (section 4.6)

A.8 Tool: Environmental sustainability considerations for the UNDAF evaluation

The use of **Tools A.1 and A.5** are important to show that the UNCT has initiated a process of mainstreaming environmental sustainability in country programming. For more information see Section 1.4 and Annex E in the guidance note about performance expectations and accountability mechanisms.

A.1 Tool: Screening checklist for environment in country analysis[1]

→ Entry Point: Positioning of environmental issues in the review of country analytic work

This tool offers a series of questions to catalyse discussion with country partners to generate a rapid understanding of environmental issues critical to the country, including:

- How they relate to national development priorities,
- How well the country has been able to set and monitor context specific targets for environmental sustainability, and
- How well environmental issues have been addressed in or mainstreamed into the National Development Plan (NDP) or Poverty Reduction Strategy (PRS).

The questions in the tool should be discussed by UNCT staff with environmental expertise, together with key government and donor stakeholders to screen existing country analytic work and strategies. This screening should be limited in scope, depth and time, and should help to identify specific entry points for UN-supported country analysis. A wide range of sources of information are available to help UNCT scan for environment-development linkages and for their level of integration at country level:

Recommended sources to screen for Environment-Development Linkages

To generate a rapid understanding of environmental issues critical to the partner country:

- MDG Reports and National Human Development Reports
- World Bank Country Environmental Analyses
- Environmental analysis and assessments from regional development banks
- EC Country Environmental Profiles
- UNEP State of the Environment Reports

To generate a rapid understanding of national environmental obligations and priorities:

- National Strategies for Sustainable Development (NSSD)
- National Environmental Action Plans (NEAP)
- National Strategies and Action Plans for the implementation of major MEAs
- National environmental legislation

To generate a rapid understanding of international environmental obligations

- National reports to the Governing bodies of major MEAs, particularly Biological Diversity, Climate Change, Desertification, and Hazardous Chemicals

To understand how environmental issues relate to/are integrated into national development priorities

- National Development Plan or Poverty Reduction Strategy (PRS)
- Sectoral Development Plans
- UN Common Country Assessment (CCA)

[1] Adapted from: (1) Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009., and (2) OECD-DAC, Guidelines and Reference Series Applying Strategic Environmental Assessment – Good practice guidance for development co-operation, OECD, 2006. 98-100.

Key questions to catalyse discussion with country partners

Overall economic development and sectors

- How much do the country's main natural resource sectors contribute to economic development?
- How do the natural resources contribute to key sectors (agriculture, forestry, water and sanitation, mining and industry, health, trade, energy and infrastructure and tourism)?

MDGs and livelihoods and health

- What is the size of the population depending on natural resources for their livelihoods? How dependent are poor households on natural resources?
- What are the health and productivity impacts of air, soil and water pollution?
- How are different socio-economic groups (e.g. women, men, children, the elderly, ethnic groups and income groups) being affected by these various issues?
- What are the linkages between these issues and the achievement of the Millennium Development Goals (MDGs)? How do they relate to human rights, gender, and conflict prevention?

Environmental risks and climate change

- How **vulnerable** is economic development to environmental hazards such as flooding, drought and climate change?
- What are the **effects and costs of environmental hazards** on health, livelihoods and vulnerability?

Policy, legal and institutional contexts

- How are environmental concerns addressed in country strategies, such as the PRS, and sector strategies, and how are they reflected in the national budget?
- What is the national institutional capacity to integrate environment into planning processes?
- What is the country's actual implementation of the NSSD and the NEAP? What are the main elements of the country's environmental legislation? Does the country have legal provisions or voluntary procedures for EIAs and SEAs?
- What is the country's actual implementation of the main Multilateral Environmental Agreements (MEAs) and are the MEA commitments reflected in the NEAP?

Stakeholder engagement and donor coordination

- What are the challenges and opportunities for civil society and the private sector in relation to environment and natural resource management?
- What donor harmonisation mechanisms are in place to ensure environment is part of donor co-ordination?
- What are other development agencies and banks doing to promote environmental sustainability? What are their respective comparative advantages and the UNCT's?
- If budget support is considered, is there a need for complementary analysis or initiatives to promote environmental sustainability?

Information

- How do decision makers get accurate, timely and accessible information about the condition of and outlook for the environment?
- What national environmental reports, profiles, and assessments exist?
- What institutional arrangements are in place to foster collaboration among data and information providers in order to integrate environmental information with socio-economic information?

A.2 Tool: Stakeholder consultations[1]

→ Entry Point: Engagement of environmental stakeholders in mapping exercise

A scanning and mapping of the institutional and policy context requires targeted discussions with a wide range of stakeholders. The key stakeholders normally include:

- The executive office (office of the President, Vice-President or Prime Minister)
- Legislative bodies and officials
- The Ministries of the Environment, Finance, and Planning, and other economic ministries (Agriculture, Fisheries, Forestry, Industry, Trade)
- Parliamentary Committees
- Civil Society Organizations
- Other bilateral development cooperation agencies
- Country offices of the World Bank and Regional Development Banks

These guiding questions can be used during consultations with stakeholders to assess the institutional and policy context and gauge the extent to which environmental considerations are used to influence national development priorities and plans.

Actors & Institutions

- Who are the key **government, donor and civil society actors** that shape development priorities and influence environmental policy and natural resources management?
- How effective are existing working **mechanisms** (e.g., working groups, consultations, development assistance coordination mechanisms)?
- Does the **environment ministry** have a mandate and capacity to contribute to the policies with environmental implications initiated by other economic ministries (Eg. Agriculture, Fisheries, Forests, Industry, Trade)
- Who are the potential **in-country development partners**? How could they contribute to mainstreaming environmental sustainability?
- For the key actors, what are their capacity assets and main **capacity development needs**?

Processes

- What are the **country-led mechanisms** for environmental review and policy-making, who leads them, and what is their level of influence over national development planning?
- How can these mechanisms be used more fully, or supported more effectively, to influence national development planning processes for mainstreaming environmental sustainability?
- What are the **timetable and working arrangements** for drafting or revising national or sectoral development plans? (Eg. When and how are objectives and priorities set or revised, policy measures developed, costing and budgeting accomplished, and the monitoring framework developed?)
- How are the national planning processes **linked** to sector and sub-national planning processes?

Governance issues

- What are the mechanisms through which other government institutions participate? What about non-governmental actors? Is there a need to help mobilise other actors?
- What is the governance and political situation in the country, and how might it affect the mainstreaming effort? (For example: Are policy and decision-making processes effective and transparent? Are there tensions or conflicts over natural resources? How well are poor and marginalized groups involved?)

[1] From: Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009. p34.

A.3 Tool: Assessment options[1]

→ Entry Point: Support for targeted environmental studies, including economic and capacity assessments

The environmental screening, mapping exercises, and stakeholder consultations conducted for the Plan of Engagement (see section 4.1) may have highlighted the need for more detailed environmental assessment. There are a range of possible assessments that can be tailored to the capacities and needs of the UNCT and country partners. This tool describes some typical environmental assessments[2], and offers hyper-links to technical guidance. Assessments that add value to country analysis should provide answers to some or all of the following questions:

- What are the environmental contributions for the achievement of the NDP/PRS and what negative impacts are anticipated?
- What groups will be affected and what are their environmental concerns?
- How can adverse impacts be mitigated?
- Can the legal, institutional and policy framework effectively respond to these environmental impacts?
- How can the NDP/PRS be formulated to address weaknesses in the policy, legal and institutional framework for environmental sustainability (including ratified MEAs)?
- How can sustainable management of natural resources be built into sector programmes (e.g. agriculture, water, mining, transportation, health, education, rural development, energy)?
- How might action help to achieve national development priorities/MDGs?

Assessment of the environmental situation underpins informed decision-making and attention will need to be paid to institutional capacity development in the following areas:

- Management of coherent assessment processes (different types of assessments for different needs)
- Monitoring and observation (data collection procedures and mechanisms)
- Data and information sharing (websites, portals, information systems, etc)
- Networking (between national, international, government and civil society bodies).

Environmental Assessments

Integrated Environmental Assessment

An IEA is an interdisciplinary process. It links knowledge with action in public policy, and is aimed at identification, analysis and appraisal of all relevant natural and human processes and their interactions which determine both the current and future state of environmental quality, and resources, on appropriate spatial and temporal scales. It is intended to facilitate the framing and implementation of policies and strategies. Examples are: The Global Environment Outlook (GEO), The International Assessment of Agricultural Knowledge, Science and Technology for Development (IAASTD), and the reports of the Intergovernmental Panel on Climate Change (IPCC).

→ Link: Training Manual on IEA and Reporting (UNEP-IISD, 2007)

→ Link: GEO Data Portal

[1] Adapted from: OECD-DAC, Guidelines and Reference Series Applying Strategic Environmental Assessment – Good practice guidance for development co-operation, OECD, 2006. 98-100.

[2] UNEP, Overview of the environmental assessment landscape at the global and regional levels Note by the Executive Director. UNEP (GC.25/INF/12), 2009.

Integrated Ecosystem Assessment

Integrated Ecosystem Assessment is a formal synthesis and quantitative analysis of existing information on relevant natural and socio-economic factors in relation to specified ecosystem management objectives. They use quantitative analyses and ecosystem modelling to integrate a range of social, economic and natural science data and information to assess the condition of the ecosystem. They also identify potential management options and these are evaluated against management goals.

→ **Link: Millennium Ecosystem Assessment**

→ **Link: Ecosystem Services: A Guide for Decision Makers (WRI)**

Strategic Environmental Assessment (SEA)

The Strategic Environmental Assessment (SEA) addresses the programme/policy level. It is a systematic process for evaluating the environmental consequences of a proposed policy, plan or programme in order to ensure it is fully included and appropriately addressed at the earliest stage of decision making on a par with economic and social considerations. SEA provides a range of analytical and participatory approaches that aim to integrate environmental considerations into policies, plans and programmes and evaluate the inter linkages with economic and social considerations. The approach is applied at the earliest stages of decision making to help identify trade-offs, formulate policies, plans and programmes and to assess their potential development effectiveness and sustainability. The number of countries having procedures for SEAs is growing.

→ **Link: Applying Strategic Environmental Assessment** – Good practice guidance for development cooperation, (OECD, 2006) and associated **Advisory Notes** (OECD 2008).

→ **Link: SEA Network**

Environmental Impact Assessment

Environmental Impact Assessment addresses "do no harm" concerns at the project level. It covers the analysis and judgement of the effects upon the environment, both temporary and permanent, of a significant development or project. It must also consider the social consequences and alternative actions. For UN supported country programming, if the environmental screening (see Annex B.7) indicates that an agency-supported project is likely to generate significant adverse impacts, an Environmental Impact Assessment (EIA) is required. In this event, **country EIA procedures will be followed.** In their absence, agency EIA procedures will be followed (see section 4.5).

→ **Link: Environmental Assessment Source Book (World Bank)**

Rapid Environmental Assessment

A rapid environmental assessment is carried out immediately after a disaster or conflict in order to assess the extent of damage to ecosystems and the environment and to identify urgent environmental risks. The aim is to ensure that the environment is fully integrated in the subsequent reconstruction and development agenda. For example, see UNEP's Rapid Environmental Assessment after the Asian tsunami disaster.

Post-Conflict and Post-Disaster Assessment

These assessments help to identify the impacts of a conflict or disaster on environmental systems and the possible indirect impacts on human health. The reports give detailed recommendations on environmental recovery, risk reduction and national capacity-building.

→ **Link:** Environmental Needs Assessment in Post-Disaster Situations, A Practical Guide for Implementation, UNEP-IASC, 2008.

→ **Link:** Note on Addressing Environmental Issues, Post Conflict Needs Assessment Tool Kit-Draft, UNDG, 2009

→ **Link:** From Conflict to Peacebuilding: The Role of Natural Resources and the Environment, UNEP, 2009.

Economic Assessments

Economic arguments are essential for engaging with national decision-takers about priorities and strategies in national development plans, and to convince them about the importance of environmental sustainability. Economic assessment and analysis is important to demonstrate the multiple values of the environment, expressed both in monetary and broader non-monetary terms. It can help persuade decision-makers that sustainable management of the environment will help them meet development goals. Special efforts should be made to analyse the economic significance of ecosystem services that do not flow through markets, such as the value of coastal vegetation in preventing floods from storms. Economic techniques can be used to estimate these so-called non-market values, thus shedding light on the 'invisible' value of ecosystem services and the costs related to their degradation.

→ **Link:** Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009. Sections 5.2 and 5.3.

→ **Link:** Making the Case: A Primer on the Economic Arguments for Mainstreaming Poverty-Environment Linkages into National Development Planning, PEI, 2008.

Capacity Assessments [3]

Depending on the needs and buy-in of country partners, the UNCT may want to help assess the institutional capacities for mainstreaming environmental sustainability. This would focus on whether and how well key ministries and other implementing partners understand the importance of environment-development linkages, and the connection between ecosystem services and the aims of major national or sectoral development plans[4]. In particular, it is important to understand country capacity to integrate environmental sustainability indicators into sectoral policies and plans and analyse and report on national environmental commitments and progress towards MDG7.

→ **Link:** Capacity Assessment Methodology – User Guide, UNDG, 2008.

[3] See also the UNDG Position Statement on Capacity Development, and a Technical Brief on Capacity Development in UNCT cooperation.

[4] For more discussion, see: Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009. Section 4.4.

A.4 Tool: Considerations for mainstreaming environment in a Poverty Reduction Strategy (PRS) process[1]

This tool recommends actions for mainstreaming environmental considerations during the typical steps of a PRS process. Normally, the UNCT's support to country analysis will be timed to coincide with, and influence, the development the Poverty Reduction Strategy. If environmental opportunities and constraints have been addressed in the PRS, they can be incorporated more easily in the UNDAF. It is important to understand the process and stakeholders involved in PRS preparation and to find points where information resulting from UNCT supported analysis about environment-development linkages can be integrated. Should the UNCT decide to make a major effort to mainstream environmental sustainability in national development planning processes, the primary reference is: Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009.

PRS process	**Recommended actions**
Discussions between the government and development partners	The government and development partners discuss the preparation or revision of a PRS and the funding of the process. Having a seat at this table is a good opportunity to introduce the importance of poverty-environment issues within the PRS. It might be also possible to have a specific donor to fund work on poverty-environment issues within the process.
Establishment of committees and outline	The lead ministry establishes a core drafting committee and other advisory committees, and prepares a basic outline for the PRS. Engagement at this point provides an important opportunity to influence both the structure of the PRS and the way in which it is drafted. In particular, it is the point at which environment is often categorized as a cross-cutting issue and/or a goal on its own right. This is also an opportunity to establish cooperation and coordination mechanisms with actors working on other cross-cutting issues of the process, e.g. gender, HIV/AIDS. It is important that members of the environmental committee also participate as members of other sectoral committees.
PRS launch workshop	This is an opportunity to publicize poverty-environment issues and achieve both buy-in from government bodies and publicity via the media in attendance. It is also a good event at which to identify and support the effective engagement of civil society organizations that may be helpful as the process develops. This would include ensuring financial and technical support for preparation and engagement. When organizing the workshop, it is important to ensure that the participants are both men and women and that gender considerations are taken into account (e.g. in some communities women and men do not sit together in public places or women do not talk in front of men).

[1] Adapted from: From: Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009.

PRS process	Recommended actions
Sectors and other government institutions prepare their contributions	It is important to work with sectors and other government institutions to determine their priorities and develop contributions to the process. At this point there is a need of continuous engagement with all relevant if not all sectors, so that previous acknowledgements of the importance of poverty-environment issues are translated into specific targets and implementation strategies as part of the sector contributions. This process can be facilitated through a specific working group addressing environment as a cross-cutting issue or similar arrangement, possibly in cooperation with other cross-cutting issues.
Public consultations at district level	It is important to keep raising public awareness of the poverty-environment linkages and to help communities to identify those linkages relevant to their livelihoods and well-being. This could be done through rapid surveys and opinion polls to provide qualitative and quantitative data and information. Partnerships with local civil society organizations can be instrumental in this.
Drafting of the PRS	This is a critical activity, and it is important to engage directly with the drafting team to ensure that poverty-environment issues are understood, correctly represented and properly integrated into the paper. This can be done for example through: • Providing a 10-page summary of key environmental issues relating to each priority area of the PRS and highlighting P-E linkages for consideration by advisory/sectoral committees; • The environment committee engaging with all other advisory/sectoral committees to ensure that they take note of the Summary and include the issues in their drafts; • Reviewing and giving comments on drafts. Direct engagement is needed in addition to official communications from the group representing environmental issues.
Public consultations and review workshops on the draft PRS	Public consultations and review workshops represent another opportunity to make the case for poverty-environment and to reinforce the buy-in from government bodies. Partnerships with civil society organizations and publicity via media can be helpful at this stage
Final revision of the draft PRS	The final revision is a critical last opportunity to engage with the drafting team to make late revisions that correctly represent poverty-environment issues, especially if they have been removed or misrepresented in previous revisions. Close liaison with international partners such as UNDP and the World Bank is important.
The PRS publication event or workshop	This is an opportunity for the promotion of future action on the basis of poverty-environment issues highlighted in the PRS. Sustained outreach on the PRSP, in local languages and using mass media channels is particularly important at this stage.
Implementation of PRS	Successful mainstreaming of poverty-environment linkages into the PRS paves the way for implementation through policy interventions and programmes, budgets and development plans at decentralized levels. The work is not over – engagement with all key actors needs to continue to make sure that the momentum gained through the PRS process is not lost.

A.5 Tool: Criteria and questions to appraise UNDAF results[1]

→ Entry Point: Review of draft UNDAF results

This tool offers some criteria and guiding questions to help guide the environmental review of draft UNDAF results. It should be used by UNDAF outcome groups, with the assistance of UN staff or external experts with expertise in environmental assessment and management. The purpose is to:

(1) Flag potential environmental opportunities or constraints and their implications for results in the UNDAF;

(2) Provoke additional dialogue with country partners, and

(3) Indicate the need for a more detailed environmental screening during agency programme and project preparation.

The results of the review and recommended actions should be reported to the UNRC and UNCT.

Criteria/ Aspects	Environmental questions
Relevance to the particular needs and constraints of the country or region	• Do the planned results adequately address the environmental causes of major development problems and the linkages between the environment and human rights, poverty, democracy, gender, conflicts and vulnerability? • Do they take into account the partner country's commitment to and actual implementation of the Multilateral Environmental Agreements (MEAs), as well as national environmental laws and policies? • Do the planned results fit with the recommendations of any previous, relevant environmental assessments?
Involvement of stakeholders	• Have the groups expected to benefit or be affected been consulted? • Do the planned results address gender differences in natural resources management? (Eg. Will planned results negatively affect household food security, water and household fuel collection?)
Strategies and planned results	• Are the strategies and planned results environmentally sound? (Ie. Will they use resources beyond their carrying capacity) • Are there alternatives that produce a better environmental impact with the same level of effectiveness? • Have the challenges and opportunities for civil society organizations and the private sector in relation to environment and natural resources management been considered?
Feasibility	• Are environmental opportunities, constraints (e.g. disaster risk) and assumptions affecting the planned results taken into account?
Objectively Verifiable Indicators	• Do the indicators adequately reflect the environmental concerns?
Impacts	• Are any expected overall environmental impacts, and are these acceptable?

[1] Adapted from: Environmental Integration Handbook for EC Development Cooperation, EC, 2007, Table 6.1 Environmental appraisal of project proposals

A.6 Tool: Environmental screening checklist for agency programmes and projects[1]

→ Entry Point: Environmental screening of agency programmes and projects

Complete the following table to determine if an Environmental Impact Assessment (EIA) is required. At a minimum, national and local laws and regulations for environmental assessment will be followed. In the absence of national legal frameworks, agency assessment procedures will be applied. Where there are none, agencies should consider an **Environmental Impact Assessment (EIA)**:

- If responded "yes" to any of the questions, an **EIA is required**. Screening is complete.
- If responded "no" to all of the questions, **no assessments are required**. Screening is complete.

Please note: This tool was developed to determine whether an EIA is needed for projects. It may be helpful, in conjunction with the OECD-DAC guidance on Strategic Environmental Assessment (SEA), to determine if an SEA is needed for some sectoral or thematic programmes (For more information about SEA and EIA, see entry point 12).

Questions	Answer (Yes/ No / Not Applicable)
Biodiversity Conservations and Sustainable Natural Resources Management	
Would the proposed project result in the conversion or degradation of modified, natural habitat or critical habitat?	
Are any development activities proposed within a legally protected area for the protection or conservation of biodiversity?	
Are any development activities proposed in areas of critical habitat?	
Would the proposed project pose a risk of introducing invasive alien species?	
Will the proposed project adversely impact people and communities, including indigenous peoples, ability to use, develop and protect natural resources and other natural capital assets?	
Will the life-supporting capacities of air, water and soil ecosystems be adversely impacted?	
Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management?	
Does the project involve the production and harvesting of fish populations or other aquatic species without an internationally accepted system of independent certification to ensure sustainability?	
Climate Change Risk Management	
Will the proposed project result in CO2 emissions greater than 100,000 tons per year (from both direct and indirect sources)?	
Is the viability or longer-term sustainability of the proposed project potentially threatened by climate change?	
Will the proposed project likely increase environmental and societal vulnerability to climate change in the long-term?	
Pollution Prevention and Abatement	
Would the proposed project result in the release of pollutants due to routine, non-routine, or accidental circumstances with the potential for adverse local, regional, and transboundary impacts?	
Would the proposed project result in the generation of solid waste that cannot be recovered, reused, or disposed of in an environmentally sound manner?	

[1] Adapted from: UNDP, Proposed Environmental Sustainability Enhancements to UNDP's Programme and Programme/ project Management Policies and Procedures (POPP), DRAFT January 2009. Draft Environmental Screening Template

Questions	Answer (Yes/ No / Not Applicable)
Will the proposed project involve the manufacture, trade, and/or use of chemicals and hazardous materials subject to international bans or phase-outs?	
Is there a potential for the release of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	
Will the proposed project involve pest management activities, including the application of pesticides?	
Would there be any risk of accidents during construction or operation of the project which could affect human health or the environment?	
Would the proposed project pose adverse impacts to ambient environmental conditions?	
Other Potential Adverse Impacts	
Would construction, operation or decommissioning of the proposed project involve actions that would cause physical changes in the locality such as topography, land use, water bodies?	
Would the proposed project utilize a previously undeveloped area where there will be loss of green field land?	
Would the proposed project adversely alter existing land uses, (e.g. homes, gardens, other private property, industry, commerce, recreation, public open space, community facilities, agriculture, forestry, tourism)?	
Would the proposed project location be subject to future land use plans which could be affected by or affect the environmental sustainability of the project?	
Would the proposed project lead to significant population density increase which could affect the environmental sustainability of the project?	
Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, and erosion, flooding or extreme climatic conditions?	
Would the proposed project pose indirect, secondary or consequential development which could lead to environmental effects or the potential for cumulative impacts with other existing or planned activities in the area?	

A.7 Tool: Planning an Environmental Impact Assessment – key steps and issues[1]

→ Entry Point: Environmental assessments

If the Environmental Screening (*see Agency screening procedures or tool in* ***Annex A.6***) indicates potential adverse environmental impacts, the scope of the Environmental Impact Assessment (EIA) should be determined and its conduct should be planned utilizing the steps outlined in the following subsections. At a minimum national and local laws and regulations for environmental assessment will be followed**.**

Step 1. Determine data availability for EIA. The EIA should build on an adequate understanding of the relevant baseline biophysical dimensions, ecosystems conditions, and other environment-related issues in the project area. Determine if there is sufficient data available to conduct an EIA and, if the data are insufficient, plan for and undertake efforts to fill the identified data gaps.

Step 2. Identify potential alternatives. Identify project alternatives to aid in making decisions among real options, as early as possible in the project design and EIA processes. Consider all types of alternatives, including: alternative project locations, timing, scales, intensities, designs, operational processes, organizational setups, or alternative ways of dealing with environmental impacts. Confine the scope of alternatives evaluated to those that are appropriate to the project definition/design stage. Also limit the alternatives considered to those that are cost-effective, technically feasible and financially feasible.

Step 3. Designate project area and period of influence. Determine the total area likely to be affected by both on-site and off-site impacts from project activities. For projects involving physical interventions, identify those components of the environment likely to be significantly affected by the project based on past documented experience; project location in relation to topography, water courses, settlement areas and land use; the potential likely geographic and temporal extent, severity and reversibility of the impacts; and the measurements or thresholds to be used to assess significance. Collectively apply these data to define the boundaries of the assessment so that they address how far in distance and time the environmental impacts will be studied. For projects that do not involve physical interventions, a more standardized approach may be applied, e.g. a table of standard boundaries for a particular kind of activities (which may need to be adjusted for project-specific conditions). All projects need to identify potential transboundary environmental impacts (including impacts on international waterways or on transboundary river basins, airsheds and ecosystems) and identify potential global environmental impacts (e.g. greenhouse gas emissions and ozone depletion).

Step 4. Identify environmental impacts. Identify likely environmental impacts, considering the type, location, sensitivity and scale of the proposed project. Consider the nature and magnitude of environmental impacts, including positive and negative, reversible and irreversible, direct and indirect, past/ongoing and future, short- and long-term, on-site and off-site, third party and supply chain, and cumulative and synergistic impacts. Perform this analysis for all components and phases of the proposed project. For projects with physical interventions, this includes project pre-construction, construction, operation and closure. Determine if the ecological balance of natural systems, protected or fragile areas, or sites of social importance could be impaired or improved. Determine if increases in consumption, waste, pollution or health problems will result from the proposed project. Evaluate possible

[1] Adapted from: UNDP, Proposed Environmental Sustainability Enhancements to UNDP's Programme and Project Management Policies and Procedures (POPP), DRAFT January 2009. Section 6.1.1.

long-term impacts, including indirect or secondary effects of induced unplanned growth and development.

Step 5. Identify/refine environmental sustainability outcomes and measures. Identify or refine environmental sustainability outcomes and targets applicable to the proposed project, referring to international conventions, and relevant national and local laws and regulations. Make a preliminary determination of whether the proposed project can meet the appropriate environmental sustainability outcomes and, if not, what needs to be modified in the project design and/or what reasonable period of time after project closure will be needed to produce the desired outcomes.

Step 6. Identify potentially applicable environmental mitigation, monitoring and capacity development measures to be included in the Environmental Management Plan. In the case of unavoidable adverse environmental impacts, identify potential environmental mitigation and monitoring measures. Determine if there is sufficient capacity within the responsible organizations or institutions for implementing such measures. If not, determine if it will be possible to develop the appropriate capacity and, if so, at what cost and in what timeframe.

Step 7. Identify stakeholders and conduct initial consultation. Identify the project stakeholders who will be affected directly or indirectly, positively or negatively by the project, including local communities, NGOs and individual citizens, especially those who are disadvantaged or vulnerable status. This status may stem from an individual's or groups:

- Race, color, culture, sex, language
- Religion
- Political or other opinion
- National or social origin, property, birth or other status
- Sickness, physical or mental disability
- Poverty or economic disadvantage
- Dependence on unique natural resources

Where groups are identified as disadvantaged or vulnerable, the project will include differentiated measures so that adverse impacts do not fall disproportionately on them and they are not disadvantaged in sharing development benefits and opportunities.

For all project stakeholders, including indigenous peoples *(*see: UNDG, Guidelines on Indigenous Peoples' Issues, 2008) determine the likely effect of the proposed project on each stakeholder group and identify their likely position relative to the proposed project. Determine how are they organized, especially relative to project-related issues, and who their legitimate representatives are. Determine how they typically participate and communicate in public decision-making processes.

Conduct an initial consultation with the identified stakeholders to obtain stakeholder input in the EIA Scoping and Planning process.

Step 8. Develop EIA Scope. Based on the results of the previous scoping steps and initial stakeholder consultation, determine the key environmental issues relating to the proposed project and the scope of the EIA. Identify the project component and/or phase that pose the most serious adverse environmental impacts. Identify the data needed to fully evaluate those issues and the types of environmental assessments instruments and methodologies that will be most appropriate. Outline the EIA content and organization. Set the type, scope and extent of EIA appropriate to the nature and scale of the proposed project and commensurate with the level of its likely environmental risks and impacts. For example, projects likely to produce limited impacts that are few in number, generally site-specific, largely reversible, and readily

addressed through mitigation measures will require an EIA with limited scope; an indicative list of such project types includes:

- Small-scale infrastructure projects: power transmission and distribution networks and rural electrification; mini-hydropower (run of river with no major water impoundments) or micro-hydropower projects; small-scale clean fuel fired thermal power plants, renewable energy (other than hydropower), energy efficiency and energy conservation; small town water supply and sanitation; road rehabilitation, maintenance and upgrading; telecommunications
- Health care delivery, education (with limited expansion of existing schools/buildings), repair/rehabilitation of buildings when hazardous materials might be encountered (e.g., asbestos, stored pesticides)
- Small-scale irrigation, drainage, agricultural and rural development projects, rural water supply and sanitation, watershed management and rehabilitation, and small-scale agro-industries, tourism (small-scale developments)

All projects must also comply with applicable national and local environmental laws and regulations of the host country relating to EIA requirements.

Step 9. Prepare Terms of Reference and selection criteria for EIA preparer. Identify the types of specialists needed to conduct the EIA. Depending on the scope of the EIA and nature of the potential adverse impacts, consider retaining an EIA consultant who is independent and objective with respect to the proposed project. Outline the criteria for selecting the EIA preparer. Prepare the Terms of Reference (TOR) for the EIA preparer. If the proposed project poses potentially significant adverse environmental impacts that are diverse, irreversible, or unprecedented, consider forming an Independent Advisory Panel to oversee the EIA process. Determine the budget and schedule adequate for preparing the EIA, including data collection and analysis, report preparation, and implementation of the associated public disclosure, stakeholder consultation and independent advisory panel processes.

> Additional guidance on preparing TOR for an EIA is available in **A Common Framework for Environmental Assessment, A Good Practice Note**, Multilateral Financial Institutions Working Group on Environment, 2005 (pp. 13-14).
> See also**: Environmental Assessment (World Bank)** and **EA Source Book.**

Step 10. Develop Stakeholder Engagement Plan. Prepare a detailed plan and schedule of the public information sharing and stakeholder consultation processes capable of providing the project stakeholders with the needed project-related information and consultation opportunities that will address their specific issues in ways corresponding to how they are organized, participate and communicate. Project stakeholder engagement is an ongoing process involving the disclosure of information to and consultation with project stakeholders. When project stakeholders may be affected by risks or adverse impacts from a proposed project, a plan for stakeholder engagement will be developed that will build and maintain over time a constructive relationship with project stakeholders. The nature and frequency of the engagement will reflect the project's risks to and adverse impacts on the affected communities, et al. The Stakeholder Engagement Plan will include provisions for the following minimum requirements:

The consultation process will provide the stakeholders with opportunities to express their views at all points in the project decision-making process on matters that affect them directly and allows the project team to consider and respond to them. Topics the stakeholders will be able to express their views on will include, but are not be limited to:

- Project risks and impacts, both adverse and positive
- Proposed mitigation measures

- Sharing of development benefits and opportunities
- Implementation issues

An effective consultation process will:

- Be free of external manipulation, interference, coercion, and intimidation
- Be inclusive, but also culturally appropriate and tailored to the language preferences and decision-making processes of each identified stakeholder group, including disadvantaged or vulnerable groups
- Be based on prior and timely disclosure of accessible, understandable, relevant and adequate information, including draft documents and plans
- Begin early in the EIA process, continue iteratively throughout the project life cycle, and be adjusted as risks and impacts arise
- Address environmental risks and adverse impacts, and the proposed measures and actions to address these
- Be documented, in particular, the measures taken to avoid or minimize risks to and adverse impacts on the project stakeholders

Grievance Mechanism. A grievance mechanism will be established to receive and facilitate resolution of the stakeholders' concerns and grievances about the project's environmental performance. The grievance mechanism will be appropriate to the potential adverse impacts of the project. It will address concerns promptly, using an understandable and transparent process that is culturally appropriate and readily accessible to all stakeholders at no cost and without retribution. The grievance mechanism will not impede access to judicial or administrative remedies. Affected communities will be informed about the mechanism as part of the stakeholder engagement process.

A.8 Tool: Environmental sustainability considerations for the UNDAF evaluation

→ Entry Point: Preparation of the UNDAF Evaluation

The UNDAF evaluation is an important opportunity to assess whether, and how well, information about environment-development linkages was used in the planning process and integrated into UNDAF cooperation areas, and if UNCT cooperation strengthened national capacities to address major environmental problems. The specifics of the planned UNDAF results and strategy will always guide the objectives and methodology of the evaluation. . The UNDG guidelines for UNDAF evaluation do not include specific elements related to environmental sustainability. However, environmental sustainability should be considered before preparing the TOR. This tool offers some important environmental considerations related to the standard OECD-DAC evaluation criteria used by the UNDG.

UNDAF evaluation criteria and related environmental considerations

Criteria	Considerations
Relevance	➢ How well did the UNDAF take advantage of environmental opportunities for the achievement of national development priorities, or address problems where inaction may compromise this achievement? ➢ How well did the UNDAF take into consideration standards and targets from national environmental laws and policies and international environmental commitments, like ratified MEAs? ➢ Did the UNDAF include results that develop country capacity to integrate environmental sustainability indicators into sectoral policies and plans, and monitor and report on international environmental commitments, including MDG7.
Effectiveness	➢ How were the results of the environmental review, scanning, or more detailed EIAs used in the preparation of the UNDAF and contributing agency programmes and projects? ➢ Were any environmental results or indicators (related to policy and plans, protection, or management) integrated into the UNDAF, contributing to non-environment UNDAF outcomes? – What progress has been made towards these results? ➢ If specific environmental mitigation and monitoring measures were recommended, how well did agency programmes and projects comply? ➢ Were there any major assumptions or risks identified in the UNDAF related to the environment and climate change? How well were they monitored?
Efficiency	
Sustainability	➢ Are UNDAF results threatened by the unsustainable use of the environment and natural resources, disasters, or conflicts?
Impact	➢ Are there plausible contributions from UNDAF results for achieving national environmental sustainability goals and targets/ MDG7 as well as other MDGs? ➢ Were there any major assumptions or risks identified in the UNDAF related to the environment and climate change? Could these have been improved? ➢ Are impacts different from those anticipated by the environmental review, screening, or EIA?

Annex B: Mainstreaming environmental sustainability in the CCA

Where the UNCT and country partners have decided that there are major gaps in country analytic work, they may opt for a full Common Country Assessment (CCA)[1].

The CCA is a common instrument of the United Nations system to analyse the national development situation and identify key development issues with a focus on the MD/MDGs, and other internationally agreed development goals and treaty obligations. A key function of the CCA is to support and strengthen the national development framework which may include planning mechanisms such as: a PRS, sector programmes, or a joint assistance strategy (JAS), and may also involve direct budget support. The CCA can either contribute to or benefit from monitoring progress towards the PRS and the MDG Reports (MDGRs). The CCA may also assist in a Consolidated Appeal Process (CAP) or a transition strategy, where they are developed. The CCA should refer to, rather than duplicate data and information contained in other reliable national information systems.

Preparation of a CCA is an important opportunity to mainstream environmental sustainability concerns into the analysis conducted by theme groups working in all sectors and themes. This will result in:

- Identification of the **environmental causes of poverty and other development challenges**, and its effects on the population, particularly on excluded groups such as women, minorities, indigenous peoples, persons with disabilities, people living with HIV/AIDS, migrants and displaced persons;
- The identification of the capacity gaps of rights holders **to claim stronger environmental management and protection**, and of duty bearers to meet these obligations;
- An analysis of opportunities for (and obstacles to) free, active and meaningful participation in **decisions regarding the use and management of natural resources**;
- A substantive contribution to the preparation of the national development framework, working to ensure that **national priorities reflect national environmental goals, MDG7 targets, and the goals and targets of ratified international environmental agreements (MEAs**);
- A contribution to developing measures and capacity for crisis prevention and disaster preparedness, with a focus **on understanding the environmental causes and potential impacts of disasters and conflicts**;
- Strengthened national capacities for data analysis and utilization for priority setting, with a focus on environment-development linkages, and the connection between ecosystem services and the aims of major national or sectoral development plans

This annex describes how to mainstream environmental sustainability during the 5 main steps of CCA preparation[2]:

1. Gather information
2. Assess the situation
3. Select challenges for deeper analysis
4. Analyse selected problems and challenges to identify root causes
5. Identify rights-holders, duty-bearers and their capacity needs

[1] UNDG, Common Country Assessment and United Nations Development Assistance Framework, Guidelines for UN Country Teams on preparing a CCA and UNDAF, UN, Feb 2009. Part 2, p.16.
[2] Ibid. For a detailed description of the 5 CCA steps, see **Annex 3**.

Important: There may or may not be an environment theme group (see section 1.3 for discussion). **The actions described here should be considered by all theme groups regardless of their sector or theme**. The unsustainable use of the environment and natural resources is nearly always an underlying cause of major development problems, which are manifested in the non-fulfillment of human rights.

CCA Step	Actions for Mainstreaming environmental sustainability
1. Gather Information	This step compiles and consolidates high quality information about the development situation in the country. There are a range of complementary resources about the country environmental situation. Recommended ones are: To generate a rapid understanding of environmental issues critical to the partner country: – MDG Reports and National Human Development Reports – World Bank Country Environmental Analyses – Environmental analysis and assessments from regional development banks – EC Country Environmental Profiles – UNEP State of the Environment Reports To generate a rapid understanding of national environmental obligations and priorities: – National Strategies for Sustainable Development (NSSD) – National Environmental Action Plans (NEAP) – National Strategies and Action Plans for the implementation of major MEAs – National environmental legislation To generate a rapid understanding of international environmental obligations – National reports to the Governing bodies of major MEAs, particularly Biological Diversity, Climate Change, Desertification, and Hazardous Chemicals To understand how environmental issues relate to/are integrated into national development priorities – National Development Plan or Poverty Reduction Strategy (PRS) – Sectoral Development Plans – UN Common Country Assessment (CCA) An indicator framework may help to establish a baseline and identify trends, data gaps, and also constraints in the capacity of national statistical systems. Targets in the NSSD, NEAP, NBSAP and other national plans may provide a starting point. Tables 1 and 2 at the end of this annex offer examples of country-specific MDG7 targets, and a core set of environmental sustainability indicators for comparison. If the exercise to **scan for environment in country analysis** was not done at the time of the Plan of Engagement (PoE) (see section 4.1 and **Annex A.1**), it can be done now, to help with the information gathering for the CCA.
2. Assess the situation	Based on the information gathered, this step leads to the identification of the major development and human rights challenges in the country, their severity, the most affected, and where they live. Environmental information and analysis adds value to this assessment by: – Recognizing the environmental causes or impacts of development problems, and their plausible links to national development priorities/ MDGs; and – Relating the situation to national environmental law and international environmental

commitments of the State (MEAs).

During the assessment, it is important to establish the plausible links between the environmental situation and national development priorities and MDGs. And to recognise the groups most vulnerable to environmental damage. Recognising and addressing the environmental causes or impacts stemming from major problems will strengthen arguments for maintaining and enhancing the ecosystem services on which many of the other goals rely. The assessment should highlight:

- What are the key environmental assets of the country, what is their importance to economic and social development, particularly poverty reduction?
- What are the key environmental issues in the country and their causes, and how do they contribute to major development problems, such as poverty and disease?
- Are there existing environmental targets and environmental information summaries with reference to MDG7 and JPOI targets
- What are the critical gaps in the existing data and analysis and how do these relate to standards and targets from national and international environmental obligations?

3. Select challenges for deeper analysis

On the basis of the assessment, the UNCT and country partners will identify specific problems for deeper analysis by theme groups. The suggested criteria for this selection are:

- The persistence, severity and scope of the problem as evidenced by relevant reports;
- Negative trends;
- Trends that might lead to man-made crises or natural disasters;
- Disparities suggesting unequal treatment and discrimination;
- Particular opportunities for UNCT advocacy and programme cooperation; and
- Opportunities for multiple impacts where problems are closely linked or have a causal relationship.

Additional criteria for environmental sustainability are not needed. The integration of environmental information in the information gathering and assessment steps should highlight important environmental considerations for this selection process. Special attention should be paid to environmental opportunities for the achievement of national development priorities and problems where inaction to may compromise this achievement.

4. Analyse selected problems to identify root causes

In this step, the main data, trends and findings about the selected problems are organized to highlight their underlying and root causes – causality analysis. The analysis should be disaggregated as much as possible by sex, age, geographic area, ethnicity, disability, HIV/AIDS, among others. A graphic representation of this causality analysis is called a problem tree. Theme groups must consider the possible environmental causes or potential impacts of the selected problems. In some cases, the underlying or root causes may be the same for different development problems. Identification of the common environmental causes of multiple problems will increase the likelihood that policy or programmatic responses will yield multiple positive impacts. The figure at the end of this section offers an example of a problem tree that incorporates environmental concerns.

5. Identify rights holders,

This step is driven by the UNDG's Human Rights Based Approach (HRBA) to programming[3]. It is widely accepted that **the fulfillment of human rights requires basic environmental health, and vice versa**. In the language of a HRBA, the environment is not a rights holder. But there are

[3] UNDG, Common Country Assessment and United Nations Development Assistance Framework, Guidelines for UN Country Teams on preparing a CCA and UNDAF, UN, Feb 2009. Part 1.3, Annex 3, e.

CCA Step	Actions for Mainstreaming environmental sustainability
duty bearers and capacity dev needs	explicit obligations to the environment in ratified MEAs and in related national laws and mechanisms, with the state as the primary duty-bearer. Including environmental concerns in a HRBA will help governments to recognize their obligations to the environment, and the casual links between environmental health and human rights. It will also help rights holders – especially communities that are highly dependent on natural resources – to have the knowledge and avenues to demand stronger environmental regulation and management from duty bearers.

This table shows the 4 critical development questions that a HRBA helps to answer, and the insights that come from considering environmental dimensions[4].

A HRBA helps the UNCT and country partners to answer…	Environmental dimensions
What is happening, who is more affected, why?	➢ What are the environmental causes of the problem and impacts of it? Who is most affected?
What are they entitled to?	➢ What environmental legislation exists (national and MEAs) and how do these address the problem?
Who has to do something about it?	➢ Who are the responsible parties under existing laws? ➢ What other development actors can provide resources or technical expertise?
What do they need to take action?	➢ What capacities are needed by both duty bearers and rights holders to strengthen environmental management and protection?

Capacity assessment for mainstreaming environmental sustainability would focus on whether and how well key ministries and other implementing partners understand the importance of environment-development linkages, and the connection between ecosystem services and the aims of major national or sectoral development plans[5]. In particular, the UNCT may want to help strengthen country capacity to integrate environmental sustainability indicators into sectoral policies and plans, and monitor and report on international environmental commitments and progress towards MDG7[6]. This could include:

- Support to develop a country analytical framework and strategy for environmental sustainability;
- Development of a set of indicators that capture the highest-priority environmental issues and challenges in a country, drawing from the global MDG7 indicators as appropriate; and
- Develop capacity at sub-national levels to integrate environmental sustainability indicators into sectoral plans, conduct environmental sustainability monitoring and reporting, and use results for regional planning.

For guidance see: Capacity Assessment Methodology – User Guide, UNDG, 2008.

The final step in the CCA process is to identify possible priorities for UNCT cooperation in the UNDAF. Decision-making will take place during the Strategic Prioritization Retreat (SPR) with country partners (see section 4.3 for more detail). Prioritization should be guided by where the UNCT can use its comparative advantages to make the biggest difference. Suggested criteria are:

- The magnitude and growth of the problem and the level of national commitment;

[4] Results of UNEP-UNSSC pilot training: Environmental Sustainability & UN Country Programming, 2008
[5] For more discussion, see: PEI (UNDP-UNEP), Mainstreaming Poverty Environment Linkages into Development Planning, 2009, section 4.4.
[6] For more ideas, see: UNDP, Monitoring Country Progress towards MDG 7: Ensuring Environmental Sustainability, 2005.

- Problems with common underlying or root causes where programmatic responses may yield multiple impacts;
- Whether the UNCT has the comparative advantages to address the problem and develop lasting in-country capacities;
- Sufficient human resources and funds are available, or can be mobilized; and
- The potential for alignment with key actors within government and civil society who have decision-making power or can influence national priorities and support UNCT action.

The integration of environmental information and analysis in the preceding steps should highlight important environmental considerations. Special attention should be paid to:

- Disadvantaged groups in the country who may benefit from environmental opportunities or who are especially vulnerable to environmental damage; and
- Environmental opportunities for the achievement of national development priorities and problems where inaction to may compromise this achievement.

Figure: A causality analysis (problem tree)

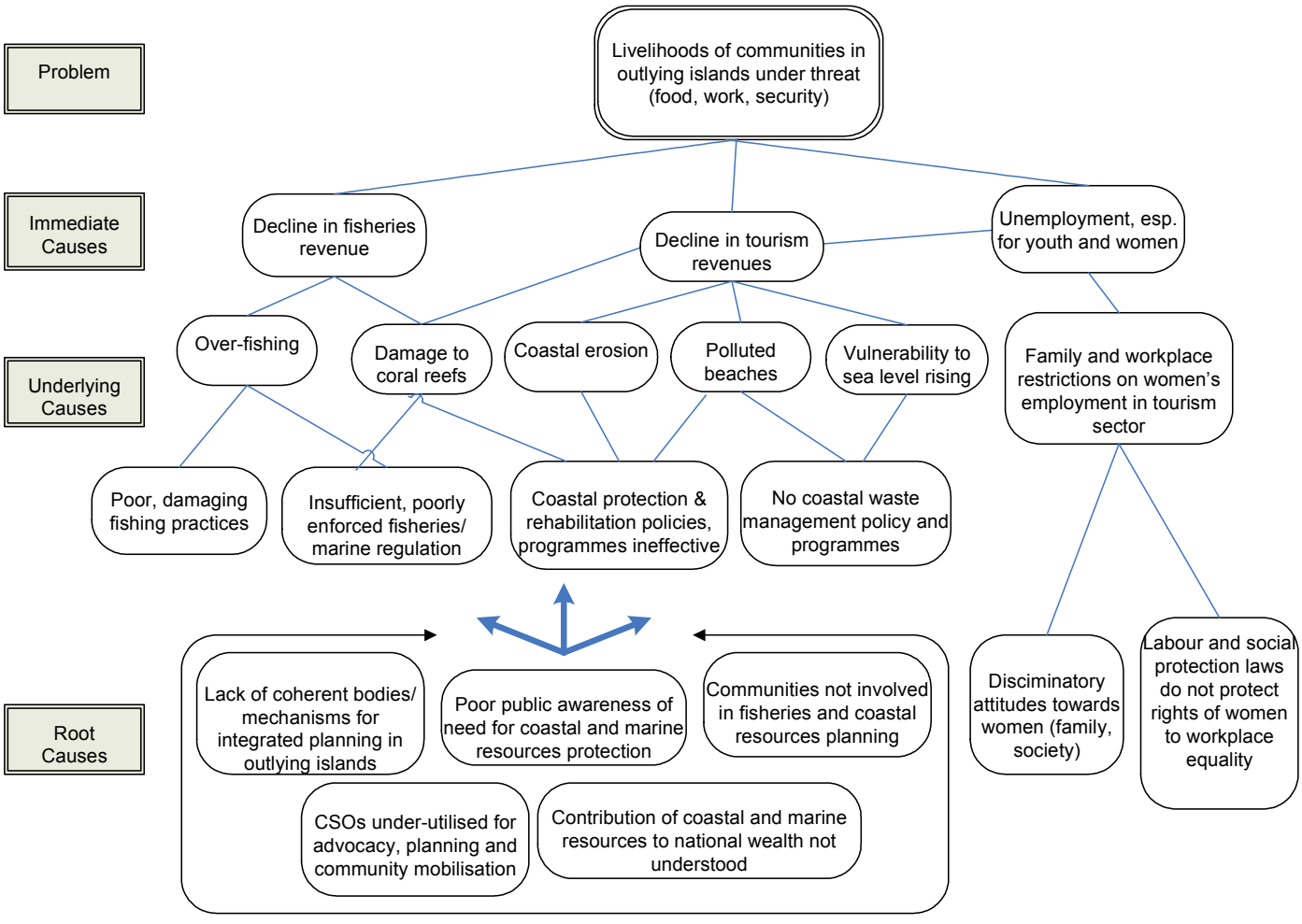

Table 1: Some Examples of Country/Context-Specific MDG7 Targets[7]

Target 7b: Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss	
Forest cover	-Maintain at least 60% of the country under forest cover in perpetuity (Bhutan) -Maintain forest cover at 60% (2000 level) through 2015 (Cambodia) -Increase forest cover from 8.2% in 2000 to 9.0% in 2015 (Mongolia) -Increase afforestation rate from 27% to 35% by 2040 (Romania) -Increase forest cover from 11.9 million ha in 2000 to 12.8 million ha in 2015 (Senegal) -Increase forest cover by 115,000 ha between 2002 and 2006 (Tunisia) -Extend forest cover to 43% by 2010 (Viet Nam)
Protected areas	-Increase ratio of protected territories from 34.9% in 1990 to 35.9% in 2015 (Bulgaria) -Maintain 23 protected areas (3.3m ha, 1993) and 6 forest-protected areas (1.35m ha) through 2015 (Cambodia) -Increase proportion of areas covered by natural protectorates to 25% by 2015 (Egypt) -Protected areas and reserves to cover 10.8% of the national territory (Gabon) -Increase area protected to maintain biological diversity from 0.2% in 1990 to 1.9% in 2015 (Kyrgyzstan) -Increase land area protected to maintain biological diversity from 13.2% in 2000 to 30% in 2015 (Mongolia) -Increase proportion of protected land area from 2.56% in 1990 to 19% by 2015 (Romania) -Increase area protected for biological diversity from 8% in 1990 to 12% in 2015 (Senegal) -Expand network of national and biosphere reserves and national parks to 10.4% of overall territory (Ukraine)
Energy and climate change	-Reduce CO_2 emissions against 1988 baseline in fulfilment of Kyoto Protocol obligations (Bulgaria) -Reduce greenhouse gas emissions by 8% of CO_2 equivalent between 2008 and 2012 (Romania) -Increase use of renewable energy in electricity generation from 29% in 1999 to 33.6% in 2015 (Slovenia) -Increase share of renewable energy to 8% of commercial primary energy by 2011 (Thailand)
Pollution	-Decrease total discharge of major pollutants by 10% between 2000 and 2005 (China) -Stabilise ambient air pollution from stationary and mobile sources by 2015 (Ukraine) -Attain national standards in air and water pollution by 2005 (Viet Nam)
Target 7c: Reduce by half the proportion of people without sustainable access to safe drinking water and basic sanitation	
Drinking water	-Reduce by two-thirds the proportion of the population without access to potable water by 2015 (Argentina) -Ensure that 78% of the population has access to safe drinking water by 2015 (Benin) -By end of Ninth Five-Year Plan 2007, 100 percent of population will have access to safe drinking water (Bhutan) -Increase access of rural population to safe water source from 24% in 1998 to 50% in 2015 (Cambodia) -Increase access to safe drinking water to 75% by 2015 (Cameroon) -Supply water to 26m people in water-scarce areas and add 40b m^3 water supply in the Tenth Five-Year Plan (China) -Increase the rate of access to potable water from 49% in 1999 to 90% by 2010 (Guinea) -Provide quality water to 95% of the population by 2010 (Guyana) -Reduce population without access to potable water from 15% to 6% (urban) and from 29% to 15% (rural) by 2015 (Kazakhstan)

[7] UNDP, Monitoring Country Progress towards MDG 7: Ensuring Environmental Sustainability, 2005. p.9

	-90% of dwellings to have sustainable access to water by 2015 (Lebanon) -Increase proportion of population using improved water sources from 60% in 2000 to 80% by 2015 (Mongolia) -Provide 100% of population with sustainable sources of fresh water by 2015 (Syrian Arab Republic) -Increase proportion of population with access to clean drinking water by 12% from 2001 to 2015 (Ukraine) -Ensure 60% of rural population (80% of urban) has access to clean and safe water by 2005 (85% of rural population by 2010); Provide 93% of the population with access to safe water by 2015 (Viet Nam)
Sanitation	-Reduce by two-thirds the proportion of the population without access to basic sanitation by 2015 (Argentina) -Increase proportion of population covered by organized waste collection and disposal system from 80.2% in 2001 to 95% in 2015; Increase proportion of towns (population greater than 2,000) served by wastewater treatment from 40% in 2001 to 100% in 2015 (Bulgaria) -Increase proportion of rural population with access to improved sanitation from 8.6% in 1996 to 30% in 2015 and proportion of urban population with access to improved sanitation from 49% in 1998 to 74% in 2015 (Cambodia) -Provide three-quarters of the population with access to a better sanitation system by 2015 (Gabon) -Increase proportion of population using adequate sanitation facilities from 25% in 2000 to 50% by 2015 (Mongolia) -Increase population with access to improved sanitation from 55% in 1990 to 85% in 2015 (Syrian Arab Republic) -Ensure by 2010 that all wastewater in towns and cities is treated; Ensure by 2010 that all solid waste is collected and disposed of safely in all towns and cities (Viet Nam)
Recycling	-Full utilization of recycled wastewater at the expected level of 200,000 cubic m per day by 2010 (Bahrain) -Increase the share of municipal waste recycled to 30% by 2006 (Thailand)
Water use	-Reduce by 30-35% the volume of irrigation water used per hectare of irrigated land by 2015; Water savings ensured by 2015 up to 15-20 percent cubic km; Ensure by 2010 water supply of 21–23 cubic km per year to the Aral Sea and nearby territories (Uzbekistan)
Target 7d: Achieve significant improvement in lives of at least 100 million slum dwellers, by 2020	
Housing	-Reduce by half the proportion of population living in irregular settlements and towns with extreme poverty (Argentina) -Increase the percentage of land parcels with secure title from 15% in 2000 to 60% in 2015 (Cambodia) -Reduce by half the number of under-developed areas by 2015; Ensure the establishment of housing in cities of 5,000 or more inhabitants by 2015 (Gabon) -Increase provision of housing from 22.6 sq m per capita in 2000 to 35 sq m in 2000; Increase share of private housing to 97% by 2020; Increase investment in housing and service sector by 430% from 2000 to 2020 (Turkmenistan) -Ensure there are no slums and temporary houses in all towns and cities by 2010 (Viet Nam)

Table 2: Examples of Core environmental sustainability Indicators

Indicator Theme	MDG7 Global framework	UN CSD Indicators Set	OECD Environmental Indicators	UK Headline Indicators Series	Canada Environmental Indicator Series	EEA Proposed Core Indicators
Forest	25. Proportion of land area covered by forests	Forest areas as a percent of land area; Wood harvesting intensity	Intensity of use of forest resources	None listed	Percentage of ecozone with strictly protected forest area in a selected forest ecozone	None listed
Biodiversity	26. Ratio of area protected to maintain biological diversity to surface area	Abundance of selected key species; Protected area as a percentage of total area; Area of selected key ecosystems; Annual (fish) catch by major species	Threatened species; Intensity and use of fish resources	Populations of wild birds	Percentage of strictly protected areas	Fishing fleet capacity; aquaculture production; Status of marine fish stocks; Species diversity; designated areas; Threatened and protected species
Energy	27. Energy use per unit of GDP; 29. Proportion of population using solid fuels	None listed	Intensity of energy use	None listed	Energy consumption (exajoules)	Use of cleaner and alternative fuels; Renewable electricity; Renewable energy consumption; Total energy consumption; Total energy intensity; final energy consumption
Atmosphere/ Climate Change	28. Carbon dioxide emissions (per capita) and consumption of ozone-depleting chlorofluorocarbons	GHG emissions; Consumption of ozone depleting substances; Ambient concentration of air pollutants in urban areas	SOX and NOX emission intensities; Indices of apparent consumption of ozone depleting substances; C02 emission intensities; Index of greenhouse gas emissions	Days when air pollution was moderate or higher; GHG emissions	Change in emissions of toxic substances; S02 emissions; GHG emissions; Average peak concentrations of ground-level ozone (ppb); Average annual ozone levels	Atmospheric GHG concentrations; Global and European temperature; Projections of green-house gas emissions and removals and policies and measures; GHG emissions and removals' consumption of ozone depleting substances; Exceedance of air quality limit values in rural areas; Exceedance of air quality limit values in urban areas; Emissions of primary particulates and secondary particulate precursors; Emissions of ozone precursors; Emissions of acidifying substances
Water	30. Proportion of population with sustainable access to an improved water source, urban and rural	Algae concentration in coastal waters; Percentage of total population living in coastal areas; Concentration of faecal coliform in freshwater: BOD in water bodies; Annual withdrawal of ground and surface water as a percentage of total available water	Intensity of use of (fresh) water resources	Rivers of fair or good chemical quality	Daily per capita municipal water use (litres per person)	Nutrients in transitional coastal and marine waters; Nutrients in freshwater; Oxygen consuming substances in rivers; Use of freshwater resources
Sanitation and Waste	31. Proportion of population with access to improved sanitation	None listed	Municipal waste generation intensities; Waste water treatment connection rates	Household waste and recycling, waste arisings and management	Percentage of municipal population on sewers with secondary or tertiary treatment	Urban waste water treatment; Chlorophyll in transitional, coastal and marine waters; Bathing water quality; Generation of recycling and packing waste; Municipal waste generation
Land/ Agriculture	32. Proportion of households with access to secure tenure	Area of urban formal and informal settlements; Land affected by desertification; Use of fertilisers; Arable and permanent crop land area	None listed	Percentage of new dwellings build on previously developed land	Number of bare-soil days on agricultural land between 1981 and 1996	Gross nutrient balance; Area under organic farming; Progress in management of contaminated sites; Land take
Transport and Traffic	None listed	None listed	None listed	Total road traffic volume	Passenger travel by mode (billions of passenger kilometres)	Freight transport demand; Passenger transport demand

Annex C. Issues and examples of environmental sustainability in the UNDAF

This annex has two parts:

- **Part I** describes environmental issues that relate to typical country problems and areas of cooperation found in current UNDAFs. This is relevant to all steps for UN-supported country programming, but will be most important during preparation of the PoE, efforts to support country analysis, and UNDAF formulation.

- **Part II** offers examples of environmental results and indicators from current UNDAFs, that make an important contribution to the achievement of UNDAF outcomes and national priorities. This will be most useful as a reference during UNDAF formulation.

In both parts, the content is structured according to the following areas of cooperation:

1. Governance and support for economic and institutional reforms
2. Poverty Reduction, economic development, employment, and SME development
3. Basic services - public health and education
4. Rural development, agriculture and food security
5. Disaster Risk Reduction and Conflict prevention

Part I: Environmental issues related to country problems and UNDAF Cooperation Areas[1]

During UNCT support for country analysis, the issues described in the following tables will often emerge as the underlying and root causes of major national development problems and challenges. During UNDAF preparation, consideration of these issues may lead to the identification of agency outcomes, outputs or major activities related to environmental management and protection, but making an important contribution to the achievement of outcomes in different sectors.

For each area of cooperation, the annex describes:

- Environmental pressures and impacts, that should be mitigated or enhanced;
- Environmental factors affecting the effectiveness, efficiency or sustainability of results and strategy;
- Entry points, where opportunities can be found to include environmental considerations in the results and strategy;
- Examples of indicators;
- Additional guidelines and sources of information.

[1] Adapted from: European Commission (EC), Environmental Integration Handbook for EC Development Cooperation, EC, 2007. Annex 1.

1. Governance and support for economic and institutional reforms

Environmental pressures and impacts to mitigate or enhance

This co-operation area usually has important indirect consequences on human activities affecting the environment, for example:

- Pressures on natural resources (including mining, land clearing, illegal logging and poaching) and associated impacts (e.g. pollution from mining, soil erosion, resource depletion, biodiversity losses).
- Energy consumption and GHG emissions (impact on climate change).
- Land use, urbanisation, and trends in agricultural intensification.
- Pollution and wastes.

Environmental factors affecting results and strategy

- Availability, exploitation costs and sustainability of natural resources, which are important for the national economy, including soils, water, forests, tourism assets (e.g. landscape, recreational water, scenic features, National Parks).
- Environmental factors affecting migration, health, labour productivity, gender division of labour.
- Disasters and environmental damages causing economic costs and affecting human life.

Entry points to include environmental considerations in results and strategy

- Environmental fiscal reforms and market-based mechanisms of environmental management (introducing or adapting environmental taxes, removal of environmentally damaging subsidies).
- Environmental integration in National, regional and sector development plans, PRS, Macro-economic reforms: Use of SEA
- Environmental statistics, monitoring and geographical information systems; green accounting (using environmental and sustainability indicators in the overall macroeconomic accounting framework).
- Legislative reform and law enforcement: environmental legislation, EIA policy and procedures; Multilateral Environmental Agreements (ratification and implementation).
- Differences in access rights to natural resources for men and women, and vulnerable groups, including ethnic minorities and indigenous peoples
- Tackling corruption in the natural resources sector
- Decentralisation, civil society and community participation (including less represented groups) in natural resource management and land use planning.
- Assessing environmental institutions (centralised, decentralised) and capacities.
- Implementation, monitoring and reporting on ratified MEAs, particularly Biological Diversity, Climate Change, Desertification, Hazardous Chemicals , and Persistent Organic Pollutants

Examples of indicators

Adjusted Net Saving and natural resource rents.
Investment as a % of GDP in environmental sector/institutions.
GHG emissions as a % of GDP or GHG / HDI.
Waste generation/GDP or waste generation (kg/capita/year).
Land use (proportion of urban/agricultural/forest land).
Efficiency in natural resources use.
Monetary damage of pollution.

1. Governance and support for economic and institutional reforms
State of key natural resources (e.g. forest). Energy use (kg oil equivalent) per $1000 GDP (MDG 7, ind. 27)
Additional guidelines and sources of information PEI (UNDP-UNEP), Mainstreaming Poverty Environment Linkages into Development Planning, 2009 PEI (UNDP-UNEP), Making the Case: A Primer on the Economic Arguments for Mainstreaming Poverty-Environment Linkages into National Development Planning, PEI, 2008. UNDP, Making Progress on Environmental Sustainability: Lessons and Recommendations from a review of over 150 MDG Country Reports, UNDP, 2006. OECD, Applying Strategic Environmental Assessment GOOD PRACTICE GUIDANCE FOR DEVELOPMENT CO-OPERATION, OECD, 2006. OECD, Environmental Fiscal Reform for Poverty Reduction, DAC Guidelines and Reference Series, 2005. World Bank, Environmental Fiscal Reform: What should be done and how to achieve it, 2005.

2. Poverty Reduction, economic development, employment and SME development
Environmental pressures and impacts to mitigate or enhance - Indirect impacts from changes in activities resulting from economic development and employment policies and initiatives.(e.g. lower pressures on natural resources resulting from higher employment in the formal sector). - Changes in the direct environmental pressures resulting from increases in resource depleting SME initiatives (small scale agri-processing and industrial developments such as brick-making and tanneries.
Environmental factors affecting results and strategy - Resource degradation, externalities affecting particular groups or unequal distribution of resources may exacerbate social conflicts. - Resource depletion may lead to loss of jobs.
Entry points to include environmental considerations in results and strategy - SEA of policies and strategies in the sector; considering social issues in SEA and EIA in other sectors; involving public and civil society in all SEA and EIA processes. - Participation of stakeholders to the management of natural resources and the environment; community forestry (including participation and empowerment of traditionally less represented groups). - Compliance with decent work standards and non discrimination (ILO conventions). - Providing decent alternative employment in areas with excessive pressure on natural resources. - Providing decent employment in environmental and natural resources sector. - Promoting transformation of natural resources (increasing the added-value/unit of resource use). - Equitable and secure access to land and other natural resources. - Good governance and justice in natural resources and environmental management.

2. Poverty Reduction, economic development, employment and SME development

Fair compensation of victims of environmental damages.

Examples of indicators

Proportion of households with access to secure tenure (MDG7, ind. 32).
Proportion of persons employed in environment and natural resource sectors.
Number of land or natural resources related disputes.
Proportion of people with sustainable access to an improved water source, urban and rural (MDG 7, ind. 30).
Proportion of population with access to improved sanitation, urban and rural (MDG 7, ind. 31).

Additional guidelines and sources of information

PEI (UNDP-UNEP), Mainstreaming Poverty Environment Linkages into Development Planning, 2009
PEI (UNDP-UNEP), Making the Case: A Primer on the Economic Arguments for Mainstreaming Poverty-Environment Linkages into National Development Planning, PEI, 2008.
UNDP, Making Progress on Environmental Sustainability: Lessons and Recommendations from a review of over 150 MDG Country Reports, UNDP, 2006.
OECD (2005) Environmental Fiscal Reform for Poverty Reduction, OECD DAC: Paris.

3. Basic services - public health and education

Environmental pressures and impacts to mitigate or enhance

- Wastes from social facilities; bio-medical and pharmaceutical wastes.
- Contamination through vector control (pesticides).
- Increased resistance of vectors and pathogen organisms.
- Water pollution (chemical, biological).
- Overexploitation (or decreased exploitation) of biodiversity resources for medicinal
- purposes.
- Impacts from facilities (e.g. construction and operation of schools, hospitals).
- Indirect impacts due to population growth, migration, environmental education, modified
- activities and consumption practices.

Environmental factors affecting results and strategy

- Environmental quality in human settlements, health and education facilities:
  - Waste management (including domestic waste) and sanitation; noise; clean water, air quality (ambient and indoor); exposure to chemicals and heavy metals; occupational health hazards; vectors and water-borne diseases; overcrowding.
- Environmental causes of malnutrition (e.g. poor soils, over-fishing, over-hunting).
- Environmental constraints on household food security, water and household fuel collection, school attendance.
- Biodiversity resources used as medicines.
- Environmental components used as a support for education and training.
- Climate change impacts on health and safety
- Risks of environmental disasters and impacts on health and safety.

3. Basic services - public health and education

Entry points to include environmental considerations in results and strategy

- SEA of sector programmes and strategies; EIA for projects such as construction or rehabilitation of education and health facilities.
- Considering health (e.g. HIV/AIDS) and social impacts in environmental assessments
- Compliance with labour protection standards (ILO conventions).
- Environmental education (e.g. quality, level, relevance to country environmental problems); environmental issues in vocational training; capacity building in environmental management; awareness raising.
- Using green construction principles while designing infrastructure.
- Research and training for appropriate technologies.
- Managing wastes in education and health facilities; saving and recycling paper at school; hygiene and health conditions in education/health facilities; management of bio-medical wastes.
- Collaborating with other sectors for inclusion of environmental issues in health programmes; reducing air pollution; developing access to clean drinking water, sanitation, improved hygiene; promoting health and hygiene education.
- Urban environment: urban planning, waste disposal systems, sanitation, urban and periurban parks.
- Equitable valorisation of biodiversity and local environmental knowledge.
- Gender equity, rights of indigenous peoples and other social issues in environmental and natural resource management.
- Population, family planning, reproductive health and rights and migration policies.

Examples of indicators

Environment in education curricula.
Proportion of teachers trained in environmental education.
Proportion of population living in unhealthy or polluted environments.
Proportion of population using solid fuels (MDG 7, ind. 29).
Air and water quality indicators.
Proportion of hospitals with adequate waste management system.
Proportion of bio-medical wastes adequately managed.
Morbidity rate in environmentally-related diseases (e.g. pulmonary diseases, diarrhoea, malaria).
Number of victims of natural disasters.
Proportion of people with sustainable access to an improved water source, urban and rural (MDG 7, ind. 30).
Proportion of population with access to improved sanitation, urban and rural (MDG 7, ind. 31).

Additional guidelines and sources of information

4. Rural development, agriculture and food security

Environmental pressures and impacts to mitigate or enhance

- Contamination by pesticides.
- Water pollution, eutrophication, decreased water availability for other uses, water-borne diseases.

4. Rural development, agriculture and food security

- Soil degradation, desertification, erosion, acidification, siltation of reservoirs.
- Deforestation - reforestation, land clearance for agriculture, habitat fragmentation, excessive timber or wood harvesting.
- Water regime changes, floods.
- Fire.
- Overgrazing.
- GHG emissions (e.g. carbon dioxide, methane from livestock or paddies), carbon sequestration (in vegetation and soil).
- Decrease (or increase) in fish stocks, wildlife, non-timber forest products, timber.
- Biodiversity decline, introduction of alien species or GMOs.
- Increased pest resistance.

Environmental factors affecting results and strategy

- Availability and quality of water resources.
- Forest area and production.
- Rangeland.
- Fire.
- Fish stocks.
- Hydrological changes.
- Biodiversity, agrobiodiversity, pests, weeds.
- Land degradation and erosion, desertification; loss of land through urbanisation.
- Pollution.
- Climate and climate change.

Entry points to include environmental considerations in results and strategy

- SEA of sector programmes and strategies, EIA of sector projects.
- Cross-sector dialogue and integration; links with urban areas and transport/trade/ industry sectors.
- Promotion of technical approaches: Integrated Pest Management, organic and low input farming, agroforestry, efficient irrigation, water conservation techniques, land conservation measures, use of local knowledge and local agro-biodiversity, maintenance of corridors for wild species.
- Economic approaches: diversification, access to markets, rural infrastructure, agroindustry and development of transformation activities adding value to natural resources and decreasing losses; reducing damaging subventions, implementing agroenvironmental schemes and incentives or taxes (polluter pays principle).
- Support services; research - training - extension.
- Eco-labelling; certification, quality standards (SPS), awareness and demand of consumers, standards and regulations for the use and handling of pesticides and GMOs.
- Land tenure reforms; secure and fair property rights; equal land distribution; property rights on biodiversity; access rights to natural resources.
- Community and producers organisation.
- Payment for environmental services.
- Policies regarding agro-biodiversity conservation (*in situ, ex situ*).
- Protected areas; buffer zone management; eco-tourism
- Alternatives to excessive exploitation of natural resources

4. Rural development, agriculture and food security

- Forestry and other natural resource management
- Implementation, monitoring and reporting on ratified MEAs, particularly Biological Diversity, Climate Change, Desertification, Hazardous Chemicals , and Persistent Organic Pollutants

Examples of indicators

Land used by agriculture.
Share of area occupied by organic farming in total utilised agricultural area.
Use of selected pesticides.
Percentage of land area at risk of soil erosion or desertification.
Deforestation rate; proportion of land area covered by forest (MDG7, ind. 25).
Round wood production.
Fish catch; fish stocks; fishing quotas; size of spawning stocks.
Intensity of use of forest resources.
Intensity of use of fish resources.
Fishing capacity and size of fishing fleet.
Intensity of use of land.
Intensity of use of water in agriculture.
Intensity of pesticide and fertiliser use.
Ratio of area protected to maintain biological diversity to surface area (MDG7, ind. 26) (and qualitative indicators/criteria).

Additional guidelines and sources of information

UNDP, Decentralized Governance of Natural Resources, 2006.

5. Disaster Risk Reduction and Conflict Prevention

The severity and frequency of disasters and conflicts affect and are affected by environmental conditions, and the policies and practices for natural resources management. The most significant impacts of disasters and conflicts on the environment are usually related to poorly planned recovery efforts. Investments in ecosystems management help to protect local communities from disasters and conflicts. They also bring significant benefits to a range of issues, including poverty alleviation and health. Given the strong linkage between environmental sustainability, climate change, natural disasters and conflict, the UNCT should address the following issues at the earliest stage of cooperation:

- Assess the quality of disaster risk and conflict analysis at country level, particularly the understanding of links between environmental sustainability and the risks of natural disasters and conflicts;
- Understand the important actors involved in disaster and conflict recovery planning, and how they relate to key environmental actors, such as the MoE, as well as the level of understanding about the links between environmental sustainability, disasters and conflicts;
- Identify whether the UNCT has comparative advantage to support country capacities for disaster risk reduction (DRR) and conflict prevention.

Disasters and conflicts can occur at any time in a normal UNDAF cycle. Decision-makers at the

5. Disaster Risk Reduction and Conflict Prevention

national and international levels need rapid information to analyse impacts, set priorities, identify gaps, plan early recovery responses, mobilise resources and engage in advocacy. Timely and high quality information about environmental impacts in these situations, and possible risks to health and livelihoods is critical. But, environmental considerations are often overlooked. It is vital that environmental concerns are integrated in the planning and conduct of Post Disaster Needs Assessments (PDNA) and Post Conflict Needs Assessments (PNNA).

Environmental pressures and impacts to mitigate or enhance

- Impacts and pressures resulting from natural disasters and conflicts (e.g. fires and forest destruction, pollution, abandonment of environmental and natural resources management, illegal and predatory activities).
- Increased pressures on natural resources or vulnerable areas due to population displacements.
- Water pollution, wastes, and unhealthy conditions in shelters and refugee camps.
- Pressures on resources for reconstruction (such as timber or wood for as fuel for the production of bricks).
- Risks from efforts to improve security (e.g. secured villages, forest clearance).
- Overall positive impact of strengthening state institutions.

Environmental factors affecting results and strategy

- Lack of information about risks of natural disasters and conflicts
- Scarcity or low productivity of shared natural resources.
- Unequal availability to resources (or unequal access).
- Valuable resources in disputed areas (border areas).
- Negative environmental impacts with insufficient mitigation or compensation

Entry points to include environmental considerations in results and strategy

Disaster Risk Reduction

- Identify the root causes of disaster risk in terms of hazard, exposure and vulnerability of populations, infrastructure and economic activities.
- Promote a multi-hazard approach that addresses all the major disaster risks which the country faces.
- Develop in-country capacities for DRR at individual, institutional and societal levels
- Reduce vulnerabilities of the poorest, including indigenous peoples and migrants.
- Ensure that development cooperation will not create new or increased risks and vulnerabilities
- Building on what already exists, including utilising lessons learned on DRR together with disaster preparedness and response plans from past development cooperation.

Conflict Prevention

- Conflict prevention in general (usually beneficial to the environment both local and global).
- International and Regional Co-operation on common environmental management issues.
- Establish and manage “Peace parks” (transboundary protected areas).
- Encourage open access to environmental information and transparency of decision making processes.
- Environmental education programmes for refugees and internally displaced people.
- Environmental management of refugees (and internally displaced people) settlements.

5. Disaster Risk Reduction and Conflict Prevention
- Equity, as a contribution to conflict prevention and lower environmental pressures. - Strengthen state environmental institutions and support from the civil society through adequate participation.
Examples of indicators Number or density of refugees (or internally displaced people) requiring fuel wood or water. Proportion of area (protected areas, forests) under the control of appropriate legal institution.
Additional guidelines and sources of information ***Disasters*** Integrating Disaster Risk Reduction into Common Country Assessment and United Nations Development Assistance Framework, UNDG Guidance Note, 2008. In particular, see the checklist for identifying DRR analysis and related gaps, p14-15. Environmental Needs Assessment in Post-Disaster Situations, A Practical Guide for Implementation, UNEP-IASC, 2008. Hyogo Framework for Action 2005 - 2015: Building the Resilience of Nations and Communities to Disasters, ISDR, 2005. ***Conflicts*** Note on Addressing Environmental Issues, Post Conflict Needs Assessment Tool Kit-Draft, UNDG, 2009 From Conflict to Peacebuilding: The Role of Natural Resources and the Environment, UNEP, 2009.

Annex C, Part II: Examples of environmental results and indicators from current UNDAFs [1]

This annex offers examples from current UNDAFs. It shows environmental results and indicators that make an important contribution to the achievement of UNDAF outcomes and national priorities for different areas of cooperation. The final section shows an UNDAF results framework focused on environmental sustainability.

Important:

- Some results and indicators not related to environmental management and protection have been omitted. Please follow the country hyperlinks to see the full UNDAF results frameworks and M&E plans.

- These results and indicators are not being offered as best practice examples. Some results could be made more specific and measurable. Some indicators could be strengthened, or are missing in the original documents. Rather, the intent is to show how different UNCTs and country partners have tried to address the environmental underpinnings of sustainable development across different sectors and themes. They are offered for reflection, and to help generate ideas for how to begin mainstreaming environmental sustainability in the UNDAF.

[1] UNSSC, On-line results matrix, viewed March-April, 2009.; Completed UNDAFs at www.undg.org; UNEP, Strategic Response to Environmental Priorities in Asia and the Pacific Region, DRAFT, March 2009.

Area of Cooperation: Governance and support for economic and institutional reforms
UNDAF: Romania, 2005-2009

National goal: EU accession requirements (National Accession Plan); 2) National Strategy for Public Administration reform; 3) National Strategy on e-administration; 4) Green Paper on Public Services.	
UNDAF outcome: By 2009, administrative capacity at central and local levels is strengthened for the Government to develop, implement and monitor sustainable policies and programs for public service delivery, *environmental governance* and the protection of the rights of vulnerable groups.	
Agency outcome: 1. Environmental governance strengthened at central and local levels and greater compliance with EU environmental standards and international conventions	Indicator: - No, national, sectoral policies in compliance with EU standards and standards in ratified MEAs
Output: Inter-Ministerial Committee on environmental policy functional, integrating environmental considerations into the development and implementation of other policies.	Indicator: - No. inter-ministerial committee meetings - No. sectoral policies and strategies effectively integrating environmental concerns
Output: Staff from Government institutions, civil society and private sector can comply with EU standards and international conventions on biodiversity, trans-boundary effects of industrial accidents and climate change.	Indicator: - No. and quality of working papers, memoranda, departmental decisions related to (i) EU env. Standards; (ii) CBD; (iii) UNFCCC
Output: Compliance plans with cost estimates prepared for each major environmental target	Indicator: - No. compliance plans, meeting EU standards
Output: Pilot projects and awareness campaigns on renewable energy for local and national decision-makers and investors, and inclusion in energy policies	- No. of pilot projects and awareness campaigns implemented - No. energy policies with sections on renewable energy
Other agency outcomes concern: 2. Enhanced cross-sectoral coordination and accountability in policy formulation and implementation for public service delivery 3. Enhanced policies, legislation, and implementation capacity to protect the rights of vulnerable groups 4. Increased capacity of the government to respond to HIV/AIDS 5. Enhanced national capacity for formulation, planning and implementation of population policies	

Area of Cooperation: Poverty Reduction, economic development, employment, and SME development
UNDAF: Botswana, 2010-2016

National goal: Vision 2016: A Productive, Prosperous and Innovative nation. NDP10: to-be determined MDG: Goal 1: Eradicate extreme poverty and hunger ; Goal 7: Ensure Environmental Sustainability;	
UNDAF outcome: By 2016, the rural poor, especially women, enjoy greater benefits from the environment and natural ecosystems.	Indicator: Average monthly in-kind income by rural households) (P422 – 2008)
Agency outcome 4.1: Inclusive policy and institutional environment for sustainable natural resources management.	Indicator: % change in GoB expenditures invested in the environment (2010 estimate)
Output: Improved access to information for decision-making by all stakeholders (government, civil society, private sector and individuals).	Indicator: #of Environmental Information System nodes. # of stakeholders adhering to EIS data standards & protocols # of Mass-Media houses delivering Environmental Awareness messages.
Output: Increased capacity of government, civil society organisations (CSO), and private sector in coordinating, monitoring and reporting on implementation of natural resource management policies & related obligations.	Indicator: # of government and CSOs trained in natural resource management (0-2008). % of stakeholders implementing Multi-lateral Environmental Agreements (MEAs) (0-2008). % of students with passing grades on compliance & enforcement of MEAs (0-2008). % of stakeholders with capacity on Agro-chemicals Management (0-2008). # of laws and policies implemented on Waste Management and Pollution Control (0-2008). # of government and private sector organizations with awareness and skills in Cleaner Production (0-2008).
Output: Environment and conservation mainstreamed into national development and poverty reduction framework.	Indicator: # of organizations with Environment Coordination officers or Mechanisms (0-2008). Economic/financial efficiency accruing from environment mainstreaming in the NDP 10 Mid-Term Review. # of integrated Environmental Management tools (0-2008).
Agency outcome: 4.2 Enhanced capacity of communities for natural resources and ecosystem management and benefit distribution	Indicator: # of CBOs with capacity to develop and implements plans in natural resources and ecosystem management and benefit distribution. (88-2008).

Output: Improved national capacity and community participation (especially women & youth) in management of water resources, including trans-boundary, management, sanitation and hygiene.	Indicator: # of CBOs having Local Capacity for Water Resources Management (0-2008). % of village development committees with appropriate awareness, communication & outreach on sanitation and hygiene. # of laws on Environmental Governance of IWRM.
Output: Enhanced capacity of rural communities, especially women and youth for ecosystem management & benefit acquisition.	Indicator: # of women and youth participating in Natural Resources Management (NRM) planning & implementation (88-2008). %of Local NRM Plans formulated and integrated into Community & District Development Plans (0-2008).
Output: Efficient, cost-effective and inclusive systems for biodiversity (and species) conservation	Indicator: # of Community-level Protected Areas established (1-2008) # of organizations trained in National capacity Building programme on Sustainable Tourism Development in parks and protected areas (0-2008)
Agency outcome 4.3 Enhanced national capacity for climate change adaptation and mitigation	Greenhouse gases emissions inventory. % of government expenditures in climate change adaptation and mitigation. % of government budget allocated and implemented on environment policies and programs.
Output: Increased sectoral capacity to assess vulnerability and monitor impacts of climate change.	# of Guidance Tools for Climate Change Vulnerability Assessments developed and tested. Climate Change impacts on children identified and integrated into a No. of key development policies or adaptation programmes # of Economic Valuation Tools and requisite capacity for assessing Climate Change impacts developed and tested
Output: Multi-sectoral adaptation & mitigation response to climate change developed.	# of District CC Adaptation Plans developed (0-2008). % integration of Climate Change adaptation & mitigation into the Science, Technology & Innovation policy #of Industrial energy management standards implemented
Output: Increased access to cleaner energy services and energy efficiency.	# of Solar rural energy services accessed by rural communities, especially women and youth through efficient private sector institutions(TBD) (% use of solar energy in households). # of Policies developed to support sustainable financing for cleaner energy. % of stakeholders with basic knowledge and using energy efficient systems across sectors (TBD).

Area of Cooperation: Rural development, agriculture and food security
UNDAF: Cambodia, 2006-2010

National goal: Enhancement of Agriculture and Rural Development for Eradicating Extreme Poverty and Hunger by 2015	
UNDAF outcome: By 2010, agriculture and rural development activities have improved livelihoods and food security, as well as reinforcing the economic and social rights of the most vulnerable in targeted rural areas	Indicator: Proportion of rural population whose income is less than the national poverty line: 39 in 1993 to 25 in 2010 Prevalence of stunted children under five yrs of age: 44.6 in 2000 to 28 in 2010
Agency outcome: Increased resources are mobilized and improving productivity and diversification of agriculture in line with cohesive national policies and programs for agriculture and rural poverty alleviation	Indicator: Proportion of resources mobilized for agriculture and rural development
Output: Strategic plans for rural development and agriculture in place following sustainable development principles/commitments Output: Partnerships in place to support the implementation of national policies and programs	
Agency outcome: Increased and more equitable access to and utilization of land, natural resources, markets, and basic services to enhance livelihoods	Indicator: Percentage of land parcels having titles in both urban and rural areas % Land titles showing names of both spouses Female Share in wage employment in Agriculture: 35 in 1998 to 50 in 2010 Surface of fish sanctuary (thousand ha): 264 in 2000 to 581 in 2010 No. community-based fisheries: 264 in 2000 to 464 2010
Output: Strengthened capacity to enforce international conventions and national legislation and regulation Output: Improved access to financial and capital assets markets, and business services for entrepreneurship for rural poor men and women Output: Enhanced management capacity of government and empowerment of local communities in sustainable land and water management, use of natural resources, and environmental protection Output: Strengthened processes in mine action with emphasis on making land available to the rural poor men and women	
Agency outcome: The rural poor and vulnerable using their enhanced skills, abilities and rights to increase productivity	Indicator: Share of the poorest quintile in national consumption, 7.4% in 1993 to 10 in 2010
Output: Lower cost and environment friendly technology for energy production, agro-processing and integrated farming system in place Output: Enhanced capacity and skills of local communities to increase productivity through sustainable use of natural resources	
Agency outcome: Enhanced resilience to shocks Output: Emergency preparedness and response plan in place Output: Enhanced capacity to manage risks and respond to natural and man-made shocks	Indicator: Proportion of population below the food poverty line: 20 in 1993 to 13 in 2010

Area of Cooperation: Disaster Risk Reduction
UNDAF: Maldives, 2008-2010

National goal: Seventh National Development Plan: Protecting the environment and making people and property safer	
UNDAF outcome 2 By 2010 communities enjoy improved access to environmental services and are more capable of protecting the environment and reducing vulnerability and disaster risks	Indicator: Vulnerability and Risk Rating of Maldives by region Percentage of national budget allocated for environmental services
Agency outcome 2.1 Environmental services and protection measures benefit more communities with greater participation of youth in planning and implementation	Indicator: Percentage of households with access to safe drinking water (Malé/Atolls) Percentage of inhabited islands with access to managed waste disposal sites
Output: National environmental standards and guidelines are made available to guide sectoral policies, programmes and local practices (waste management, water and sanitation, environmental health, land management and coastal modification)	Indicator: National Environmental standards and guidelines developed Percent of Islands and Atoll Development Committees aware of and utilizing national environmental standards
Output: Local communities have skills and resources to operate and manage environmental infrastructure in a sustainable manner (waste management, water and sanitation and renewable energy technology built during the tsunami recovery)	Indicator: No. of WES systems established with UN tsunami funding are operated by local communities No. of local communities enforcing environmental management responsibilities that has been devolved to them
Agency outcome 2.2 Communities better able to manage the impacts of climate change and reduce disaster vulnerabilities	Indicator:
Output: Communities have increased knowledge and are better informed on appropriate options and mechanisms for mitigation of, and adaptation to climate change and disasters	Indicator: Percent of population trained for sustainable disaster management (age/sex) Percent of trained persons who apply their new skills
Output: National, atoll, island and sectoral disaster management plans and climate change adaptation plans developed and implemented in pilot areas	Indicator: No. National, Atoll, Island and Sectoral disaster management plans developed No. Emergency Operation Centres with fail safe communication at national and regional level

Area of Cooperation: Conflict Prevention
UNDAF: Nepal, 2008-2010

National goal: New and decent employment and income opportunities Infrastructure, especially rural infrastructures	
UNDAF outcome C: By 2010, sustainable livelihood opportunities expanded, especially for socially excluded groups in conflict-affected areas.	Indicator: Proportion of population below national poverty line (Baseline: 31% (2004) Proportion of population below minimum level of dietary energy consumption.
Other agency outcomes concern: C1. Policies, programmes and institutions for poverty reduction, and protection of workers; and C2. Improved household food security for enhanced resilience to shocks.	
Agency outcome C3: Environment and energy mainstreamed into national and local development planning with a focus on gender, social inclusion, and post-conflict environmental rehabilitation.	Indicator: - Infrastructure development plan of the government integrates environmental concerns (y/n) - Mechanism for budget allocation to support energy and environment friendly interventions at local and national level in place (y/n)
Output: Capacity of national and local government for biodiversity conservation enhanced.	Indicator: - Biodiversity conservation policy in place (y/n) - Framework for setting priority for energy and environment friendly interventions (y/n)
Output: Equitable access to environment and energy services expanded for women, the poor and socially excluded groups.	Indicator: - % of people relying on wood as their main fuel. Baseline: 69.1% (NLSS 2004) - % of women and excluded households in the selected programme areas benefited from energy and environmental services (Baseline: TBD)
Output: National capacity enhanced to introduce green accounting, access global funds to implement MEAs and benefit from carbon trade to support climate change adaptation	Indicator: - Framework for green accounting in place - Capacity gap analysis to implement MEAs - National adaptation programme of action (NAPA) for climate change in place
Agency outcome C4: Risks of natural hazards to rural and urban livelihoods and infrastructure reduced.	Indicator: - Key sectoral plans and policies incorporate management of natural hazard risks
Output: Planning capacities of selected government bodies and municipalities enhanced to integrate disaster risk management into plans.	Indicator: - An early recovery preparedness framework developed for municipalities - No. Districts with emergency response plans for health sector
Output: Implementation capacities of national and local government, civil society and CBOs enhanced for disaster mitigation, preparedness, emergency response and early recovery,	Indicator: - No. of hazard resistant community based disaster risk reduction models demonstrated in selected districts - No. of households benefiting from targeted interventions of disaster mitigation, preparedness, emergency response and early recovery

Area of Cooperation: Environmental Sustainability
UNDAF: Mongolia, 2007-2011

National goal: MDG7: Ensure environmental sustainability • Mongolia MDG Goal 1, 3, 7, 8&9 : • EGSPRS: Goal to enhance regional and rural development and environmentally sustainable development with a focus on addressing the rural-urban disparities in economic growth and service delivery.	
UNDAF outcome 3 A holistic approach to environmentally sustainable development is promoted and practiced for improving the wellbeing of rural and urban poor.	Indicator: Extent of resource degradation and related processes reduced
Agency outcome 3.1 Improved environmental governance is practiced.	Indicator: - No. of environmental laws, regulations revised, and newly adopted in favour of better environment governance - No. of CSO s advocating environment governance and conservation - No. acting CBOs in rural areas with sustained collaboration with LG, BZC and PAA - No. of violations of environmental laws and regulations
Output: Coordination between government institutions improved and the responsibilities clarified for efficient natural resource management Output: National capacity to implement and monitor policies and legislation is strengthened with feedback and accountability mechanism to civil society Output: The impact of the depletion of non-renewable resources and environmental degradation are assessed and corrective actions are fully reflected and addressed in national, local and sectoral plans. Output: Role and capacity of community-based organizations increased in decision-making for natural resources management practice. Output: BXC and PAA have increased capacity to compile and disseminate environmental data	
Agency outcome 3.2 Risks and consequences of natural disasters are minimized.	Indicator: - Adequacy of disaster response at national and community level (lives saved; spread of diseases, pollution prevented/ mitigated) - Number and scope of educational activities about disaster prevention - Number and scope of preventive measures currently in place at national and local levels - Quality of legal and management frameworks and enforcement
Output: Legal and management frameworks for disaster prevention reviewed and strengthened Output: Public has enhanced education and awareness of disaster preparedness and mitigation Output: Improved national and community disaster preparedness and response systems to prevent, mitigate emergencies	

Agency outcome 3.3 Improved water and sanitation management is practiced.	Indicator: - Total households with improved water supply (Baseline: 44.6%) - Total households with improved sanitation (Baseline 28.2%) - Urban population with access to safe drinking water (Baseline 77.3%) - Rural population with access to safe drinking water (Baseline: 33%) - Total population with access to safe drinking water (Baseline: 60%) - Population with adequate sanitation facilities (Baseline: 28.2%)
Output: Community ownership over water sources improved and their capacity to maintain/manage their wells in a sustainable manner is strengthened Output: Institutional capacities enhanced to manage, regulate and monitor the delivery of water and sanitation services in poor rural/ urban areas Output: Improved water quality monitoring, water treatment and adequate sanitation services is promoted	
Agency outcome 3.4 Access to energy efficient options for poor households is increased.	Indicator: - Comprehensive energy efficient programme and policy developed and approved - Number of rural households newly connected to electricity - Reduced use of firewood and coal - Pilots on alternative sources of renewable energy conducted
Output: Government has pro-poor, energy efficiency policies and planning, and skills to implement them Output: Effective and affordable technologies for renewable energy and their accessibility to the poor households is promoted Output: Small and Medium sized entrepreneurs have acquired necessary knowledge and skills for renewable energy production	
Agency outcome 3.5 Forest depletion and land degradation is reduced.	Indicator: - Percentage of land area covered by forest (Baseline 8..2% in 2000) - Forest area under community protection - Survival rate of reforested seedlings - Reforested area with over 50% of survival rate - No. of forest fires - No. of recorded illegal logging - Pastoral area under rotational grazing scheme
Outputs: Rural communities and local governments able to manage pastures effectively, to combat desertification and to improve soil of arable land. Outputs: Collaboration between local people and environmental inspectors is enhanced in preventing violations of the laws and regulations. Outputs: Reforestation is more effective through improved technology and management.	

Annex D. Cross-cutting Environmental Guidelines

This annex offers links to cross-cutting environmental guidelines and resources that may be of particular relevance during UNCT efforts to support country analysis and UNDAF preparation.

The annex is organized according to the following themes:

1. Environmental governance
2. Natural Resources and ecosystems management
3. Climate Change, Natural Disasters, and Conflict
4. Chemicals Management
5. Resource Efficiency

This annex is a work in progress, and will be updated as new resources are developed.

1. Environmental Governance

Mainstreaming poverty-environment linkages into development planning

Mainstreaming Poverty Environment Linkages into Development Planning, PEI, 2009.

Making the Case: A Primer on the Economic Arguments for Mainstreaming Poverty-Environment Linkages into National Development Planning, PEI, 2008.

Manual on Compliance with and Enforcement of MEAs, UNEP, 2006.

Other publications on environmental law from UNEP

Indigenous Peoples

Guidelines on Indigenous Peoples' Issues, UNDG, 2008.

ICTs for environmental analysis

ICTs for e-Environment, Guidelines for developing countries with a focus on climate change, ITU, 2008.

Guidelines for e-Environment Assessment and the e-Environment readiness index are under development by ITU.

2. Natural Resources and ecosystems management

Biodiversity

Mainstreaming Biodiversity into Sectoral and Cross-Sectoral Strategies, Plans and Programmes, CBD, July 2007.

3. Climate Change, Natural Disasters, and Conflict

Climate Change

A UNDG guidance note is expected in 2009.

Natural Disasters

Integrating Disaster Risk Reduction into Common Country Assessment and United Nations Development Assistance Framework, UNDG Guidance Note, 2008.

Environmental Needs Assessment in Post-Disaster Situations, A Practical Guide for Implementation, UNEP-IASC, 2008.

Hyogo Framework for Action 2005 - 2015: Building the Resilience of Nations and Communities to Disasters, ISDR, 2005.

Conflict prevention and recovery

Note on Addressing Environmental Issues, Post Conflict Needs Assessment Tool Kit-Draft, UNDG, 2009

From Conflict to Peacebuilding: The Role of Natural Resources and the Environment, UNEP, 2009.

4. Chemicals Management

Sound Management of Chemicals (SMC):

Integration of Sound Management of Chemicals (SMC) Considerations into National Development Planning Processes, UNEP-UNEP, 2008

5. Resource Efficiency

Sustainable Consumption and Production& Resource Efficiency (SCP & RE)

Mainstreaming Sustainable Consumption and Production and Resource Efficiency (SCP and RE) into Development Planning, February 2009.

Issue Brief: Sustainable Consumption and Production and Resource Efficiency, Feb 2009. *Available from mid-year 2009 at www.unep.fr/scp/poverty/publications*

Annex E. Performance and Accountability Mechanisms

The performance expectations and accountability mechanisms for mainstreaming environmental sustainability in country analysis and the UNDAF are **process-oriented**. They include:

- **Two performance indicators** to show that a process of mainstreaming environmental sustainability has been initiated;
- **A checklist of key questions** to help assess how well environmental sustainability concerns were addressed during country analysis and UNDAF preparation

Indicators

The performance indicators for mainstreaming environmental sustainability in country analysis and the UNDAF are:

1. **Screening for environment during country analysis** (see 4.1, Annex A.1) to get a rapid understanding of any critical environmental issues, how they relate to national development priorities, and how well the country has been able to set and monitor context specific targets for environmental sustainability; and

2. **Preliminary environmental review of draft UNDAF results** (see 4.4, Annex A.5) to:
   - Flag potential environmental issues;
   - Stimulate additional dialogue with country partners; and
   - Indicate the need for a more detailed screening during agency programme and project formulation.

Quality Assurance Checklist for Environmental sustainability

This is a checklist of key questions to help the UNCT, RDT, and PSG to assess how well environmental sustainability concerns were addressed during country analysis and UNDAF preparation.

Focus	Points to be reviewed
Planning process	1. Was the scanning for environment in country analysis[1] completed? 2. Did it highlight: - The key environmental problems and their importance for economic and social development, particularly poverty reduction? - Constraints in progress towards, or critical gaps data and analysis about, national environmental goals, MDG7 targets, and the goals and targets of ratified international environmental agreements (MEAs)? 3. Were environmental stakeholders and key planning and policy processes included in the mapping exercise? 4. Were UNCT comparative advantages considered to support policy and programming for environment and natural resources management?
UNCT support for country analysis	5. Did the UNCT's support for country analysis include environmental issues? 6. If yes, did it help to identify: - The environmental causes or potential impacts of major national development problems? - Capacity assets and development needs for action on environment-development issues, including data collection and analysis; - Environmental factors that may contribute to risks of natural disasters and conflicts.
UNDAF preparation	7. Was the environmental review of draft UNDAF results[2] completed? 8. If yes, did it result in changes to UNDAF results and indicators to better integrate environmental opportunities or anticipate negative environmental impacts, and to address national environmental priorities and commitments?

[1] See UNDG Guidance Note, Environmental Sustainability in Country Analysis and the UNDAF, section 4.1, and Annex B.1.
[2] *Ibid.*, See section 4.4, and Annex B.6.

Annex F. Environmental Sustainability: History, Underlying principles, and Linkages

A brief history of environmental sustainability

Global awareness about environmental sustainability has evolved slowly since the industrial revolution. While the UN charter does not address the natural environment directly, demands for greater environmental protection and management accelerated in the 1960s. Drivers of this process include the publication of Silent Spring (1962), and the formation of Green Peace (1971) and other global and regional advocacy groups, and the Apollo space missions that showed earth as a unique and fragile biosphere. In 1972, the first UN Conference on the Human Environment in Stockholm declared 26 principles on the human environment. This period also saw the gradual establishment of national environment ministries, and regional and global structures for environmental policy and governance. Environmental disasters like the Chernobyl reactor meltdown, the Exxon Valdez spill, the Bhopal chemical, Acid rain, and devastation of global fish stocks have also played a critical role in mobilizing public opinion in favour of environmental regulation.

These events culminated in the formation of the 1987 Brundtland Commission, the publication of Our Common Future, and the 1992 Rio "Earth Summit" (UNCED) that defined and popularized the concept of sustainable development. They catalyzed global action and global agreement to the Rio Declaration, Agenda 21, and gave rise to a large and growing number of global environmental agreements, notably the UN Conventions on Climate Change, Biological Diversity, and Desertification. The Millennium Summit and Declaration (2000) gave countries the Millennium Development Goals (MDGs), including MDG7 with timebound targets for ensuring environmental sustainability. These were endorsed at the World Summit on Sustainable Development (2002). And while these goals and targets have limitations (see 3.2 below), they have ensured that no governments can risk the political ostracism that comes from ignoring the environmental underpinnings of sustainable development. Most recently, the findings of the Intergovernmental Panel on Climate Change (IPCC) have earned widespread recognition of global warming and the threat to human livelihoods from climate change.

The Contribution of the Environment in Achieving the MDGs[1]

Goal	Poverty-environment linkages
Poverty 1. Eradicate extreme poverty and hunger	• Livelihood strategies and food security of poor households typically depend directly on ecosystem health and productivity and the diversity of services they provide. • Poor households often have insecure rights to land, water, and natural resources, as well as inadequate access to information, markets, and rights to participate in decisions that affect their resource access and use, thus limiting their capability to use environmental resources sustainably to improve their livelihoods and well-being. • Vulnerability to environmental risk—such as floods, droughts, and the impacts of climate change—undermines people's livelihood opportunities and coping strategies, thus limiting their ability to lift themselves out of poverty or avoid falling into poverty.
Gender and education 2. Achieve universal primary education 3. Promote gender equality and empower women	• Environmental degradation contributes to an increased burden on women and children (especially girls) in terms of the time required to collect water and fuel wood, thus reducing the time they have available for education or income-generating activities. • Including the environment within the primary school curriculum can influence the behaviour of young people and their parents, thereby supporting sustainable livelihoods. • Women often have limited roles in decision-making, from the community level to national policymaking, which prevents their voices from being effectively heard, particularly with respect to their environmental concerns. • Women in particular often have unequal rights and insecure access to land and natural resources, limiting their opportunities and ability to access productive assets.
Health 4. Reduce child mortality 5. Improve maternal health 6. Combat HIV/AIDS, malaria, and major diseases	• Water- and sanitation-related diseases (such as diarrhoea) and acute respiratory infections (primarily from indoor air pollution) are two of the leading causes of under-five child mortality. • Damage to women's health from indoor air pollution and/or from carrying heavy loads of water and fuel wood can make women less fit for childbirth and at greater risk of complications during pregnancy. • Malaria, annual killer of an estimated 1 million children under age five, may be exacerbated as a result of deforestation, loss of biodiversity, and poor water management. • Up to a quarter of the burden of disease worldwide is linked to environmental factors—primarily polluted air and water, lack of sanitation, and vector-borne diseases. Measures to prevent damage to health from environmental causes are as important, and often more cost-effective, than treatment of the resulting illnesses. • Environmental risks, such as natural disasters, flooding, droughts, and the effects of ongoing climate change, affect people's health and can be life-threatening.
Development partnership 8. Develop a global partnership for development	• Natural resources and sustainable environmental management contribute to economic development, public revenues, the creation of decent and productive work, and poverty reduction. • Developing countries, especially small island states, have special needs for development assistance, including the capacity to adapt to climate change as well as to address other environmental challenges, such as water and waste management.

[1] Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009. 10.

Underlying principles of environmental sustainability for UN Country Programming

A range of underlying principles are associated with Environmental Sustainability[2].They are incorporated in a piecemeal fashion in hundreds of international environmental agreements, and in national laws and regulations. This reflects the gradual, often tentative, evolution of environmental law, and how it has shifted in theory and practice from a focus on *clean-up* towards today's emphasis on *prevention* and *integration* in development planning.

But the principles are not settled. Their legal status varies from country to country and is subject to strong disagreement. They cannot be applied rigidly everywhere, nor can they serve as strict decision-making criteria. Some principles are more like guidelines, offering policy choices that do not necessarily give rise to specific legal rights and obligations. Context is critical and application will always be country-specific.

Despite these limitations, the principles of environmental sustainability are a global good. They represent an ongoing, common endeavour to place environmental sustainability at the very centre of national development debates, with a focus on equity, risk, and adaptability. The UNCT has the mandate and responsibility to represent these principles, and to apply them strategically with country partners during efforts to support country analysis, influence national development priorities, and prepare the UNDAF. From the long list of principles for environmental sustainability[3], six (6) are particularly important for reflection and action by the UNCT and country partners during UN supported country programming:

- Integration and Interdependence;
- Transparency, Public Participation, and Access to Information and Remedies;
- Precaution;
- Polluter-Pays;
- Responsibility for trans-boundary Harm; and
- Subsidiarity & Decentralisation.

Integration and Interdependence

At a practical level, this is about environmental policy integration or mainstreaming of environmental concerns into other policy areas. It places the environment at par with other economic and social aspects of decision-making and it demands a coordinated effort across different sectors and institutions. Increasingly, it is recognized that policy integration requires the examination of political, institutional and managerial aspects. The approach is best illustrated by efforts to mainstream poverty-environment linkages in national development planning[4], with its front-end emphasis on understanding the political and institutional context and the key actors and their levels of influence over policy decisions. It focuses on making the case for pro-poor environmental results.

For example, the **Botswana UNDAF** shows how this principle can be applied to strengthen UN country programming. The UNDAF highlights the over-reliance of national development plans on diamond mining and vulnerabilities to climate change. It identifies the need to better integrate environmental concerns into governance mechanisms and the macro-economic policy and poverty reduction frameworks. UNDAF results also include support for community development to improve natural resource management, conservation and adaptation.

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[2] These principles emerge mainly from the 1972 Stockholm conference on the Human Environment, the1992 Earth Summit in Rio de Janeiro, and the 2002 World Summit on Sustainable Development in Johannesburg.

[3] UN, REPORT OF THE UNITED NATIONS CONFERENCE ON ENVIRONMENT AND DEVELOPMENT, Annex I RIO DECLARATION ON ENVIRONMENT AND DEVELOPMENT, Rio de Janeiro, 3-14 June, 1992, UN General Assembly, A/CONF.151/26 (Vol. I).

[4] Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009.

Transparency, Public Participation, and Access to Information and Remedies
Established by principle 10[5] of the Rio Declaration, and included in most international environmental agreements, this is the political right to information and public participation, and the civil right of access to judicial and administrative proceedings, including redress and remedy. It establishes that:

- Environmental issues are best handled with the participation of all concerned citizens;
- States must encourage public awareness and participation by making environmental information widely available; and
- States must put in place mechanisms for environmental mitigation and compensation when damage occurs.

The UNCT must ensure that there is meaningful public engagement about any UNDAF results that might have negative environmental impacts. On a country-by-country basis the UNCT may also have comparative advantage to support government efforts to strengthen public participation in planning.

Precaution
The precautionary principle asserts that "*where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation*." It has four central components:

- Preventive action in the face of uncertainty;
- The burden of proof rests with the proponents of an activity;
- Exploring a wide range of alternatives to possible harmful actions;
- Increasing public participation in decision-making.

Use of the precautionary principle is increasing, but still controversial. For the UNCT, it is essential that that the UN at country level act as an impartial advocate for preventive environmental assessment during the preparation of national development plans or PRS.

Polluter Pays
In its strict form the polluter pays principle aims to internalise the external costs of pollution by assigning liability to the polluter. Simple in theory, it is more complicated to apply because it requires financial valuation of damage to the environment. While the principle is still controversial, it is slowly gaining acceptance in national law. For the UNCT, this is an entry point to engage country partners in a more upstream discussion about how internalizing environmental costs can encourage investments in effective solutions and discourage certain behavior. One way of internalizing environmental costs is through fiscal incentives or disincentives, such as environmental fiscal reform.

Responsibility for Transboundary Harm
This is a widely accepted principle, adopted in Stockholm and Rio and included in numerous global environmental agreements. It stresses that states must ensure that activities under their jurisdiction or control do not cause damage to the environment of other states or areas beyond national jurisdiction. This is important for UNCT consideration when supporting national policies that might cause transboundary pollution or contribute to regional disputes, particularly in the area of water

[5] "Environmental issues are best handled with the participation of all concerned citizens, at the relevant level… States shall facilitate and encourage public awareness and participation by making information widely available." – Rio Declaration (principle 10)

management. Under the UNDAF, the UNCT may also want to promote the co-management of shared resources, or the establishment transboundary protected areas or watershed management.

Subsidiarity & Decentralisation

The subsidiarity principle asserts that decisions about development priorities and any related environmental problems are best made by the people directly affected, or on their behalf by authorities closest to them. Support for decentralization, whether political, administrative or fiscal, is a common theme in many UNDAFs. UNCTs must not fail to grasp the opportunities that arise for improved environmental decision-making and management. Local institutions and people have better knowledge of the environmental and socio-economic problems of the area and therefore are best placed to enhance and protect the environment if they are given clear rights and obligations with regard to natural resources management.

Links between environmental sustainability and the other principles of UN country programming

This section provides a brief overview how environmental considerations strengthen and add value to the other 4 principles of UN country programming.

Human Rights Based Approach (HRBA) to programming

During country programming, UNCTs and country partners must grapple with two very different frameworks: Human rights (HR) treaties which protect the entitlements of human beings, and the MEAs (and related national mechanisms) which apply mainly to ecosystems. Fortunately, there are linkages between the two. While no global HR treaty explicitly recognizes a "*right to a healthy environment*", there is widespread and intuitive acceptance that **the fulfillment of human rights requires basic environmental health, and vice versa**. Likewise, each of the major MEAs contains an article stemming from principle 10 of the Rio Declaration related to the political right to information and public participation, and the civil right of access to judicial and administrative proceedings, including redress and remedy.

Using these linkages, it is possible to see the two frameworks as inter-dependent and complementary[6]. In the language of a HRBA, the environment (Eg. forests, rivers, toads) is not a rights holder. But **there are obligations to the environment in the signing of a MEA and in related national laws and mechanisms, with the state as the primary duty-bearer**. Including environmental concerns in a HRBA will help governments to recognize their obligations to the environment, and the casual links between environmental health and human rights. It will also help rights holders – especially communities that are highly dependent on natural resources – to have the knowledge and avenues to demand stronger environmental regulation and management from duty bearers. The following table shows the 4 critical development questions that a HRBA helps to answer, and the insights that come from considering environmental dimensions[7].

[6] For more discussion see: Dias, A., Human Rights, Environment and Development (part I), Human Development Report 2000, Background Paper, 2000. and Shelton, D., Human Rights and Environment Issues in Multilateral Treaties Adopted between 1991 and 2001, Background paper No. 1. Joint UNEP-OHCHR Expert Seminar on Human Rights and the Environment, 2002.

[7] Results of UNEP-UNSSC pilot training: Environmental Sustainability & UN Country Programming, 2008

A HRBA helps the UNCT and country partners to answer…	Environmental dimensions
What is happening, who is more affected, why?	➢ What are the environmental causes of the problem and impacts of it? Who is most affected?
What are they entitled to?	➢ What environmental legislation exists (national and MEAs) and how do these address the problem?
Who has to do something about it?	➢ Who are the responsible parties under existing laws? ➢ What other development actors can provide resources or technical expertise?
What do they need to take action?	➢ What capacities are needed by both duty bearers and rights holders to strengthen environmental management and protection?

Gender equality

There are strong linkages between environmental sustainability and gender equality (*the goal*), and gender mainstreaming (*the approach*). Men and women perceive their environmental surroundings and manage their natural resources differently, according to their gender roles. Women's economic development and the resilience of their households is often determined by their access to or ownership of natural resources. But because of power disparities, women have less control over natural resources than do men. Women and girls often ensure household food security and do the bulk of water and household fuel collection. This burden increases if drought, floods, erratic rainfall, and deforestation undermine the ecosystems on which they depend. Given their responsibilities for family well-being, it means that when the environment is degraded, women and girls suffer first. Accountability for the protection of the environment and sustainable use of resources is an important gender issue. Women must have the opportunity to play a role in decision-making about the management of natural resources in their countries and communities[8].

Results based management (RBM)

RBM is a planning and management approach. It focuses time and resources on the achievement of the results expected from programme and project cooperation that have been planned together with country partners. RBM provides a process and structure for formulating results and managing for their achievement. It does not prescribe their substance. However, the formulation of results should be linked to a quality analysis of the problem and its underlying causes. This suggests that results related to environmental management and protection should figure prominently, contributing to outcomes across many sectors or themes, such as governance, enterprise development, health and education. See examples in **Annex C, part II**.

Capacity development

The UNCT must aim to develop lasting in-country capacities at individual, institutional and societal levels, which help rights-holders to claim their rights, and duty-bearers to meet their obligations. The UNDG Position Statement on Capacity Development highlights when and how UNCTs can address capacity development in their efforts to strengthen country analysis and prepare the UNDAF. In relation to environmental sustainability, this will often focus on support for capacity

[8] For more discussion see: UNIFEM, Progress of the World's Women 2008/09, MDG7 and Gender – Multimedia Report, viewed March 30, 2009., and UNEP-GRID Arendal, Environment Times – No hope without gender equality, viewed March 30, 2009.

assessments[9] to understand gaps in environmental analysis and environmental management policies and practices. Based on country experiences, UNCTs can support the development of new capacities to:

- Analyse environment-development linkages;
- Support the development of a country analytical framework and strategy for environmental sustainability, and a set of indicators that capture the highest-priority environmental issues and challenges in a country;
- Support the integration of environmental indicators into sectoral plans, improved monitoring and reporting, and use of results for sectoral and regional planning.
- Strengthen implementation and monitoring of ratified MEAs and related national environmental mechanisms;
- Support to prepare and review MDG report and National Human Development Reports;
- Strengthen coordination between the economic ministries and the environment ministry, departments and bodies;
- Facilitate planning with communities and groups closest to the source of environmental problems, so as to capitalize on their knowledge and skills for environmental decision-making and management; and
- Develop environmental information and communication technologies for more responsive planning and greater accountability.

[9] See the UNDG Capacity Assessment Methodology User Guide

Annex G. Glossary of Key Terms and Acronyms

Key Terms

- **Environment:** All the living (biodiversity) and non-living things occurring naturally on Earth, and the interactions between them.

- **Ecosystem:** A community of organisms living in a particular habitat, such as a pond or forest. It is a dynamic complex of plant, animal, fungal, and microorganism communities and their associated non-living environment interacting as an ecological unit. Ecosystems have no fixed boundaries. Their parameters are set according to the scientific, management, or policy question being examined. For example, a single lake, a watershed, or an entire region could be an ecosystem.

- **Ecosystem services:** The benefits people obtain from ecosystems:
  - Provisioning services such as food, fibre and fresh water;
  - Regulating services such as climate and growing seasons;
  - Cultural services such as recreation, spiritual enrichment, and beauty;
  - Supporting services necessary for all other services (Eg. production of oxygen, soil, and biomass)

- **Sustainable development:** Development that meets the needs of the present without compromising the ability of future generations to meet their own needs. It includes economic, environmental, and social sustainability, which can be achieved by rationally managing physical, natural, and human capital.

- **Environmental sustainability:** The longer term ability of natural and environmental resources and ecosystem services to support continued well-being.

- **Mainstreaming:** The process of systematically integrating a selected value, idea, or theme into all domains of an area of work or system. It involves an iterative process of change in the culture and practices of institutions.

- **Mainstreaming environmental sustainability in country analysis and UNDAF:** Mainstreaming environmental sustainability in country analysis and UNDAF is a dynamic process undertaken by the UNCT with country partners. It asks them to:
  1. **Understand critical development-environment linkages**, including linkages with Multilateral Environmental Agreements (MEAs);
  2. Use this knowledge to **influence** the national development framework and priorities for the UNDAF;
  3. **Anticipate environmental opportunities and constraints as early as possible** in UN supported programmes and projects; and
  4. **Support country partners** to track progress towards their national environmental goals, MDG7 targets, and the goals and targets of ratified international environmental agreements.

For more environmental definitions relevant to UN country programming, please see:
- The Biodiversity glossary at the World Resources Institute;
- The Climate change glossary at the site of the UNFCCC; and
- The glossary of Mainstreaming Poverty-Environment Linkages into Development Planning: A handbook for practitioners, PEI (UNDP-UNEP), 2009.

Acronyms

The following abbreviations are used in the main text and in the annexes. This list does not include the acronyms of UN agencies, which are listed at: www.un.org

AWP	Annual Work Plan
CA	Country Analysis
CCA	Common Country Assessment
CSO	Civil Society Organization
DRR	Disaster Risk Reduction
EIA	Environmental Impact Assessment
ExCom	Executive Committee Agency (UNDP, UNFPA, UNICEF, WFP)
HRBA	Human Rights Based Approach
ICT	Information and Communication Technology
JPOI	Johannesburg Plan of Implementation
JSM	Joint Strategy Meeting
MD	Millennium Declaration
MDGs	Millennium Development Goals
MEA	Multilateral Environmental Treaty
M & E	Monitoring & Evaluation
NDP	National Development Plan
NGOs	Non-Governmental Organisations
PRS/PRSP	Poverty Reduction Strategy/ Poverty Reduction Strategy Paper
PSG	Peer Support Group
QSA	Quality Support and Assurance
RBM	Results Based Management
RDT	Regional Directors' Team
SEA	Strategic Environmental Assessment
SMART	Specific – Measurable – Achievable – Relevant – Time-bound
SPR	Strategic Planning Retreat
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group

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