



# Evaluation

of the Environment Policy  
of the Austrian Development Cooperation  
and its implementation by the main ODA Actors 2007–2014

Final Report  
Volume 2 – Annexes

**Imprint**

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This is an independent evaluation report. Views and conclusions expressed do not necessarily represent those of the contractors.

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# Annex 1. Terms of Reference

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## 1. Background

### 1.1. Environment and Development Cooperation

“Preserving the environment and protecting natural resources that form the basis for sustainable development” is one of the three primary objectives of the Austrian Development policy, as defined by the Federal Act on Development Cooperation.

The mission statement of the Three-year Programme on Austrian Development Policy 2013–2015 states: “We are for environment-friendly development, the sustainable use of natural resources and the protection of habitats in urban and rural areas. This is why we promote localised approaches that combine modern technologies and local skills.” Environment/Climate change is defined as one of three cross-cutting issues, climate change also being mentioned in one of three thematic pillars, “Water supply, energy, climate protection, agriculture and forestry”.

People in developing countries are particularly dependent on natural resources. Desertification, deforestation and the loss of biodiversity have direct effects on food security and income. Insecure land rights, lack of access to environmental information and the impacts of ecological disasters pose a grave threat to their survival. Laws are not often implemented properly; capacities in ministries, regions, municipalities and institutions are generally weak. Not least, unsustainable production methods and consumer habits in the industrialised countries have worked to the detriment of the developing countries, raising pressure on natural resources. All countries therefore bear responsibility for sustainable development on our planet.

The Austrian Development Cooperation is committed to the UN environmental conventions, EU policy principles and to the OECD Paris Declaration on Aid Effectiveness. It attaches special value to acting in partnership, considering the cultural and social setting of cooperation measures and to gender equality and the empowerment of women.

In addition it seeks to do the following:

- Harnessing synergies between environmental protection and poverty reduction
- Preventing adverse and maximising beneficial environmental impacts
- Adopting integrated, multi-sectoral approaches, wherever possible
- Promoting local ownership and management of natural resources
- Advocating the integration of environmental protection in national development plans
- Helping to raise awareness and develop capacity in environmental protection
- Promoting a holistic approach to environmental goods and equitable sharing of the benefits of environmental protection
- Engaging in international cooperation and contributing to implementing environmental conventions
- Drawing on experience and know-how in Austrian society.

## 1.2. National Actors and Strategy

The three ministries tasked with environment and development cooperation which are committed to a “whole of government”- approach are: the Federal Ministry for Europe, Integration and Foreign Affairs (Bundesministerium für Europa, Integration und Äußeres, BMEIA), the Federal Ministry of Agriculture, Forestry, Environment and Water Management (Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft, BMLFUW) and the Federal Ministry of Finance (Bundesministerium für Finanzen, BMF). In the present document, those three ministries and the Austrian Development Agency (ADA) are referred to as “main ODA actors”.

Already since the early 1990s, the Department of Development Cooperation and Cooperation with Eastern Europe of the Federal Ministry of Foreign Affairs – today BMEIA - had commissioned external consultants as advisors for Environment as a cross-cutting issue of Development Cooperation, and to conduct the environmental screening mandatory for bilateral development cooperation interventions of OECD and EU member states since 1997. In the course of the foundation of the Austrian Development Agency (ADA) in 2004<sup>1</sup>, two advisors of environment & natural resources became members of the Quality Assurance & Knowledge Management unit. The other two main ODA actors (BMF, BMLFUW) are also represented in ADA’s supervisory board.

The Federal Ministry of Agriculture, Forestry, Environment and Water Management (BMLFUW) is engaged in many international processes on environment and sustainable development as well as multilateral environmental agreements (MEAs). All MEAs, e.g. United Framework Convention on Climate Change (UNFCCC), Convention on Biological Diversity (CBD), ask for support for developing countries in their efforts to implement environmental goals. Behind this background the BMLFUW has been involved in poverty eradication aspects since many years and provides via contributions to Convention budgets and funds as well as bilateral projects support for developing countries. In the context of climate finance Austria adopted an international climate finance strategy in 2013 and established a new inter-ministerial working group dedicated to this topic which is coordinated by the BMLFUW.

In the Federal Ministry of Finance (BMF), the department dealing with “International Financial Institutions (IFIs)” is responsible for Austria’s cooperation with special funds managed by IFIs. The BMF contributes to the Global Environmental Facility (GEF), the Global Facility for Disaster Risk Reduction (GFDDR), the Energy Sector Management Assistance Programme (ESMAP), the Sustainable Energy and Climate Change Initiative (SECCI) managed by the IDB (Inter-American Development Bank) and some other smaller funds with energy or climate related focus. While BMEIA and BMF as well as ADA are dealing with specific issues of development co-operation, the BMLFUW is in charge of international environmental policies.

All main ODA actors aim to mainstream environmental issues in their development cooperation approach.

In order to strengthen the coherence and effectiveness of Austrian Development Funding for Environmental Protection and Sustainability and to increase networking and

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<sup>1</sup> ADA is the operational unit of the Austrian Development Cooperation, a company with limited liability owned 100% by the Republic of Austria the owner is represented by BMEIA.

coordination, the main ODA actors, other relevant ministries and subordinate agencies and actors from civil society, the private sector and research jointly elaborated the “Strategic Guideline on Environment & Development in Austrian Development Policy”. This Guideline was approved by the Council of Ministers in September 2009. This guideline identifies four priority operational fields and aims at the interfaces between environmental and development policy:

- Sustainable natural resource management, combating desertification and preserving biodiversity
- Sustainable chemicals and waste management
- Climate protection
- Water and sanitation

Furthermore, it foresees that “An informal platform will be set up with access for all Austrian stakeholders. Its task is to continuously monitor guideline implementation and define the relevant processes.” The “Platform for Environment & Development” (hereafter referred to as “the Platform”) held its first meeting in January 2010 and has met regularly since then.

### **1.3. Former Reviews and Recommendations**

Until today, the ADC environment policy has not yet been subject to a strategic evaluation. In 2013 the members of the Platform conducted an internal review concerning the implementation of the activities as mentioned in the “matrix” of operational fields and attached to the Strategic Guideline, as well as the overall activities of the Platform. In the follow-up of this review, the Platform’s Terms of References have been adjusted, but it was decided not to discuss and make any changes of the matrix – and other parts of the Strategic Guideline – before the strategic evaluation. In the framework of a general call to improve development policy coherence, the OECD DAC Peer Review in 2009 appreciated –the work on the inter-ministerial Strategic Guideline for Environment and Climate Change in Development Cooperation which was ongoing at the time. Also the Peer Review Report 2014 needs to be taken into consideration, which will be available later in 2014.

## **2. Purpose and Objectives of the Evaluation**

The purpose of this evaluation is to assess the anchorage of environmental issues and environmental mainstreaming as well as the coherence of strategies, interventions and tools with a view to a “whole of Government”- approach.

This includes analysing the relevance, quality and the implementation of the “Strategic Guideline on Environment & Development in Austrian Development Policy” (2009)<sup>2</sup>. Strengths and weaknesses of implementation, the ‘whole of government approach’ in Austria as well as policy dialogue in partner countries and its practical reflections in programme and project work should be identified and analysed. It should further include an assessment of how the current praxis of the main ODA actors corresponds with Austria’s International Commitments regarding Environment as well as Development Cooperation (i.e. UNFCCC,

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<sup>2</sup> In the guideline itself, it is determined that „the implementation of the Strategic Guideline on Environment and Development and the provisional matrix appended in the annex will be reviewed three years after they come into effect“.

CBD, UNCCD, Harmonisation & Alignment Declarations (Paris, Accra, Busan), OECD quality criteria).

It is expected that the evaluation will recommend concrete and practical measures to improve quality and coherence. The results of the evaluation should also guide a potential update of the strategic guideline. The objectives of the evaluation are:

- To analyse the organisational and institutional framework for the implementation of environmental measures, the coherence and cooperation between different stakeholders, and to identify elements for improvement. This includes: a) an independent assessment of the relevance of the strategic guideline, and to formulate concrete recommendations for a potential update, b) an analysis of the (policy) dialogue between ADA/coordination offices with partner countries, assess its impact and make concrete recommendations, c) an analysis of the themes and approaches (i.e. mainstreaming vs. sector interventions) covered by the guideline together with the interventions of the main ODA actors, in order to formulate concrete recommendations for a future thematic scope.
- 2. To assess the instruments and tools used by the main ODA actors, especially concerning a) environmental screening, monitoring, and other mainstreaming methods in project cycle management and policy dialogue, b) methods and systems used in reporting towards OECD and Rio conventions, c) capacity development within the institutions of the main ODA actor's and suggest concrete possibilities for quality improvement.
- To present a statistical analysis and interpretation for the relevant period. Different target groups should benefit from this evaluation: the main ODA actors, (BMEIA, BMLFUW, BMF, ADA) as well as other Austrian ministries, institutions and organisations involved in interventions on the interface of environment and development cooperation.

### **3. Scope of the Evaluation**

Subject of the Evaluation are environment related interventions supported by the main ODA actors, environmental mainstreaming and reporting tools used by them and the Strategic Guideline on Environment & Development in Austrian Development Policy (2009).

The evaluation will cover the period from 2007-2014 since major discussions took place in 2007 leading to the "Strategic Guideline" in 2009.

The evaluation will draw on all five DAC evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability.

- As part of this evaluation the partner countries Georgia and Ethiopia will be visited in order to assess
- the degree of environmental mainstreaming in cooperation with these two countries, i.e. concerning policy dialogue, the programming process and the intervention portfolio,
- the relevance of the Strategic Guideline in this regard,
- the practicability of the current instruments and tools for mainstreaming and capacity development,
- the coherence and synergies of interventions of the main ODA actors,

- the quality of coordination and cooperation between ADC coordination offices with ADA headquarters and with other Austrian stakeholders, in order to assure coherence of Austrian interventions.

Criteria for the selection of the partner countries were: two countries located in different world regions (one in Eastern Europe, one in Africa), the presence of an ADC coordination office in the country, Interventions by all main ODA actors and several other Austrian stakeholders.

## **4. Main Evaluation Questions**

### **4.1. Relevance**

On the level of general policies and strategies

How are the environmental objectives as formulated in the Federal Act on Development Cooperation and in the Strategic Guideline reflected in other general strategic documents of the main ODA actors (Three-year-Programme, Strategy for International Climate Finance, Strategic Guidelines of the Ministry of Finance for International Finance Institutions, an updated version will be published in 2014)?

How are environmental objectives incorporated in ADC's country and regional strategies and reflected in other thematic policies and guidelines?

Are Austrian international commitments (UNFCCC, CBD, UNCCD, Harmonisation & Alignment Declarations/Paris, Accra, Busan, OECD quality criteria) reflected in those strategic documents and in interventions?

How far are environmental concerns linked with other cross-cutting issues and development goals at the strategic as well as at the intervention level?

Concerning the "Strategic Guideline on Environment & Development in Austrian Development Policy" and concerning the Whole of Government Approach:

Is the Strategic Guideline perceived as relevant by stakeholders? Do new issues, such as climate finance, innovative financing, SDGs need to be incorporated into a new or revised Strategic Guideline? Are there any other elements in the Strategic Guideline which should be updated in line with the results of the evaluation?

Would it be more appropriate or useful if the Strategic Guideline would focus on fewer operational fields, or is the coverage of all those fields helpful for effective mainstreaming among all main ODA actors?

Has the Strategic Guideline been an effective tool to improve coherence and cooperation between the main ODA actors and has it contributed to more long-term planning?

Has the Strategic Guideline contributed to an enabling environment leading to increased financial contributions for environmental issues?

### **4.2. Effectiveness and Efficiency**

Concerning environmental mainstreaming per ODA actor:

To what extent is environmental mainstreaming well anchored and implemented in BMEIA, BMF, and ADA? How well is the developmental approach anchored within BMLFUW? For

all these institutions, the evaluation should look at the organisational and institutional level, staff capacity and competences, and the tools and criteria applied.

Are there factors within the respective structures or in the implementation praxis which hamper or undermine efforts to mainstream environmental issues? To what extent are common implementation structures useful (i.e. climate financing)?

How can the main ODA actors build institutionalise and maintain capacities for environmental mainstreaming in a sustainable manner?

To what extent do environmental concerns or issues guide the selection, design and management of individual interventions?

Which role does environment play in the policy dialogue with partner countries? Is there sufficient ownership in partner countries to ensure a long-term consideration of environmental issues even if not demanded by donors? Concerning international commitments:

Which percentage/share of the Austrian ODA does contribute to international commitments, especially UNFCCC, CBD and UNCCD (i.e. share of bilateral interventions with “Rio markers”, multilateral contributions to GEF and other relevant funds)? Is there an increasing, or rather declining trend within the evaluation period? How can these trends be interpreted?

Is there a significant difference between the different ODA actors, and/or contributions to different commitments? If so, is it because of different thematic approaches or other necessities?

What is the perception of different ODA actors regarding overall coherence, different reporting structures and obligations towards the OECD DAC? Are there any changes necessary, if so which ones? In particular, are there any issues regarding coherence, data, and reporting of the Rio Markers?

Concerning the whole of government approach:

To what extent are the operational fields and activities implemented as defined in the matrix of the Strategic Guideline? Have the four priority operational fields actually been made as a priority?

To what extent are interventions of different main ODA actors in the same partner countries coordinated? Have synergies between different activities been sufficiently exploited?

Which role do ADC coordination offices have in this coordination? Do they have sufficient staff capacity and competences to do so?

Concerning tools for environmental mainstreaming: (Note: these questions focus on ADA, since the respective tools are used by ADA, but they should also be answered by other main ODA actors where appropriate):

How effective are tools used for environmental screening and proofing, both for country/regional strategy interventions, as well as for “special instruments” (like NGO co-financing, Business Partnerships with and for the private sector Humanitarian Aid)? How is the quality of the recommendations made in the environmental appraisals generally perceived? How are these recommendations implemented in practice, professionally accompanied and monitored? How are environmental appraisals perceived and used by partners?

How can the effectiveness of tools potentially be enhanced, if necessary, even if resources cannot be increased?

#### **4.3. Impact**

Is there any evidence in partner countries that the implementation of the Strategic Guideline, and/or tools used for environmental mainstreaming, have influenced the environmental situation and/or its perception in the respective country or intervention area? If yes, how?

Are there best practice examples and lessons learned from these interventions that have significantly influenced the environmental situation and/or perception? Which players respectively alliances have contributed to these changes?

Is there any evidence to be found in the partner countries that certain types of intervention have had a higher impact on the ground than others (e.g. supporting the elaboration of national policies vs. project interventions)?

Is there any evidence that activities with an environmental focus have worsened mitigated, social inequalities and local conflicts?

#### **4.4. Sustainability**

Concerning interventions in partner countries, To what degree have environmental aspects been included both in analysis and planning as well as in monitoring and evaluation? Are there any concrete examples that interventions have been more sustainable if environmental aspects had been included in the problem analysis, planning and implementation?

How can the sustainability of environmental mainstreaming as well as interventions in the environment sector be improved?

### **5. Approach and Methodology**

The evaluation team will base its work on the OECD/DAC evaluation criteria and has to document it in a manner that demonstrates that these criteria have been adhered to. Different methods should be used during the various evaluation phases: analysis of documents and statistics, desk reviews of projects/programmes and evaluation reports (on the basis of samples), qualitative interviews with different stakeholders, focus group discussions, or written questionnaires in the case of the 10 coordination offices. These methods have to be described in detail in the inception report. Currently, there are approximately 400 environmental assessments stored in the ADA data base for the period 2007-2014 (status of September 2014). To assess the quality of these assessments, the evaluation team has to develop criteria, how best to judge them and propose a sampling method for all 10 focus countries/regions. For the visited countries (Georgia, Ethiopia) it will be possible to discuss the quality and utilization of assessments in detail. Also environmental assessments of other ODA actors need to be considered. A statistical analysis and interpretation is also necessary for the relevant time period. It is assumed that approximately 60-70 people (BMEIA, BMLFUW, BMF, other ministries, ADA, NGOs) will be interviewed in Vienna (single interviews and focus group discussions). The evaluation team will be provided with a CD Rom (or USB stick) containing relevant documents and data which are not openly accessible

in the web. It is expected that recommendations will be realistic, concrete and practice oriented and must be addressed to the relevant stakeholders.

## **6. Time Schedule**

Ideally, the assignment should start as soon as possible. The contract duration is scheduled for about 4-6 months.

The first phase of the evaluation concludes with the presentation of the inception report and includes the following steps for the evaluation team:

- a) Study of relevant strategic and operational documents which are provided by relevant partners.
- b) Participation in a kick-off workshop in Vienna (2,5 to 3 days), organised by the ADA Evaluation Unit. During this workshop, the evaluation team will be introduced to all relevant ODA players and the evaluation topic. A joint reflexion on the ToRs will also take place, together with first personal interviews with key stakeholders.
- c) Preparation of an inception report, which should be submitted to ADA at least one week before its presentation in Vienna and has to include the following aspects: Concretion of evaluation questions, Presentation of preliminary findings and possible hypotheses referring to the main evaluation questions. The use of a matrix, (a template can be found under Annex 7.10 in the Guidelines for Project and Programme Evaluation on ADA homepage under "Evaluation"), Elaboration and presentation of methods used (including methods for analysis and interpretation, data triangulation, Presentation of the quality assurance approach and references to information still required.
- d) Presentation and discussion of the draft inception report and interviews/discussions in Vienna.
- e) Incorporation of comments into the final inception report, followed by the approval of the report through the ADA Evaluation Unit.

The second phase includes:

- f) Conducting the majority of interviews and discussion in Vienna and other countries,
- g) If applicable, survey to the ten coordination offices and partner countries,
- h) Overall analysis During the third phase the evaluation team will submit a first draft of the evaluation report and presents it with results and recommendations in Vienna. Conclusions of the discussions and other comments will be included into the final report. Altogether three to four trips to Vienna are anticipated and one trip to Georgia and Ethiopia.

## **7. Evaluation Team**

The evaluation team should consist of a core team of at least two experts, having the following qualifications and experiences:

- Relevant educational background (University degree at Masters level in environmental science or another relevant thematic field): documented experience of both in organisational aspects related to steering and policy implementation and in environmental issues in development cooperation (at least seven years of relevant experience). This experience needs to be demonstrated by presenting evidence that

policy or strategy documents were drafted or written, by research conducted, by specific instruments developed/applied, by relevant publications produced, by teaching experience, by relevant work for organisations and/or entities or management functions in the field of work,

- Experience in application of mainstreaming approaches, concerning environment as well as other cross-cutting issues (gender, governance & human rights approach, peace building, poverty reduction),
- Work experience as team leader of evaluations/reviews (a minimum of three evaluations/reviews carried out in last seven years),
- Work experience as team member of evaluations/reviews (a minimum of five evaluations/reviews carried out in last seven years), e) Experience with evaluation/social science methods,
- Excellent command of English and good working knowledge of German, since numerous documents are available in German only.

These skills need to be proven with evidence (papers, projects, work experience etc.) French, Portuguese and/or Spanish would be an asset, g) Experience in statistics and database analysis. Technical expertise as well as evaluation experience needs to be proven through relevant CVs, reference evaluations or reviews and/or other documents. If needed national experts for Georgia and Ethiopia can be consulted.

## **8. Reports**

The following reports need to be prepared: Inception report: This report in English has to be handed in to the ADA Evaluation Unit for approval, comprise maximum 20-25 pages. Draft final report, written in English, including a draft executive summary in English This report will be approved by the ADA Evaluation Unit (criteria for the draft report are the same as the final report) Final report: This report – also in English should comprise a maximum of 60 pages excluding annexes; adhere the DAC criteria. The report will need to be structured according to the main evaluation questions and include an executive summary in English and in German respectively. All reports will be commented by the members of the reference group, see also point 11 coordination and responsibility 11 The final report with the incorporated comments will be submitted electronically no later than 30 June 2015 to the ADA Evaluation Unit for approval. Its format should permit publishing without any further editing. For ease of reference, all strategic evaluations are published on the webpage under: <http://www.entwicklung.at/en/evaluation/>.

The following criteria will be used to assess the quality of the final report and are relevant for its approval:

- Have the ToRs been fulfilled and met in an adequate manner and is this reflected in the final report?
- Have the general OECD/DAC evaluation standards been were applied?
- Is the final report structured according to the OECD/DAC criteria and the evaluation questions?
- Are all evaluation questions answered adequately?
- Are the conclusions/recommendations made based on the evaluation questions as stated in the ToR?

- Does the report clearly differentiate between conclusions, recommendations and lessons learned?
- Is it transparent how and why the evaluators arrive at their conclusions?
- Have all key stakeholders been consulted?
- Have all key documents been taken into account and adequately presented in the report? Is it clear to whom recommendations are addressed?
- Are the methods and processes used for the evaluation been sufficiently presented in the evaluation report?
- Does the report include a clear and comprehensive executive summary?
- Does the report present its findings in a reader-friendly and logical manner?

## **9. Contracting Process**

The evaluation team will be contracted by means of a direct contracting process. The following documents need to be submitted: a) a letter of interest b) a concept note/technical offer (maximum 15 pages) which includes: - an interpretation of the assignment - a presentation of the proposed methodological approach - a work programme with staff schedules and division of labour - detailed CVs including references of the team leader and the other consultants in an annex c) an overview of estimated costs which includes: - personnel costs: name of expert, number of working days, fee rate per working day - travel costs: travel costs per mission including local transport, accommodation and other travel costs - a budget line of maximum 10% reserve - VAT (if applicable) 12 The team is responsible for its own logistical arrangements as well as for costs of possible workshops in visited countries.

## **10. Coordination and Responsibility**

The ADA Evaluation Unit is responsible for managing the evaluation and for all contractual agreements with the evaluation team. A reference group is constituted to guide the evaluation whose members represent are:

- the Austrian Development Agency: Evaluation Unit (Karin Kohlweg), Advisor for Environment & Natural Resources (Elisabeth Sötz)
- the Federal Ministry for Europe, Integration and Foreign Affairs, Department for Development Cooperation and Cooperation with Eastern Europe: Evaluation Unit (Anton Mair), Environment Unit (Franz Breitwieser)
- the Federal Ministry for Agriculture, Forestry, Environment and Water Management: Division for International Environmental Affairs (Elfriede More), Division for Climate Protection and Air Pollution Control (Manfred Kohlbach)
- the Federal Ministry for Finance: Department for IFIs (Elisabeth Gruber) .

## 11. Some relevant Documents

Strategic Guideline on Environment & Development in Austrian Development Policy, 2009,

[http://www.entwicklung.at/uploads/media/Web\\_ADC\\_Leitfaden\\_Umwelt\\_Entwicklung\\_engl\\_02.pdf](http://www.entwicklung.at/uploads/media/Web_ADC_Leitfaden_Umwelt_Entwicklung_engl_02.pdf)

„Platform for Environment & Development“, Terms of Reference

Review Report + Follow up document (in German only):

<http://www.entwicklung.at/evaluierung/evaluierungen-2013/>

ADC “Focus Papers” on environment related issues:

<http://www.entwicklung.at/en/themes/environment-natural-resources>

Strategie Österreichs zur internationalen Klimafinanzierung für die Jahre 2013-2020

(available in german only):

<http://www.bmlfuw.gv.at/umwelt/klimaschutz/kyoto-prozess/klimafinanzierung.html>

ADA-Environmental appraisal for new interventions – procedure description and checklist (currently updated, should be available at the beginning of the evaluation inception phase).

## Annex 2. Answers to the sub-questions

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Q1.1. Are environmental objectives incorporated or reflected in the Three-year-Programme, Strategy for International Climate Finance, Strategic Guidelines of the Ministry of Finance for International Finance Institutions?

### Q1.1.1. The environmental objective of the Federal Act on Development Cooperation

The Federal Act on Development Cooperation (2002), amended in 2003, stipulates that preserving the environment and protecting natural resources is one of the major objectives of Austrian development policy, along with combating poverty and ensuring peace and security. This overall environmental objective is reflected (explicitly or implicitly) in all general strategic documents of the main ODA actors (Three-year-Programmes, Strategy for International Climate Finance and Strategic Guidelines of the Ministry of Finance for International Finance Institutions).

However the strategic documents do not fully reflect the status of environmental protection as one of the three major objectives of the Austrian development policy. Only two Three-year Programmes of our evaluation period (2008/2010 dated 2008, 2013/2015 dated 2012) explicitly refer to the environment as one of the main objectives of development cooperation. Some stakeholders perceive the most recent Three-year-Programmes as paying increasing attention to the environment as an important objective but this may just reflect the most recent trend towards the 2016/2018 Three-year Programme (2015). Three-year-Programmes consider sometimes the environment as an objective, a cross-cutting issue, a theme or an aspect of policy coherence.

### Q1.1.2. The aims of the Strategic Guideline

The Strategic Guideline (SG) on Environment and Development in Austrian Development Cooperation (2009) defines seventeen (17) aims. Every general strategic document pursues at least one of those aims. The Strategy for International Climate Finance and the Strategic Guidelines of the Ministry of Finance for International Finance Institutions focus on climate protection (without making reference to the SG). The Three-year programmes are less specialized but incorporate only a selection of the 17 aims of the SG (all aims being listed in the 2008/2010 Three-year Programme only). The following aims are missing or only weakly addressed: advocating precaution in the use of genetically modified organisms worldwide; raising political and social awareness (on wastes and chemicals); contributing to cleaner production in agriculture, trade and industry (except some actions on organic farming); helping to improve the basis for informed planning, institutional frameworks and capacities (regarding climate change); and contributing to improved water use efficiency. The fact that not all aims are actively pursued by bilateral ADC can be considered as justified if the idea was to present in the SG a long list of potential aims to be selected on a case-by-case basis in order to respond to the needs and demands of the partner countries and regions.

Several aims were already targeted by the 2007/2009 Three-year Programme (2007), prior to the approval of the SG. This suggests that the incorporation of the SG aims in the Three-year Programmes is not just an impact of the SG, and that the SG tends to reflect pre-existing

strategies. The impact of the SG was also more apparent during its preparation than afterwards, as shown by the full list of aims in the 2008/2010 Three-year Programme (2008).

Q1.2. Are all strategic documents (Three-year-Programme, Strategy for International Climate Finance, Strategic Guidelines of the Ministry of Finance for International Finance Institutions) in line or consistent with the environmental objectives?

All general strategic documents of the main ODA actors (Three-year-Programme, Strategy for International Climate Finance and Strategic Guidelines of the Ministry of Finance for International Finance Institutions) are in line with the environmental objective of the Federal Act on Development Cooperation (2002). Similarly general strategic documents are consistent with the aims of the SG, without adding other environmental objectives. However they do not systematically incorporate the SG aims and may promote actions having potentially adverse effects on them. Consistency with the SG exists, but it is more passive than active.

Q2.1. Are environmental objectives incorporated or reflected in ADC's country and regional strategies?

The environment is systematically referred to as a cross-cutting issue at Country Strategy level (but without reference to the SG). In each strategy a selection is made between the specific environmental aims (defined by the SG). This is in principle justified by the scarcity of resources and the need to concentrate on local priorities and complement the action of other donors.

For example, the Georgian country strategy (2012) focuses on forestry and agriculture. The support to the forest sector fully reflects the environmental objectives of the SG. The support to the agricultural sector includes “the certification of and transition to ecologically sustainable biological planting methods”, which also reflects the SG. The decision to concentrate on a few sectors is perfectly in line with the “EU Code of Conduct on Complementarity and the Division of Labour in Development Policy“. At sector or thematic level, environmental integration is also seriously considered in the energy and tourism sectors in the Country Strategy of Bhutan (2011), in the rural development sector in Ethiopia (2011 Country Strategy), in water and sanitation in Moldova (2010 Country Strategy) and Uganda (2010 Country Strategy).

However the country strategies do not fully integrate environmental considerations at sector level. Environmental integration in Country Strategy is quite weak in the sector “Public Services at the Local Level” in Ethiopia, it is unclear or lacking in the description of other priority sectors (Rights, justice and peace in Uganda; Economic Development, Education focusing on Higher Education in Kosovo; Vocational Education and Training in Moldova). In Uganda the cross-cutting issues are described at the level of the thematic programmes and the environment is disregarded under Rights, Justice and Peace.

The relevance of the selection of environmental objectives cannot be easily assessed because of a lack of problem analysis and an overview of the cooperation of other donors. Environmental issues, their linkages with socio-economic development and local environmental capacities tend not to be described or to be just briefly mentioned (Kosovo),

Bhutan being an exception. The Country Environmental Profiles (CEPs, discussed in Q3.2) were expected to fill this gap.

Q2.2. Are environmental objectives incorporated or reflected in relevant thematic policies and guidelines?

The overarching objective of environmental protection (as stipulated in the Federal Act) is recalled or incorporated in most strategies, policies and guidelines but the SG and its aims are not often referred to. There is also an overall tendency to lose sight of the high level of the environmental objective of Austrian development policy and to consider the environment as just one cross-cutting issue among others, except in environmental papers [Policy Documents on Energy (2010) and Water (2009) and Focus Papers on Climate Change (2013) and Green Economy (2012)], which are in the minority.

#### Q2.2.1. Policy documents

The environmental aims of the SG are reflected in environmental Policy Documents [(on Energy (2010) and Water (2009))] without reference to the SG. Other Policy documents show the linkages between their topic and the environment and therefore suggest paying attention to the environment in generic terms. The policy document on NGO cooperation (2007), prepared earlier than the SG, does not mention environmental concerns at all, although NGOs can play a key role in environmental governance and climate change adaptation and also can implement projects with environmental impacts (positive or negative).

#### Q2.2.2. Focus papers

The focus paper on Climate Change (2013) refers to the SG but other focus papers do not so [including those on Green Economy (2012) and on the Nexus (2015)].

No environmental goal or concern is expressed in the focus papers on Anticorruption (2010), Parliaments (2011), Gender and conflicts (Women, Men, Armed Conflicts and Peacebuilding, 2014) and HIV/AIDS (2010). Several themes highly relevant for the environment have no Focus Papers (for example: agriculture, forestry, infrastructure building and education) and therefore the environment cannot be fully reflected in this category of documents. Where the environmental objective is missing this can be justified by the remote link between the concerned theme and the environment (for example: focus paper on HIV/AIDS, 2010). But in other circumstances the justification for neglecting the environmental is weaker; for example:

- the focus papers on Corruption (2010) and Fragile States (2014) dismiss the environmental objective while the Policy Documents on Governance (2011) and Peace Building (2011) acknowledge the links between those issues and the environment or natural resources;
- the focus papers on Disabilities (2011) and on Gender and Conflicts (2014) do not integrate environmental concerns, although they acknowledge the causal links between environment, disabilities and conflicts);
- the focus paper on Rights to Water and Sanitation (2013), only refers to the need for “hygienic environment (right to health)”, although this is closely linked with one of the thematic operational fields of the SG; the focus paper on Parliaments (2011) stipulates that “particular support is given to the expert parliamentary committees for security and

defence, international relations and European convergence, economics, finance and budgets, human rights, tourism, agriculture, environmental protection and urban planning, education, science, culture and sports”. This illustrates again the fact that the environment is taken into account but has not the priority level defined by the Development Cooperation Act. Some documents (such as the focus paper on Vocational Training, 2014) only use once the key word “environment” without explicitly suggesting that attention be paid to it.

#### Q2.2.3. Strategies for implementing

“Strategies for implementing” (3 papers) only make vague references to the environment, although they can be considered as a key entry point for environmental mainstreaming. For example the Strategy for implementing “Development Communication & Education in Austria” (2009) quote as key issues global education, intercultural dialogue, human rights, gender equality, world trade/fair trade, corporate social responsibility but not the environment or climate change.

Q2.3. Are country and regional strategies, thematic policies and guidelines in line with Austrian environmental objectives?

No contradiction is found, except for the risk that insufficient attention is paid to the environment or that priority to economic objectives leads to adverse impacts opposed to the environmental objectives.

Q3.1. Does the Strategic Guideline reflect at least the major international commitments regarding the environment (UNFCC, CBD and UNCCD)?

The Strategic Guideline takes into consideration the major Rio conventions (UNFCC, CBD and UNCCD) and a large number of other Multilateral Environmental Agreements, which are listed in its Annex 2. Because of its date, the SG does not reflect recent agreements and commitments on climate finance and a separate Strategy on Climate Finance was prepared.

To some extent the SG goes beyond the international commitments (for example on organic farming and to some extent GMOs).

However the SG does not explicitly reflect the objective of CBD, namely ensuring an equitable share of the benefits resulting from biodiversity (which cannot be classified as an environmental objective), while desertification (subject of the UNCCD) is only referred to in a “thematic operational field” (“Sustainable natural resource management, combating desertification and preserving biodiversity”), without being explicitly reflected in “aims”. The aim “Contributing to securing land and use rights and to sustainable, long-term, land-use planning” can contribute but the link with desertification as such is not explicit.

Q3.2. Are the strategic documents on the environment (including the SG) in line with the major international commitments regarding development cooperation (Harmonisation & Alignment Declarations/Paris, Accra and Busan)?

The Aid Effectiveness principles (Paris, Accra and Busan) are not specific to the environment. They are merely recalled in the SG and are not particularly referred to in environmental strategic documents. For example Aid Effectiveness principles are reflected in the focus papers on Gender (2009), on HIV/AIDS (2010) and Vocational Education and Training (2014) but not in “environmental” focus papers. However environmental strategic documents do not contradict the Aid Effectiveness principles.

The 2005 Paris declaration included a recommendation for harmonising EIA approaches between donors. ADA follows this recommendation insofar as it relies on the EIA (or equivalent) procedures of its implementing partners (see Q20). ADA also follows the alignment principle when local capacities and procedures are sufficient (as in Bhutan), which can be considered as fully justified. The country strategies of Bhutan (2011) and Uganda (2010) explicitly refer to the need to follow national environmental legislation.

In 2008 ADA prepared an “Austrian Action Plan on Aid Effectiveness 2006–2010/11” explaining that ADC “actively participates in the European Commissions’ efforts for Joint Environmental Profiles and aligned Environmental Impact Assessments and Strategic Environmental Assessments” and “tries to build on already existing Country Environmental Profiles especially those prepared by the European Commission”. The Three-year Programme 2007/2009 (2007) refers to this action plan and to its focus on “Managing knowledge and raising developmental effectiveness, particularly via cross-cutting themes such as gender, governance, environment and energy”.

Q3.3. Are all strategic documents in line with international commitments regarding the environment?

The “Strategy for International Climate Finance” (*“Strategie Österreichs zur internationalen Klimafinanzierung für die Jahre 2013-2020”*) is a key document addressing financial commitments under the UNFCCC, especially the 2009 Copenhagen Conference of Parties. This document goes beyond international obligations with a position against nuclear energy. However the international debate is still open on the level to which funds are new and additional to development aid.

The other strategic documents are also consistent with the major Rio conventions (UNFCCC, CBD and UNCCD) usually without reference to them. Three Policy Documents refer to other international commitments related to the environment: Gender, 2010 (1995 Beijing Platform for Action including its topic “Women and Environment”); Water, 2009 (MDG7, Dublin principles and others); and Energy, 2010 (MDG7, commitments of the 2004 Conference for Renewable Energies in Bonn and the 2004 World Conference on Energy for Development in the Netherlands).

A difference between the status of the environment in the ADC Federal Act and the 2006 EU Consensus on Development cooperation is noteworthy. According to the EU Consensus (involving Austria on the same level as other Member-States), the primary and overarching objective of EU development cooperation is “the eradication of poverty in the context of

sustainable development”, suggesting that environmental mainstreaming should be perceived as a contribution to poverty reduction. In ADC Federal Act, poverty and the environmental have an equivalent status, therefore environmental objectives are not necessarily required to contribute to poverty alleviation in developing countries (they notably include climate change mitigation which is similarly addressed by domestic environmental policies of Austria for the same ends). This issue questions the “boundaries” or the definition of ODA.

Q3.4. Are the international obligations under UNFCCC, CBD and UNCCD reflected in the budget allocated to interventions with Rio marker 1 or 2?

Statistics on Rio markers in bilateral aid show the extent to which the objectives of UNFCCC, CBD and UNCCD are reflected in interventions. This is discussed under Q14. The obligation to support developing countries in fulfilling their obligations is also met through multilateral aid, notably to the (minor) support to UNEP and the more substantial contribution to GEF. Reported contributions to the Fast Start Finance<sup>3</sup> agreed in Copenhagen (2009) totalled the expected amount of €40 million per year in 2010/2012<sup>4</sup>. However one can question the extent to which those funds fully contribute to climate change issues (see the over-scoring issue in Q16) and are “new and additional” (as pledged and expected by developing countries). This last aspect can be discussed as long as Austria remains below the target of providing 0.7 % of GNP as ODA.

Q3.5. Are environmental interventions (environmental marker 1 or 2) in line with the major international commitments and principles regarding development cooperation (Harmonisation & Alignment Declarations/Paris, Accra, Busan)?

The overall Aid Effectiveness principles are equally applicable to environmental and other projects.

There is some indication of particular constraints in applying aid effectiveness principles in the environmental field:

- There can be a tension between the high level of the environmental objective of Austrian development policy and priorities of the partner countries, between long-term environmental objectives supported by ADC and short-term needs, or between global and local concerns; this can generate a constraint on following the principle of ownership and to some extent the principle of alignment; therefore ownership (see Q13) and to some extent alignment can be diminished;
- A project risks being too supply-driven if it responds too much to the availability of allocated funds; therefore projects responding to pressures and commitments to spend money for the environment (or adaptation to climate change) risk suffering from poor

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<sup>3</sup> Source: EU Fast Start Finance Reports, annex. (available on [www.unfccc.int](http://www.unfccc.int)). Figures include multilateral aid (notably contributions to the GEF). According to data provided by ADA, the average bilateral contribution in 2010-2012 was 25,74 million euros per year (projects with markers 1 being entirely included).

<sup>4</sup> Strategie Österreichs zur internationalen Klimafinanzierung für die Jahre 2013-2020. Strategischer Leitfaden.(2013)

ownership; availability of funds or pressures to spend money can also contradict the Busan principle of results-based management;

- Environmental projects funded by BMLFUW can be implemented by partners that are not as familiar with the “development culture” as the implementing partners of ADA; therefore there is a risk they are less effective in implementing some Aid Effectiveness principles; this is illustrated by the analysed logical frameworks of projects funded by BMLFUW which do not clearly define the target situation to be achieved by the project and are therefore less in line with the Busan principle on results-based management; similarly some BMLFUW partners promote direct management, which may contradict the ownership and alignment principles. At multilateral level there may be a similar risk in the use of climate funds because there are pressures to distinguish them from development aid;
- Due to the small scale of bilateral ADC and national Austrian interests, Austrian actors are keen to promote stand-alone projects in which Austrian added-value and expertise are most visible.

However, the evaluation finds no evidence that environmental projects follows Aid Effectiveness principles (including Harmonization & Alignment) more or less than other projects. The case studies of Georgia show that coordination and harmonization are followed. The support to the Climate Resilience Green Growth Facility of Ethiopia is also a good example of correct implementation of the ownership and alignment principles (although Austrian partners may feel they therefore have little influence). On the other hand, competition and overlaps could be detected in South-East Europe between other water programmes (e.g. GIZ) and the project “Technical Assistance to the Water Supply and Sanitation Sector Program” (6525-00/2011)” (FAKT, 2015, page 47).

Q4.1. How are cross-cutting issues (including the environment) combined and balanced at strategic level?

During the evaluation period (2007-2013) there was no constant list of “cross-cutting” issues to be mainstreamed in its interventions but the cumulative list derived from the Three-year Programmes, Country Strategies and Focus Papers is composed of ten issues: (1) Environment, including Climate Change and Natural Resources, (2) Poverty reduction, (3) Peace and security, (4) Good Governance, (5) Gender equality, (6) Education and Capacity Development, (7) Private Sector and Development, (8) Human Rights<sup>5</sup> (9) HIV/AIDS, (10) Disabilities<sup>6</sup>. This list combines the overarching objectives of ADC (1 to 3) and other cross-cutting issues (4 to 10). There was also a suggestion for adding the cultural field<sup>7</sup>, while other cross-cutting issues can appear at intervention level<sup>8</sup>.

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<sup>5</sup> Including “Rights of the children” according to the focus paper on Children as Partners of ADC.

<sup>6</sup> And “special consideration of groups at a disadvantage” according to the Policy Document on Water.

<sup>7</sup> Evaluation of the Relevance of Culture and Cultural Heritage in Austrian Development Cooperation and Cooperation with Eastern Europe Bhutan, Bosnia Herzegovina, Guatemala, Nepal 2007.

<sup>8</sup> Ex: “food security” in the evaluation of the Yayu coffee forest project (2719-00/2013), Ethiopia.

The Environment (1) has a high profile among cross-cutting issues. It is the only issue that is both an overarching objective of Austrian development policy (with 2 and 3) and subject to a specific project appraisal procedure (same as 5). The Environment (1) and Gender (5) are also the cross-cutting issues most frequently referred to.

However there can be a tendency to lose sight of the distinction between overarching objectives and other cross-cutting issues, which sometimes leads to downgrading of the environment at the level of other cross-cutting issues competing with each other for mainstreaming (as explained in Q4.3).

Some papers [for example the recent Nexus paper (2015) and the Climate Change (2013) focus paper] recognize the complexity of the environment alone, which is composed of distinct aspects, such as climate change attenuation, climate change adaptation, adaptation to other environmental changes, biodiversity, desertification, deforestation, wastes and other issues. However, especially when the environment is downgraded to the level of a single cross-cutting issue, the attention paid to it is not always reflected in sufficient attention to all environmental aspects.

Several policy or strategic documents recognize the links between the Environment and other cross-cutting as shown in Table 3 below.

**Table 3.** Analysis of the links between the environment and other cross-cutting issues and their consideration in strategic documents.

Cross-cutting issue (other than the environment)	Linkage with the environment: the issue and the pressures on the environment	Linkage with the impact of the environment: the effect of the environment on the issue	References in ADC strategic papers
(2) Poverty reduction	Poverty is correlated with the nature and intensity of pressures on the environment (rich people tend to consume more resources and to pollute more but their impact is more distant and less visible). Poverty also affect capacities to manage the environment.	Natural resource degradation, climate change and unhealthy environmental conditions can particularly affect the poor.	Policy Document on Poverty (2009); Strategic Guideline on Environment and Development (SG)
(3) Peace and security	Conflicts have direct and indirect impact on the environment (including impacts resulting from displaced persons and from constraints to environmental protection activities).	Natural resource degradation, adverse environmental impacts or unfair environmental governance measures can be a driving force or a source of conflict.	Policy Document on Peace Keeping (2011); Strategic Guideline on Security (2011).

Cross-cutting issue (other than the environment)	Linkage with the environment: the issue and the pressures on the environment	Linkage with the impact of the environment: the effect of the environment on the issue	References in ADC strategic papers
(4) Good Governance	Governance plays a key role in sustainable natural resource management and environmental management.		Policy Document on Good Governance (2011); Strategic Guideline on Environment and Development (SG)
(5) Gender equality	Pressures on the environment are usually gender-differentiated.	Vulnerability to resource degradation, climate change or other environmental changes is also gender-differentiated.	Policy document on Gender (2009) Strategic Guideline on Environment and Development
(6) Education and Capacity Development,	Education plays a key role in environmental awareness and capacities to sustainably manage the environment.	Environmental degradation can constrain availability to attend school (for example because children or girls spent more time in collecting wood).	(vague reference in the focus paper on Vocational Education and Training, 2014)
(7) Private Sector and Development	Important environmental pressures (resource consumption, pollution) may result from the private sector due to market failure in correcting environmental externalities.	Profits from private sector investments can suffer from environmental and climate changes in agriculture, forestry, fisheries, transportation or tourism for example. Clean technologies are also a source of business opportunities. The private sector is also sensitive to environmental policy measures.	

Cross-cutting issue (other than the environment)	Linkage with the environment: the issue and the pressures on the environment	Linkage with the impact of the environment: the effect of the environment on the issue	References in ADC strategic papers
(8) Human Rights	Several human rights, notably the right to freedom of expression and the right to education, have an impact on environmental governance. Moreover the General Assembly and the Human Rights Council of the United Nations (UN) explicitly recognise the right to water and sanitation as a human right	Environmental degradation and disasters can be a threat to the right to a standard of living adequate for the health and well-being and to the right to security <sup>9</sup>	Focus paper on the right to water and sanitation (2013)
(9) HIV/AIDS	HIV/AIDS can affect workforce in environmental pressures or environmental protection activities; impact on HIV/AIDS can also be combined with the environmental impacts of some projects.	Indirect impacts on HIV/AIDS can result from environmental degradation leading to displacements or conflicts.	
(10) Disabilities	Disabilities can also affect workforce in environmental pressures or environmental protection activities	According to the focus paper on disabilities (2011), “About a third of all diseases that can result in impairments and disabilities can be attributed to environmental factors. »	Focus paper on Disabilities (2011)

The SG also recognizes linkages with other cross-cutting issues such as gender and governance.

This analysis shows that links between the environment and other cross-cutting issues are complex and hard to manage. Complexity, which is already important within the environment itself, becomes ever greater if we consider all the interlinkages between all cross-cutting issues.

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<sup>9</sup> Article 25 of The Universal Declaration of Human Rights.

Q4.2. How are cross-cutting issues (including the environment) combined and balanced at intervention design level (including in non-environmental interventions)?

Addressing development from a holistic perspective is challenging (and this can be a constraint for mainstreaming the environment alone). In practice cross-cutting issues tend to be addressed independently and not systematically at intervention level. Only the gender and the environment have been subject to formal (independent but coordinated) appraisals. Other cross-cutting issues are unsystematically combined, on a case by case basis. Consideration of cross-cutting issues is greatly dependent on the sensitivity and awareness of the stakeholders or project managers.

Having a specific project appraisal procedure for the environment, another for gender and none for other cross-cutting issues (notably two overarching objectives) means that Austrian development cooperation relies of an incomplete set of tools and has no consistent approach of cross-cutting issues (see recommendation in Q21.2).

Q4.3. To what extent are there synergies between cross-cutting issues or are they competing each other at intervention level?

Mainstreaming all cross-cutting issues is demanding because they are numerous and have been changing, and also because of the complexity of their linkages (as explained in the table above: see Q4.1). Therefore they can compete each other for the mainstreaming effort. In practice the potential synergies between them are not addressed or are addressed only when one of the cross-cutting issue (the environment or another one) is the intervention theme. The reference to the generic term of cross-cutting issues may lead to the selection of only one of them (not necessarily the environment).

When adequate attention is paid to more than one cross-cutting issue, synergies are not always possible. In the Yayu project in Ethiopia (2719-00/2013), women are targeted as key beneficiaries of the beekeeping component, but the environmental objective could be more effectively pursued by targeting men, who are more involved in pressures on the forest, including honey harvesting.

Q4.4. Do environmental strategies incorporate gender equality and other cross-cutting issues?

Environmental strategies include the Strategic Guideline on Environment and Development (SG), Focus papers on Climate Change in ADC (2013), Green Economy (2012), Right to Water and Sanitation (2013), Nexus (2015) and (to some extent) the Policy Documents “Energy for sustainable development” (2010) and “Water Supply, Sanitation, Water Resources (2009).

Table 4 below reviews the integration of gender equality and other cross-cutting issues in those strategic documents (FP=focus paper, PD=policy document).

Table 4. Analysis of the integration of cross-cutting issues in environmental strategic documents.

Strategic document	Gender equality	Other cross-cutting issues
Strategic Guideline (SG)	Yes	Poverty, conflicts, governance
FP Climate Change in ADC	No	No
FP Green Economy	No	No (but poverty reduction is an implicit goal)
FP Right to Water and Sanitation	Yes	No
FP Nexus	Cross-cutting issues referred to generically	
PD Energy for sustainable development	Yes	Poverty, needs of children and persons with disabilities.
PD Water - Water Supply, Sanitation, Water Resources	Yes	Groups at a disadvantage; human rights, democracy and good governance; conflict prevention

This analysis shows an unequal integration of cross-cutting issues in environmental policy or strategic documents.

Q4.5. Do environmental interventions incorporate gender equality and other cross-cutting issues?

Environmental interventions are expected to mainstream cross-cutting issues as other interventions and tend to do so on a case-by-case basis, depending on opportunities and on the awareness of the project managers. Because all cross-cutting issues except the environment are social, the scope for mainstreaming cross-cutting issues in environmental projects depends on the level to which they focus on purely biophysical objectives or address the interface between society and the environment.

Gender is the cross-cutting issue most frequently referred to and the only one besides the environment that is subject to specific appraisal; it can always be addressed at least at the level of the project team or direct target groups.

Poverty reduction is not often referred to as a crosscutting issue but is an overarching objective and many environmental interventions combine socio-economic objectives contributing to poverty alleviation (see Q25.3).

Governance is the cross-cutting issue most benefiting from synergies with the environment. Several interventions on environmental or natural resources management direct contribute to governance issues (democratic debates, involvement of Civil Society, rule of the law, etc.). The supports to FLEG and to Forest Reform, involving Civil Society, in Georgia, the long-standing support within the Simien Mountain National Park (Ethiopia) to create ownership and the programme against environmental crimes in the Balkans provide good examples of where environmental interventions incorporate governance.

The cross-cutting dimension of the environment itself is often – and should be - considered in projects pursuing environmental objectives. Therefore the competition between the environment and other crosscutting issues also exists within environmental projects.

#### Q4.6. Have environmental interventions a positive impact on cross-cutting issues and development goals?

##### Q4.6.1. Cross-cutting issues:

The links between environmental concerns and cross-cutting issues are described above (Q4.1). The main impacts are the following:

- on poverty: most environmental projects pursue socio-economic goals (as shown by their intervention logic in the logical frameworks): see Q25.3;
- on peace and security: see Q25.3;
- on good governance: see Q4.5;
- on gender equality: gender is the cross-cutting issue receiving the highest attention in environmental interventions; moreover women often benefit more directly from sustainable natural resource management in countries where they play the major role in collecting water, wood or non-timber forest products.

In the example of the Yayu forest (2719-00/2013, Ethiopia) there is a risk that more attention to women (as recommended by the last evaluation) reduces the environmental impact: women are specially targeted as beneficiaries of beekeeping activities but this reduces the contribution of this project component to the forest conservation objective as men are more involved in pressures on the forest.

All the identified impacts are usually positive, although positive impacts are not systematic. We have found no examples of negative impacts.

Because cross-cutting issues include the main objectives of Austrian development policy, this means that environmental interventions usually support all ADC objectives. However it is important to notice that the opposite is not true: not all non-environmental interventions support the environmental objectives and they usually have adverse impacts (although they are deemed acceptable or can be mitigated thanks to the environmental appraisal procedure).

##### Q4.6.2. Development goals:

Table 5 below revises the links between environmental concerns and the Millennium Development Goals, with a focus on Millennium Development Goal 7 (“ensure environmental sustainability”) and its targets.

Table 5. Analysis of the integration of MDGs in environmental strategic documents.

MDG/target	Consideration of environmental concerns in Austrian co-operation
Goal 1 Eradicate extreme poverty and hunger	See cross-cutting issue (1) in Q4.1
Goal 2 Achieve universal primary education	See cross-cutting issue (6)
Goal 3 Promote gender equality and empower women	See cross-cutting issue (5)
Goal 4 Reduce child mortality	The causal link is only recognized in the Strategic Guideline for Environment and Development (SG)
Goal 5 Improve maternal health	The causal link is only recognized in the SG

MDG/target	Consideration of environmental concerns in Austrian co-operation
Goal 6 Combat HIV/AIDS, malaria and other diseases	The causal link is only recognized in the SG
Goal 7 Ensure environmental sustainability	This objective is relatively more important in Austrian development policy (one main objective out of three) than in MDGs (one goal out of seven).
Target 7A Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources <sup>10</sup>	Target 7A is clearly addressed by most of the environmental concerns of Austrian Co-operation (including climate change mitigation)
Target 7.B Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss	Biodiversity is addressed by the Strategic Guideline and several interventions – see statistics on Rio markers (but the indicator consisting of the percentage of protected area is not targeted <sup>11</sup> ).
Target 7.C Halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation	This target is mainly social, although it depends on the environment. The MDG perspective is reflected in the priority themes or sectors; the more strictly environmental aspects are reflected in the Strategic Guideline. Austrian co-operation does relatively much for this target (see Q17.2.5).
Target 7.D By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers	Target 7D is not typically environmental (more social) although urban environmental conditions (air quality, waste management) are included. Waste management is one of the operational fields of the Strategic Guideline but is little implemented. Urban development became a thematic priority of the 2015 Strategischer Leifaden des BMF für die Internationale Finanzinstitutionen.
Goal 8 Develop a global partnership for development	The need for international (multilateral) co-operation on global environmental issues is acknowledged and reflected in actions (for example the contribution to the GEF). Global public goods are an explicit topic of the 2009 <i>Strategischer Leifaden des BMF für die Internationale Finanzinstitutionen</i> . There is some focus on environmental “hotspots” or environmentally vulnerable countries (example: Ethiopia).

This analysis shows that environmental integration in Austrian co-operation contributes to several MDGs. Nevertheless there is no systematic check of the side-effects of ADC on MDGs. The table also shows that Austrian co-operation has a stricter definition of the environment than the MDGs.

The major impact is obviously on MDG 7 and its targets, except target 7.D.

<sup>10</sup> The target includes an indicator on GHG.

<sup>11</sup> The indicator can be considered as poorly relevant because it is an indicator of means and not of outcome or impact.

Q5.1. Do stakeholders know the Strategic Guideline, use it and find it helpful and relevant?

Among the main ODA actors the SG is generally known and considered as helpful at a strategic level but not useful for daily work.

ADA staff had to comment on the drafts, therefore they know the SG. It is positively perceived as having played a sensitisation role in ADC. This positive impact started during the preparatory phase before the SG was released. Most of all the SG is valued as a reference document, that is for dialogue with other players and for checking if ADA and the financed interventions are within the framework set in the SG. Within the other main ODA actors, the SG is mainly known by those persons who are also active in the Platform for Environment & Development or have been active in the drafting of the SG. Within BMEIA, there is a clear division of labour - only very few persons address environmental mainstreaming issues. Overall BMLFUW considers the SG relevant and useful as a reference document to remind Austrian ODA actors of what had been agreed on. Within BMF it is the department addressing international finance institutions that are aware of the SG. On occasion the SG is used as input to determine Austria's position when in negotiation with IFIs. However, the SG is considered as subordinate to the IFI strategy which is regarded as holistic strategy that also incorporates SG issues. This perception of the SG as having a low position in the hierarchy of documents is shared by different stakeholders, despite the fact that the SG was approved at inter-ministerial level. This perception of the relatively low position of the SG within this overall strategic structure is depicted in a graph of the Three-year programme 2016-2018 (2015) of the Austrian Development Policy.

Austrian implementing organisations are not well aware of the SG. Those that know it stated that despite the SG they are unsure of the strategic position of Austrian partners regarding the environment. At country level the SG is perceived by Austrian ODA actors as having positively influenced environmental mainstreaming in national sector programmes, especially when ADA is engaged in this process for a long period. There is also evidence in Georgia that it has been used by an implementing partner to better understand what is expected by Austrian cooperation. However the SG is poorly reflected in country strategies or known by local partners. In general it can be noted that for partners the SG has a low status compared to higher-level policies or to their respective organisational strategies.

The implementation matrix - as an integral part of the SG – is not considered by several Platform members as a helpful instrument. There is evidence that the stakeholders show little commitment, which can be attributed to the unclear objectives and missing indicators and timeline. To add to that, it was argued that important stakeholders (like e.g. OEB) are missing in the matrix.

As a contribution to implementing the SG, an informal Platform for environment and development was set up and is discussed in Q10.4 and Q11.4.

Q5.2. Are the main ODA actors facing new challenges that are not sufficiently addressed by the Strategic Guideline (for example issues regarding climate finance, innovative financing and SDGs)?

Although concepts and narratives are evolving quite fast, they usually do not alter the relevance of long-term environmental objectives and the thematic scope of the SG is already broad.

There are some challenges however, that are deemed insufficiently addressed. According to stakeholders the following issues should be included, amended, or more prominently placed in an updated SG:

- Climate change and disaster risk reduction issues, including run-off control (need for more focus on CC adaptation issues),
- Energy efficiency and renewable energies,
- Nexus approach.

Because the SG (2009) is already old, there is also a need to update it by including changes in the international framework, notably:

- Aichi objectives for CBD,
- Commitments resulting from recent COPs for the UNFCCC,
- SDGs will have to be taken into account once they are agreed on.

Some stakeholders also want to extend the SG to include or refer to the Busan principles of global partnership and effective development cooperation and see it as necessary for strengthening the link to other sectors (e.g. education) and cross-cutting issues (e.g. human rights). Other stakeholders miss ecological networks and want to put more emphasis on raising awareness in politics and society (not only in the thematic priority of sustainable chemicals and waste management).

The evaluator notes that the Strategic Guideline mainly defines themes and aims but provides little guidance on how to promote them (notably through building national capacities to address them and how to mainstream environmental issues in interventions pursuing other objectives).

Q5.3. Are opportunities for improvement identified?

#### Q5.3.1. Main text of the Strategic Guideline

The anticipated new document replacing the current Strategic Guideline would benefit from a high level in the hierarchy of documents, reflecting the status of environmental protection as a major objective of Austrian development policy. Given the missing authority in this field, this could be achieved through a common agreement between the main ODA actors.

The SG has many aims (see Q6) and not all aims contribute to the same goals. There is quite a confusing mix of environmental protection aims, climate change adaptation and decoupling development from environmental pressures (which is more “green economy” than “environment” strictly speaking). The new document would benefit from a clear hierarchy of objectives based on a “intervention logic” following the causal links between its

recommendations and the overall key objectives (according to a “theory of change” approach). Such a structure could lead to a more comprehensible document. This would also clarify the distinction (and complementarities) between environmental protection, climate change adaptation and decoupling of development from environmental pressures. The revised structure could furthermore clarify the distinction between guidance on “how to do” (the “guideline” dimension of the SG) and defining “what do we want to achieve” (the “strategic” dimension of the SG).

However all of these improvements have to be regarded within the overall position and weak status of the SG within all ADC strategies as a whole (see Q5.1).

There is also a need to respond to the weakness of the SG as regards the “horizontal” approach. The SG highlights the need for environmental mainstreaming and for managing environmental impacts, but it provides little guidance on how to systematically integrate the environmental cross-cutting issue in all interventions. However this can be the task of a separate document.

Regarding the scope the SG, please refer to Q5.2 and Q6.

#### Q5.3.2. The annex of the SG: the implementation matrix.

The matrix could clearly benefit from an update. First and foremost it will be essential to include well-defined indicators and milestones into the matrix as a prerequisite for measuring progress in implementation (see Q5.1), a task that was initially assigned to the Platform (refer to SG, p. 32). The update should also include enlarging the group of stakeholders in the matrix. One interviewee suggested consulting the list of contributors to climate financing as a starting point for finding the right target group.

There are also voices that do not see the need of an update of the guideline (and matrix) on account of the exuberant number of guidelines and policies in the field and the fact that it is hardly consulted by the stakeholders. Instead the focus should lie on the Platform perceived as having greater potential in promoting coordination and coherence in the field environment.

There is also a need to clarify the status of the matrix: is it an action plan? - or just an indicative tool explaining what can be done, and dividing up the roles of the respective players?

Q6.1. Is the scope of the Strategic Guideline broad enough to mobilise all main ODA actors and to meet local needs and priorities?

The SG addresses all major environmental issues, with only a lower focus on:

- Air pollution (other than GHG emission)
- Marine environment (although it can be addressed with biodiversity or water quality)
- Desertification (“combatting desertification” is part of a TOF but there is no explicit “aim” for this purpose; see 3.1)
- Slums (if we consider this issue as environmental<sup>12</sup>)
- Economic/ social metabolism as a hinge function between several environmental issues (waste, emissions, urban environmental issues – concentration phenomena).

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<sup>12</sup> Slums are addressed by MDG7, together with “water and sanitation”.

The scope is thus very broad in terms of environmental fields or themes, although some stakeholders expect a higher focus on some aspects (see Q5.2). This provides high flexibility to meet local needs, to benefit from opportunities or to adapt to constraints, and therefore to identify on a case by case basis relevant interventions. This helps avoid a donor-driven approach and therefore ensures ownership of development priorities by developing countries - a Paris and Busan principle. A broad coverage also helps to mobilise all main ODA actors. Still, in the interviews there have been critical remarks that not all ODA actors are mobilised by the SG – e.g. the Ministry of Economic Affairs, Ministry of Defence were mentioned to be “main” ODA actors without representation on the SG.

The on-line survey suggests that partners wanting to extend the scope (9 respondents) are more numerous than those preferring a focus on less themes (3 respondents). However comments from partners seeking an extension reveal that they actually want a more explicit focus on aspects already included in the SG.

Q6.2. Do some operational fields or aims of the Strategic Guideline appear to be less justified than others, with regard to local priorities and to the international division of labour in development cooperation?

Sector or thematic concentration is justified for aid effectiveness reasons in the framework of the international division of labour. Concentration is notably a principle of the 2006 EU Consensus on Development Cooperation. From this perspective environmental themes should be selected according to Austrian capacities (for example in managing mountain environment) and within the priority themes of ADC.

According to the Three-year Programme 2013/2015 (2012), the main themes of ADC are 1. Water supply, energy, climate protection, agriculture and forestry; 2. Private sector and development and 3. Human security, human rights and rule of law. The first ADC theme clearly covers three Thematic Operational Fields of the SG: “Sustainable natural resource management, combating desertification and preserving biodiversity”, “Climate protection” and “Water and Sanitation”.

The fourth TOF “Sustainable chemicals and waste management” has more indirect links with the ADC themes and is also the least implemented TOF. Therefore this TOF seems less justified than others. However before abandoning it, the need for continuity, the relevance of addressing local needs, the increasing challenges of waste management in growing economies and the success of the support provided in Kosovo (2550-02/2012, FAKT, 2015) should also be taken into account.

On the other hand it should be recalled that the principles of concentration and specialisation are not valid for the crosscutting dimension of the environment: there is a constant need to take care of all environmental side-effects.

Q6.3. Is there evidence that excessive fragmentation (due to competition between operational fields for resources) reduces cost-effectiveness?

In practice thematic operational fields do not compete for resources because there is no obligation or pressure to address all of them in parallel. However the high number of small-

scale projects in different countries and sectors can be considered as a constraint on effective environmental mainstreaming and on specialised support on specific environmental themes.

Q7.1. Is there evidence that coherence and coordination between ODA actors improved since the release of the Strategic Guideline in 2009?

The main impact on coherence and coordination can be attributed to the preparation of the SG. As the first inter-ministerial guideline it was prepared by BMEIA/ADA and BMLFUW and supported by the BMF and other relevant stakeholders. The SG is hence an output of their coordination and promotes a coherent set of principles in line with the major international commitments.

Since the release of the guideline, the coordination function is mainly attributed to the Platform (also refer to Q5.1 and Q11.4). The Platform is perceived as promoting the informal exchange of information and views, supports networking activities and keeps the participants up-to-date with developments in the respective organisations. On that account, the Platform supports rapid and informal consultations outside the Platform, which is considered helpful for coordination. The Platform can thus be attested to play a vital role in the coordination of the participating ODA actors. In the last couple of years coordination activities induced by climate financing contributed to this trend.

It is noteworthy that according to the interviewees environmental issues today (most of all climate change adaptation and mitigation) are far less contested than before the SG was published. This is primarily a zeitgeist symptom, but might also be traced back to the activities and discourse at the Platform. One example is the Platform's suggestion for integrating quantitative targets for the share of environmentally-relevant interventions in the Three-year Programme 2016/2018 (albeit outside the scope of this evaluation).

In matters of coherence the SG plays a more passive role. It is pre-eminently used to check if the respective organisation or the supported activities are in line with the overall objectives. In that sense, the SG may help prevent inconsistencies.

Q7.2. Is there evidence of longer-term planning (or more long-term planning) since the release of the Strategic Guideline in 2009?

The SG itself refers to long-term planning only in terms of long-term land use planning (at partner country level) but does not explicitly aim at longer-term planning *per se*. Long-term planning is supposed to take place in country and regional programming, for which BMEIA is responsible. According to BMEIA employees, they have revised their programming since 2013, that is including more stakeholders and strengthening results orientation. Internal criticism of discontinuity and weak strategic guidance might have played a role in this shift. The planning rhythm is however still dominated by the Three-year Programme. Although there are indications that in some cases common long-term planning has taken place (e.g. in Georgia BMFLUW and ADA cooperated in the long-term planning of the activities in the forestry sector), there is no evidence that the release of the guideline stimulated longer-term planning.

### Q7.3. Can we attribute those changes to the Strategic Guideline?

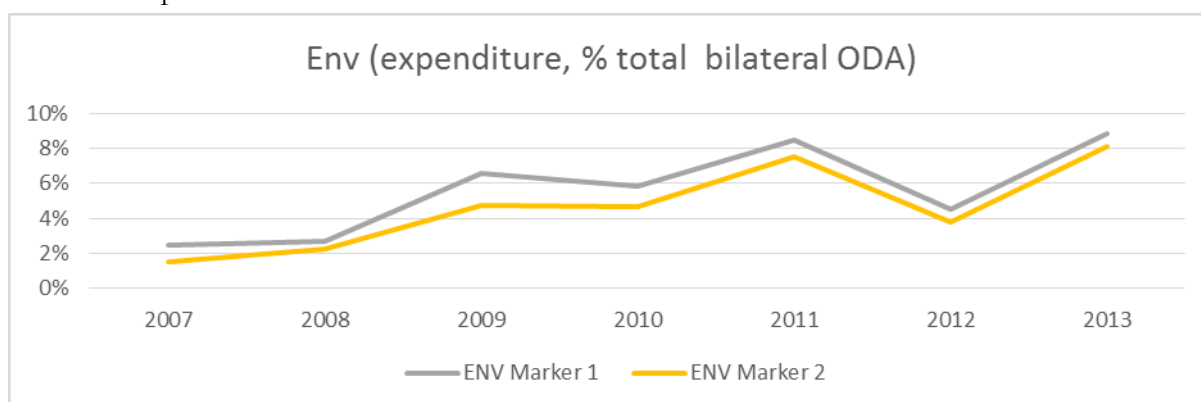
A formal strategy can be used as a solid basis for long-term planning as far as it is not perceived as out-of-date. But long-term planning is not an issue addressed by the SG and no evidence was found that it had that impact nonetheless. Therefore we do not attribute to the SG changes in long-term planning, but we do attribute to the SG contributions to coherence (notably through the Platform).

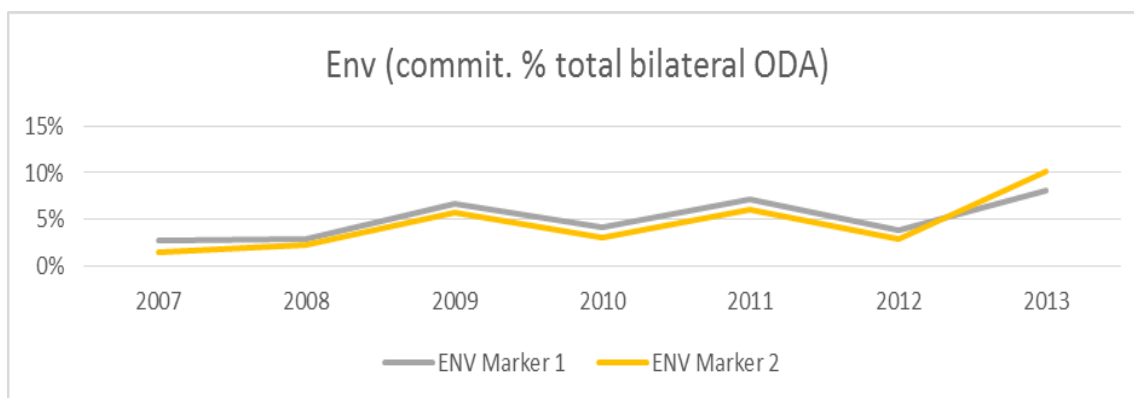
### Q8.1. Have the financial contributions for environmental issues (interventions marked 1 or 2) increased since 2009?

The figures below (Figures 6 and 7) show the trends in expenditure and commitments for interventions scored 1 or 2 for the ENV marker: expenditure and commitments have been irregularly growing with the most significant increase in 2012/2013. This suggests a faster growth of the expenditure and commitments for environmental projects because we detect a declining tendency to over-score (see Q16.5).

No significant inflexion is detected just after 2009. This means that the Strategic Guideline had no immediate effect after its release but its impact could be anticipated (because the preparation itself can have side-effects) or delayed.

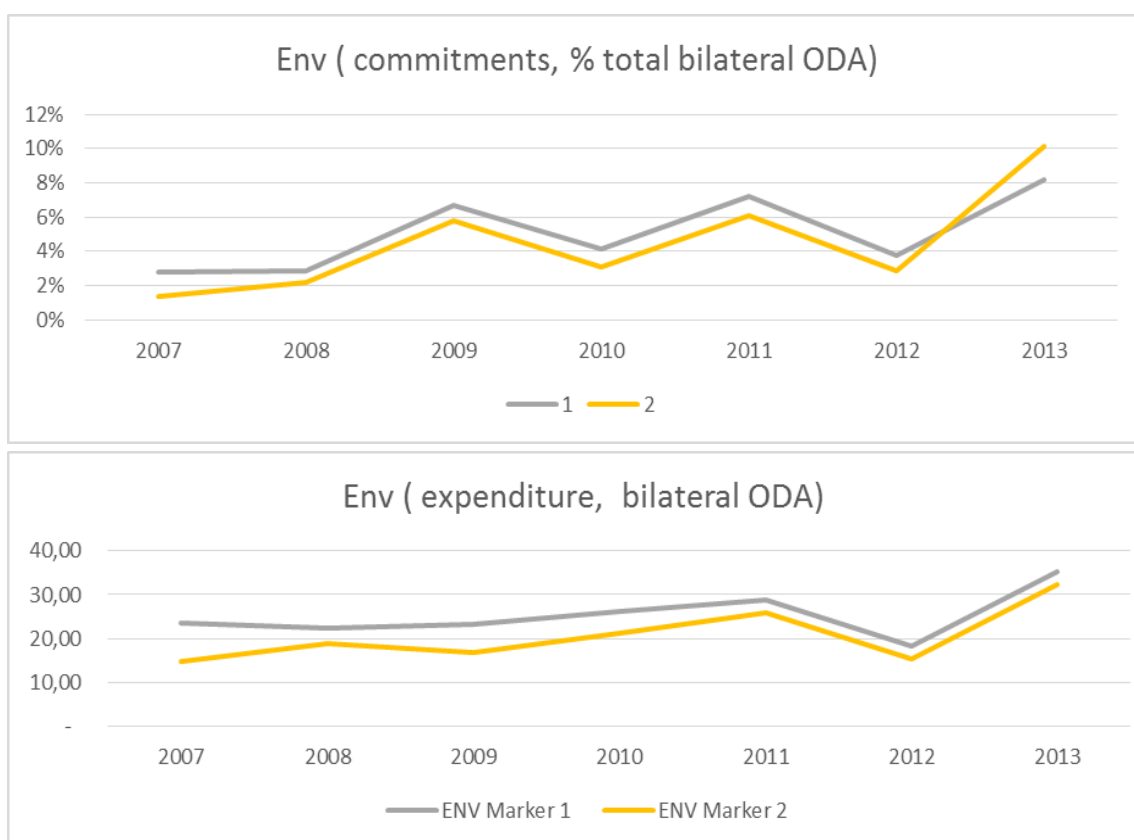
Figure 5. Trends in the share of environmental expenditure and commitments in Austrian bilateral cooperation.

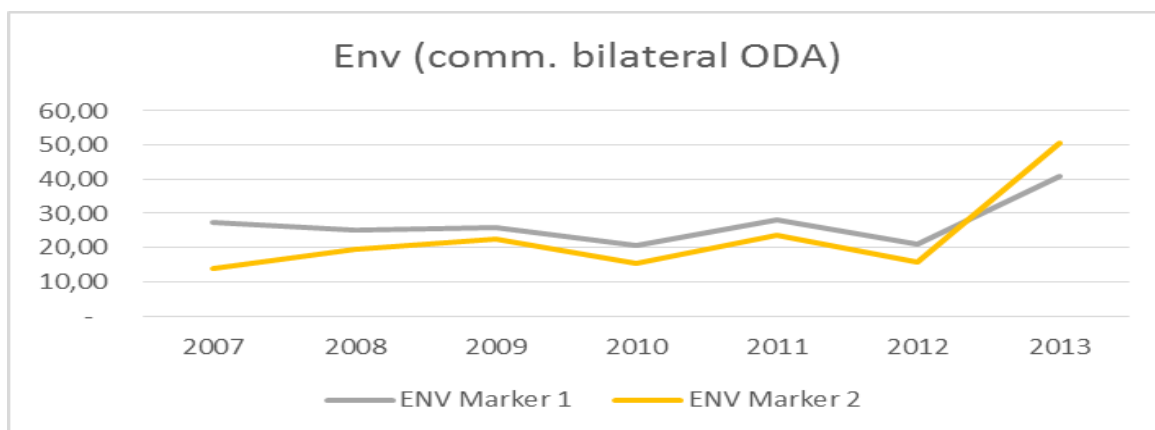




Source: Data from the ADA ODA data base.

Figure 6. Trends in the amount of environmental expenditure and commitments in Austrian bilateral cooperation (millions of euros).

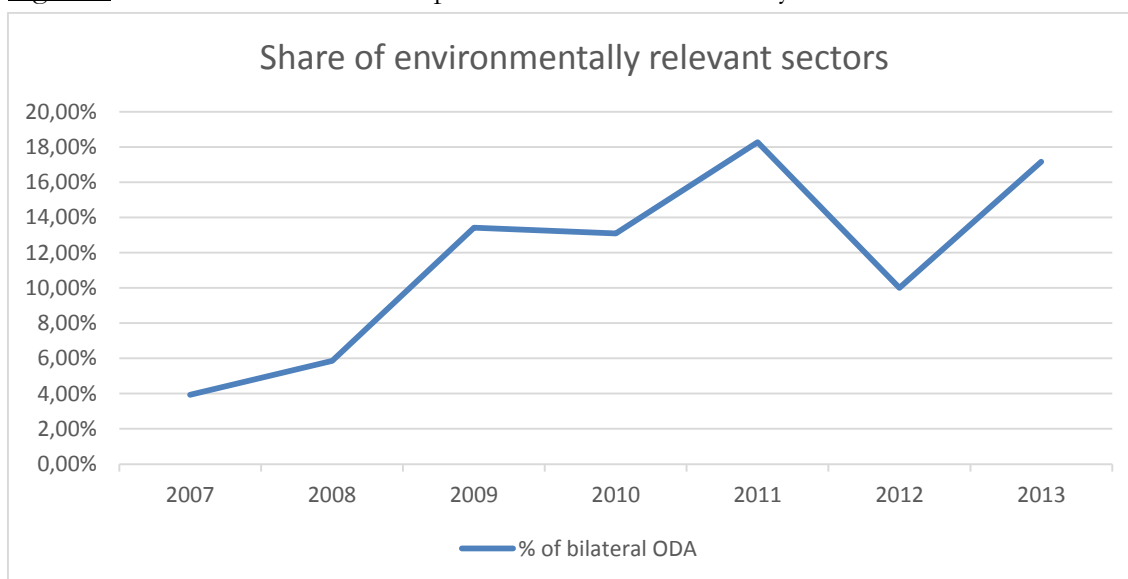




Source: data from the ADA ODA data base.

The next graph (Figure 7) shows the trends in the share of disbursements in the main sectors hosting the thematic operational fields (compared to total bilateral ODA). The selected sectors are water, energy, multisector environment, multisector, and agriculture. The strong increase suggests that the trends in the sectors had a higher impact than the SG on the increase of environmental projects.

Figure 7. Trends in the bilateral expenditure in environmentally relevant sectors.



Q8.2. Is there evidence that the decisions to fund environmental interventions have been supported by the existence or the content of the Strategic Guideline?

Opinions on that matter diverge even within organisations. In BMF the SG is not regarded as supporting the decision in any event. Some interviewees at ADA indicated that the reference in the ADA selection process to the SG is a sign of a positive impact of the existence of the guideline on the decision to fund environmental interventions. Others see no direct impact of the SG on funding. Other criteria are regarded as more crucial: among others a good proposal and the personal interest of staff of coordination offices.

The SG seems to work as a reminder or confirmation of the environmental goal of Austrian development policy, which may help check whether a proposal is on the right track.

Regarding the potential impact of the SG on the type of environmental intervention, it is observed that interventions are consistent with the SG but this is not sufficient to demonstrate that the SG had an impact, because (1) it is too broad to have been able to guide the selection of environmental objectives and (2) it is both a driver for change and a reflection of past actions and expectations.

Q9.1. To what extent is environmental mainstreaming well anchored and implemented in BMEIA's departments and activities linked with development cooperation?

As ADC forms part of foreign policy, its strategic alignment falls under the purview of the BMEIA. Section VII (Development Cooperation) is in charge of all matters regarding development cooperation, including consideration of environmental objectives in strategic frameworks. The recent DAC Peer Review (2014) notes that the emphasis on the environment (and on relations with the EU) has been strengthened since the last peer review, reflecting the strategic priorities of the Three-year Programme and enabling Division VII to play an active role in multilateral fora.

Environment has been a cross-cutting issue in ADC since the 1990s. This can be seen as an evidence of constant consideration of environmental issues. However it was indicated that the emphasis placed on these aspects is considerably dependent on the personal interest of the director-general. Apart from this initial condition, BMEIA practises labour division: country desks are responsible for drawing up country and regional programmes and another department passes its opinion on the strategic focus with regard to environmental issues. Interviews suggest that this does not happen on a regular basis; instead ADA's expertise on environmental considerations is consulted more frequently. As BMEIA's and ADA's opinions are mostly congruent with regard to environment, the responsible persons are not overly concerned about this bypass. It reveals nevertheless that the process is prone to neglect of environmental considerations in the early stages of strategy preparation.

When it comes to environmental considerations within BMEIA, there is one more section that plays a role. The department of environment and sustainability in Section III (Europe), which is involved in cooperation with Balkans and EU accession countries, supports the coordination between BMLFUW and BMEIA on a strategic level (e.g. negotiations on SDGs, UN climate change conferences, UN Conference on Sustainable Development,) and undertakes activities to keep colleagues up-to-date on environmental topics. These activities comprise internal training for young colleagues, information processing for internal use (at times in cooperation with BMLFUW) and inputs to a daily newsletter on environmentally-relevant EU level decisions. It has to be noted however that only one interviewee from BMEIA referred to these actions which suggests that they are not well known.

The question on how environmental objectives are reflected in general strategic documents as well as in country and regional strategies is answered in Q1 and Q2. It should also be noted that the small ODA budget directly managed by BMEIA is mainly used for non-environmental objectives (see Q15.2).

Q9.2. To what extent is environmental mainstreaming well anchored and implemented in BMF's departments and activities linked with developing countries?

The guiding document for BMF's engagement is not the environmental SG but the Strategic Guideline of the Ministry of Finance for International Finance Institutions. The question on how environmental objectives are reflected in the Strategic Guideline of the Ministry of Finance for International Finance Institutions is answered in Q1.

#### Q9.2.1. Multilateral aid

Most of BMF's contribution to multilateral ODA is directed to IFIs – notably the World Bank Group - and to EU institutions. Both possess environmental know-how capacities and strong well-structured environmental and social safeguards. As a shareholder, BMF can influence IFI's position on environmental topics, be it in trust funds or in the organisations of the World Bank Group and Regional Development Banks. Evidence suggests that BMF makes use of that power on occasion. Contributions to IFIs also include support to environmental funds (notably the GEF) and to energy funds or programmes in which climate change mitigation is taken into account as a major concern (see 14.2).

#### Q9.2.2. Bilateral aid

Debt relief accounted for 81% of BMF bilateral ODA and therefore also for a high share (39%) of Austrian bilateral ODA during the evaluation period, although it declined after 2008. As noted by the DAC Peer Review “Austria does not engage in bilateral negotiations with its partner countries to discuss development through debt relief or debt-for-development swaps”. The same comment can *a fortiori* be made for environment.

Soft loans and export finances make up a much smaller share of BMF's ODA contributions. Here BMF follows OECD environmental mainstreaming rules as described in Q12.1.2

Q9.3. To what extent is environmental mainstreaming well anchored and implemented in ADA?

Environmental protection is well-anchored in general, although the adaptation side of environmental mainstreaming was not well anchored in the beginning of the evaluation period (and is still only considered for climate change<sup>13</sup>). Refer to Q2, to read about the different levels of environmental mainstreaming in ADA strategic documents.

An ADA intern guideline calls for each programme and project to undergo an environmental appraisal (see Q20). There are strong indications that, for the majority of projects and programmes, this rule is followed (Q20.3). The environmental appraisal and its tools are well known by ADA staff, although the Strategic Environmental Assessment is not as established. ADA commissions internal training on appraisal for its staff by ADA's environmental advisers. The fact that there were two environmental advisers (which is more than for any other cross-cutting issue) is rated by many stakeholders as sign of the significance attributed to

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<sup>13</sup> People have to adapt to any environmental changes having an impact on their life and that they do not control. This is not restricted to climate change. For example the need for adaptation to desertification and drought is addressed (with another terminology) by the UNCCD, including in case drought results from natural climate variability and not from climate change.

environmental concerns. However the evaluator can also note that the environment itself is a very complex or multiple cross-cutting issue.

Environmental mainstreaming is best anchored in the approval phase at project level. A well-elaborated process secures environmental concerns to be integrated in project design. When necessary ADA's environmental advisors draw up recommendations that are an integral part of the contract. In the implementation phase, however, no systematic check of implementation of these recommendations is put into practice. Mostly this happens only when the project applies for a second phase – but even in that case disregarded recommendations do not necessarily imply a rejection of the proposal.

In other components this environmental appraisal is not mandatory. This concerns humanitarian aid; business partnerships and NGO co-financing (Q20.2).

For more information on the effectiveness of tools of environmental mainstreaming, please refer to Q20.

The high share of environmental interventions managed by ADA is also an indicator of high environmental anchorage (see Q12.1).

Q9.4. To what extent is the development approach well anchored and implemented in BMLFUW's departments and activities linked with international cooperation (development cooperation and multilateral environmental conventions and negotiations)?

In development cooperation, BMLFUW supports food aid and environmental interventions, including climate change adaptation (where it became the main ODA actor in 2013). BMLFUW is also involved in multilateral environmental conventions with close links with development cooperation. However development cooperation is not the core business of BMLFUW and it is a rather new player in the sense that its involvement remained very limited prior to a recent increase. Therefore we cannot expect that the “development culture” is deeply anchored across all departments of BMLFUW. This is notably reflected in the internal procedure: the department in charge of development cooperation does not follow defined processes or tools (checklist, questionnaire, etc.) when selecting interventions for funding. It depends on the responsible person's dedication and his or her expertise in development cooperation as to how specific concerns of developing countries are taken into account and how good practices in project cycle management – adapted to development cooperation – are used.

In terms of institutional organisation, development cooperation issues are anchored in a number of sub-units (e.g. I.4, I.9, I.3, IV.3, III.1 and II.10<sup>14</sup>), but in a rather piecemeal way. This means that in principle all departments have an anchor point in development cooperation, but also that a combined strategic approach throughout the ministry is missing. Development cooperation issues are strategically addressed through the departmental strategy papers – for example within the Austrian biodiversity strategy the action field “saving biodiversity worldwide” development cooperation is properly addressed without any interlinkages with other departmental strategies.

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<sup>14</sup> 1.4 climate and air pollution control, 1.9 international, 1.3 biodiversity, 4.3 water (EU and bi/multilateral cooperation), 3.1 forestry, 2.10 FAO food safety

Besides food aid (which is not covered by this evaluation), BMLFUW's departments and activities linked with international cooperation focus more on environment than on socio-economic aspects of development. This is notably reflected in the BMLFUW adaptation projects (see discussion on “overlapping index”: Q15.3), which are very “environmental”, although adaptation can also consist of non-environmental responses (for example providing mosquito nets when climate warming leads to increased malaria risk or providing insurance services to help farmers face increased climate variability).

However BMLFUW is aware that environment cannot be disconnected from development and cooperation with BMEIA, and ADA contributes to strengthening the anchorage of the development approach within BMLFUW. Two workshops have taken place with ADA and BMLFUW in order to build up expertise in development cooperation.

At field level, the visited BMLFUW projects in Georgia and in Ethiopia displayed full consideration of socio-economic issues. The implementing partner plays an important role in this regard. ADA (as in our Ethiopian example) or other development organisations contribute to adequate integration of development concerns. But BMLFUW-funded projects can also be implemented by partners (e.g. Austrian Research centre for Forests, UBA, ÖBF) that are not specialized in development cooperation, with a risk of poor awareness of development cooperation good practice and Aid Effectiveness principles (see Q3.5).

Examples of logical frameworks also show that BMLFUW is not very familiar with PCM methodologies developed for development cooperation (the most frequent remarks concern the unclear distinction between the different levels of the intervention logics, and the stated purposes often summarize the activities).

Q10.1. Are there (and which are) factors within BMEIA which hamper or undermine efforts to mainstream environmental issues in development cooperation?
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BMEIA is in a difficult position: it has the mandate to coordinate ADC but has no power to order other ministries and other stakeholders to work on (commonly agreed) objectives, be they environmental issues or others, especially since the SG is a declaration of intent rather than binding legislation.

This weak legislative base is reinforced by weak process definitions. Interviews suggest that the people drafting country and regional strategies do not feel competent and do not have the capacity to include environmental considerations in those documents, but the person responsible for ensuring its integration is not consulted systematically.

While this mostly affects horizontal mainstreaming, there are indications that vertical mainstreaming is hampered by fixation on budget lines when drawing up country strategies. As in partner countries environment is rarely a sector backed up with a dedicated ministry, and any focus on environmental objectives is not obvious.

Demands from partner countries were never mentioned by the stakeholders as undermining environmental mainstreaming efforts.

Q10.2. Are there (and which are) factors within BMF which hamper or undermine efforts to mainstream environmental issues in development cooperation?

The Strategic Guideline for International Finance Institutions is the most important strategic document of BMF, including for environmental issues. It provides no guidance on “horizontal mainstreaming”. As already noted in Q1, it only has a strong focus on climate protection and no reference is made to the SG which can be considered a hampering factor in mainstreaming efforts.

BMF has limited environmental expertise in ODA relevant activities. Instead, BMF relies fully on international standards established in international organisations (IFIs, EU and OECD) for horizontal mainstreaming. Staff discontinuity is also an issue reported in BMF:

According to interviews, Austria’s delegates use their shares and voting power within the World Bank group to promote Austria’s positions on environmental concerns. In order to do so, Austrian delegates need first to know what to lobby for and second need well-prepared information on Austria’s position on the topic. There are indications that these information flows do not happen on a regular basis, indeed there are indications of the opposite. Without an exchange on sensible environmental topics, however, the delegates rely solely on the Strategic Guideline for International Finance Institutions. Apart from these concerns, Austria’s ability to lever action as a minor contributor is questionable.

Regarding debt relief and debt-for-development swaps, the Peer Review (2014) notes that Austria does not engage in bilateral negotiations with its partner countries to discuss development. This strongly suggests that environment is not considered. The evaluation also leads to the perception that environmental considerations are not well integrated in the process of granting export financing and soft loans.

Q10.3. Are there (and which are) factors within ADA which hamper or undermine efforts to mainstream environmental issues?

Capacities for horizontal environmental mainstreaming are limited by institutional constraints not restricted to the environmental field, such as scarce budget resources and high fragmentation of ADC (broadly speaking), implying many small projects in several sectors and countries. Moreover some stakeholders suspect frequent staff changes in ADA are another hampering factor, impeding continuity and leading to information losses.

Some stakeholders perceive environmental mainstreaming as a source of supplementary constraint, especially where there is high pressure to respond rapidly to short-term needs. Also there is the perception of a proliferation of strategy papers and cross-cutting issues in ADA, which hampers dedication to environmental mainstreaming. This is true for ADA staff based in Austria but also for those in the coordination offices, which in general are not staffed to cover essential tasks of environmental mainstreaming (e.g. monitoring of implementing recommendations, staying on top of environmental issues and contributing to donor coordination) on top of all other duties. (Read more on that matter in Q19). An aggravating fact is that environmental issues are quite complex and much knowledge is necessary to be able to judge the possible environmental impacts of proposed projects and programmes.

In addition environmental appraisal information has been saved in a separate database that is not generally accessible by programme officers. This hampered the follow-up of

recommendations on environmental issues. However this problem should be solved with the introduction of the new ADA database in 2015.

Another aspect, which has been raised at field level (for example in Ethiopia) is that implementing partners lack the relevant information required for their management needs. According to our interpretation the requirements of the reporting system contribute to this situation, because the system is “control”-oriented and strongly quantified, and thus prone to Goodhart’s Law<sup>15</sup>. This means that the system of reporting and monitoring of development cooperation activities leaves out the “learning” element of evaluation and results-orientation of reporting. For project implementers the wrong information is collected and thus reporting becomes a burden, resulting in limited usefulness and acceptance in the reporting requirements within development cooperation. Implementers need more feedback-oriented information reflecting more detailed environmental effects in order to assess the success of the intervention.

Q10.4. To what extent are common implementation structures useful (e.g. the instrument for climate financing)?

Austrian development assistance is very fragmented and lacks an institution with the authority to issue and enforce guidelines. For the purpose of mutual learning, using synergies, forming consistencies and hence a coherent approach to environmental mainstreaming (be it vertical or horizontal) exchange and coordination between the different players is of utmost importance. There is strong evidence that common implementation structures such as the Platform or the climate finance working group support mainstreaming efforts by facilitating exchange and help build common understanding. Then again, some stakeholders consider the high number of relevant fora (working groups for drafting regional strategies, the Three-year-Programme, or those that address policy coherence, climate financing, environment, etc.) as very time-consuming and wish for a more integrated approach.

#### Q10.4.1. The implementation matrix

The common implementation matrix in its current state is not considered useful. The lack of a time framework and indicators hamper the realisation of its potential (see Q5.1 and Q5.3.2).

#### Q10.4.2. The Platform

The “Platform Environment and Development” was set up to monitor SG implementation and define relevant processes. Members of the Platform hardly ever referred to these tasks, but the main ODA actors are nevertheless satisfied with the Platform’s performance: facilitating networking activities, information exchange and contributing to the coordination of stakeholders.

In contrast, interviews suggest that implementing organisations do not feel well integrated into the Platform’s activities (while some implementing agencies are regular members of the

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<sup>15</sup> Goodhart’s Law consists of two guiding principles: „When a measure becomes a target, it ceases to be a good measure.“ and “Any observed statistical regularity will tend to collapse once pressure is placed upon it for control purposes”.- see Goodhart, C. (1981). *Problems of Monetary Management: The U.K. Experience*. Anthony S. Courakis (ed.), *Inflation, Depression, and Economic Policy in the West* (Rowman & Littlefield): 111–146.

Platform, others are invited as experts to specific Platform meetings and others again have not even heard of the Platform) and either do not know the SG or do not deem it relevant for their ADC engagement. Hence a frequently mentioned suggestion was to change the set-up of the Platform to increase its efficiency and effectiveness (more focus on specific topics and countries and altering the list of participants). Q10.4.3. The Climate financing working group (AGIK)

Climate change and its entailing issues have gained significance in political discourse over last years. Interviews suggest that there is much political pressure to push that agenda which is reinforced by the ongoing discussion on sustainable development goals. This increased interest in climate issues is regarded as promoting ownership on environmental concerns by the involved stakeholders and hence supporting horizontal and vertical mainstreaming efforts.

In this sense the AGIK (*Arbeitsgruppe internationale Klimafinanzierung*), established in 2013 in line with the Austrian Strategy for Climate Financing, as an intra-Austrian coordination group for climate financing acts as another common implementation structure that brings stakeholders together and supports common understanding and coordinated action. The Fast Start Initiative and the Green Climate Fund are evidence of the increased financial resources pooled on that topic, which in turn means larger budgets to fund environmental interventions.

Q11.1. How can BMEIA build, institutionalise and maintain capacities for environmental mainstreaming in a sustainable manner?

In BMEIA employees consider themselves as “all-rounder” - there is rarely expertise on environmental issues. In order to adequately integrate environmental considerations into strategic programming, it is primarily necessary to raise awareness. Enhanced dialogue with environmental experts (e.g. common events with BMLFUW on key issues) and strengthening the knowledge transfer within BMEIA are important steps towards that goal.

Secondly, the evaluation indicates the need for a more structured approach to incorporate environmental considerations into the strategies. Interviews suggest that preparation of these documents does not happen in a uniform way. Those drafting the strategies are supposed to consider many different guidelines and interests. A defined process that includes consultation of environmental experts at a specific stage might be of help in keeping environmental issues in sight. At country level, programming is not based on environmental analysis although the Country Environmental Profiles prepared by the EU are available and can be useful tools.

Thirdly, BMEIA programmes’ budget lines usually mirror the budget lines of the partner country, in which environment is rarely a prominent component. Therefore some stakeholders suggest using a more integrated approach (including NGO and private sector initiatives) so as not to let environment slip out of focus and thereby encourage more holistic programming.

Q11.2. How can BMF build, institutionalise and maintain capacities for environmental mainstreaming in a sustainable manner?

With regard to environment, BMF is mainly relying on external expertise and regulations within IFIs, OECD and Kontrollbank and on its strategy document for Austrian participation in IFIs. It is outside the scope of this evaluation to assess the environmental mainstreaming capacities within IFIs, OECD and the Kontrollbank.

Then again it is BMF's responsibility to ensure the SG is kept in mind in its relevant ODA activities. For this reason it is highly important to safeguard a permanent presence of the BMF delegates in Austrian common fora discussing environmental issues, such as the Platform. Although the department dealing with IFIs is the most important player for ODA in BMF, the departments addressing export financing and soft loans should be more integrated in the discourse.

Furthermore, interviews suggest that more coordination and consultations between BMF and BMLFUW could strengthen Austria's position in talks with IFIs, when technical issues are on the agenda<sup>16</sup>. This may be deduced from the fact that BMF representatives working within the environment-relevant departments are themselves not specifically-educated environmental specialists – thus even if reporting requirements for environmental issues are taken care of by the IFI appraisal and reporting facilities, the control and backstopping function of the BMF is limited and may be supported by BMLFUW know-how in the environmental field.

Q11.3. How can ADA build, institutionalise and maintain capacities for environmental mainstreaming in a sustainable manner?

The environmental advisers and the environmental appraisal procedure contribute significantly to ADA's environmental mainstreaming efforts and to their quality. However, some elements could be changed in order to enhance capacities for environmental mainstreaming.

An earlier consideration of environmental concerns in the intervention cycle might enhance the effectiveness of mainstreaming efforts. Applicants need to be more aware of the importance of incorporating environmental issues before they submit the concept note, preferably from the problem analysis onwards. That way environmental considerations will determine the project design and the main project documents, reducing the need for separate recommendations. This can be supported by more supervision by the coordination office or the responsible programme officer even before the proposals are submitted.

In order to determine which projects should be submitted to environmental screening and appraisals, homogenous criteria, depending on the size and nature of the project, should be adopted irrespective of the aid delivery mechanism. There are also opportunities for improving the tools themselves (see Q20, Q21) and a standard good practice guideline could further lighten the appraisal process and ensure consideration of environmental safeguards in projects that are not subject to screening or appraisal.

Efforts are necessary to improve implementation and monitoring of the recommendations resulting from the environmental appraisals. Suggestions are given in Q21 and in recommendations.

The issue of awareness-raising and training is another key element in building capacities for environmental mainstreaming. ADA staff - at headquarters but also in the field - need to be able to identify interventions that are environmentally sensible. When it comes to the appraisal procedure, interviews suggest that despite training with environmental advisers, there are still some uncertainties. In both cases regular training (on specific questions) might be beneficial.

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<sup>16</sup> Usually this does not concern the negotiations with IFIs around replenishments where the dialogue is mainly focused on financial issues (e.g. fiduciary standards) or policy issues.

To ensure that ADA's environmental trainers are up-to-date in their expertise, they should be able to take part in scientific and policy exchange. Participation on the Platform can be considered as one of these fora.

Options for enhancing environmental mainstreaming within ADA are elaborated in more detail in Q21.

Q11.4. Which common structure, tools or initiative could help main ODA actors build, institutionalise and maintain capacities for environmental mainstreaming in a sustainable manner?

#### Q11.4.1. Platform

The Platform for Environment & Development is considered to be the most important meeting point of the main ODA actors for exchanging information on environmental issues in ADC. The Platform is perceived as promoting informal exchange of information and views, supporting networking activities and keeping participants up-to-date on developments in the respective organisations. The participants are supposed to act as multipliers which radiate the information into their organisation. As already stated in Q7.1 the Platform can thus be assumed to play a vital role in the coordination of the participating ODA actors in environmental concerns.

However, the evaluation indicates that measures could be taken to further enhance the effectiveness of the Platform's efforts in environmental mainstreaming. The most frequently mentioned suggestion was to change the set-up of the Platform into separate working groups (e.g. according to countries or specific topics) with precise work plans. In line with its original role, the working groups of the Platform could monitor and discuss the achieved results of Austrian cooperation, looking at the successes and failures (the guiding questions being: what was successful and where did the stakeholders fail?). Another suggestion is to strengthen the practice of dedicating Platform meetings to specific environmental topics (inviting special guests / implementing agencies that are experts in that regard) and to dedicate Platform meetings to countries or regions at times when their programming is on the agenda. Austrian implementing organisations could inform the ministries of their knowhow in specific countries and topics while being informed about possibilities for engagement. The "GIZ Facharbeitskreis" was mentioned as a best practice example.

This evaluation points to strengthening the Platform as a useful instrument for coordinating ODA actors in environmental matters. To do so it will to actively promote participation in all relevant institutions (e.g. all relevant departments of BMLFUW, BMWFW, BMF export finance departments, to name a few) and a more focused approach. As interviews suggest this could be facilitated by strengthening the practice of dedicating Platform meetings to specific topics or countries. This practice presumably supports the participation of more relevant stakeholders according to the specific topic or country, hence increasing the leverage effect in coordination and the effectiveness of participation.

#### Q11.4.2. AGIK, the working group on climate finance

AGIK complements the role of the Platform for discussions on specific issues. Like the Platform it contributes to capacities by facilitating exchange and building common understanding. It is planned to continue the work of AGIK in line with the climate financing strategy of 2013. Its role will be to report on achievement as well as on hampering factors

relating to climate financing. Moreover recommendations for cost-effective achievement of targets will be elaborated.

#### Q11.4.3. Common training

Apart from the Platform and AGIK, a further approach is to gather all ODA actors at the same training sessions where they can exchange views and receive the same background information so as to contribute to a common understanding of environmental issues and of the required approaches to integrate them in development cooperation. A preliminary training needs assessment can be recommended in order to define the target groups and training objectives.

#### Q11.4.4. Unified project cycle management and logical framework approach

Only a minority of the logical frameworks follow the standard rules (as defined by the ADA standard logical framework matrix and the EU Project Cycle Management Guidelines, 2004) : according to an analysis of 60 logical frameworks (Table 6), short-comings consist of (1) indicators reflecting inputs, (2) multiple purposes, (3) unusual format (not distinguishing three levels of objectives: results, purpose and overall objective), (4) confusion or overlaps between levels of the intervention logic and (5) unclear description of the final situation to be achieved (purpose).

Table 6. Statistics on good practice in the design of logical frameworks

Standard logical framework format (as proposed by ADA)	53/60
Only one purpose	43/60
Absence of indicator reflecting inputs	41/60
No other issues	47/60
Logical framework following the standard rules	17/60

*Source: our analysis based on a sample of 60 logical frameworks.*

When the rules are not followed this is never to fill the gaps in the logical framework approach regarding environmental mainstreaming (for example the lack of a column for effects external to the intervention logic). From an environmental mainstreaming perspective, this has two consequences:

- It will be difficult to promote a “greener logical framework” (as recommended by the EC guidelines for environmental mainstreaming as far as the standard rules are not correctly known or followed
- Using indicators of inputs can reduce the environmental efficiency of the project if indicators guide the action (because inputs are usually vectors of environmental pressures).
- Multiple specific objectives are not considered good practice because they may compete with each other; where they include an environmental objective it can be neglected.

Q12.1. To what extent do environmental concerns or issues guide the main ODA actors in the design or selection of interventions (preparatory stages)?

#### Q12.1.1. Design and selection of environmental projects in bilateral cooperation

The OECD-DAC environmental marker (ENV) provides an indicator of the extent to which environmental concerns guide the design or selection of bilateral interventions. Trends have been described in Q8.1. With equal priority given to the three main objectives of Austrian development policy – or to the three pillars of sustainable development - we could expect 33% of the budget allocated to environmental projects (with scores 1 or 2) or even more, considering that projects scored 1 do not fully contribute to environmental protection.

The share of those interventions investing in the environment reached 18% (14% if a project scored 1 is considered as half a project scored 2) in 2013 but was only 8% (6% if we divide by two the value of projects scored 1) in the whole period 2007/2013. Therefore it is far below 33% (especially if we consider the over-scoring bias described in Q16), and the environment does not appear to have been a priority in terms of expenditure despite recent growth. This is also far below the average for all DAC members, which is 37% of screened projects (2012/2013) according to OECD statistics. The perception that this is insufficient is also shared by a majority of respondents to the on-line survey: no respondent wants a reduced share of environmental projects and 67% want a higher share (including 39% who want an increase in absolute terms).

There are major differences between ODA actors in the share of environmental interventions, which is much higher in BMLFUW and ADA than in BMF (Table 7).

**Table 7.** Share of bilateral expenditure by ENV marker score, for each main ODA actor.

	% score 0	% score 1	% score 2	Total
ADA	62	23	15	100
BMLFUW	47	1.5	42	100
BMEIA	97	0	3	100
BMF	97	1	2	100

*Source: data from the ADA ODA data base.*

BMFLUW contributes to Austrian co-operation specifically through environmental projects (in addition to food aid projects) and therefore environmental concerns or issues more frequently guide the selection and design of its individual interventions. Its share of environmental projects grew significantly in 2012/2013 (while the shares of other ODA actors have been more stable).

In ADA the Country Strategies and the Three-year Programmes play a key role in the selection or design of interventions. They define priority themes - including themes particularly relevant for the environment (as water and sanitation, sustainable rural development or sustainable resource management and energy) - and recall the status of the environment as a cross-cutting issue or the main objective of Austrian development policy. In addition to other strategic documents referring to the environment (including the SG), this leads to selecting interventions pursuing environmental objectives.

BMF has a very small share of environmental bilateral projects (3% scored 1 or 2). However BMF indirectly supports environmental interventions through multilateral aid. This kind of

contribution includes payments to GEF and other environmental funds (see 14.2) and payments to international organisations with environmental programmes in their portfolio, for example the EU and the World Bank (IDA). 10% of World Bank lending was spent in the “environment and natural resources management” sector in 2007/2014 (World Bank reports 2011, 2014).

BMEIA has also a very small share of environmental projects classified as bilateral (3%), but its bilateral expenditure is also very small.

#### Q12.1.2. Design and selection of non-environmental projects in bilateral cooperation

BMF and ADA are the main ODA actors involved in bilateral cooperation.

##### a) BMF

The main bilateral contributions of BMF consist of debt relief operations, where the environment does not play any role. BMF also provides export credits, it follows the OECD recommendation on “Common Approaches for Officially Supported Export Credits and Environmental and Social Due Diligence” and the “Understanding on export credit for renewable energy, climate change and water projects” within the OECD “arrangement on officially supported export credit”. Interviews suggest that ODA relevant finances are never categorised as environmentally sensible projects hence do not follow environmental appraisal procedures according to the OECD Common Approaches. This assessment is questionable, since according to the same source ODA soft loans and export finances are usually granted to the sectors health, education, train infrastructure, water and sanitation. At least the latter two are environmentally sensible sectors.

##### b) ADA

As reflected in the Nexus Paper, ADA is aware of the close inter-linkages between environment and development issues. In theory such an awareness should inspire an identification approach based on a broad problem analysis, not neglecting environmental issues and their linkages with socio-economic issues, and leading to projects relevant to all aspects of sustainable development including the environment (even when they have no explicit environmental objectives). However we find no evidence that this approach is implemented (see Q26.1).

The project design is expected to mainstream all cross-cutting issues including the environment. The environment is not the most neglected cross-cutting issue. Project proposals usually have a section on environmental sustainability. However like gender the environment is sometimes very superficially (if not cosmetically) integrated. For example the strategic evaluation of the education sector finds that “The projects do not translate the cross-cutting issues as defined in the education sector guidelines for South-East Europe” and the evaluation of Private Sector Development finds that “uneven attention is given to (environmental) aspects in the preparation phase”. There is also frequent confusion between consideration of environmental sustainability and consideration of all the interlinkages between the project and the environment.

After the identification stage, the environmental screening and appraisal procedure also guides the selection of interventions, but not in all instruments (see Q20). This usually leads to recommendations on how to mitigate any adverse impact (and rarely to the rejection of an intervention).

### Q12.1.3. Design and selection of contributions to multilateral aid

The major multilateral organisations and funds supported by Austria (mainly BMF), such as the World Bank group (IDA) and EU institutions (Commission, EIB and EDF) have their own environmental safeguards procedure. The World Bank has detailed and well-structured safeguards, its environmental and social framework being currently revised and subject to extensive consultation<sup>17</sup>. The EU has had an environmental integration handbook since 2007, transformed into environmental integration guidelines<sup>18</sup>. Those tools are not subject to the current evaluation but some generic comments can be made: a) they follow high-quality international standards but this does not mean they are perfect or perfectly used; b) the international standards for environmental impact assessment consist of mitigating the most significant (adverse) impacts; they are not designed to maximize positive impacts or to take advantages of the opportunities for enhancing minor impacts at low cost.

Austria also contributes to environmental interventions through the same organisations and through specific environmental funds and programmes (see Q14.2).

Q12.2. To what extent do environmental concerns or issues guide the main ODA actors in the implementation, monitoring and evaluation of interventions (implementation and post-implementation stages)?

In terms of explicit (and actively pursued) environmental objectives, the attention paid to the environment usually remains high during the whole project cycle. This happens in projects adequately scored 1 or 2 but not when such a score results from over-scoring (see Q16.5). In other projects, the attention paid to the environment tends to drop once the project document has been approved (see Q20, Q21 and Q26). Project management focuses on the planned activities and expected outputs or results at the expense of side-effects including environmental effects. There is no systematic implementation (and monitoring of the implementation) of the recommendations resulting from environmental appraisals. The same is valid for the environmental safeguards described in the project document prior to its appraisal (Q20).

Similarly evaluation work tends to neglect side-effects (which are not explicitly covered by the standard DAC evaluation criteria), including environmental impacts (sometimes lost in other cross-cutting issues). Little is done for *ex post* environmental impact assessment.

Q13.1. To what extent and at which level are environmental issues addressed in the Policy dialogue?

### Q13.1.1. Extent of environmental Policy Dialogue

Environment is a key issue frequently discussed between Austrian partners and partners according to 39% of the respondents to the on-line survey and it is “an important issue among

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<sup>17</sup> See: <http://go.worldbank.org/D10M0X2V10> and <https://consultations.worldbank.org/consultation/review-and-update-world-bank-safeguard-policies>.

<sup>18</sup> [https://ec.europa.eu/europeaid/sites/devco/files/methodology-tools-and-methods-series-integration-environment-in-development-200911\\_en\\_2.pdf](https://ec.europa.eu/europeaid/sites/devco/files/methodology-tools-and-methods-series-integration-environment-in-development-200911_en_2.pdf)

others” for a further 20%. Only a minority (13%) considers that the environment is not sufficiently discussed in Policy Dialogue (with no significant difference between Austrian and local respondents). There is however a risk of bias, due to the probability that partners involved in policy dialogue respond more than others to the survey.

#### Q13.1.2. Direct Policy Dialogue between ADC coordination office and local Government

The environment is addressed in the Policy Dialogue at governmental level, when there are close links between the environment and the intervention areas, for example when the environment or a sector directly related to natural resources is envisaged or selected as one of the main sectors of ADC in the partner country, especially when Austria is an important player (which is not often the case). Policy Dialogue on the environment also depends on the political agenda of the country and on the expected benefits. The Dialogue can take place at central government level or at decentralised level (for example with regional governments in Ethiopia).

Where the links with the environment are less direct or in sectors where the environment should mainly be mainstreamed as a crosscutting (horizontal) perspective, the ADA coordination office tends not to address environmental mainstreaming issues in its Policy Dialogue. If there is no support for the ministry in charge of the environment, ADA coordination office usually has no contact with it, although it is supposed to support mainstreaming in other ministries. We can suggest that conditions could be more conducive to support and to dialogue on environmental mainstreaming where ADC works both with the ministry in charge of the environment and with the ministry facing mainstreaming challenges, but we have no evidence that this takes place.

Some staff members in ADA consider that promoting environmental mainstreaming in non-environmental sectors is not ADA’s role in the international division of labour. This may suggest that some ADA actors perceive that the division of labour, usually recommended for sector or thematic approaches, is valid when cross-cutting issues are to be “horizontally mainstreamed”. This position is questionable if we consider that the environment should be systematically taken into account by all actors.

The level of attention paid to the environment in the policy dialogue is also much dependent on people in the ADC coordination office (with a high profile in Uganda and Bhutan for instance). This suggests that ownership or awareness (see Q13.3 and Q13.4) is not just an issue in the partner country.

#### Q13.1.3. Policy Dialogue in the framework of inter-donor coordination

Environmental Policy Dialogue with other donors or indirectly with the partner country can also take place in the framework of inter-donor coordination fora and in steering committees or advisory groups of multi-donor environmental programmes or initiatives. The environment is notably taken into account in the discussions on General Budget Support in Mozambique, in the « *Cadre de concertation des partenaires techniques et financiers du secteur développement rural, sécurité alimentaire et environnement* » in Burkina Faso, in the advisory board of the Climate Resilient Green Growth Facility in Ethiopia, and in ICIMOD Support Group (Himalayan region). In Uganda there is a Thematic Working Group on Climate Change. Austria is also involved in several multilateral fora.

#### Q13.1.4. Policy Dialogue at intervention level

Environmental interventions often give rise to policy dialogue between project partners (including NGOs and private companies) and local authorities or government; and also,

depending on the nature, size and institutional anchorage of the intervention, to triangular policy dialogue involving the Austrian Development Co-operation office.

#### Q13.1.5. National Policy Dialogue supported by Austria

In addition to direct policy dialogue between Austria and the partner government, Austria can promote national policy dialogue or support organisations actively involved in policy dialogue. For example, support to forest policy in Georgia certainly contributed to building awareness and ownership on forest conservation issues as well as some continuity in forest policy in a context of political instability. In Uganda CSOs have substantially contributed to dialogue on policies and laws including Water Policy, Soil Policy and Act, Forests Act, the degazetting of forests, wetlands and several others, although the Austrian contribution to this impact is unclear (Joint evaluation of the Support to Civil Society Engagement in Policy Dialogue). In those circumstances we can affirm that ADC promotes environmental policy dialogue without directly taking part in it or influencing its content.

<h4>Q13.2. Is the Policy Dialogue on environmental issues constructive?</h4>
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A clear majority (80%) of respondents to the on-line survey agree (58%) or strongly agree (22%) with the statement that Austrian financial support for environmental interventions generates fruitful policy dialogue on environmental issues.

As explained in Q13.1 environmental policy dialogue mainly happens in the framework of interventions closely related to the environment. In such circumstances the environmental Policy Dialogue tends to be constructive as far as it happens, to benefit from ownership (see Q13.3 and Q13.4), to strengthen capacities, and to some extent to raise awareness. It was not noticed in the context of ADC that environmental ministries were reluctant to see other ministries involved in environmental protection and receiving external funds for it, although the risk exists.

Budget support is a modality deemed conducive to constructive policy dialogue. Budget support was provided to Cape Verde in the environmental sector (with quite a significant Austrian contribution amounting to 21% of the full budget) and partners have highlighted that ADC has been able to play a vital role in the dialogue. However the evaluation of budget support also finds that capacity development and procedural and organizational aspects have hampered the role of Austria in the policy dialogue (Comparative Review of Austrian Development Co-operations' Budget Support Operations Cape Verde, Mozambique, Nicaragua, Uganda, 2010).

The tendency not to have environmental policy dialogue in non-environmental sectors suggests that policy dialogue does not take place in sectors where environmental mainstreaming may be most necessary. However external support for environmental organisations strengthens their position *vis-à-vis* other stakeholders who are less aware of environmental issues and prioritise economic growth. This also strengthens capacities to promote environmental mainstreaming outside the environmental sector.

Q13.3. Does the Policy Dialogue contribute to raising awareness and building ownership?

Direct policy dialogue between Austrian and local partners in the environmental field raises awareness at least of what Austria wants. Capacities to raise awareness on environmental issues can be limited by a lack of environmental expertise among policy dialogue partners. Environmental awareness-raising and ownership on environmental issues seem to benefit more from support provided to national stakeholders involved in internal “policy dialogue” activities or to multi-stakeholders processes in which partners of Austrian cooperation can participate.

Some observations have been made to the effect that awareness-raising and ownership does not go beyond lip service – that is, in those cases where national policy priorities do not emphasise environmental (or gender) issues, the development partners tend merely to “accept” environmental mainstreaming without real ownership (see e.g. experiences with the agricultural sector in Georgia).

Q13.4. Is there sufficient ownership in partner countries to ensure long-term consideration of environmental issues even if not demanded by donors?

Local ownership is a key condition for ensuring sustainability of environmental consideration and of environmental interventions. The extent to which ownership is sufficient depends on local circumstances. It results from the balance between conducive and adverse aspects described below.

Q13.4.1. Positive aspects

Although some Austrian actors may demand more environmental mainstreaming than local partners, we have no clear evidence that environmental interventions funded by Austria are excessively “donor-driven”. ADA follows aid effectiveness principles including alignment and ownership (Q3). BMLFUW is aware of the need to build projects on careful analysis and consultations with partners, which reduces the risk of poor ownership. Environmental awareness – and environmental mainstreaming in national policies – is high at least in some countries (for example Albania and Bhutan) or has increased during the evaluation period (for example in Ethiopia). Ownership is more often quoted as a strength (16) than a weakness (11) in the on-line survey. In humanitarian aid, interviews suggest that implementing partners are usually more aware of the need for environmental mainstreaming than their ADA counterparts.

Usually environmental awareness is not equally represented in the local societies but two social categories can be particularly supportive: (a) environmental actors or organisations (including ministries) and (b) local communities or final beneficiaries suffering from environmental degradation (for example people living in urban slums under unhealthy environmental conditions; people vulnerable to hazards and climatic events; and rural communities directly dependent on local natural resources under threat from external pressures). For example, in North Gondar (Ethiopia), “The sense of ownership developed and political commitment shown by the regional political leaders, local officials and communities in supporting the conservation and development of the national parks is exemplary and encouraging” (2508-00/2008). In Eastern Georgia environmental and climate threats to agriculture are well

perceived by local authorities and farmers who are demanding environmental support (8281-01/2011).

#### Q13.4.2. Negative aspects

The on-line survey shows that the attention paid to the environment is sometimes weaker among local partners than among Austrian partners: 16 respondents consider that Austrian partners pay more attention to the environment than local partners, none mention the opposite and 12 perceive equal attention (mainly local partners).

Environmental issues are not always the main priority perceived at national or local level. Governments can be more concerned with their political stability, security, social peace and economic growth. Local communities have their urgent needs, while benefits resulting from environmental projects can include long-term impacts or impacts exported outside the implementation areas. Local communities can even suffer from reduced access to natural resources due to environmental projects. Environmental awareness can also be limited, especially on global or distant issues. Even the more aware people suffering directly from environmental degradation can prioritise the hope of side-lining their dependency on the local environment and on natural resources. People can also be locked into the contradiction between their short-term individual interests and the need for sustainable environmental management, even in cases of adequate environmental awareness.

The risk of poor local ownership can be higher in the case of climate change mitigation as such (for example replacing polluting energy by clean energy, without increasing overall access to energy), because this objective never provides significant local benefits and partners in developing countries usually consider that the main effort should be made in developed countries.

Poor attention paid to the environment – including to local living conditions- was notably reported in Palestine owing to insecurity and unsafe livelihoods. In South-East Europe two multinational projects (ENVSEC 8071-00/2005, 2579-00/2009, 8071-01/2012 and Themis 8284-00/2011, 8284-01/2014) have been successful in creating awareness, but both projects are struggling with the limited interest in environmental issues at the upper policy level (FAKT, 2015). The strategic evaluation of the Support to Civil Society Engagement in Policy Dialogue finds that little was known about the global environment among interviewees in the countries studied: Bangladesh, Mozambique and Uganda. ADA actors perceive an overall tendency to neglect the environment in non-environmental sectors, especially in Africa. In Burkina Faso, attention to ownership led to reducing the focus on the environment (Evaluation stratégique PPDRD Burkina Faso, 2008). In North Gondar (2508-00/2008) an evaluation notes that “the lack of economic incentive and feelings of dispossessions among the community may, in the long run, create resentment and conflict between the park management and the surrounding communities”.

In non-environmental sectors requiring environmental mainstreaming, ownership of environmental concerns can also suffer from the feeling that the environment is not their responsibility. The frequent fragmentation between administrative sectors and a culture of strong division of tasks between ministries can strongly restrain environmental mainstreaming. This seems valid for other cross-cutting issues as well. The strategic evaluation of the education sector finds in local partner organisations a reluctance to integrate cross-cutting issues.

Moreover existing demands for environmental projects are not always a sign of willingness to achieve the announced environmental objectives, because they can be driven by expectations on access to funds and means. The evaluation in North Gondar (2508-00/2008) notes that

“Communal participation in some cases appears to have been in anticipation of financial and other benefits from the program and not out of own persuasion for longer term payback”. This phenomenon risks being the highest in cases where the environmental focus is determined from the start of the identification process, and therefore more in the framework of environmental funds (GEF, climate funds) than in bilateral cooperation. The willingness to capture external funds for environmental projects exists notably within environmental organisations or ministries, in order to compensate for their comparative weakness *vis-à-vis* other institutions. In those circumstances ownership by direct environmental partners may just reflect their institutional concerns without guaranteeing a strong willingness to achieve the intervention objectives sustainably. Local demands for environmental projects can also be driven by other political reasons, for example in South East Europe (including Georgia) where adopting the EU “acquis” (including environmental rules and standards), becomes an objective regardless of the environmental impact. Support for environmental projects can thus conceal low ownership.

Local communities with strong cultural, symbolic or economic links with their natural environment and therefore strong ownership on environmental issues may also have weak ownership of environmental projects proposed by ODA partners, because of gaps in perceptions, language and interests or because of a conflicting history with environmental authorities (such as forest and wildlife conservation services in Africa where there is a heritage of authoritarian environmental protection). There can also be a risk of different perceptions between Austrian and local governments as regards environmental priorities.

#### Q13.4.3. Conclusions

The extent to which ownership is sufficient to ensure sustainability depends on many factors that may vary according to local circumstances. There is always a risk that the consensus on a project hides different expectations. It should also be recalled that ownership is not the unique condition for sustainability. Therefore it is hard to assess to what extent ownership is usually sufficient to ensure sustainability of environmental considerations and of environmental interventions. A minimal level of ownership is required from the outset (depending on correct selection of partners and a participatory, demand-driven approach in the intervention design) and can – or should – be further developed during project implementation (by demonstrating the benefits of the project and avoiding deception).

Q14.1. What are the trends (and the average level) of the share (and absolute budget) of interventions marked 1 and 2 for each Rio marker in bilateral ODA<sup>19</sup>?

#### Q14.1.1. Budget by marker

The next table (Table 8) shows the share and budget in total bilateral ODA.

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<sup>19</sup> Former sub-questions Q14.1 and Q14.2 have been merged because only bilateral cooperation is scored.

Table 8. Share (%) and budget (€m) in total bilateral ODA by marker (scores 1 being considered as 50% of scores 2).

Marker	ENV	CBD	CCD	FCC	ADP
Share of total budget	8%	2.2%	1.2%	2.4%	1.2%
Budget allocated to the marker (7 years 2007-13)	255.45	91.53	49.85	114.89	50.54
Yearly budget allocated to the marker (average)	36.49	13.08	7.12	16.41	7.22

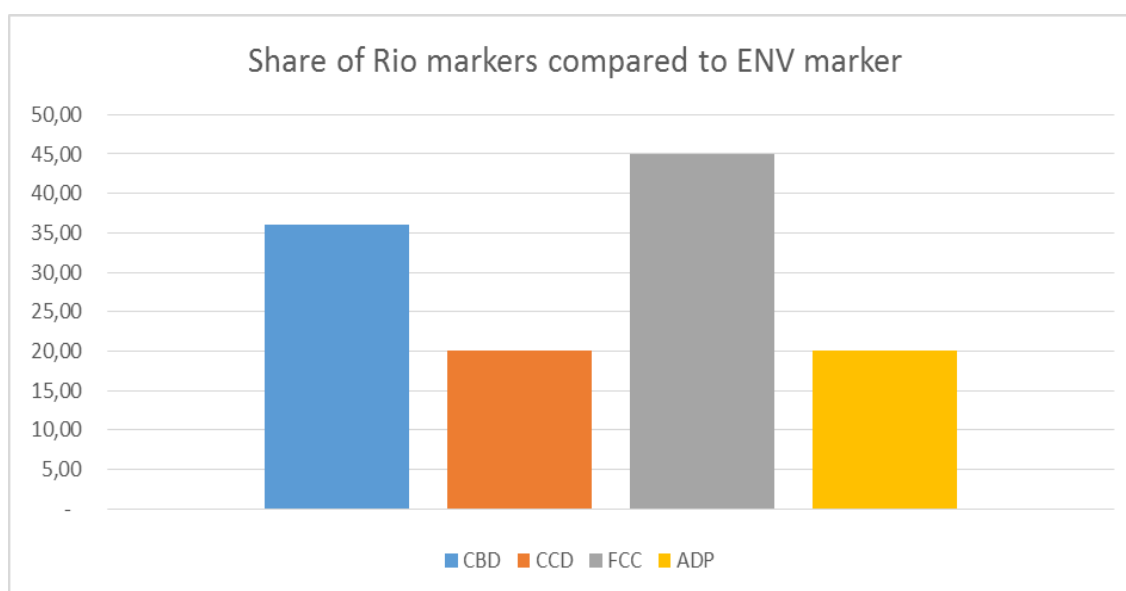
Source: Data from the ADA ODA data base.

#### Q14.1.1. Rio markers as a percentage of the ENV markers

As shown in 12.1 only 8% of the total budget of bilateral aid for 2007/2013 (€ 4,128,756) is allocated to interventions with an ENV score of 1 or 2 (environmental interventions). Most of those environmental interventions contribute at least to one Rio convention. A sample of 373 ADA interventions positively scored for ENV show 34% of environmental interventions without positive score in the Rio markers, suggesting that about 5.3% of bilateral aid contributes to Rio conventions. Figure 8 shows the percentage of each Rio marker in environmental interventions.

Because a project can contribute to several conventions, the total (120%) is higher than 100%. FCC (climate change mitigation) has the highest percentage (45%) followed by CBD (biodiversity, 35%).

Figure 8. Share of each Rio marker in the commitments positively marked for ENV

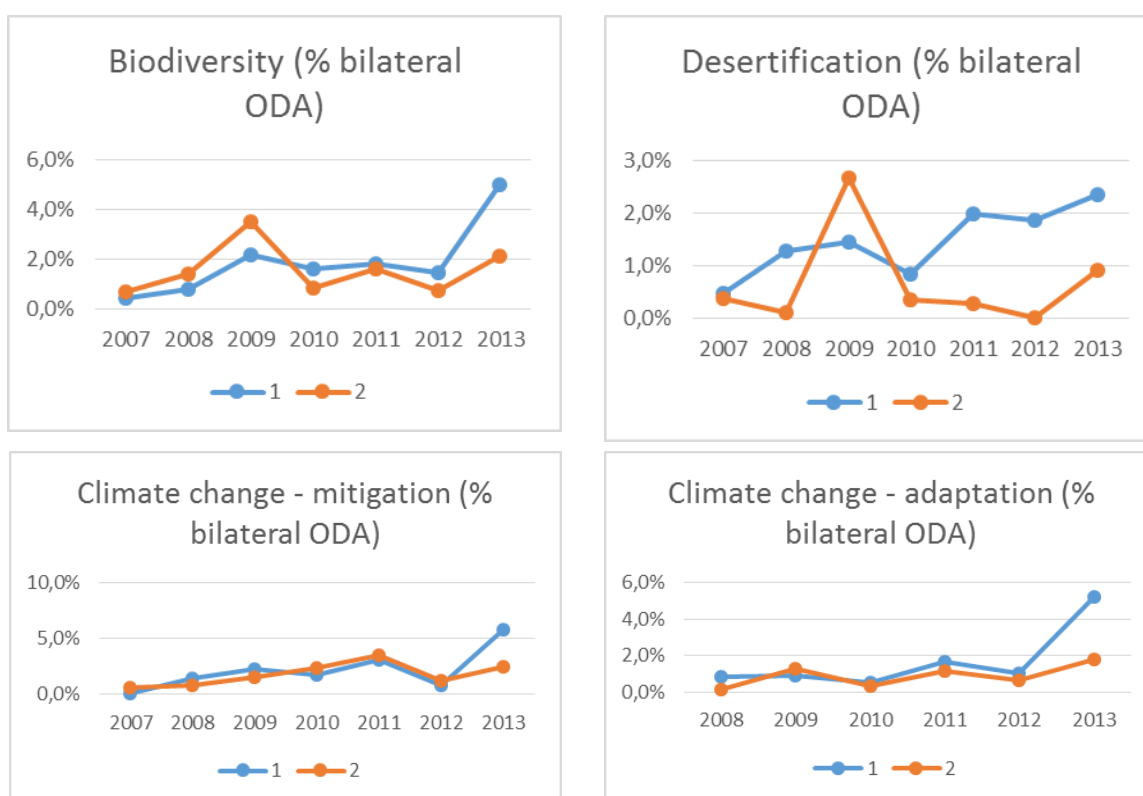


Source: Data from the ADA ODA data base. Scores 1 are considered as 50% of scores 2.

### Q14.1.3. Trends in Rio markers

Statistics on Rio markers (Figure 9) also show fluctuations during the period 2007/2013 (data for 2014 not being available) with a sharp increase in 2012/2013 for the three conventions. The overall trend in 2009/2010 is slightly negative despite the release of the Strategic Guideline in 2009 and an increase in the bilateral aid budget (385.96 in 2009, 502.76 in 2010).

**Figure 9.** Trends in the share of each Rio marker in the total commitments in bilateral aid.



Source: data from the ADA ODA data base.

The peak observed in 2009 in the share of the CBD and the CCD markers is also observed in the absolute amounts and results from ADA interventions.

Q14.2. What are the trends (and the average level) in the share (and absolute amount) of funds going to the GEF and other multilateral environmental funds or organisations?

The table below summarizes the data from the ADC annual reports.

**Table 9.** Statistics on contributions to multilateral environmental funds and organisations.

To	From	2007	2008	2009	2010	2011	2012	2013
GEF	BMF	11.76	5.85	6.1		21.3	10.65	10.65
EU Life (ODA)	BMF	0.11	0.1	0.09	0.06	0.06	0.05	0.04
EU ENRTP	BMF	1.63	1.48	1.72	2.27	3	3.37	2.97
UNEP	BMLFUW	0.4	0.41	0.4	0.4	0.4	0.4	0.4

To	From	2007	2008	2009	2010	2011	2012	2013
UNFCCC	BMLFUW	0.1	0.09	0.06	0.07	0.07	0.08	0.07
CITES	BMLFUW	0.03	0.03	0.03	0.03	0.03	0.04	0.04
IPCC	BMLFUW	?	0.02	0.02	?	?	?	
Montreal protocol	BMLFUW	1.19	1.19	0.97	0.97	0.97	1.07	1.07
Adaptation fund	BMLFUW							0.50

Source: ADC annual reports.

The GEF receives the major contribution. According to the GEF replenishment negotiations reports, Austrian contributions to the GEF grew from \$34.24m in the 4<sup>th</sup> replenishment (2006) to \$58.86m in the 5<sup>th</sup> replenishment (2010), representing an increase of 72%. ADC reports show annual amounts of ca €6m and €11m annually (with no figure in 2006 and 2010 explaining the higher figures in 2007 and 2010 in Table 9). This can be compared with the €20.7m of annual bilateral aid for environmental projects scored 2 (average 2007-2013).

The second main fund after the GEF is the EU Environmental and Natural Resource (including Energy) Thematic Program, which has also received a growing contribution.

Austrian contributions to GFDRR (Global Fund for Disaster Risk Reduction – addressing *inter alia* climate risks) started in 2010. Austrian pledges amount to \$3m since the inception of GFDRR, which represents 0.6% of the total GFDRR budget. The main contributor is the EC. The GFDRR is notably addressing climate risks.

The BMF also contributes to the AsDB's Clean Market Initiative and Energy for All, IDB's Sustainable Energy and Climate Change Initiative (SECCI), IBRD's Energy Sector Management Program (ESMAP) and IFC's ECA Resource Efficiency Program (former Cleaner Production Program) and Resource Efficiency Program for small and medium enterprises (Moldova).

#### Q14.3. How can these trends be interpreted?

The overall increasing trends reveal the growing attention paid to the environment from a “vertical mainstreaming perspective” as shown in Q8.1. Because of a decreasing over-scoring bias (Q16.5.1), actual growth is presumably higher.

Short-term fluctuations do not necessarily reflect changes in implementation of the environmental policy. Trends can be sensitive to single large interventions, to errors or hesitations in the scoring of important interventions, and to changes in staff and in scoring approaches.

The high focus on the UNFCCC reflects the international pattern and the high profile of climate change in public debate and policy agendas. The increase in the frequency of Adaptation (ADP) scores reflects the 2009 Copenhagen commitments and the increasing involvement of BMLFUW, although the most significant growth was only observed in 2012/2013. It should be recalled that the distinction between Adaptation and Mitigation markers was introduced by OECD DAC only in 2010 but that ADA attempted to make it *a posteriori* on former projects.

Compared to climate (UNFCCC) and to biodiversity (CBD), desertification (UNCCD) receives a smaller share. This reflects the international situation, in which UNCCD has been named the “orphan convention”<sup>20</sup>. Desertification is also a small focal area in GEF expenditure. A potential explanation valid for Austrian cooperation is that desertification is only an issue for arid (or sub-humid dry) areas, while climate and biodiversity are universal. The lower share of interventions relevant to UNCCD reflects the geographical concentration of ADC in non-arid countries, Burkina Faso and Ethiopia being the main partner countries facing desertification challenges. Desertification has also a low profile in the Strategic Guideline.

Q15.1. To what extent is the share of interventions marked 1 and 2 for each Rio marker and funded by each main ODA actor different from the share in total ODA?

#### Q15.1.1. Commitments by Rio marker and ODA actor

Data are shown in Table 10 for each score and in Table 11, where a total amount is provided based on the assumption that score 1 can be considered as half score 2.

Those data provide Figure 4 (Volume 1), which shows the importance of ADA for all conventions in bilateral aid.

The low amounts for BMEIA result from the fact that this ODA actor is not directly involved in bilateral cooperation (except through so-called “multi-bi” interventions which are marked).

**Table 10.** Data on bilateral commitments 2007/2013 (€m) by Rio marker

	ENV 1	ENV 2	CBD 1	CBD 2	CCD 1	CCD 2	FCC 1	FCC 2	ADP 1	ADP 2
ADA	150,60	98,78	53,69	50,38	51,92	22,50	51,6	38,4	35,88	15,40
BMLFUW	1,47	14,65	7,54	3,50	2,70		3,1	9,1	4,15	6,81
BMEIA	0,07	4,72		0,30				3,6	1,00	0,05
BMF	33,63	35,51	6,65	1,39	0,27	0,35	21,4	20,1	9,43	1,17
Others	2,99	7,41	0,15	1,95	0,71		0,2	5,7	1,52	1,12
Total	188,76	161,07	68,03	57,52	55,60	22,40	76,20	76,80	51,98	<b>24.55</b>

Source: Data from the ADA ODA data base (2007-2013).

**Table 11.** Amount of commitments by marker.

	ENV	CBD	CCD	FCC	ADP
ADA	174,08	77,23	48,46	64,20	33,34
BMLFUW	15,39	7,27	1,35	10,65	8,89
BMEIA	4,76	0,30	0,00	3,60	0,55
BMF	52,33	4,72	0,49	30,80	5,89
Others	8,91	2,03	0,36	5,80	1,88
Total	255,45	91,54	50,20	114,90	50,54

Source: data from Table 10.

<sup>20</sup> Tal, A. (2007) ‘A Slow Crawl Forward in the Dust: Desertification, the Environmental Orphan’, in C. Mauch, J. Radkau and F. Uek Ottereds. The Turning Points of Environmental History. London: Rowman & Littlefield

#### Q15.1.2. Share of each marker in the total of environmental projects in each ODA actor

The percentages of Rio markers compared to the ENV marker are shown in Table 12, which is derived from Tables 10 and 11.

Table 12. Share of each Rio marker as a percentage of the ENV marker.

	ENV	CBD	CCD	FCC	ADP
ADA	100%	44%	28%	37%	19%
BMLFUW	100%	47%	9%	69%	58%
BMEIA	100%	6%	0%	76%	12%
BMF	100%	9%	1%	59%	11%
Others	100%	23%	4%	65%	21%
Total	100%	36%	20%	45%	20%

*Source: data from Table 11.*

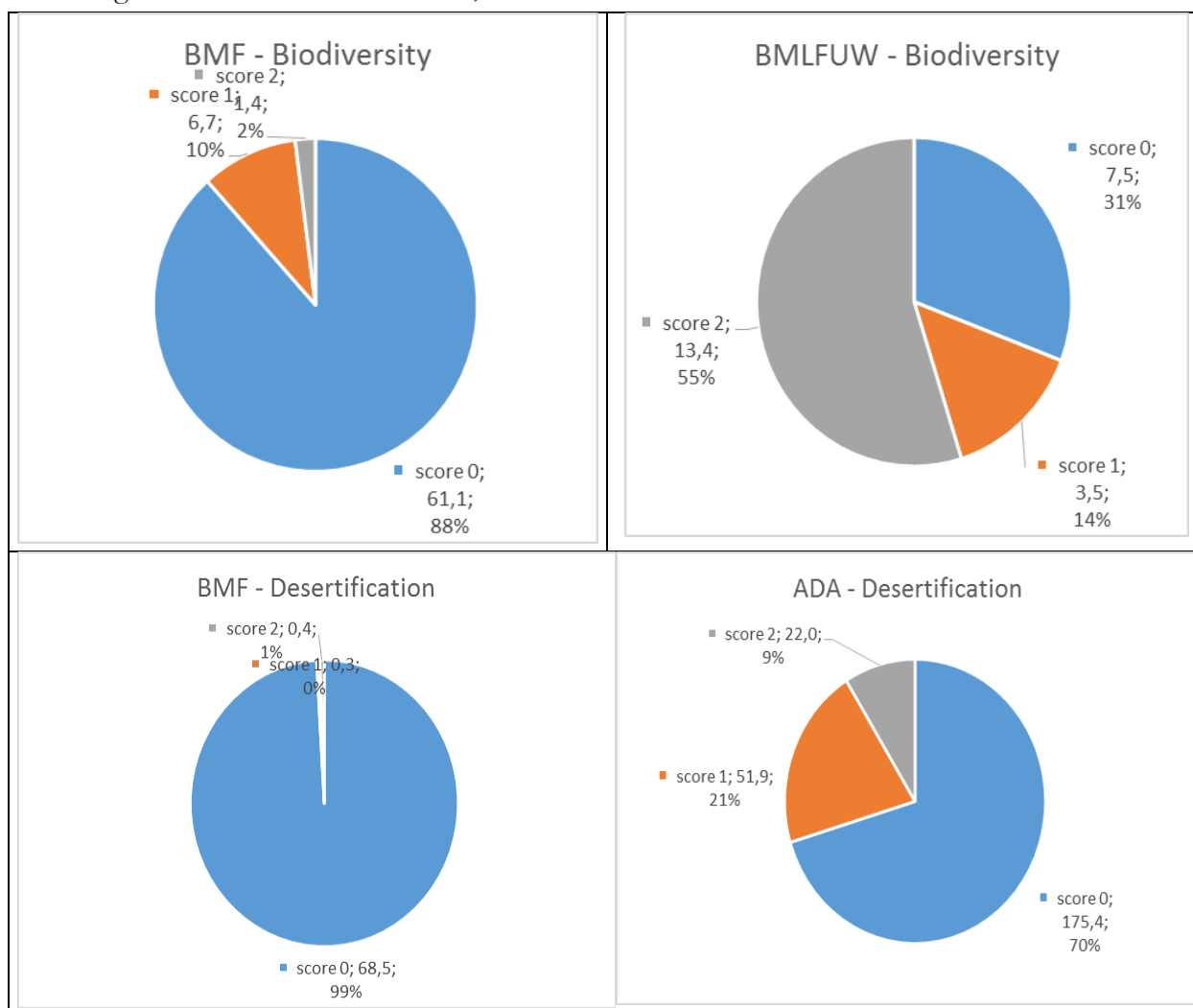
In ADA, all Rio markers are close to the overall average, because this actor is by far the most important contributor to projects scored 1 or 2 for the ENV. ADA can be qualified as generalist, covering all markers.

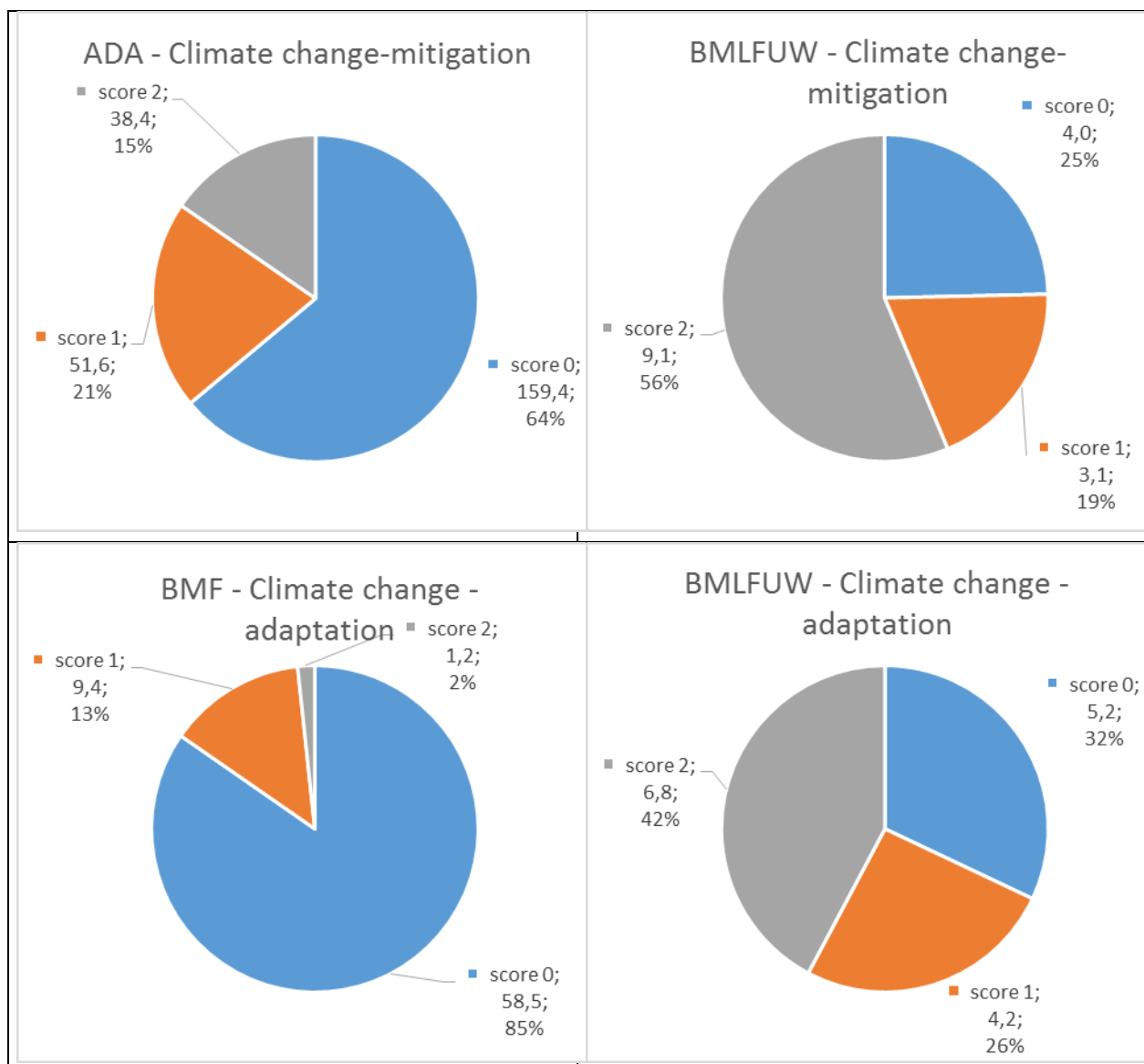
In BMLFUW, biodiversity (CBD), climate change adaptation (ADP) and mitigation (FCC) represent a higher share of environmental cooperation. Desertification (CCD) is less addressed by BMLFUW. BMLFUW is also a generalist, but with a lower contribution than ADA to desertification and a higher contribution to biodiversity and climate change adaptation.

Data regarding BMEIA show a high share for CCD but they should not be considered as significant because this actor is a very minor contributor to bilateral aid. In BMF, climate change mitigation (CCD) represents a high share, but a high share of a small percentage of environmental projects.

The graphs below (Figure 10) show the highest differences between ODA in the shares of scores for the Rio marker (in the projects scored 1 or 2 for ENV). The comparison should take into account differences in the “overlapping index”, showing that many BMLFUW projects tend to be positively scored for several markers (Q15.3).

**Figure 10.** Contrasts between main bilateral ODA actors in their focus on the Rio markers. Left side: actor with the lowest focus. Right side: actor with the highest focus. The graphs show the share of each score in projects scored 1 or 2 for ENV (commitments). BMEIA, being a minor bilateral contributor, is excluded.





Source: data from the ADA ODA data base

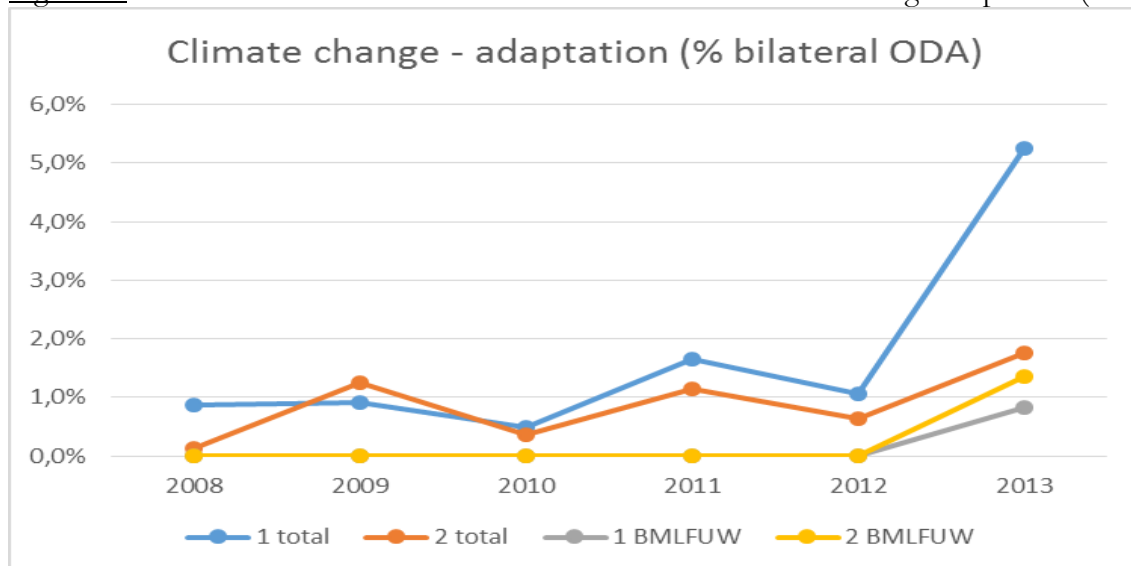
#### Q15.1.3. Trends in Rio markers per ODA actor

The overall trends have been analysed in Q14.1.3. The main differences at ODA actor level are the following:

- BMLFUW investments in biodiversity and adaptation are concentrated in the last year (2013);
- Climate change mitigation has been decreasing in BMEIA (whereas the overall trend was an increase), but this relates to a minor budget;
- Climate change mitigation has been fluctuating in BMF and growing faster than the average, but this again relates to a minor budget.

The graph below (Figure 11) illustrates the late (but sharp) increase in BMLFUW commitment to projects scored for the adaptation Rio marker, compared to total bilateral ODA.

Figure 11. Trends in the bilateral commitments marked for climate change adaptation (ADP)



Source: data from the ADA ODA data base.

Q15.2. What is the share of each main ODA actor in the expenditure marked 1 or 2 for each Rio marker?

ADA has the highest share for all markers and is especially dominant for biodiversity and desertification. But BMF is an important player in climate change (mitigation only) and BMLFUW is the second most important for climate change adaptation (thanks to a recent increase) and indeed became the most important in 2013.

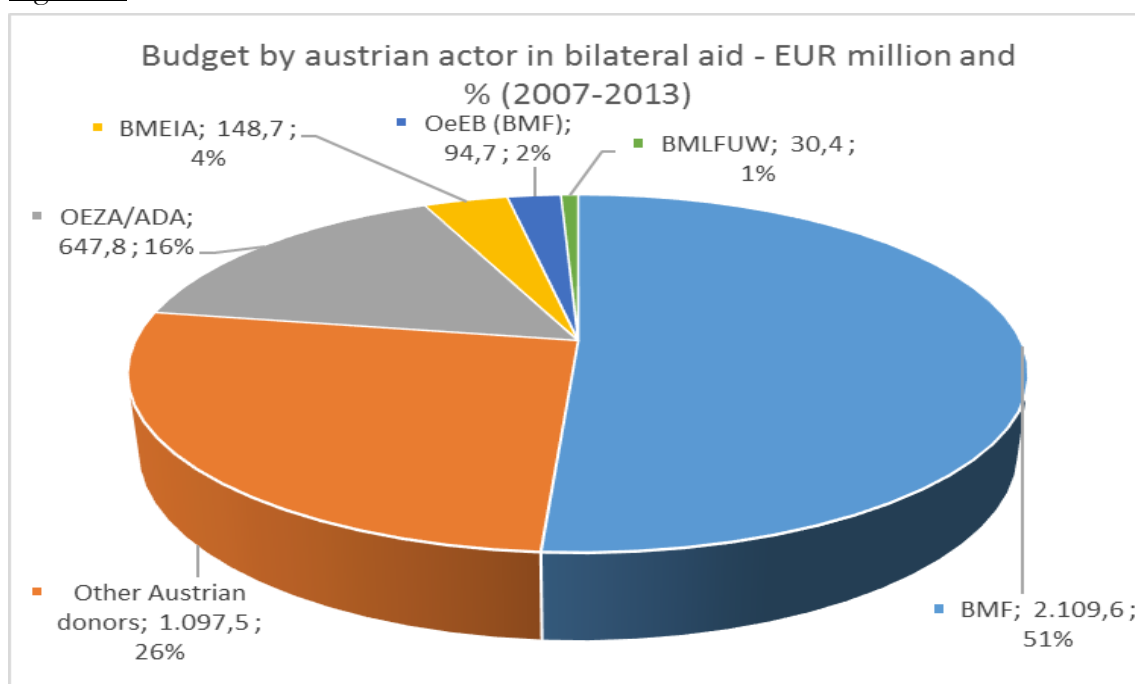
Table 13. Share of each main ODA actor in the Rio markers.

	CBD	CCD	FCC	ADP
ADA	84,4%	95,6%	57,4%	66,0%
BMLFUW	7,9%	2,7%	5,4%	17,6%
BMEIA	0,3%	0,0%	3,5%	1,1%
BMF	5,1%	1,0%	30,6%	11,6%
Others	2,2%	0,7%	3,1%	3,7%
Total	100%	100%	100%	100%

Q15.3. How can the differences between ODA actors be interpreted?

The unequal share of the budget between ODA actors (Figure 12) explains why the top actors identified in Q15.2 are not those identified in Q12.1.

Figure 12. Share of each main ODA actor in bilateral aid.



Source: data from the ADA ODA data base.

BMF is a very important player in terms of budget but less so in terms of contribution to Rio Conventions. This is explained by its large debt relief operations (especially at the beginning of the evaluation period). Investments in the energy sector contribute to the high share of projects scored for climate change mitigation (compared to other Rio markers).

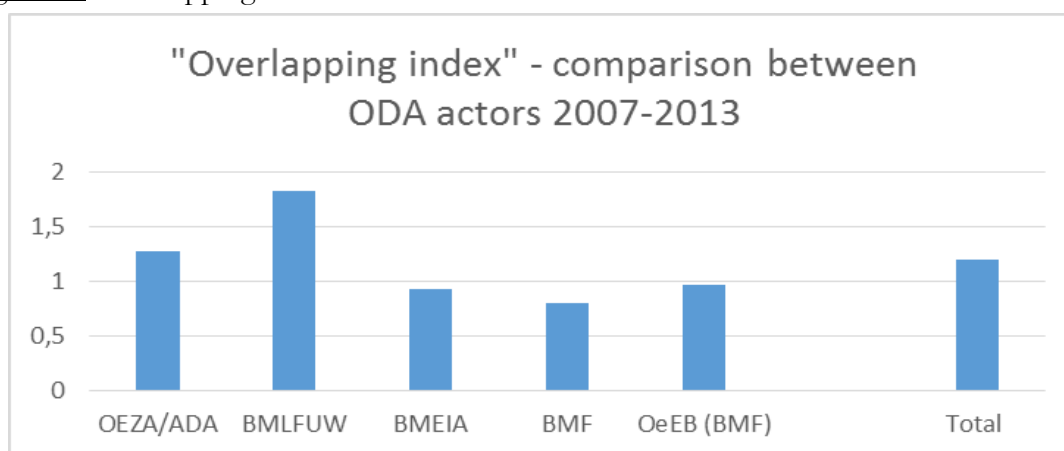
ADA is both an important contributor to bilateral ODA and to all Rio Conventions, without being specialized in particular conventions. This explains why it is the top contributor to all markers.

BMEIA (outside of ADC implemented by ADA) allocates to the Rio conventions a small share of its ODA bilateral expenditure. However its bilateral budget is also small and therefore the observed trends (decreasing contribution to CC mitigation) may not be significant.

BMLFUW allocates to the Rio conventions an important share of its ODA expenditure, which are small but have been growing significantly in the final year of the analysed. This was notably driven by the “fast start” commitments made in the 2009 Copenhagen (UNFCCC COP). This explains why BMLFUW appears to be the ODA actor most oriented to adaptation as shown above (Q15.1), although ADA was the main contributor to adaptation during the 2007-2013 period. However BMLFUW’s adaptation projects are not specialized in adaptation as shown by the “overlapping index”.

The overlapping index is an indicator of the extent to which the same interventions are allocated to several Rio markers. It is calculated as follows:  $OI = (CBD2 + CCD2 + FCC2 + ADP2) + 0.5 (CBD1 + CCD1 + FCC1 + ADP1) / (ENV2 + 0.5 ENV1)$ .

**Figure 13.** Overlapping index of main ODA actors.



*Source: data from ADA ODA data base (our calculation).*

Figure 13 shows that the overlapping index is particularly high in BMLFUW and even more in 2013, the year when BMLFUW funded adaptation projects. Its average value among ODA actors is 1.2 but it reached 1.8 in BMLFUW for the period 2007/2013 and 2.36 in 2013. The lowest value is observed in the “mitigation” specialists, particularly BMF (0.8). However this does not mean that over-scoring (see Q16.5) could be higher in BMLFUW than among mitigation specialists, because over-scoring is also frequent in “mitigation” (with a risk of double-counting mitigation and development, because positive scores tend to be given to projects providing additional energy without replacing more polluting energy sources).

#### Q16.1. What is the perception of ODA actors regarding overall coherence?

Several stakeholders among the main ODA actors perceive overall coherence in ADC as weak. One reason given is the plurality of actors, countries and sectors and the lack of a common approach to their activities. There is also much confusion among the actors on the hierarchy of strategy documents (among them the Three-year-Programme, strategy documents on security, climate financing, sustainability, strategies of the OEB as well as on IFIs, country & regional strategies, joint programming and strategic guidelines) and on how to interlink them. Another reason concerns the insufficient framework conditions and weak legal base for BMEIA to fulfil its role in ensuring policy coherence. Besides, interviews suggest that there is a heterogeneous and insufficient understanding of what coherence constitutes.

This perception of weak coherence by the ODA actors is mirrored in the DAC Peer Reviews for ADC in general and to a lesser extent in the BMLFUW commissioned analysis on coherence in the strategy documents of the main ODA actors. In 2009 the DAC Peer Review<sup>21</sup> highlighted the need for a development policy which addresses all ODA activities and is endorsed at political level, holding all aid spending ministries accountable to the objectives of the Development Co-operation Act. Furthermore the review recommended deeper

<sup>21</sup> OECD (2009) OECD Development Co-operation Peer Reviews : Austria 2009, OECD Publishing, Paris

commitment on policy coherence<sup>22</sup> by means of a clearly-prioritised and time-bound action agenda, an evidence-based monitoring system, and clarified responsibilities for policy coherence. The following DAC Peer Review<sup>23</sup> (December 2014) criticizes the Austrian government for making little progress in the formulation of a coherent development policy approach. That said, the reviewers highlighted the coherence efforts by issuing cross-ministerial strategic guidelines on security and environmental issues.

In 2014 the BMLFUW commissioned an analysis on the coherence of several strategic documents (SG, 'Strategic Guidelines of the Federal Ministry of Finance for International Financial Institutions', 'Three-year-Programme 2013/2015', and the 'Austrian Strategy for International Climate Financing 2013/2020') to inform the Platform for environment and development. It concluded that the documents aim to enhance policy coherence but that on more detailed consideration differences were apparent. The analysis identified some gaps and deficiencies in coordination of the involved departments. The paper found evidence that the social issues, society and economy themes show rather high coherence, whereas the environment and the legal-institutional themes can be considered less coherent<sup>24</sup>. It has to be noted, however, that this situation partly derives from a high degree of specialization in some documents.<sup>25</sup>

Q16.2. What is the perception of ODA actors regarding reporting structures and obligations towards the OECD DAC?

OECD DAC is perceived as a valuable institution. There are a couple of reasons for this appreciation:

- The DAC Peer Review is taken seriously by all stakeholders, which is presumably a credit to the perceived expertise of the review team.
- OECD DAC works on a content-driven basis. Topics such as gender and environment, conflict prevention and peace-keeping are discussed within OECD DAC and its working groups. Country representatives bring the discussion back to their countries and stimulate further discussion there. Austria supports and promotes the activities of these working groups and is guided by its recommendations. ADA – in close coordination with BMEIA - represents Austria at the working group on environmental issues (Environet).

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<sup>22</sup> According to OECD, policy coherence, applied to development, is defined as “working to ensure that the objectives and results of a government’s development policy are not undermined by other policies of that same government which impact on developing countries, and that these other policies support development objectives where feasible“ OECD (2005) Policy Coherence for Development: Promoting Institutional Good Practice, OECD Publishing, Paris, p.4

<sup>23</sup> OECD (2014) OECD Development Co-operation Peer Reviews: Austria 2014, OECD Publishing, Paris.

<sup>24</sup> The study was contracted by BMLFUW for the Platform. The analysis is supposed to assess the coherence of the most important strategic guidelines for “environment and development”, which includes not only environmental topics but also other issues. The guiding question for the analysis can be summarized as: Are the documents coherent enough to ensure increased policy coherence in Austria in order to cope successfully with current and future challenges in the context of “environment and development”

<sup>25</sup> Institut für Umwelt-Friede-Entwicklung (2014) Kohärenzanalyse (Langassung). Commissioned by BMLFUW department I/9

- DAC markers raise awareness because they are so easily communicated (“this is where the money went”) and enable international comparability. It was also noted as a positive sign by some stakeholders that there is constant work in the DAC working groups to enhance the markers.

Although the positive assessment prevails, there are also some negative perceptions of the reporting structures and obligations to OECD DAC: interviewees consider that DAC markers are dependent on subjective assessment, that reporting obligations are regarded as quite complex and time-consuming, and that synergy effects could be generated if all conventions were to use the same reporting system.

Q16.3. What are the main differences between the perceptions of ODA actors regarding coherence and structures or obligations towards OECD DAC?

#### 16.3.1. Perceptions of coherence

There is common agreement on the fact that coherence in ADC, broadly speaking, is weak. But there are some differences in the perception of the main weaknesses: Notably, the main critics of coherence in ADC can be found in ADA and BMEIA. Their main concern is the lack of an institution with adequate capacities and legal competences to ensure coherence. In the IFI strategy BMF states the need for more coherence but regards coherence of all actors as satisfactory. BMLFUW, with its obvious focus on environmental interventions, identifies the conflicting priorities between economy and ecology as affecting coherence.

#### 16.3.2. Perceptions regarding reporting structures or the obligations towards OECD-DAC

The evaluation team did not find noteworthy differences among the main ODA actors in their perceptions regarding the OECD-DAC reporting structures or the obligations towards OECD-DAC. Differences in the “overlapping index” (Q15.3) can nevertheless reflect differences in the scoring approach, which also exist between individual persons as detected from the environmental appraisals.

Q16.4. What are the weaknesses in the overall coherence (in the environmental field) and their potential consequences?

The different levels of fragmentation of ADC can be considered a hampering factor for coherence. First, there is the magnitude of (governmental) institutions involved in ADC without any one having formal authority over the other federal ministries. Second, not all ADC actors follow geographical or thematic focus set in the Three-year-Programmes. Both factors make it difficult to maintain an overview of the activities of and policies followed by ODA actors, let alone a coherent approach. This challenge is reinforced by the high number of strategic documents (for organisations, ADC in general, topics, sectors, countries and regions) and the unclear hierarchy and linkages of these documents.

Coherence may nevertheless be more challenging in the environmental field than in other areas, because of the involvement of an additional ODA actor (BMLFUW) and the complexity of environmental mainstreaming (due to its twin - vertical and horizontal - dimensions, the

complexity of environmental sciences, the diversity of environmental perceptions and the difficulty of valuing the environment, the mix of global and local concerns).

The evaluation has identified the following strengths regarding coherence in the environmental field:

- There is some evidence that dialogue with other stakeholders on environmental issues is more advanced than in other topics. The Strategic Guideline (SG), the Platform, the working group on international climate financing are regarded as helpful instruments in making better use of synergies and potential. For this reason the Platform is often named as good practice for coherence.
- No discrepancy is found between the different policy documents and strategies of the ODA actors concerning the environment.
- Climate change mitigation is an important environmental focal area which may require less coordination than other issues, because contributions to climate change mitigation do not depend on their location. From this perspective we note coherence between ODA actors and domestic Austrian efforts towards mitigation, notably the Austrian policy supporting the use of clean energy<sup>26</sup>. Because this is the environmental priority of BMF, this also reduces the implications of the lack of concentration of this important ODA actor on the target beneficiaries of ADC.
- In recent years strategy development has been required to follow a “whole of government approach”. Country and regional strategies are no longer drafted solely in cooperation between BMEIA, ADA and the partner country but shall include consultations with all relevant stakeholders (in Austria). Interviews suggest that much hope for better coherence is based on this approach. In addition to the “whole-of-government” approach, BMEIA formed a working group on policy coherence for development, which includes all relevant stakeholders, and started training courses at the Academy for Public Administration on development cooperation as a national exercise.

Weaker aspects are the following:

- The SG is not focusing on a few priority objectives.
- There is no full coherence among the criteria used to submit interventions or categories of interventions to environmental assessments.
- There is (was) no full coherence among the methods used to score for environmental and Rio markers.
- Coherence at country level has remained constrained by the lack of concentration and of common programming (between all main ODA actors) and by limited capacities at ADC coordination office level.
- The analysis of five country strategies showed that Austrian coherence (or “whole of government approach”) has hardly ever been referred to in country strategies (only exception being Kosovo, 2013), and never for environmental aspects in particular.

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<sup>26</sup> OECD. “Austria”. In *Estimated Budgetary Support and Tax Expenditures for Fossil Fuels*, 2013. OECD Publishing

- An important share of ODA is exempt from serious environmental mainstreaming efforts, and therefore it is still likely that Austrian development assistance contributes to environmental impacts that are not consistent with the policy objective of environmental protection.

The evaluation could not identify adverse impacts resulting from a lack of coherence in a “whole of government approach”.

Q16.5. To what extent do the DAC markers (Rio and environment) reflect the actual objectives?

#### Q16.5.1. Environmental markers

According to the DAC rules, the ENV score should be 2, 1 or 0 depending on whether the environmental objective is the main objective, a significant objective without being the main one, or is minor to nil.

As the logical framework is supposed to clarify the hierarchy of objectives of a project, it can be considered a key tool in allocating scores for the ENV marker. However scoring is not an easy task because the logical framework does not always perfectly make clear the reason why a project is proposed (or funded), while the declared objectives are sometimes worded in a language that needs to be interpreted from an environmental perspective.

According to our interpretation of the DAC rules,

- The score 2 is deserved if environmental objectives are exclusive or predominating at a single level of the intervention logic. For example if a project purpose is fully environmental, the project is scored 2 even when the overall objective or expected results are not environmental.
- An environmental objective (justifying a score 1 or 2) consists of an improved environmental situation compared to the without-project situation; mitigating the effects of the project cannot be considered as such an objective.
- An expected or potential environmental impact that is not part of the explicit objectives (unintended impact) and apparently is not a reason why the project is proposed (or funded) should not be considered as an objective.

The scores given by the consultants using those rules and the information provided by the logical frameworks can be compared as follows to the scores given by ADA (Table 14).

Table 14. Comparison between ADA scores and scores estimated by the evaluator for the ENV marker.

	Consultant score 0	Consultant score 1	Consultant score 2	Total
ADA score 0	19	2	0	21
ADA score 1	8	10	1	19
ADA score 2	3	8	9	20
Total	30	20	10	60

From the consultant's perspective, ADA tends to over-score. This is in line with findings for Belgian co-operation based on a detailed analysis of the rationale of the projects (case studies) (ADE, 2014). This can be explained in Austrian co-operation as follows:

- When a project works on a theme closely linked to the environment (for example water or land use planning), ADA may score it as environmental, even when the logical framework does not show any environmental objective or expected environmental benefit.
- When an environmental benefit can be expected from a project (where it successfully achieves its objective), ADA is tempted to score it as environmental even if the objective is not environmental at all (e.g. 7964-02/2009 where energy savings are chosen for economic reasons). ADA tends to score the expected impact and not only the objective pursued by the project.
- When a project refers to sustainable development, ADA may consider it is fully environmental (e.g. 8276-00/2010); this is not correct according to the consultant's view because a project can contribute to sustainable development with support only to the social and an economic pillars of "sustainable development". Similarly it happens that a project only contributes to social or economic benefits but states an overall objective referring to environmental aspects (resulting from other sources): in such situations ADA tends to consider that the project has an environmental objective while the consultant does not acknowledge this environmental objective (example: 2414-00/2009; 8108-04/2013).
- In cases of parallel environmental and socio-economic objectives, ADA sometimes gives more weight to the environmental components than does the consultant.
- In cases where a project consists of promoting an environmentally friendly technique or development path, ADA tends to consider the project as fully environmental, although the technique is used for economic purposes and the environmental benefit (compared to the without-project situation) only occurs when the project replaces more polluting techniques (without being added to them).
- When there is some environmental mainstreaming at activity level which is not reflected in environmental improvements targeted at the level of results or objectives, ADA tends to give a score 1 (examples: 2681-00/2012; 1778-00/2010; 1963-00/2007).
- The ENV score depends on the Rio marker (it is always at least equal to the highest score in the Rio marker), therefore it also depends on particular sources of bias in Rio marking, notably for climate change adaptation and mitigation (see 16.5.2).

The comparison above follows the ADA's rule where a positive score on the Rio ADP marker should systematically lead to a positive score on the ENV marker. This is open to discussion since adaptation is not always based on environmental enhancements. Where such a rule is not accepted, over-scoring for ENV becomes more serious.

However the comparison between two samples of logical frameworks (12 projects launched in 2007/2008 and 12 projects launched in 2013/2014) shows a significant improvement: the average difference between ADA's score and the consultant's score (using the same rule for ADP) declines from 0.58 to 0.04.

#### Q16.5.2. Rio markers

The average consultant's scores are also lower than the average ADA scores for the Rio markers (Table 15). The difference (but not the ratio) is lowest for the CCD.

The reasons for those gaps are similar to those described for the gaps in the ENV scores (except the last). However each Rio marker has its own particularities (as explained below) and scoring for Rio markers is more difficult than scoring for the ENV marker since the different aspects of the environment are not always distinguished and also because the logical frameworks (or in the project documents) can use a language different from the Rio conventions' terminology.

Table 15. Comparison between ADA scores and scores estimated by the evaluator for the Rio marker (for projects where the ENV marker is not 0 according to ADA; based on a sample of 60 logical frameworks).

	ADA's score (average)	Consultant's score (average)	Difference	Ratio
UNFCCC unique marker	0.57	0.28	0.29	2.04
UNFCCC mitigation	0.83	0.48	0.35	1.73
UNFCCC adaptation	1.00	0.58	0.42	1.72
CBD	0.53	0.18	0.35	2.94
CCD	0.36	0.15	0.21	2.40

#### Q16.5.3.1. Climate change mitigation

84% of expenditure in the energy sector is positively scored (62% being scored 2). Projects on solar energy or renewable energies are scored 2 (100% out of a sample of 20 projects), as well as projects on energy efficiency. This suggests that mitigation – and not energy supply - is the main objective of them all. However **there is no evidence that all those projects have a true mitigation impact** (reducing GHG emission), which happens when the new forms of energy replace fossil fuels (having no development impact) and are not added to it. When solar or other renewable energy projects supply energy to beneficiaries who otherwise would use another source of energy, they are just avoiding increased GHG emissions (having no mitigation effect but a development impact).

#### Q16.5.3.2. Climate change adaptation

International research on climate marking (Michaelowa & Michaelowa, 2010; Junghans & Harmeling, 2012) shows that over-scoring for adaptation is a general tendency and therefore is not a particularity of Austrian cooperation. The OECD report "Climate adaptation marker, quality review" also identifies examples of projects (including Austrian projects) positively scored for adaptation but with no explicit relation to adaptation. Many projects do not meet the DAC requirement to have the adaptation objective explicitly referred to in the objectives.

Adaptation can be defined as a correction of the impact of climate change on development (or mitigation of its adverse impact). This means that that adaptation consists of a positive effect on the impact of climate change on development, therefore **a project has an adaptation impact if its development impact is higher in the event of climate change than without climate change**. In theory the evaluator considers that the project deserves a positive score for the adaptation marker if this effect is intended. In practice, it may receive

such a score in Austrian cooperation if this effect is just expected as a consequence of the project (without being pursued by it) or if the description of the objectives just refers to CC adaptation (or sometimes only to the environment in general terms). It also frequently happens that climate change is confused with short-term climate variability or extreme weather events (drought, floods, etc.), which is acceptable only when adaptation responses to climate variability prepare for longer-term climate change.

Out of 16 logical frameworks marked 1 or 2 for ADP:

- 5 projects have no apparent link (4 projects) or only a minor link (1 project) with adaptation to climate change or with adaptation to climate variability.
- 7 projects respond to climate variability. 5 projects (4 being scored for CCD) are food security projects in arid areas prone to drought, 1 project addresses floods (2299-01/2013) and 1 is just targeting preparedness for disasters (2676-06/2011).
- Only 4 projects (25%) explicitly address climate change adaptation. They all target adaptation capacities and mainstreaming. However it is unclear to what extent this is actually adaptation to climate change or to climate variability. The indicators do not provide an explicit definition of what adaptation is and what the results of adaptation should be (they include process indicators, for example “number of plans integration adaptation issues”).

We can assume there is a weak correlation between objectives and impacts regarding CC adaptation. On one hand CC adaptation projects do not often show a clear intervention logic demonstrating the expected adaptation impact, on the other hand many other projects (not labelled or scored adaptation) have the potential to reduce vulnerability to climate change.

A final issue regarding the ADP marker is its linkage with the ENV marker. Out of our sample of 16 logical frameworks with a positive ADP markers, only one project pursues its adaptation objective through management of environmental resources (2299-01/2013). Three other projects (belonging to the first group of 5) are positively scored for ADP and pursue environmental aims without any particular contribution to adaptation. This shows that adaptation projects should not be confused with environmental projects. As a positive ENV score is systematically given to ADP projects, the ENV score should not be interpreted as implying an environmental protection objective.

#### Q16.5.3.3. Biodiversity

Biodiversity strictly speaking refers to the variety of genotypes, species or ecosystems, but it is also a hazy concept which is sometimes extended to all biological resources. Therefore some actors may positively score projects protecting biological resources (for example a reforestation project or a project on sustainable management) even when the objective does not consist of conserving biodiversity as such (the variety of genotypes, species or ecosystems) and may even threaten it (for example by planting artificial forests composed of exotic species). The risk is reduced by the check made by ADA environmental advisors but they may not always have the necessary information. A high score for biodiversity is also frequent in projects pursuing broad generic environmental objectives, although biodiversity conservation may just be a small part of the issues covered.

#### Q16.5.3.4. Desertification

Few projects explicitly refer to objectives that can be related to desertification, partly because of the concentration of ADC outside arid countries prone to desertification. Marking is not easy because of the difficulty of making a decision. The question is to what extent conservation of soils or vegetation cover (rangeland or forest) contributes, or does not contribute, to the fight against desertification (as defined by UNCCD).

Almost all projects scored 2 for desertification are multi-purpose projects combining several “2” scores. Out of 22 projects which are scored 2 for desertification, only two (two phases of the “*Programme d'action pour un développement rural juste et durable*”, 2100-00/2008 and 2009) have no other score 2 for Rio markers.

Q16.6. Are there other issues (identified by the evaluation) regarding reporting structures and obligations towards the OECD DAC?

Score 2 is sometimes given for several Rio markers<sup>27</sup> (sometimes all markers), partly because of over-scoring, partly because of overlaps and synergies between objectives of the Rio conventions. For example a forest conservation project can fully contribute to biodiversity conservation (CBD), carbon sequestration (mitigation - UNFCCC), flood control (adaptation - UNFCCC) and to erosion control (UNCCD). Having “2” scores for several marker is accepted under the OECD rule but it leads to the risk of if the expenditures for each convention are totalled.

When reporting the Rio Markers for an Austrian contribution to a broader programme it may happen that the scores are based on the specific objectives of the Austrian contribution or to the overall objectives of the broad programme. In the example of windbreaks in Kakheti (Georgia, 8281-01/2011), the score 2 for biodiversity has been imported from the whole GIZ program while the specific ADA component does not really contribute to the objectives of the CBD (biodiversity conservation or equitable share of benefits). In the view of the evaluator the project may even negatively affect some typical species of open steppes. The opposite appears in the contribution to the Georgian agricultural strategy (8311-01-/2013), where the score (ENV 1) refers to the specific ADA component contributing to a non-environmental programme.

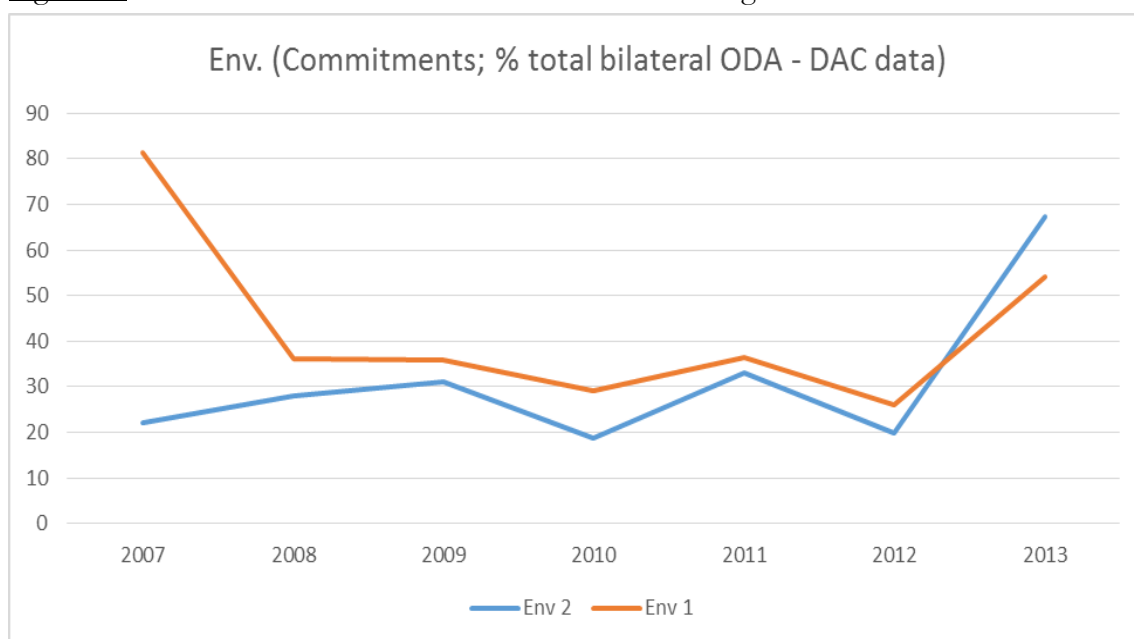
Rio markers may never have a higher score than the environmental marker. This means that projects scored 1 or 2 for ADP (and similarly projects scored 1 or 2 for CCD because they mitigate the effects of drought) are considered by definition as deserving a score 1 or 2 for ENV and are considered as “environmental”, even if they are not expected to modify the environmental situation.

Statistics on Rio markers found on OECD website are not fully consistent with the statistics provided by ADA. This may be due to recent efforts to check the score or complement the scoring at ADA level after communication of data to OECD. The main differences concerns the beginning of the evaluation period (with a drop between 2007 and 2008 according to DAC data) as shown by the graph below (Figure 14), to be compared with Figure 5 (bottom) in Q8.1:

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<sup>27</sup> Out of 136 projects with at least one score 2, 37 (27%) had at least two Rio-marker with the score 2.

**Figure 14.** Trends in environmental commitments according to OECD data



Source: data from OECD stats ([stats.oecd.org](http://stats.oecd.org))

The DAC peer-review comments that the low percentage of projects scored 1 or 2 reveals a low level of environmental mainstreaming. This suggests a lack of consensus on what environmental mainstreaming means, because markers concern the objectives (as defined by OECD-DAC) while environmental mainstreaming may also consist of using environmental safeguards for projects pursuing non-environmental objectives (and therefore scored 0 for ENV).

Q17.1. What is the share of interventions linked to operational fields (all together) in total Austrian ODA? Have the four operational fields actually been made as a priority?<sup>28</sup>

The Strategic Guideline defines four “thematic operational fields” (TOFs): 1. Sustainable natural resource management, combating desertification and preserving biodiversity; 2. Sustainable chemicals and waste management; 3 Climate protection; and 4 Water and Sanitation. Almost all existing environmental issues are covered by the TOFs as explained in Q6.1. Therefore very little can be done on the environment outside their scope and the level of attention paid to the environment can be considered as approximately equal to the level of attention paid to the four operational fields.

The share of expenditure for projects positively marked for the environment has been fluctuating and slowly increasing, which suggests that the TOF considered together have received slightly increasing priority (compared to non-environmental issues). However the share of expenditure on the environment is surprisingly low in the context of the status of the

<sup>28</sup> Sub-question and the next one slightly revised since the inception report

environment as a main goal of Austrian development policy under the Federal Act on development cooperation (and a key pillar of sustainable development) (see Q12.1.1).

Q17.2. What is the share of each operational field in the total expenditure allocated to operational fields?

### 17.2.1. Overview

#### a) Bilateral cooperation

In bilateral cooperation (where Rio markers are available), “Proxy” indicators can be used to estimate the share of several operation fields as shown in the table below:

**Table 16.** Estimated share of each thematic operational field in bilateral aid.

Thematic operational field	Proxy indicator <sup>29</sup>	Estimate	
1. SNRM (Sustainable natural resource management, combating desertification and preserving biodiversity)	Average between (Rio markers CBD + UNCCD) and highest value of Rio markers CBD and UNCCD	(3,45%+2,21%)/2= 2,83% of ODA	Average: 2,87%
	Multi-sector x average between (CBD + UNCCD) and highest value + Agriculture and forestry x ENV	3,69% x (0,41 + 0,29/2) + 2,2% x 0,41=2,94%	
2. Sustainable chemicals and waste management	Sector Waste management/disposal	1,34%	
3 Climate protection	Rio markers climate change	3,64%	
4 Water and Sanitation	Sector water & sanitation x (ENV 1 + ENV 2) <sup>(30)</sup>	3,6% x 0,50=1,80%	

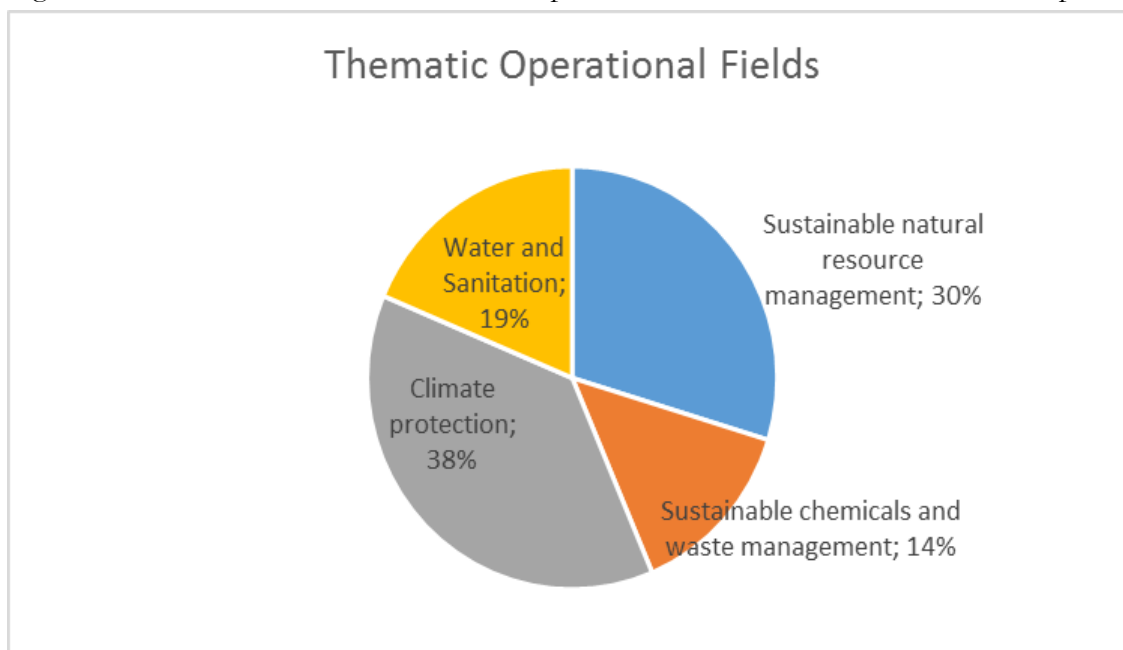
Sources: OECD data 2007-2013, except for wastes because the level of detail in OECD stats is not sufficient (see Q17.2.3 for wastes).

This analysis suggests the following share of expenditure between thematic operational fields in bilateral cooperation: not far from 40% for climate protection, 30% for sustainable natural resource management, 20% for water and sanitation, and less for chemicals and wastes (where the estimate is less accurate (Figure 15).

<sup>29</sup> With score 1 considered as half score 2

<sup>30</sup> ENV1 is fully considered because the aims of the SG combine development and environment concerns.

Figure 15. Estimated share of the thematic operational fields of the SG in bilateral cooperation



*Sources: data from Table 16.*

#### b) Multilateral cooperation

In multilateral cooperation, an indirect indication is provided by the share of focal areas in GEF expenditure (GEF being the main environmental fund supported by Austrian ODA), the sectors supported by IDA and EU institutions (the main multilateral organisations supported by Austrian ODA), and the themes targeted by thematic trust funds:

- TOF 1 (Sustainable natural resource management, combating desertification and preserving biodiversity) received 30% of GEF funds during the evaluation period.
- TOF 2 (wastes and chemicals) is not clearly identified.
- TOF 3 (Climate Protection) received 49% of GEF funds during the evaluation period; it is also the main focus of thematic trust funds supported by BMF and the energy sector is also the main environment-related sector funded by IDA and EU institutions. Therefore this TOF appears to be the most important in multilateral cooperation (although not all expenditure in the energy sector is dedicated to climate protection).
- Water and Sanitation as a sector receives a high share of IDA funding (Table 17), suggesting that TOF 4 could be more important in multilateral cooperation than in bilateral cooperation.

Table 17. Comparison of the share of environment-related sectors

	Austria	IDA	UNDP	EU institutions	DAC EU members
I.4. Water Supply & Sanitation	3,6%	8,0%	0,6%	3,5%	5,2%
II.3. Energy	1,9%	11,4%	1%	6,3%	5,1%
IV.1. General Environment Protection	0,7%	2,1%	6,4%	2,9%	4,6%
III.1.b. Forestry	0,2%	0,2%	0,2%	0,5%	0,5%
VIII.3. Disaster Prevention & Preparedness	0,2%	1,3%	4,8%	0,6%	0,3%

Source: OECD statistics, 2007-2013

#### Q17.2.2. Sustainable resource management

This thematic operational field is roughly estimated to represent four-tenths (38%) of the environmental efforts in bilateral cooperation; it is the second most important operational field. As shown by Rio markers (see Q14.2) this results more from contributions to CBD than to contributions to UNCCD (which is applicable in only few partner countries).

The same pattern is observed in the GEF where the focal areas “biodiversity” and “land degradation” amount to 30% of all focal areas excluding multifocal areas (25% for biodiversity, 5% for land degradation, 2007/2014).

#### Q17.2.3. Sustainable chemicals and waste management resource management

Interventions in this areas are difficult to track because they have no particular marker. A sample of 1,285 environmental projects shows 1.34% of them in the sector “14050 waste management/disposal”. Three-year Programmes and Country Strategies also show that waste management is the less-funded thematic operational field, even in countries where waste management issues are considered and recognized as severe (as in Burkina Faso according to the APPEAR evaluation and in Bhutan according to the evaluation of the Bhutan Country Strategy). Focal areas “POPs” and “ozone depleting substances” contribute to 11% of GEF (excluding the multifocal category).

#### Q17.2.4. Climate protection

“Climate protection” is the most important thematic operational field (TOF) and represents half the total of all operational fields in bilateral cooperation. It consists either of mitigation or adaptation (although adaptation does not consist of protecting the climate as such). Mitigation received the bulk of expenditure positively scored for UNFCCC. However projects scored for mitigation can merely decouple development from greenhouse gas emission without any mitigation impact in terms of lower flow of greenhouse gas emission or lower greenhouse gas concentration in the atmosphere. This can explain why “climate mitigation” projects are more popular than projects contributing to better biodiversity or enhanced natural resources. The energy sector is an important contributor to climate protection scores. Although this sector is quite small (smaller than water and sanitation), a high percentage of energy projects (84%) are positively scored for climate change mitigation.

Climate protection is also the main TOF addressed in multilateral cooperation. The climate focal areas of GEF account for 49% of its expenditure (excluding multifocal) and most thematic “environmental” trust funds supported by BMF address energy issues.

#### Q17.2.5. Water and Sanitation

Water & Sanitation is both a sector and a TOF, but they are different, which is confusing. There is also a risk of misleading confusion on the environmental nature of the projects

belonging to the water & sanitation sector or to the TOF, because water & sanitation targets are part of the environmental MDG7 even though water & sanitation activities (of the sector) may pursue their social and economic goals without ensuring sustainability of the water resource or avoiding water pollution. This is notably reflected in the ENV scores of the sector (which are sometimes 0) and was notably highlighted in the Ugandan study for the evaluation of the Paris Declaration as follows: “The increased investment in the water sector which (...) is yet to be accompanied with strong environmental mitigation measures to prevent over-exploitation, degradation of water catchments, and pollution of water resources, thus risking sustainability and affordability of water resources”.

In order to clarify the distinction between environmental interventions in the Water & Sanitation sector, the TOF and the sector itself we propose criteria in Table 18 below:

Table 18. Categories of water and sanitation projects distinguished from an environmental perspective:

	With environmental objectives	With environmental safeguards (beyond legal obligations)	Without environmental objectives or standards (except legal obligations)
Water and sanitation project?	Yes	Yes	Yes
Environmental marker as often scored	2	1	0
Environmental marker (if correctly scored according to evaluator's views)	1 or 2	0	0
Expected situation after the project compared with the without-project situation	State of the environment enhanced (e.g. river less polluted, water table higher)	Water and sanitation services provided to consumers. State of the environment enhanced or not, but usually better than in the next category	Water and sanitation services provided to consumers. State of the environment enhanced or not
Water and Sanitation thematic operational field of the SG?	Yes	Yes	No
Environmental project?	Yes	No	No

ADC broadly speaking provides important support to the water & sanitation sector (more than on energy) both in bilateral and in multilateral cooperation.

Half the support for water and sanitation is positively scored (1 or 2) for the environment (i.e. less than in the energy sector). Given the way in which scoring is usually done (with over-scoring – see Q16.5) this provides a proxy indicator of the share of the TOF in bilateral cooperation, which appears to be lower than the share of other TOF except wastes and chemicals. Owing to deep fluctuations there is no clear long-term trend in the markers. The

relative integration index – defined as  $(A+B/2)/(A+B+C)$  with A = score 2, B = score 1 and C = score 0, is 0.30.

In multilateral cooperation the GEF focal area “international waters” represents 9% of the total (excluding multifocal interventions). 18% of trust funds go to the sector “water and sanitation” but not necessarily to the TOF.

Q17.3. At country level does the share of operational field reflect the priorities as perceived by the ODA actors and their partners?

The themes addressed at country level result from negotiations and consultations, apparently with no major influence of the SG (which is not referred to in the Country Strategies). Therefore they reflect priorities locally perceived by the involved ODA actors and partners, taking into account other aspects guiding the decisions (such as division of labour and history of Austrian co-operation). Although the views can differ and negotiations between donors and recipients are necessarily unequal, the evaluation has found no example of environmental interventions deemed irrelevant.

Q17.4. What is the share of environmental interventions that cannot be allocated to an operational field?

The operational fields are very broad (see Q6). No environmental intervention has been identified outside their scope, although it is sometimes difficult to allocate them to specific SG aims.

Q17.5. What was the level of implementation of the “implementation matrix” of the Strategic Guideline in December 2014?

The implementation matrix of the Strategic Guideline defines actions to be undertaken by each ODA actor. The “*2014 Review Strategischer Leitfaden*” reports that 56% of the actions planned in the implementation matrix were at least partly implemented not long before the end of the evaluation period.

The lack of full implementation in 2014 is however difficult to judge. The matrix had no deadline or timeframe. Moreover it did not clearly defined the extent to which the planned actions are supposed to be compulsory commitments or just indicative suggestions as to what can be done in response to opportunities and needs. Therefore we cannot consider that the purpose was to have implemented all the actions by 2014. Currently there is no prospect of completely filling the gap as the SG is perceived as out-of-date.

Q18.1. To what extent are the environmental interventions of different main ODA actors in the same partner countries coordinated?

At country level, the main ODA actors involved in environmental interventions are ADA (implementing BMEIA-funded interventions and possibly others), BMLFUW (with a minor

portfolio) and indirectly BMF, which mainly supports multilateral organisations (including the EU and the World Bank) without concentrating on the same partner countries.

Besides the close and formal coordination between BMEIA and ADA (constituting ADC strictly speaking), coordination with the EU (notably through Joint Programming) and with other multilateral organisations (within thematic coordination groups or in the framework of multi-donor programmes) ensures some indirect coordination with BMF. Coordination between ADC as such and BMLFUW can be more informal. In our Georgian case study (forest management), coordination was correctly ensured at intervention level thanks to close contacts between people working in the forestry sector in Georgia. In our Ethiopian example (Yayu forest, 2719-00/2013), ADA was the implementing partner of BMLFUW, but this was not sufficient to ensure a direct exchange of experience with the ADA North Gondar programme (2509-00/2008).

ADC's coordination office plays a key role in this role of coordination at country level (see Q19). But effectiveness also depends on the presence of the respective ODA actors or their implementing agencies on the ground and through coordination in Vienna. While in some regions (e.g. South East-Europe) ODA actors are well represented, this is not the case in other regions (e.g. Africa). In Vienna the Platform for Environment & Development plays an important role (as described in Q7). However, not all relevant stakeholders are present at Platform meetings or informed of the activities of others and Platform meetings usually do not focus on specific countries.

International donor coordination also contributes to overall coherence and can take on Austrian coordination when Austrian actors work in too different areas. According to the online survey, a majority perceives Austria as well involved in inter-donor coordination on environmental issues.

Country strategies are another potential tool for coherence and coordination at country level, but they do not involve BMF and BMLFUW, and the analysis of five country strategies showed that Austrian coherence (or “whole of government approach”) is referred to only once (Kosovo, 2013), and not particularly for environmental aspects.

As coordination is a requisite for coherence, the level of coherence can be interpreted as an outcome of successful coordination. According to the online survey, however, the majority perceives environmental interventions of different Austrian actors working in the country as coherent. The online survey also suggests that coordination between Austrian ODA actors is deemed weaker by Austrian partners than by local partners. Interviews with Austrian implementing agencies in the forest sector suggest that they did not receive coordination support from the main ODA actors, but because of the small community in this specific field were able nevertheless to coordinate with one another.

Q18.2. Have synergies between different activities been sufficiently exploited?
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The evaluation includes findings on the level of coordination of environmental interventions in partner countries (see Q18.1) which have implications for possible synergies between ODA actors. In Georgia synergies were sufficiently exploited in the forest sector (networking, experts, office). Whether this is the case in Ethiopia is doubtful. The situation in North Gondar (2509-00/2008) indicates longstanding and successful activity in and around the National Park of Simien Mountains whereas BMLFUW's activities in the field of environmental protection

are not coordinated with previous activities. The same was true for one project conducted through the Red Cross (water sanitation) in which no coordination with the project “Livelihood Improvement through Sustainable Resource Management in North Gondar” (2509-02/2013) took place. All in all there is more potential for synergies.

Because BMF has its own priorities and does not focus on the same countries, and thanks to adequate coordination with multilateral organisations, we could not identify examples of missed opportunities for exploiting synergies between existing interventions by BMF and other ODA actors. However the lack of a common programming framework involving all ODA actors reduces the potential for synergies.

Q19.1. Which role do ADC coordination offices have in the coordination of environmental interventions of different main ODA actors at country or regional level?

ADC coordination offices mainly coordinate BMEIA/ADA interventions (in priority countries), regardless of the interventions’ objectives. Some stakeholders expect also to coordinate activities of other Austrian ODA actors, suggesting that their range of duties is not sufficiently defined or communicated. In general they know the players on the field and support the main ODA actors and their implementing agencies in networking and dialogue with the partner countries. Their focus however is on the activities of BMEIA/ADA and their partners.

Interviews with ADA and implementing agencies in the forestry sector suggest that the coordination offices have a good overview of Austrian donor activities and support networking between different actors and dialogue with partner countries. As far as resources permit, the coordination offices try to act as backstopping for ADC partners. Interviews with all key ODA actors also suggest that coordination offices usually lack the resources and expertise to contribute actively to discussion of environmental topics or provide technical support.

Evidence from the case studies also suggests that while playing a more important role in coordination at strategic level, their role in day-to-day coordination between interventions in the same sector is lower, project implementers playing a more dominant role. In Ethiopia, despite the level of coordination, there has been little exchange of experience and learning between the two ADA projects targeting sustainable resource management (North Gondar-2509-02/2013, funded by BMEIA and Yayu - 2719-00/2013, funded by BMLFUW), notably because of the long distances and an inadequate travel budget.

Q19.2. Do they have sufficient staff capacity and competences to do so?

The coordination offices have very different resources in manpower and in expertise. They have also different foci and range of duties (e.g. in some countries they substitute duties for embassies that are not present there), which has an effect on the degree to which they fulfil their coordination role. But even so there is common agreement by all stakeholders on the fact that coordination offices do not have enough capacity to coordinate the environmental interventions of all main ODA actors and usually have only limited expertise in the environmental field.

Within the coordination role the following tasks are identified:

1. Maintaining an overview of implementing actors and their activities (this includes knowing which Austrian donors are implementing what kind of projects and with which implementing agencies and partners)
2. Supporting all actors in networking
3. Supporting dialogue with partner countries
4. Backstopping for all partners
5. Advising partners on cross-cutting themes in their implementation (technical support) and project documents
6. Discussing thematic issues
7. Contributing to donor coordination

Evidence from interviews and field visits suggests that they usually master tasks 1-4 but are less engaged in tasks 5-7, at least in the environmental field, notably because of a lack of human resources and expertise. Without this expertise it is also difficult to prompt partners to include the necessary environmental considerations in their proposal, provide technical support to the partners, monitor implementation of the recommendations resulting from the environmental appraisals, discuss thematic issues or contribute to donor coordination. There are indications that so far environmental issues are “taken along” but without the necessary know-how to fulfil their role.

Apart from these issues there is also the fact that the coordination offices have no authority over the other Austrian players (refer to Q10.4 and Q16.1). Cooperation between the different main ODA actors can be regarded as voluntary. Coordination offices follow country strategies prepared with BMEIA and ADA without involving other ODA actors.

Q20.1. To what extent are environmental screening and proofing tools for country/regional strategy interventions adequate and useful to provide relevant recommendations?

ADA’s environmental appraisal procedure consists of a screening phase and an appraisal phase. Screening is based on a so-called Environmental Impact Assessment (EIA) questionnaire which has recently been modified (after the evaluation period). ADA environmental advisors revise the assessment and make recommendations. Recommendations may in principle lead to rejection of the intervention, its amendments, or its approval with or without additional recommendations.

#### Q20.1.1. Screening

The following strengths can be pointed out:

- The questionnaire helps applicants think about the links between the environment and their project, contributing to environmental awareness and ownership of environmental mainstreaming
- The revision by environmental advisors (except in special instruments) ensures a certain level of quality and relevance of the recommendations.

The weaknesses of the questionnaire in use during the evaluation period<sup>31</sup> (and notes on the questionnaire) include the following:

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<sup>31</sup> Version available on ADA website in May 2015

- The lack of consideration of climate change adaptation and other weaknesses already acknowledged by ADA and having justified revision of the questionnaire after the evaluation period.
- Sometimes environmental concepts are not clearly understood by those completing the questionnaires.
- Bilateral ADC projects are supposed to have either the questionnaire or an EIA. However the questionnaire is not equivalent to an EIA. On the one hand it asks more questions, on the other an EIA is usually expected to provide more information (notably on project impacts). An EIA could also be useful for answering some questions asked by the questionnaire (questions 2, 7 and 8). Therefore it can be argued that the questionnaire should not replace the EIA.
- The questionnaire has an exclusion list of project categories not to be submitted to its screening process. However some of the excluded areas may offer opportunities for environmental mainstreaming, for example refugee aid (displacement of persons may affect forests or other natural resources and encounter water, sanitation and energy issues), education (opportunities may include environmental education or active learning based on the environment) or even conferences (an applicant -1980-11/2012 - clearly explains what can be done for the environment in almost all projects belonging to the exclusion list).
- Question 2 asks whether the projects are in line with several environmental goals, but not explicitly with the aims of the SG (presumably because they are more recent).
- Question 4 could be broadened in order to include all environmental issues and pressures (not only pressures on natural resources) and to check whether the project does not miss opportunities to address those issues as part of its objectives.
- Question 7 concerns impacts that are not bio-physical (i.e. impact on knowledge and awareness). It could be broadened to include impacts on institutional capacities and on vulnerability to climate change or other environmental changes.
- The environmental and climate risks on the effectiveness and sustainability of the project should be assessed somewhere. Usually feasibility studies or project preparation documents should do so but the questionnaire could provide an opportunity for checking. There is no systematic attention paid to the added-value of environmental mainstreaming for the standard qualities of projects other than impact (i.e. relevance, effectiveness, efficiency, sustainability).
- From a sustainable development perspective it can be suggested that any project based on the logical framework approach and therefore built on a linear intervention logic systematically assesses the economic, social and environmental effects external to its intervention logic (including social side-effects of environmental projects).

#### Q20.1.2. Environmental appraisals

Strengths in environmental appraisals include the following:

- They complement the screening with an external and more independent view;
- They are made by ADA environmental experts, which ensures higher technical quality;
- They are made by members of a small team, which enhances the consistency and comparability of the assessments.

Weaknesses in appraisals are the following:

- There is no full consistency between appraisals: sometimes attention is paid to logistics (procurement, waste management, energy efficiency...), sometimes not; air and climate are often missing but not always.
- Positive impacts are not considered; a project can be scored 2 for CBD (meaning that a positive impact is expected) with a comment that it has “no impact” on the biosphere; this may lead to insufficient consideration of opportunities to enhance positive impacts.
- Only biophysical impacts are considered and not the potential impacts on environmental awareness, on capacities to manage the environment or on vulnerability to climate and environmental changes.
- There is no systematic consideration of the aims of the SG.
- The experts making the appraisals may not have sufficient knowledge of the project and its field realities; this reduces their capacity to provide a relevant assessment and detailed guidance.
- For this reason and also because the appraisal is only *ex ante*, it is not sufficient to provide the project implementer with the detailed technical information required for managing its environmental impacts. On the other hand, the reporting system does not help project managers collect the right information they need at their level (see comment on the reporting system in 10.3).
- Moreover, long term perspectives are missing in the assessment and monitoring of projects, which means that certain environmental results will never be assessed because they only show up after the implementation period.

Q20.2. To what extent are environmental screening and proofing tools adequate and useful to provide relevant recommendations in the framework of “special instruments” (like NGO co-financing, Business Partnerships with and for the private sector, Humanitarian Aid)?

Deep environmental assessments carried out on a case-by-case basis can take up excessive working time or delays in cases of (a) small-scale projects, (b) co-funding interventions where environmental safeguards are adequately proposed by other partners, (c) urgent humanitarian interventions and (d) framework contracts in which the technical content or specific activities are not yet determined.

For those reasons – and considering the limited human resources – the “environmental appraisal” is not justified for the special instruments and the current procedure not requesting the use of this tool is justified. However sometimes a feedback from the ADA advisors (based on a simplified appraisal) can be useful too and the rule should change in case larger interventions become eligible.

For the same reasons the “environmental screening questionnaire” should not be systematically used and is not systemically requested. However this tool is very valuable in making project proponents think about the environmental implications of their projects. Its use, currently requested in NGO co-financing, could be extended to business partnerships. This should follow the introduction of a section on the environment (and other cross-cutting issues) in the proposal format.

Some stakeholders believe that small-scale projects are harmless to the environment. However the potential environmental impact of projects tends to be proportionate to their social or

economic impact. Therefore any project justified by expected benefits is also expected to have environmental consequences. When the size or urgency of an intervention justifies not spending time on *ex ante* individual assessments on a case-by-case basis, other approaches should play a major role, such as careful selection of eligible implementation partners, staff training and standard good practice rules or guidelines.

In practice we note that several partners in humanitarian aid – receiving no environmental request from ADA - have their own environmental rules and procedures although a survey showed that ADA used to pay more attention to the environment than NGOs involved in humanitarian aid<sup>32</sup>.

Q20.3. To what extent are those tools used?
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Direct ADA cooperation uses the screening questionnaire and the environmental appraisal as planned. This includes the option to rely on the tools and procedures of the partners or to rely on further assessments anticipated in the project document.

When ADA contributes – as a small donor - to multi-donor programmes (which often happens), the partner's procedures are often used. In the on-line survey 80% of respondents with an opinion on this issue mention coordination with other donors for environmental appraisals or assessments, for example the EU, UNDP, IFC, KfW, GIZ, Italian Cooperation, JICA, SIDA, Swiss Embassy, or the World Bank (which is in line with the Paris declaration). Guidance on budget support (“strategy for implementing”) stipulates that a key criterion for providing support to a particular programme is the extent to which key objectives and other Austrian Development Cooperation concerns – particularly poverty, gender and environment – are taken into account. Environmental criteria (indicators for tranche released) are also used in budget support. An SEA is not often used but is sometimes promoted where ADA plays an important role during the preparatory phase of a partner's programme or strategy to be supported (e.g. rural development in Burkina Faso).

Where the project document anticipates the use of a tool, it may happen that it is not used (for example in North Gondar an EIA was planned in the project document but not carried out). ADA environmental advisors also may recommend the use of SEA but this does not often happen.

NGO cofinancing uses the ADA screening questionnaire for project approvals and attention is paid to integration of cross-cutting issues by the partner NGO. Screening is done internally, mostly without the support of the ADA environmental experts. Co-operation between ADA and NGOs in framework contracts allows satisfactory environmental mainstreaming. Several NGOs and other donors (co-funding the same projects) may effectively mainstream the environment without ADA pressure. Large NGOs are usually deemed to have more capacity for doing so but individual small-scale NGOs can also have adequate approaches and innovate. However outside framework contracts the high number of small Austrian contributions and of co-funding with other donors reduce the scope for effective environmental mainstreaming by ADA, and resources for monitoring are lacking.

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<sup>32</sup> Evaluierung der Humanitären Hilfe der Oesterreichischen Entwicklungszusammenarbeit im Zeitraum 2004/2008, page 22

Business partnerships do not use the ADA screening questionnaire for project approvals but partners have to commit themselves to following international standards. They also consist of small grants that cannot be assessed or monitored individually. The standard format for projects documents include a box to mention the environmental relevance or the MDG concerned but nothing more on environmental considerations. A new instrument, Strategic business partnerships, is currently under preparation and it was agreed that the environmental appraisal procedure would apply here.

Humanitarian Aid has no effective tool for environmental mainstreaming, except the requirement that the Austrian accredited partner should take care of cross-cutting issues. There are several constraints on more effective environmental mainstreaming in humanitarian aid: the safety conditions, the urgency of humanitarian needs, the small weight of Austria when it contributes to much larger (UN) interventions, the short preparation time and duration of interventions, the fact that humanitarian aid is often required in non-priority countries, and the perception that the environment is not a priority.

Q20.4. How is the quality of the recommendations made in the environmental appraisals generally perceived?

When they are known recommendations are often positively perceived. Several implementers welcome comments, advice and feedback. Others just consider the process normal. The evaluation found no evidence that recommendations are perceived as excessive constraints. However this can partly result from the perception that recommendations are not compulsory.

Q20.5. How are these recommendations implemented in practice, professionally accompanied and monitored?

Most respondents to the on-line survey who have an opinion consider that the recommendations are often (39%) or sometimes (33%) implemented. Recommendations are not systematically implemented. This can partly be justified by the fact that advisors lack the full information required to confirm the relevance and feasibility of their recommendations. In some countries (Mozambique, Balkans), lack of local awareness or support by local authorities are reported as constraints on implementation.

Recommendations from environmental appraisals can be included in the contracts by the responsible staff in ADA, with deadlines for their implementation and recording in the ADA database. If the partner organisation does not fulfil the requirements the financial transactions can be stopped. This however does not happen often, either because the recommendations have been implemented or are deemed soft suggestions, or because of insufficient monitoring. Indeed interviews suggest that there is hardly any monitoring (because of limited resources), except if there is a subsequent phase. In that case there is systematic screening if the recommendations are followed up.

Implementation and monitoring are also weak for environment commitments appearing in the project documents regardless the ADA appraisals. Sometimes environmental integration in the proposal just reflects a tendency to embellish the document in order to attract funds.

In an animal health project in Georgia (8277-01/2011) implementing stakeholders were just not aware of the recommendations (on the management of veterinary wastes), which did not reach them (presumably because they were subcontractors). This example illustrates weak

monitoring. The project was also evaluated with no attention paid to this issue by the evaluator. Nevertheless the recommendation was part of local good practice and despite being ignored it was in fact implemented. In another Georgian example (8290-01/2012) the recommendation to prepare a SEA of a regional development strategy was not followed up. According to our analysis, the environmental unit was presumably not in a position where it could assess the feasibility of its recommendation. This example therefore illustrates the good reasons why some recommendations are just soft suggestions.

In an example in Ethiopia (2509-01/2011; 2509-00/2008), a first rather critical assessment of some environmental concerns in 2010 was never conveyed to the project implementers. On the other hand project implementers have been facing environmental conflicts (reallocation of a manure pit within the core zone of a National Park) within the project area and received no support from ADA despite their reporting.

One factor presumably playing a role in the insufficient use of environmental recommendations is that they remain a stand-alone document and are not integrated in the description of activities or expected results in the main project document and in the logical framework. Similarly comments on the environment in a separate section on cross-cutting issues can be insufficient to ensure practical implementation.

#### Q20.6. How are environmental appraisals perceived and used by partners?

Existing environmental appraisals (and environmental screenings) are usually well accepted. This is confirmed by interviews and by the on-line survey, where 79% of respondents familiar with the tools perceive them as adequate (68%) or very adequate (11%).

However in cases of projects focusing on environmental issues or having potentially significant impacts there may be a need for more detailed guidance. On the other hand some partners may consider that small or urgent interventions should not be subject to environmental screening or appraisal.

When they just lead to approval, the partners cannot use them. When they make recommendations on how to implement the project, the use made of them is no different from the implementation of recommendations described in Q20.5.

#### Q21.1. What enhancements to the tools can be proposed in order to increase their effectiveness (or other qualities)?

##### Q21.1.1. The overall process

Under the constraint of limited budget resources, we can consider the following criteria for economically optimising environmental mainstreaming:

- Balance between categories of impacts or outcomes: where environmental and socio-economic benefits are competing, benefits in one category should not be achieved at the expense of more desirable benefits in the other category.
- Cost acceptance (and value for money): environmental mainstreaming costs should be accepted as far as they produce benefits deemed greater.
- Cost-effectiveness: the ratio between benefits and costs should be maximized.

- Environmental efficiency: environmental benefits from environmental mainstreaming should exceed negative environmental pressures resulting from environmental mainstreaming activities (for instance travelling).

This set of criteria is independent on budget availability, its implementation determining the use of the budget without requiring extra costs.

Based on this assessment framework we identify below several issues including the desirable improvements in tools as such and on the environmental mainstreaming framework and process.

Table 19. Analysis of improvement opportunities in the impact mitigation process.

Assessment of current situation	Improved situation
Balance between environmental and other benefits	
Socio-economic benefits are still prioritised as shown by the low share of environmental projects (although it is difficult to judge to what extent this is excessive taking into account the urgency of needs).	Better balance between socio-economic and environmental projects, consistent with the main objectives of Austrian Development Policy.
Little attention tends to be paid to the environmental impact of small-scale projects, projects of small partners (NGOs or others), or projects responding to urgent needs (Humanitarian Aid). A report comments “They are on such a small scale that no negative environmental impact is expected” but does not say the same about the intended economic and social impact.	Better balance between the consideration of socio-economic and environmental impacts, especially in cases of small-size and humanitarian projects. There is no reason why the environmental impacts should be more negligible than the socio-economic impacts justifying those projects
Cost-acceptance and value for money	
Although this does not often occur, environmental mainstreaming procedures or tools can work – or be perceived - as an obstacle to rapid action and therefore to effectiveness in cases of urgent humanitarian need.	Environmental mainstreaming approaches adequate for urgent interventions are available (not requiring a deep <i>ex ante</i> analysis on a case by case basis).
Environmental mainstreaming procedures or tools can be perceived as too heavy and costly for small scale projects or projects of small partners (NGOs or others).	Environmental mainstreaming approaches adequate for small scale interventions are available (rapid screening, standard rules of good practice and criteria for selecting partners).
Cost-effectiveness	
Results-based management is considered good practice but is not fully implemented. This may reduce the effectiveness of actions (interventions or intervention components) pursuing environmental objectives or ( <i>a fortiori</i> ) the attention paid to unintended (side-) effects on the environment. The lack of adequate results-based management also leads to use inappropriate indicators (see below on efficiency).	Results-based management guides development co-operation without dismissing side-effects.

<p>The level and quality of environmental integration in the preparation process of interventions (problem analysis, logical framework planning) is constrained by the standard template for logical framework, which has no room (box or column) for the effects external to the intervention logic. The lack of adequate environmental integration at this stage may increase the need to use environmental tools or the cost of their use. Moreover the standard log frame is not always used or correctly used and this may be a constraint to developing guidance on how to integrate the environment.</p>	<p>The logical framework approach is widely followed with standard rules open to environmental mainstreaming.</p>
<p>The standard international approach for EIA consists of submitting to EIA projects with a significant potential adverse impact to be mitigated. This can lead to excessive EIA (where mitigation measures can be identified without detailed analysis) or to insufficient EIA (where we miss opportunities to enhance positive impacts or to cost-effectively modify environmental effects even where they are not significant in absolute terms).</p>	<p>Criteria for submitting an intervention to EIA or another environmental appraisal are based on the cost-effectiveness of the tool in terms of impacts enhancement (and not just mitigation).</p>
<p>The traditional focus on bio-physical impacts (in EIA and similar tools) leads to missed opportunities in terms of mitigating or enhancing impacts on environmental management capacities and on climate (or environmental) change vulnerability.</p>	<p>Environmental appraisals consider non-biophysical impacts relevant to the environment.</p>
<p>Environmental appraisals (and EIAs) focus on the impact produced by the project and are not designed to support the sustainable achievement of its objectives. This may lead to underestimation of the vulnerability of project performance (including the sustainability of its socio-economic outcome) to climate or environmental changes and reduces environmental awareness.</p>	<p>Environmental mainstreaming tools support the sustainable achievement of the project objectives.</p>
<p>Poor monitoring and implementation of recommendations resulting from environmental tools reduce the cost-effectiveness of their use.</p>	<p>Monitoring and implementation of environmental recommendations are more effective.</p>
<p>The standard DAC evaluation criteria do not explicitly address side-effects (although they can be considered to some extent under the umbrella of the criterion named “impact”). Therefore the environment effects (impacts in the environmental meaning of the term) as well as some socio-economic impacts are often neglected. The requirement to look at cross-cutting issues does not always compensate for</p>	<p>Evaluations systematically check side-effects.</p>

this failure because it can lead to a free choice of the cross-cutting issue to be considered.	
Cross-cutting issues are diverse and hard to combine (see Q4.2). Two of them are subject to appraisal but they are managed separately. This can reduce the overall cost-effectiveness of their mainstreaming	All cross-cutting issues, including MDGs (SDGs), are managed under a consistent framework.
The use of environmental mainstreaming tools depends on the instrument and therefore is not always consistent with cost-effectiveness requirements.	Harmonized criteria are used to submit projects to environmental appraisals.
Project designers and managers and ADA staff (including ADC coordination offices) do not always know how to properly integrate the environment and have not (and cannot have) the technical capacity to address all environmental issues.	Project designers and managers (in implementing organizations) and ADA staff (including ADC coordination offices) benefit from training and increased technical support.
Fragmentation in many sectors, geographical areas and interventions reduces the capacities of environmental advisors to cost-effectively assess all environmental issues and monitor and advise all projects.	Thematic and geographic concentration allows for adequate inputs from environmental advisors or experts.
Environmental efficiency	
Insufficient focus on results (results-based management) may reduce the environmental efficiency of all development actions (environmental costs linked with the use of inputs may not be compensated with development outcomes). This notably happens when indicators refer to actions or inputs (generating environmental pressures) instead of referring to outputs and outcomes.	Results-based management guides development co-operation without dismissing side-effects (see above).
There is no evidence that the travel footprint of environmental advisors is excessive. However the geographical dispersal of Austrian interventions is a constraint.	The travels of environmental advisors or experts are optimised in order to avoid excessive environmental footprint.

#### Q21.1.2. The specific tools

Table 20. Analysis of improvement opportunities in specific tools for impact mitigation.

Assessment of current weaknesses (see Q20)	Improved situation
Focus on adverse impact, leading to a risk of missing opportunities to enhance positive impacts.	The tools help and are used to check the opportunities to improve positive impacts.
Focus on bio-physical impacts, with a risk of missing opportunities to enhance impacts on environmental awareness and capacities and on climate change vulnerability.	The tools incorporate non-biophysical (but environmentally-related) impacts.

Focus on impacts resulting from the project, with a risk of missing opportunities to contribute to the project objectives.	The tools help and are used to check to what extent environmental issues may affect the sustainable achievement of the project objectives.
Poor consistency with the aims of the SG and no systematic check of all potential environmental impacts.	The tools include a checklist with explicit links to the SG (but not restricted to its TOFs and aims).

#### Q21.2. How can those enhancements be achieved?

The table below suggests actions to be implemented in order to achieve the improvements identified above in Q21.1.

Table 21. Analysis of potential actions required to achieve the improvements identified in Q21.1 Improved situation	Potential actions
Better balance between socio-economic and environmental projects.	Promote a better understanding and awareness of the interlinkages of environmental, social and economic aspects and their respective value (through training, communication, knowledge management).
Better balance between socio-economic and environmental impacts, especially in cases of small-size and humanitarian projects.	Develop adequate tools and approaches for small and urgent projects (where small size should never be an argument for neglecting the environmental aspects <i>versus</i> other aspects). Stimulate learning on environmental issues, notably from <i>ex post</i> assessments. In humanitarian aid, promote exchanges and learning with other donors or agencies (for ex. refer to the UNHCR Environmental Guidelines).
Environmental mainstreaming approaches adequate for urgent interventions are available.	Develop standard safeguards for humanitarian or other urgent interventions before the interventions are decided. Or work with organizations having demonstrated that they have safeguards.
Environmental mainstreaming approaches adequate for small scale interventions are available.	Develop standard good practice guides (not requiring systematic assessments on a case by case basis, not exclusively top-down).
Results-based management guides development co-operation without dismissing side-effects.	Promote more results-based management (less focus on expenditure, activities and means), without losing sight of side-effects.
The logical framework approach is widely followed with standard rules open to environmental mainstreaming (see Q11.4.2).	Promote learning on environmental integration in the “core” tools of project management, including problem analysis and logical framework. In parallel promote correct use of the standard tools and methods.
Criteria for submitting an intervention to EIA or other environmental appraisal are based on the cost-effectiveness of the tool in terms of impacts enhancement (and not just mitigation).	When assessing the need for (or the relevance of) an EIA during the environmental appraisal, assess the expected cost-effectiveness of the tool.

<b>Table 21.</b> Analysis of potential actions required to achieve the improvements identified in Q21.1Improved situation	Potential actions
Monitoring and implementation of environmental recommendations are more effective.	Request integration of the recommendations in the main project document and logical framework. Request systematic reporting. Envisage random checks. Promote more ownership of environmental issues. Suggestions from the interview include: facilitating easier access to the relevant information by programme officers (encouraging partners to comment on their progress in all cross cutting activities in dedicated chapters of the progress reports; using the new database that is currently in preparation could include these features), random sampling, revision of the field visit checklist to include environment.
Evaluations systematically check side-effects.	Promote more systematic assessment of impacts external to the objectives (including environmental impacts) in the terms of reference of evaluations.
All cross-cutting issues, including MDGs (SDGs), are managed under a consistent framework.	A consistent approach may consist (for example) of ensuring that every intervention is justified by a contribution to the overall objectives of Austrian development policy, does not harm any of them, optimises its (side-) effects on all cross-cutting issues (including SDGs) in their different components and is correctly adapted (notably from an effectiveness and sustainability perspective) to the external factors that are out of control. The environment is present at different levels in this assessment framework but it should be divided into different aspects (mixed with non-environmental aspects). For complex or sensitive projects the appraisal would be made by a team of experts, combining expertise in environmental and social (including gender) science.
Harmonized criteria are used to submit projects to environmental appraisals.	Harmonize the criteria for submitting a project to an environmental appraisal.
Project designers and managers and ADA staff (including ADC coordination offices) benefit from training and increased technical support.	Adequate training of staff (based on training need assessment), open to implementing organizations: sensitization to the importance of integrating the environment, linkages between environmental and development issues, use of the tools and how to practically integrate the environment. Base environmental advisors closer to the field; establish a system ("technical assistance facility") facilitating the rapid recruitment of short-term expertise.
Thematic and geographic concentration allows for adequate inputs from environmental advisors and experts.	Concentration (including thematic and eco-geographical concentration) can help advisers develop stronger expertise on the concerned issues.
The travels of environmental advisors are optimised in order to avoid excessive environmental footprint.	Geographical concentration and designation of regional environmental advisors may help to provide advice at reasonable environmental costs (GHG emissions).
The tools :	Revise the tools accordingly.

Table 21. Analysis of potential actions required to achieve the improvements identified in Q21.1Improved situation	Potential actions
<ul style="list-style-type: none"> <li>– help and are used to check the opportunities to improve positive impacts;</li> <li>– consider non-biophysical (but environmentally-related) impacts;</li> <li>– help and are used to check to with extent environmental issues may affect the sustainable achievement of the project objectives;</li> <li>– Include a checklist with explicit links to the SG (but not restricted to its TOFs and aims).</li> </ul>	

### Q21.3. What are the most cost-effective options?

Cost-effectiveness has been taken into account in the analysis leading to identification of the potential options described above in Q21.2. We suggest here under a list of priorities or key options:

- a) Strategic key options beyond the strictly environmental scope
  - More balanced share of resources (budget, human resources) between the environment and other issues;
  - A single appraisal framework including all concerns and cross-cutting issues (to be supported by adequate monitoring during the implementation phase);
  - Concentration and continuity;
  - PCM good practice (including analysis of causality chains, result-based-management, adequate indicators of results, attention paid to risks and sustainability (without confusing sustainability factors with cross-cutting issues), standard logical framework format) with incorporation of side-effects (external to the intervention logic) in the logical framework;
  - A “technical assistance facility” facilitating fast recruitment of short-term expertise.
- b) Specific actions on the environment
  - Homogeneous criteria for submitting proposals to environmental mainstreaming tools;
  - Revision of the environmental mainstreaming tools (as part of the single appraisal framework suggested above);
  - Addition of standard good practice guidelines valid for all projects (not requiring any *ex ante* analysis on a case by case basis);

- Integration of the key outcomes of the environmental appraisal in the main project document and logical framework (with adequate monitoring and evaluation during implementation phase);
- Adequate training of staff: sensitization to the importance of integrating the environment, linkages between environmental and development issues, use of the tools and how to practically integrate the environment.

Q22.1. To what extent, in what direction (positive or negative) and on which aspects has the environmental situation (of the country or of the intervention area) been influenced by the main ODA actors?

Environmental impacts on the field usually are not assessed and are therefore not well known. In countries or interventions with an environmental focus, Austrian Development cooperation (ADC) is expected to have - and presumably has - a positive impact. In countries or sectors where the environment has a low profile, it is more likely that ADC provides a development impact resulting in an increase of environmental pressures, even if they are exported globally. The overall balance may be a negative environmental impact as explained below (in Q22.1.3).

#### Q22.1.1. Impacts resulting from environmental projects

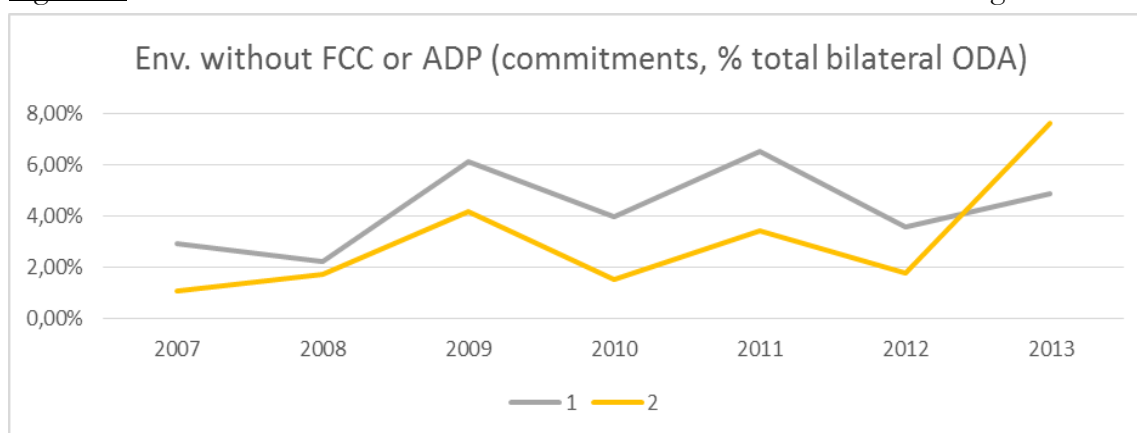
Environmental projects – defined as projects scored 1 or 2 for the marker ENV – tend to increase as shown in Q12.1. They can be divided in three categories:

- 1) Projects pursuing a significant objective consisting of enhancing the environmental situation.
- 2) Projects having received a positive score because they intend to mitigate their own negative impact, without reversing it: many energy projects scored for mitigation can belong to this category (or to the first).
- 3) Projects in which the ENV score results from the adaptation score (associated or not with a desertification score based on a response to the effects of drought, therefore not aimed at reversing land degradation).

Only projects belonging to the first category are expected to improve the environmental situation.

Based on an analysis of the impact of individual Rio markers on the ENV marker, we find that without adaptation or the mitigation marker, the ENV marker would still have been increasing, as shown in the graph below (Figure 16).

**Figure 16.** Trends in environmental commitments not allocated to climate change



*Sources: our analysis based on data from the ADA ODA data base (data on expenditure and table showing the ENV and Rio markers of interventions).*

Therefore it is likely that the impact of projects aimed at producing environmental enhancements has been increasing. The most obvious effects are observed at the level of capacities and conditions (drivers), which is important for the sustainability of environmental impact.

However there is limited evidence that they contribute effectively to improving the environmental situation. The table provided in Q22.4.1 identifies examples of projects in which an effect was noticed in the causality chain between drivers, pressures and the final environmental (bio-physical) impact. Not all evaluation reports identify the “impact” and often the identified impact is not the final biophysical impact.

The fact that final environmental impacts are poorly reflected in evaluations can theoretically result from (1) poor attention to them by the evaluators, (2) little impact or (3) poor visibility of the impact (particularly for distant, indirect and long-term impact). Our analysis of evaluation reports shows a frequent combination of (1) and (3): evaluators (as usually requested by their terms of reference) focus on the most direct outputs or results of the project and can only comment on the most directly visible environmental impact. Factor (3) is an important factor since many environmental projects address the root causes of environmental changes and therefore have only indirect and delayed impacts on the environment. Other projects restore environmental resources, which also takes time. This also results in uncertainties on the impact of outputs and outcomes achieved during short intervention periods. Therefore particular attention should be paid to the likelihood that the achieved outcomes will effectively contribute to the intended impact, which depends on their **sustainability**, on **logical cause-effect links** leading from them to the intended impacts and to future **external risks** placing this causality chain under strain. This is illustrated by two field visits as shown in the box below.

Box. Examples from case studies illustrating uncertainties on the achievement of the intended environmental impact

- 1) Georgian windbreaks (8281-01/2011). The project plants trees in order to restore windbreaks. Observed outcomes are growing seedlings (of various indigenous species) in place. The expected impact after several years (after project completion) is reduced wind erosion in adjacent crops (and higher biodiversity). Because this will take time, effective achievement of this impact cannot be measured during project implementation and many external risks can prevent it (fire, drought, overgrazing, wood-cutting by shepherds). In parallel the demand for windbreaks can also change because new farming techniques are developed in order to control wind erosion.
- 2) Promoting modern beehives around the Yayu forest (Ethiopia, 2719-00/2013). Collecting honey in the forest is damaging (because fire is used). Modern beekeeping produces more honey, with less labour and less damages. Therefore the project supports modern beekeeping in order to reduce pressures on the forest. However the project ends before organized honey marketing develops and it targets women (along with old men) while honey collection in the forest is made by young men. There are thus two uncertainties regarding the achievement of the expected impacts: Will modern beekeeping be financially viable? And are there effective causal links between this activity and forest protection?

An analysis of logical frameworks also shows that project objectives clearly focus on the driver level. Out of 34 environmental projects (scored 1 or 2 for the ENV and where the existence of an environmental objective is confirmed by the logical framework), all projects (100%) address capacity issues (institution or organisation, skills and tools) and only 4 (12%) target concrete actions at purpose or results level (2353-00/2009: erosion control measures; 2319-04/2008: producers applying permaculture; 2319-06/2008: environmental rehabilitation and conservation activities); 2319-10/2011: farmers implementing sustainable agriculture) and two (6%) anticipate an environmental impact (2319-07/2011: improved pasture; 2633-00/2010: reduced deforestation rate).

Q22.1.2. Impacts from non-environmental projects (or project components)

The table below summarizes two important causality chains from drivers of environmental pressures to environmental changes.

Table 22. Important causality chains between driving forces modified by development cooperation and environmental changes.

	Level in the causality chain	Economic growth	Demographic transition
3	Environmental impact (change in the state of the environment).	More climate change, natural resource depletion, polluted water and air.	Reduced rate of climate change, natural resource depletion, polluted water and air.
2	Pressures or actions on the environment.	More resources extraction (at global level), agricultural pressures and emission of pollutants (including GHG).	Decrease in the growth of resource extraction, agricultural pressures and emission of pollutants due to reduced population growth.
1	Drivers of pressures and actions on the environment.	Economic growth (increased production and incomes), adoption of urban or Western consumption habits.	Higher access to education and health services, more gender equality, reduced vulnerability.

Examples of increasing environmental pressures resulting from non-environmental projects or non-environmental project components are reported in Ethiopia (risk of overgrazing due to increased cattle - 2509-02/2013; gully erosion around schools built under the programme “Protection of Basic Services” 2567-00/2010 to 2567-05/2013), and Kosovo (use of coal in greenhouses - 8134-01/2007).

Poverty can contribute to high population growth and excessive pressures on local natural resources, and budget resources are necessary for environmental management. Nevertheless economic growth usually is associated with an increase in overall consumption and in more global environmental pressures (GHG emissions being closely correlated with GNP). Because of the persistent focus on economic growth it is likely that the bulk of international aid (including Austrian ODA) has such negative environmental impact and therefore does not contribute to sustainable development.

Such an impact is expected in Austrian ODA due to the high share of non-environmental interventions (but it can also result from unsuccessful environmental projects). For example any project consuming energy or other resources and any project generating incomes used for higher consumption automatically tends to increase environmental pressures. Environmental mainstreaming (by Austrian cooperation or within national development policies) tends to minimize – but does not necessarily reverse - this negative environmental impact. The main effect of “horizontal mainstreaming” and of many projects inappropriately scored for mitigation consists of decoupling growth from environmental pressures, meaning that environmental pressures grow more slowly than the economy but do not decline.

#### Q22.1.3. Overall balance

No respondent participating in the on-line survey believes the overall impact is negative. Among those who express an opinion, 54% consider that the impact is positive but small and 36% consider it positive and significant. However a clear majority (89%) considers that Austria should attempt to have better impact in terms of environmentally friendly development. The evaluators have a less optimistic view. Because the environmental projects are a small share of Austrian aid and environmental safeguards only mitigate adverse environmental pressures, they find it likely that the overall balance is a negative net impact on the environment. Although this is not objectively verifiable, the perception of the participants in the survey may be biased by a higher response rate among partners involved in environmental projects and by low awareness of the indirect pressures resulting from development cooperation activities and from successful economic development, which usually remains excessively linked to higher use of natural resources and pollutions (including GHG emissions). Those pressures linked with development are less visible than environmental pressures linked with poverty because they tend to be more global.

Q22.2. To what extent have perceptions of the environmental issues and environmental awareness been positively influenced by the main ODA actors in the country or in the area of intervention?

Perceptions and awareness are part of the chain of changes – at drivers level - leading to potential environmental impacts as referred to in Q22.1.

Awareness-raising is more often reported (in evaluation reports or interviews) as an unintended impact of Austrian environmental projects than as an explicit purpose or expected

result (as shown in the project logical framework). A clear majority of the respondents to the on-line survey (94% of those expressing an opinion) perceive such a positive impact of Austrian environmental interventions on awareness.

Positive examples are identified in Q22.4.2.

Those examples suggest a positive impact, resulting either from sensitisation, training and better understanding of the linkages between environment and development or from concrete demonstration of the benefits resulting from environmental interventions.

However the available information does not always distinguish awareness-raising activities and awareness-raising impact. Moreover the current evaluation could not assess to what extent such an impact is sustainable and leads to better impact on the environment. Environmental awareness is certainly a prerequisite for sustainable environmental protection but is not a sufficient condition. For example, as regards Themis (8284-00/2011, 8284-01/2014), the FAKT study comments that legal systems are partially enforced, but whether this leads to less environmental crime is hard to judge; the projects (and ENVSEC as well) are struggling with limited interest in environmental issues at the higher policy levels; high staff turnover is another challenge.

On the other hand, opportunities to contribute to awareness-raising can also be missed (example: Business Partnership project on “Serious and Educational Games” in Serbia, 2550-05/2013). There is also a likely – but not well documented - impact resulting from the day-to-day project management and attitudes of Austrian partners, with positive aspects (for example in terms of waste management) but also with a risk of promoting unsustainable consumption patterns.

Q22.3. To what extent had the main ODA actors an impact on the capacities to manage the environment and on CC vulnerability in beneficiary countries?<sup>33</sup>

Those aspects are poorly considered in the crosscutting (horizontal) dimension of environmental mainstreaming and are more frequently addressed through environmental projects (vertical mainstreaming).

#### Q22.3.1. Capacities for environmental management

Most of the environmental interventions pursue a capacity-building objective (100% out of a sample of 40 environmental projects) or have such an effect. A positive example is “WP-KOS-MOSER - Capacity Building and Consciousness Raising in Kosovan Waste Management” (2550-02/2012) which includes the following: “One of the strengths of the project is the capacity development of the personnel. They are now able to effectively handle the waste management both administratively and technically (customer communication, fees collection, vehicle and equipment maintenance)” (FAKT, 2015).

However the evaluator could not assess to what extent strengthening capacities usually leads to a final impact on the environment, because the comment made above on environmental awareness (Q22.2) is valid here: particular capacities may not be sufficient to change attitudes and pressures on the environment. For example skills resulting from training are useless if the

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<sup>33</sup> New sub-question

trained person does not work in conditions where he or she can apply them or in cases of high staff turnover.

#### Q22.3.2. Climate change vulnerability or adaptation

An adaptation impact is particularly hard to assess because (1) preparedness for future climate conditions cannot be directly checked in advance and (2) adaptation to current climate conditions cannot be assessed against counterfactual evidence.

Since adaptation can be defined as mitigating the impact of climate change, such an effect can result from any improvement in a parameter both important for development and vulnerable to climate change (food production, water availability, climate-related diseases...) or in capacities to respond to climate change (including poverty and education). Therefore, many development projects may have an unintended adaptation impact<sup>34</sup>.

An increasing number of projects address climate change adaptation (see Q14.1) and therefore are expected to reduce climate change vulnerability or increase resilience<sup>35</sup>. However it is often unclear that the impacts of those “labelled” projects are better than the impacts of ordinary projects, because the intervention logic usually does not show clear causal links between activities and adaptation impact and partners can just ignore or lose sight of the adaptation perspective. It should also be recalled that adaptation is not a goal per se, but is only a means to achieving development goals under the constraint of climate change.

Respondents to the on-line survey usually consider that Austrian aid positively contributes to climate change adaptation or disaster risk reduction (79% of respondents, although 54% consider the impact to be small).

The environmental mainstreaming process could be a useful tool for identifying opportunities for checking and improving the adaptation impact in projects not positively scored for the adaptation marker.

Q22.4. Which interventions and types of intervention played the major role on environmental impact and perception?

#### Q22.4.1. Interventions that played a role on environmental impact

The table below provides evidence on impacts from evaluation reports (including FAKT, 2015) and field visits organised along a causality chain from drivers of environmental pressures to environmental changes.

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<sup>34</sup> This is a reason why the evaluators suggest that impact and objectives should not be confused when scoring for Rio-markers.

<sup>35</sup> “Resilience” can be defined as the opposite of vulnerability to shocks. Because climate change is expected to cause shocks (due to extreme or unexpected climate events), resilience is often (and more and more) used as a name for the opposite of climate change vulnerability. However it should be reminded that climate change vulnerability can include other aspects than vulnerability to shocks.

**Table 23.** Evidence regarding the impacts of interventions

	Level in the causality chain	Examples and comments
3	Environmental impact (change in the state of the environment)	<p>A small percentage of valuation reports refer to observed environmental (biophysical) impact but some evidence of positive impacts exists. In Albania the water quality of Shkodra Lake improved and the city is no longer flooded with sewage (7813-04/2007). In Ethiopia (North Gondar); the vegetation cover has been restored in arid and semi-arid areas, water sources showed signs of recovery, endangered wildlife species have increased in Simien National Park (2509-01/2011; 2509-02/2013) and a positive impact on biodiversity (native plants, birds, mammals and insects) was also observed in areas afforested by the climate disasters project in the same region, 2663-00/2010). Clean household surrounding (free from solid waste and from animal and human faeces) was also a visible impact of a hygiene project in Ethiopia (2319-03/2010). In Uganda and Kenya, “Improvements of ecosystem health could be confirmed qualitatively” (2677-00/2011)</p>
2	Pressures or actions on the environment	<p>Positive interventions on the environment are implemented or promoted by several projects and mitigation of existing environmental pressures is also observed.</p> <p>Positive interventions consist for example of planting trees (e.g. windbreak restoration in Georgia 8281-01/2011; reforestation in Bugesera (Rwanda, Burundi) as reported by evaluation 2665-00/2011), establishing soil conservation infrastructure (e.g. North Gondar in Ethiopia; 2509-02/2013 and 2663-00/2010) or adopting organic farming practice (e.g. expansion of organic farming resulted from the “Organic Food Production Support in South Serbia”, 8220-01/2010).</p> <p>Mitigation of greenhouse gas emissions is expected from energy efficiency projects or projects substituting alternative (solar, wind, hydropower, geothermal) energy sources to conventional energy. In a geothermal project in Macedonia (8022-00/2005) attention paid to environmental externalities also led to reduced thermic water pollution. Reduced tree cutting through the introduction of biogas facilities was reported in the evaluation of 2665-00/2011. Reduced pressure on forests and wildlife is reported around Yayu forest (2719-00/2013).</p> <p>Although the net impact of environmental projects on pressures is usually positive, negative effects are also possible. Such a risk is expected in Simien National Park, Ethiopia (2509-02/2013) from the increasing number of visitors on this fragile environment. Hydropower projects (often considered as “green” or environmental because they help avoid greenhouse gas emission) can exert severe pressures on the local environment although they are usually mitigated by the EIA procedure. For example a hydropower plant in Albania reduced the summer water flow and created conflicts with farmers (FAKT, 2015). All projects also produce negative pressures just from their activities and use of means, the overall balance being in reverse ratio to their efficiency.</p>

	Level in the causality chain	Examples and comments
1	Drivers of pressures and of actions on the environment	<p>Institutional development and capacity building (see 22.3.1.) is an area where many environmental projects work. There is much evidence of an impact at least on that level (ex : Preparation of local environmental plans in Burkina Faso (UNDP); forest management plan in Georgia; Forest policy and FLEGT in Georgia; establishment of transboundary protected areas in Albania, Montenegro and Kosovo thanks to ENVSEC (FAKT, 2015); impact on national policies of two business partnership projects in Kosovo (one active in the agricultural sector and the other active in the waste sector – FAKT, 2015), “visible” influence of ADA on the national water policy of Albania and related good governance – FAKT, 2015), impacts reported in the evaluations of 2491-00/2007, 2536-00/2007, 2550-02/2012, 2560-00/2010, 2599-00/2009, 2606-00/2013, 2608-00/2009 (professional training) and 2624-00/2010).</p> <p>Awareness-raising is also an aspect on which evaluation reports find a frequent impact (see Q22.2).</p> <p>An impact on regulation and law enforcement is observed in a couple of evaluation reports (2665-00/2011 in Sri Lanka, 2677-00/2011 in Uganda and Kenya, 8284-00/2011 in Kosovo)</p>

#### Q22.4.2. Interventions playing a role on environmental perception

The following examples can be identified, based on evaluation reports:

- A project in Macedonia (8103-00/2005 and 8103-01/2009) “was particularly successful, because the environmental education programme and the teaching material developed was officially introduced into schools as a teaching tool. All pupils have to go through these lessons and will hopefully develop an understanding for environmental interrelations and their own role in protection” (FAKT, 2015).
- The main impact of the support to the Energy and Environment Partnership for Central America (2491-00/2007) was raising the “awareness at political and investor level on renewable energy options and solutions” (according to its final evaluation).
- A project on eco-efficiency and clean production in enterprises in Nicaragua (2624-00/2010) was also assessed as contributing to awareness-raising.
- A project on bee-keeping in the Hindu Kush-Himalayan Region (1469-00/2008) raised awareness on the value of biodiversity.
- A waste water project in Palestine (2560-00/2010) raised “awareness on the issues of the damaging effects of wastewater in Palestine”.
- Effective awareness-raising activities have been carried-out in Kosovo (2550-02/2012) and Serbia (2550-13/2010) in the framework of waste management projects supported by Business Partnerships (FAKT, 2015)
- The “Support to Regional Development of the Jablanica and Pčinja Districts” (8220-01/2010) has raised awareness on development potentials in regards to energy efficiency and alternative energy production, organic food production, rural tourism and other issues.

- In South-East Europe the Support to the Themis Network (8284-00/2011; 8284-01/2014) and the Environment and Security project (ENVSEC 8071-00/2005, 2579-00/2009, 8071-01/2012 and Themis 8284-00/2011) have been successful in creating awareness of the issue; environmental crime can now be identified as environmental crime (evaluation reports and FAKT, 2015).
- In Georgia, support for the forest policy involved many stakeholders and seems to have generated an awareness-raising impact on sustainable management of forests.
- Increased awareness of the communities on the need for protection of natural resources and the watersheds is an impact of the North Gondar project (2509-01/2011).
- In the ADA-GIZ project (Georgia; 8281-01/2011), short-term benefits in terms of agricultural productivity contribute to more support to the environment and long-term objectives (forest rehabilitation in windbreaks, soil conservation).

In the Western Balkans interviewees report that there are many projects at communal level, where there is emphasis on participation of the local population in the economy. Success can be observed regarding participation and sustainable use of resources. In other countries positive effects on attitudes towards the environment have also been reported for Red Cross<sup>36</sup> disaster risk management projects.

#### Q22.4.3. Kind of interventions:

Please refer to Q23.1 and Q24.1.

Besides interventions as such policy dialogue can also contribute to environmental awareness or perceptions.

Q22.5. To what extent has the impact of Austrian interventions on the environment and on environmental perception (as identified under Q22.1 and Q22.2) been enhanced by (Austrian) environmental mainstreaming?

#### Q22.5.1. Baseline for assessing the enhancement

The baseline to assess the impact of environmental mainstreaming (level of environmental integration without any environmental mainstreaming effort) is not clearly known as it consists of a hypothetical situation in which Austrian ODA actors do not integrate environmental concerns at all. Austrian ODA actors would offer no environmental interventions (scores 1 or 2) and would not propose environmental safeguards, merely promoting economic growth with social safeguards, accompanied by increasing pressures on the local or global environment. However, taking into account the alignment and harmonization principles, a certain level of environmental mainstreaming would have been present thanks to Austrian partners (within the donor community and the recipient country).

#### Q22.5.2. Environmental (bio-physical) impacts

Compared to the baseline (a situation without environmental mainstreaming), environmental mainstreaming contributes to positive environmental impacts through:

- Supporting interventions pursuing an environmental objective (in terms of improved state of the environment): see Q12.1 and Q22.1

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<sup>36</sup> Interviewees had presumably in mind the Austrian Red Cross.

- Decoupling economic growth from environmental pressures, notably greenhouse gas emissions (due to the focus on energy efficiency and renewable energies, usually through interventions scored 1 or 2 for climate change mitigation)
- Avoiding damaging interventions or mitigating their impact (thanks to the environmental appraisal procedure and environmental safeguards)
- And indirectly through improved environmental awareness and perceptions (22.5.2)

The significance of this positive impact of “Austrian” environmental mainstreaming depends on the level of environmental mainstreaming by partners. There are several examples where the added-value of Austrian co-operation is minor or almost nil (but no example where it is negative):

- Contributions to multilateral funds and IFIs, notably to the World Bank (IDA), the EDF, the GEF and to other funds
- Contributions to multi-donor funds and programmes at country level, especially when the Austrian contribution is minor (e.g. “Protection of Basic Services” - 2567-00/2010 to 05/2013 – and, regarding the environmental safeguards, the contribution to the “Climate Resilient Green Economy Facility” – 2708-00/2012 in Ethiopia)
- Humanitarian aid, where partners tend to pay more attention to the environment than does ADA (e.g. UNHCR in 2376-00/2008 to 2012; Gayo Pastoralists in 2679-01/2011)
- Non-environmental projects where the screening or environmental appraisal have no effect (e.g. 8277-01/2011 on animal health in Georgia).

The importance of expenditure that excludes environmental mainstreaming (for example debt relief) should also be taken into account. Therefore the impact of environmental mainstreaming is relatively small and results mainly from:

- decisions to provide funds for interventions pursuing environmental objectives (projects scored 1 or 2 in bilateral cooperation and voluntary contributions to multilateral environmental funds);
- the small percentage of Austrian bilateral projects where the ADA environmental safeguards are used.

The conclusion of this analysis is that this aspect can and should be improved.

#### Q22.5.3. Impacts on environmental awareness or perception

Environmental mainstreaming is also responsible for effects in terms of environmental awareness described in Q22.2. Environmental mainstreaming contributes in four ways:

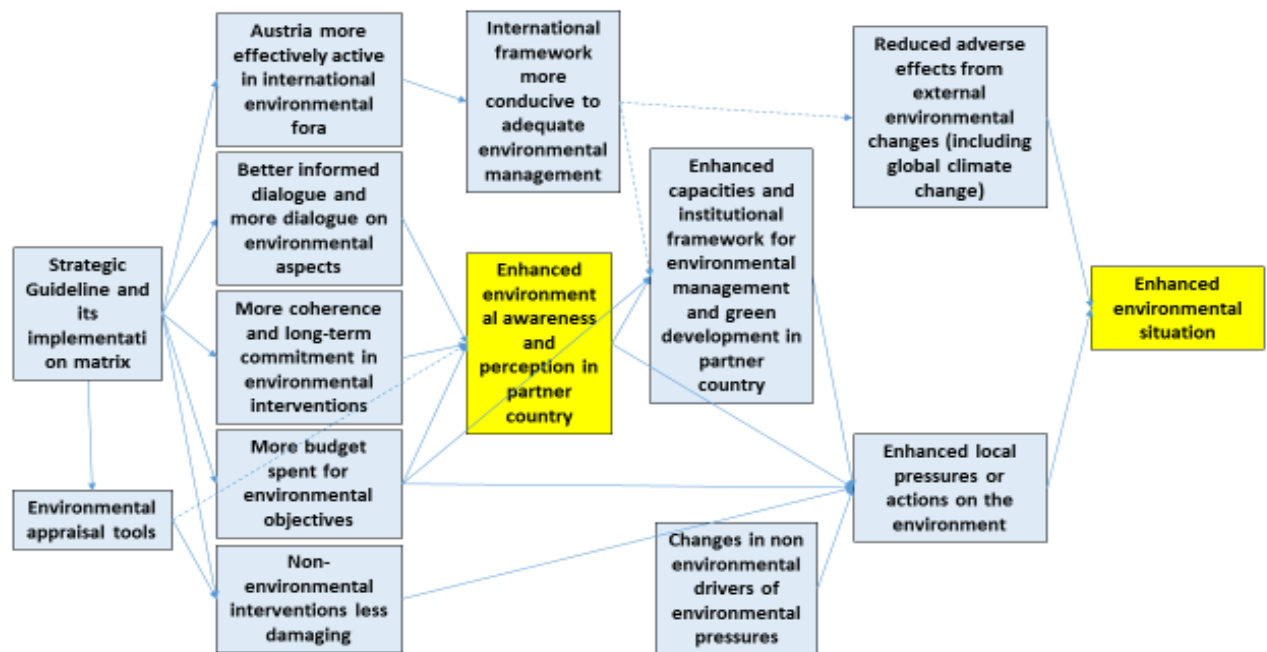
- By demonstrating the value attached to the environment by Austrian partners,
- By giving rise to debate on environmental issues,
- By demonstrating the added-value of environmental protection (therefore by effective environmental mainstreaming leading to positive and locally perceived impacts),
- Through interventions pursuing environmental awareness objectives or incorporating environmental awareness and training activities.

The fourth way is the most frequent (or at least the most apparent). Similar reasoning suggests a similar conclusion as in Q22.5.2: a positive but minor impact, to be improved.

Q22.6. Can we identify a specific role for the Strategic Guideline, for the implementation of its matrix or for specific environmental mainstreaming tools?

The figure below (Figure 17) summarizes the main causality chain between the SG/tools and the expected impacts in terms of environmental awareness and perceptions or the environmental situation.

Figure 17. Potential links between the tools and SG and impacts on environmental awareness or perception.



#### Q22.6.1. Role of the Strategic Guideline and its implementation matrix

The use of SG is assessed in Q5.1. The SG implementation matrix suggests five categories of actions or outcomes resulting from the use of the SG (see figure above):

- (1) Involvement in international environmental fora: the SG is expected to be useful for clarifying the position of Austrian representatives but the effects are not concentrated on partner countries and can only be indirect.
- (2) Dialogue on environmental issues: Q13 discusses the policy dialogue; the SG is a reference paper supporting Austrian representatives involved in environmental policy dialogue (when it takes place) and this can lead to more awareness and indirect environmental impacts.
- (3) More coherence and long-term commitments in environmental interventions: there is no evidence of an active causal link between the use of the SG, coherence and higher impacts in terms of perceptions or the environmental situation and no evidence that the SG leads to long-term commitments.
- (4) More budget spent on environmental interventions (or objectives): as shown in Q17.1 there has been an increase in environmental expenditure and this certainly lead

to more significant impacts; however it is uncertain that this trend results from the SG, as explained in Q8.

(5) Mitigating adverse impacts: this is only a minor aspect of the SG.

#### Q22.6.2. Role of the Tools

In countries, sectors or projects with a lower focus on the environment, Austrian cooperation can contribute to higher environmental pressures resulting directly from project activities or from their development impact. The environmental mainstreaming tools are mainly expected to mitigate these pressures, having therefore a positive impact on the environmental situation. The use of the tools and implementation of their recommendations are assessed in Q20.3 and Q20.5. Tools may have some awareness-raising effect when partners are involved in the implementation of recommendations but we have no evidence of such an effect.

#### Q23.1. Which aspects of the interventions identified under Q22.4 made the difference?

It is not always possible to identify the aspects making the difference.

Usually it takes time to achieve an observable positive biophysical impact on the environment, especially when the project addresses root causes or drivers of environmental pressures. Therefore long project duration (or subsequent projects) plays a positive role. An alternative may consist of direct interventions on the environment (for example tree planting and establishing erosion control infrastructure), which also can make the difference. However direct interventions cannot be sustainable if they do not address more indirect drivers (for example awareness, capacities and institutional arrangements). The best solution can therefore be a long programme mixing direct (technical) interventions and actions on drivers (education, awareness, institutions).

Regarding awareness-raising or environmental perception, the impact can result from specific activities pursuing that objective or just from the attention paid by the project to the environment. Demonstrating benefits from environmental projects is of course an effective way of establishing a positive perception of the environment.

See also Q23.3.

#### Q23.2. Which players or alliances have contributed to these changes?

Because Austrian interventions usually are small, the most significant changes result from joint actions (Austrian contributions complementing broader programmes or multi-donors funds, Austrian projects coordinated or synergetic with other projects). At beneficiary level, support for multi-stakeholder dialogue is also valuable in terms of awareness-raising and policy development.

The support for the forest policy in Georgia is an example where those aspects were combined (various stakeholders, including the Government and Civil Society Organisations, were involved in a process supported by different donors or implementing agencies, including two Austrian ODA actors: ADA and BMLFUW). The overall configuration is complex but

establishes complementarities, synergies, exchanges between stakeholders and multiple supports for the overall objective of improving forest governance.

Q23.3. Does the assessment of individual interventions (including evaluation reports) suggest best practice examples and lessons learned regarding the impact on the environmental situation or on environmental perceptions?

Given the information available and the lack of *ex post* environmental impact assessment it is hard to identify examples of projects that are satisfactory in all aspects including their impact and can therefore be considered as best practice examples.

A list of examples regarding the expected impact is already given in Q22.4. Based on examples of successful interventions (Q22.1, Q22.4) and other sources (notably interviews and Q23.1) we identify the following good practices:

**Table 24.** Examples and evidence of good practice at environmental intervention level.

Aspect	Examples and evidence
Long term commitment or long duration	Positive examples include the North Gondar programme in Ethiopia and Water Sector programme in Uganda. Findings from the FAKT study in South-East-Europe, 2015 also confirm the need for sufficient duration. As already known from other co-operations, environmental interventions require time or continuity. In this situation the 3-year planning period of ADC can be considered as usually too short. This shortcoming can be overcome with commitments to continuing support or when Austria just provides additional contributions to long-term programmes depending primarily on other funding sources.
Early involvement	Early involvement in the development of a sector policy or strategy (e.g. rural development in Burkina Faso) helps environmental mainstreaming.
Concentration	Resource concentration on a smaller number of interventions and sector concentration (e.g. with mix of projects in the forestry sector in Georgia or sector programme in Uganda) allows for more attention paid to the environment and a more significant impact.
Participation involving Civil Society.	This can notably be a response to the high turn-over of staff and political changes at governmental level and decentralized authorities. The support for the forest policy in Georgia is an example. In the project “Raising Awareness and Increasing Participation of Civil Society in Country Policies on Water Issues” (8189-00/2012) in Albania, “the combined approach of providing Civil Society training in hands-on skills as well as in understanding and communicating with the main actors in the Water Utilities, the Ministry, Regulation Offices, etc. seemed to be exceptionally successful and could serve as an exemplary model. Not only the CSOs, but also State authorities and water specialists showed great interest in the workshops and training sessions. As a result of bringing different stakeholders together, the CSOs were invited by the Ministry of Environment to help draft a policy document and to participate in its presentation in a Parliamentary Commission” (FAKT, 2015). The role of CSOs in environmental advocacy was highlighted by the Evaluation of the Support to Civil Society Engagement in Policy Dialogue (2012).

Aspect	Examples and evidence
Qualified partners	Project quality depends on the expertise of implementing partners. Example: environmental cooperation with GIZ in Georgia (8181-01/2011).
Combining vertical and horizontal mainstreaming	The new “Water and Environment Sector Programme” in Uganda mixes environmental objectives (“vertical” environmental mainstreaming) and safeguards in order to prevent or mitigate adverse impacts (“horizontal” mainstreaming).
Combining levels	Combining work at different levels (policy and field level) allow for synergies between them (e.g. forest sector in Georgia).
Combining time frames	Short term benefits are often required to contribute to long term environmental objectives. The sustainable agriculture project in Georgia (8181-01/2011) is an example of a project providing short term benefits (direct support agricultural production) and contributing to long-term forest restoration.
Sustainability issues	See 27.3.2

Standard good practice referred to by partners but not particular to the environment includes participatory phase in project design, deep problem analysis, clarity and consensus on the purpose and expected results (which may be difficult for climate change adaptation projects), good personal commitment, use of appropriate technologies, clear division of labour, and local support.

Intensive supervision and direct implementation were also suggested as good practice. This can indeed guarantee technical quality and effectiveness. However experience from development co-operation may suggest a potential risk to ownership and to sustainability not yet perceived by interviewees from the environmental sector.

Q24.1. Do interventions identified under Q22.4 tend to belong to a particular type?

Positive examples can be found in different types. Most interventions referred to in Q22.4 are projects but this reflects the overall pattern of ADC and there is no evidence that other modalities (for example sector budget support) are less conducive to positive impacts. However some characteristics can be important: see lessons learned in Q23.3.

Q24.2. How can intervention types or modalities used in the same country be compared with regard to their impact on the environment or on environmental perception?

As explained in Q23, evidence suggest that a good impact can result from synergies between interventions of different types. This means that the impact of a particular type of intervention can depend on the other interventions existing in the country or in the area. This also means that combining intervention types can provide better outcomes than just selecting one best category. Q24 also shows that some characteristics of the interventions (for example nature of the objectives, duration etc.) determine its impact without necessarily being reflected in a typology.

The table below (Table 25) compares theoretically the intervention types referred to in the Evaluation Question (Q24: supporting the elaboration of national policies vs. project interventions) and others:

Table 25. Theoretical analysis of the potential contribution of intervention types to intended environmental impacts.

Kind of support	Potential for a positive environmental impact	Risk not to achieve the potential impact	Total
Support to the preparation of national environmental policies or programmes	Potential impact very high.	High risk due to the risk of poor implementation (or sometimes to the risk that another donor is available).	++
Support to the preparation and implementation of national environmental policies or programmes	Potential impact very high	Lower risk.	++++
Support to the preparation of national (non-environmental) policies or programmes	Potential impact very high (if Austrian cooperation influences the policies, for example through a SEA, which would not have been done without Austrian support – depending on the involvement of other donors).	High risk: the risk of poor implementation of the programme is usually lower than in the environmental sector, but there is a high risk of poor implementation of SEA recommendations.	++
Support to the implementation of national environmental policies or programmes	Potential impact very high but depending on the relevance of the policy/programme and on the potential involvement of other donors.	Lower risk.	+++
Support to the implementation of other national policies or programmes	Lower potential impact depending on the environmental relevance of the national objectives	High risk, especially if adverse environmental impacts predominate and can only be marginally mitigated through Austrian intervention.	+
Support to Civil Society initiatives	Potential impact high	Risk in case of conflicts with Government.	++
Environmental field project	Potential high but local impact.	Medium risk (risk of poor ownership, transaction costs of project approach, uncertainty on final long term impact etc.)	++
Other field project	Lower potential impact.	Moderate, the risk of having adverse impact being mitigated by ADA	+

Kind of support	Potential for a positive environmental impact	Risk not to achieve the potential impact	Total
		environmental appraisal procedure.	

Evidence from the field (and evaluations) is not sufficient to revise this theoretical risk assessment.

Adverse impacts on the environment can also depend on intervention types. It can be assumed that the impact depends on the scale (therefore on the budget) and on the modality.

Budget support being deemed as a potentially effective tool for achieving development goals its adverse environmental impact can also be high if environmental safeguards are not sufficient. “Promoting a single modality, e.g., Budget Support, in pursuing the alignment agenda is not ideal practice given the risk of marginalizing salient issues such as innovation, environment, demand-side governance and the private sector” (Evaluation of the Implementation of the Paris Declaration in Uganda, 2008). Budget support in the environmental sector was provided in Cape Verde and positively evaluated (Comparative Review of Austrian Development Co-operations’ Budget Support Operations Cape Verde, Mozambique, Nicaragua, Uganda, 2010). Civil Society Organisations may play a key role in environmental advocacy (Support to Civil Society Engagement in Policy Dialogue, 2012).

Q25.1. To what extent are social impacts of interventions with an environmental marker 1 or 2 identified?

Environmental interventions usually pursue explicit socio-economic objectives (see Q25.2) and have to mainstream cross-cutting issues which are all social except for the environment itself. ODA actors and their partners are usually sensitized to social issues and pay some attention to gender equality. However they do not systematically attempt to identify, assess and optimize all their social side-effects. Only some partners institutions practise “Environmental and Social Impact Assessment” or have environmental and social safeguards procedures (for example the World Bank or other IFIs). Social impacts are also identified by some evaluation reports (7 out of 20), although they are not quantified.

Q25.2. Do we know examples of environmental interventions having a significant social impact?

Austrian development policy goals are environmental protection, poverty reduction, peace and security. This means that interventions scored 1 (or wrongly scored 2) for the environmental marker are all expected to have a significant social impact in terms of poverty reduction, peace or security. Some environmental interventions scored 2 may not have a significant social impact, if they contribute to global concerns (climate change mitigation or biodiversity conservation) without synergies with social objectives.

This is reflected by the analysis of a sample of 20 logical frameworks incorporating environmental objectives. A majority (60%) pursue explicit socio-economic goals at the level of the overall objectives and 20% more implicitly pursued socio-economic goals (climate

change adaptation projects). This clearly shows that many environmental projects have expected social impacts (although those concerns are not often expressed in terms of equity). Moreover environmental projects may have social effects that are not part of their objectives. Usually environmental projects simply cannot be effective and sustainable if they do not benefit from social support based on social benefits. The following linkages are found between the environmental objectives (defining projects scored 1 or 2) and positive social effects:

- The environmental objective often supports social goals (for example food production, access to clean water, reduced conflicts associated with natural resources);
- The environmental objective is frequently pursued through social strategies (for example providing alternative sources of income in order to reduce pressure on natural resources) or require institutional arrangements contributing to social benefits (notably in terms of conflict reduction) ;
- Environmental and socio-economic objectives are sometimes pursued in parallel (score 1 projects).

More specifically the following categories of “environmental” projects (scored 1 or 2 for the environmental marker) have significant and positive social or socio-economic impacts

- Climate change adaptation projects or resilience projects (e.g. 2677-00/2011; 2663-00/2010): such projects usually have only socio-economic objectives although they are classified as environmental in ADC.
- Sustainable water supply, sanitation or energy supply (ex. 2629-00/2009; 2606-00/2013; 2319 03/2010, 2319-03/2014): the main social impact of those projects may result from their non-environmental components but human health usually benefits from better environmental conditions (e.g. reducing Acute Watery Diarrhoea was the main impact resulting from 2319 03/2010; alternative to or more efficient use of fuel wood can also much contribute to reduced pulmonary diseases).
- Natural resource management in the agricultural sector (soil and water conservation, organic farming, bee-keeping; e.g. 1469-00/2008; 2536-00/2007; 2719-00/2013; 2509-02/2013): environmental protection is usually a means of supporting socio-economic objectives.
- Biodiversity or forest conservation projects, as far as they promote sustainable use instead of use restriction; the support to Simien National Park in Ethiopia (2509-00/2008, 2509-01/2011; 2509-02/2013) had an impact on tourism, providing local benefits.
- Development projects pursuing in parallel environmental and social objectives (e.g. 8220-01/2010): the social and environmental objectives can result from different and competing components or benefit from mutual synergies.

Environmental projects with adverse social impacts are nevertheless possible (nature protection projects reducing access to natural resources without proper compensation, pollution transfers to areas inhabited by poor people, inequitable share of costs and benefits). In Simien National Park in Ethiopia (2509-00/2008, 2509-01/2011; 2509-02/2013) reduction of grazing by livestock has affected local communities for the benefit of wildlife and of wealthy foreign tourists, but the issue is correctly addressed. In Macedonia, the project “Promoting Energy-Efficient Housing” 2550-04/2007 benefits owners with financial means and investors (FAKT, 2015).

Q25.3. What are the identified impacts (of interventions with an environmental marker 1 or 2) on social (including gender) inequalities and conflicts?

#### Q25.3.1. Poverty and social inequalities

Socio-economic benefits resulting from environmental projects are frequent. They include:

- access to water and energy, sometimes with indirect and positive impact on the workload of women and girls;
- savings due to energy or resource efficiency;
- food security and higher income, resulting from natural resource management, climate change adaptation or resilience building;
- indirect impacts such as “reducing alcoholism, domestic violence and small-scale criminality” as identified by the evaluation of the IUCN resilience project in Uganda (2677-00/2011).

However there is little evidence that those benefits systematically reach the most vulnerable, disadvantaged or poor social groups and therefore reduce social inequalities. The project “Promoting Energy-Efficient Housing” (2550-04/2007) seems to have benefitted the wealthier social groups “as only owners with the financial means and investors are able to put the available knowledge into practice” (FAKT, 2015).

Many projects scoring 1 or 2 for climate change mitigation provide access to renewable energy with clear competition between their expected socio-economic and environmental impact: they benefit local target groups as far as they add access to energy and benefit the global environment (climate) insofar as they replace other energy sources.

#### Q25.3.2. Conflicts

Securing land tenure for sustainable resource management mitigates conflicts between farmers as reported from the land registration scheme in North Gondar (2509-00/2008; 2509-01/2011). At policy level, the environment can be an entry point for building dialogue between partners divided by other issues. Such an outcome was observed in the support to the Themis network in the Balkans (8284-00/2011). Multi-stakeholder environmental projects can build conditions conducive to constructive co-operation.

Adverse impacts on conflicts can nevertheless arise from environmental projects. Excluding local communities from protected areas or forests has always the potential for creating conflicts where compensations is inadequate. In Austrian cooperation this kind of conflict was observed in North Gondar (Ethiopia) where land was closed for grazing. However the situation has been improved (2509-01/2011) and interventions supported by Austria usually recognize the need to work for people and with people and not against them (as was the case). This approach is notably reflected in Georgia in operations consisting of excluding grazing from reforestation areas. Environmental impacts resulting from projects (environmental or not) can also feed conflicts. For example a hydropower plant in Albania (classified as environmental because of its expected impact on greenhouse gas emissions) reduced the summer water flow and created conflicts with farmers (FAKT, 2015).

It may happen that Austrian projects interfere with existing conflicts without solving them. Nomadic pastoralists are usually not easily involved in participatory approaches and may

therefore be the losers. There is a potential for such a situation in Eastern Georgia where shepherds enter into conflicts with farmers and are perceived as a source of constraints (due to fire, grazing, wood collecting) on the environmental objectives of the projects on windbreaks (8181-01/2011). In Uganda, the joint evaluation of the “Support to Civil Society Engagement in Policy Dialogue” points out that a number of environmental CSOs make use of activism and mass protests caused direct conflict with the authorities, putting their personal safety at considerable risk; and it may happen that Austria supports some protagonists. It remains unclear however to what extent Austria supports those organisations or affects those conflicts.

Q26.1. In which stages of the project cycle are environmental aspects considered (or in which stages are environmental mainstreaming operations implemented)?

The table below (Table 26) revises the extent to which environmental aspects are usually included in the full intervention cycle (including analysis and planning as well as in monitoring and evaluation). It also considers the potential impact of environmental integration on the qualities of interventions and on development.

The analysis focuses on ADA, which is the main ODA actor directly managing interventions. However some comments are also made on other actors and our experience shows that most comments made on ADA are valid in many other agencies.

Table 26. Analysis environmental integration in the different phases of the project or intervention cycle.

	Integration of environmental aspects or considerations	Impact on the intervention and on development
Programming stage	“Country Environmental Profiles” (CEPs) were referred to in the beginning of the evaluation period (for ex. ADA aid effectiveness action plan) but were lost sight of afterwards. They are nevertheless used by the EU and therefore benefit to the Austrian contribution to the EU budget and EDF. The World Bank, another major beneficiary of Austrian ODA, has a similar tool, the Country Environmental Analysis.	The lack of CEP or equivalent can reduce the environmental relevance of strategic options.
	Strategic Environmental Assessments (of the programmes supported by development cooperation) are promoted by ADA advisors and by multilateral organisations receiving Austrian money, although they are not often used.	The environmental relevance of the supported programmes can be reduced.
	Environmental concerns are seriously included in the Three-year-Programmes, Country Strategies, Strategy for International Climate Finance, BMF’s Strategic Guidelines for International Finance Institutions (see Q1 and Q2)	Compared to a situation without environmental integration at programming stage, the share of environmental interventions is increased (but remains small). The support for “greener development” is also greater. Interventions are more relevant to environmental issues, and tend to improve the environmental situation

	Integration of environmental aspects or considerations	Impact on the intervention and on development
		(environmental interventions) or decouple growth from environmental pressures.
Identification stage (including analysis)	A minor share of the identified projects targets environmental objectives.	The overall positive environmental impact is reduced
	Integrating environmental aspects in the problem analysis or in the assessment of the partner's strategies to be supported by Austria does not take place systematically. It seems to mainly depend on the environmental skills and awareness of the persons in charge of those identification analyses.	This can reduce the environmental relevance of intervention objectives (including in non-environmental sectors) and therefore also the environmental impact, where the selection of objectives and expected results does not take into account its environmental consequences. Effectiveness and sustainability can suffer from insufficient awareness of environmental constraints or risks, and the environmental impact can suffer as well.
Formulation and approval stage (including planning)	Climate and environmental risks to effectiveness and impact are sometimes taken into account in project design (8 out of 60 logical frameworks have assumptions on climate or the environment). The risk of underestimating environmental or climate threats on sustainability is potentially higher (Q26.3). The current ADA environmental appraisal procedures considers sensitivity to climate change but this is new.	The sustainability of interventions (environmental or not) can suffer from future climate and environmental changes.
	Environmental impacts are assessed (notably by the ADA environmental appraisal procedures or procedures of partners). See Q20 for ADA, Q12.1.2 for soft loans and export credits within BMF and Q12.1.3 for multilateral cooperation.	The most adverse environmental impacts are prevented.
	There is no systematic assessment of opportunities for improving impact on the conditions and capacities for sustainable environmental management and on vulnerability to climate or environmental changes.	The overall impact on the relationship between the target society and the environment is not optimized. Sustainability of environmental projects can suffer from the lack of capacity development.
	Insufficient attention is paid to the environmental implications of selecting SMART <sup>37</sup> indicators of outputs.	There is a potential risk that unsound indicators (for example indicators reflecting the use of polluting means) or a focus on means increase environmental pressures; however the evaluation did not find an example of this kind of situation.
	Several ADA project documents include a paragraph on cross-cutting issues including the environment, and sometimes the "crosscutting" dimension of the environment is considered with the	This paragraph sometimes serves as justification for the project but it can also support reflection leading to adequate action. Inadequate consideration of environmental sustainability

<sup>37</sup> The term "SMART" stands for "Specific", "Measurable", "Accurate", "Realistic" and "Timely". Those are the standard qualities expected from indicators in the logical framework approach.

	Integration of environmental aspects or considerations	Impact on the intervention and on development
	sustainability aspects. Environment and Gender are the cross-cutting issues most frequently referred to.	generates risks notably from climate change (see above).
Implementation stage (including monitoring)	Where environmental issues are part of the purpose or the main expected results they fully guide implementation and monitoring. Where they represent a minor objective or expected result or consist of side-effects, they can be neglected. This risk is highly dependent on the environmental awareness of implementing partners.	Environmental projects tend to produce a positive environmental impact; however the other projects may contribute to increasing environmental pressures resulting from socio-economic development, including whether they were subject to environmental appraisal.
	Environmental due diligence in the project logistics (travels, vehicle, water and energy use, waste management) is not systematic.	Development co-operation risks contributing to dissemination of an unsustainable consumption model (sometimes confused with development).
Evaluation	Little consideration is usually paid to the environmental aspects in evaluation of non-environmental projects.	Few lessons can be learned to improve the whole process.
	Evaluations of environmental projects do not often assess the final impact	
	<i>Ex post</i> environmental impact assessment is not carried out (except the recent study on the impact of ADC in South East-Europe, FAKT, 2015).	

The table shows that environmental mainstreaming mainly concerns the late preparation stage (formulation or selection) although opportunities exist at other stages.

Q26.2. During project design is sufficient attention paid to environmental and climate risks that may affect the sustainable achievement of project objectives?

#### Q26.2.1. Sustainability of environmental achievements

The sustainable achievement of environmental objectives (which by definition are the objectives pursued by environmental projects) is discussed in Q27. It depends on the attention paid to standard sustainability factors, such as (among others) the institutional setting and capacities, ownership, appropriate technology, policy and social support and financial viability. There is no evidence that less or more attention is paid to those factors in the environmental area than in others. This means that there is an equivalent of weak sustainability.

#### Q26.2.2. Sustainability of development results in general

Sustainable achievement of any project objective (social, economic or environmental) can depend on environmental or climate change. Standard Project Cycle Management approaches recommend addressing this issue of “environmental sustainability” during the revision of sustainability factors. Several projects or project document formats refer to this concept of “environmental sustainability” but the section on this issue is usually used to comment on environmental impacts and the environmental cross-cutting issue (without focusing on “sustainability” as such). This concept of “environmental sustainability” as such is also

dismissed by the environmental mainstreaming tools (screening and appraisals), which only considered the environmental impacts (at least during the evaluation period). The conclusion is therefore that insufficient attention is paid to environmental and climate risks affecting the sustainability of objectives. Climate or environmental risks are nevertheless identified in a significant proportion of projects (8 out of 60 logical frameworks analysed reflect this kind of risk in their assumptions), as are risks to effectiveness (rather than sustainability).

Q26.3. In cases where environmental aspects are not considered at a particular stage, does it affect project sustainability

#### Q26.3.1. Sustainability of environmental achievements

Sustainability of environmental results depends on the level of attention paid (during project design and in subsequent steps) to environmental management capacities, ownership and other standard sustainability factors (see Q26.2). The Yayu coffee project (2719-00/2013) provides an example in which the institutional risk to sustainability (and also on effectiveness) was underestimated at the design phase. There is no particular reason why the sustainability of environmental projects should be considered at a stage any different from that applying to other projects.

#### Q26.3.2. Sustainability of development results in general

As explained in 26.2.2, the environment is part of the sustainability factors that should be assessed at the design (identification and formulation) stages and, if required, managed in subsequent phases. Therefore we consider that, at least in theory, a lack of adequate attention to environmental aspects in the design and implementation phase may affect sustainability. In practice the evaluation could not find concrete examples of projects suffering from a lack of attention to environmental sustainability at a particular stage of the intervention cycle, but even so the analysis of environmental sustainability is often weak (this concept being confused with environmental mainstreaming).

Q26.4. To what extent does environmental mainstreaming contribute positively to the overall quality of non-environmental interventions (according to OECD DAC criteria)<sup>38</sup>.

Based on the table above (Q26.1) we can summarize as follows the contribution of environmental mainstreaming to the qualities of interventions in accordance with the OECD-DAC evaluation criteria.

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<sup>38</sup> (sub-question not included in the main question)

Table 27. Analysis of the potential contribution of environmental mainstreaming to the expected qualities of the development cooperation interventions.

Criterion	Potential contributions of environmental mainstreaming	Summary of the situation in Austrian cooperation
Relevance	Relevance depends on due consideration of environmental issues in problem analysis at both country and intervention levels.	Some attention is paid to environmental issues affecting relevance but in-depth problem analyses showing interlinkages between environmental and other issues are usually lacking.
Effectiveness	Effectiveness depends on due considerations of environmental risks affecting the achievement of results and outcomes at the due time.	Climate or other environmental risks to successful implementation of activities are sometimes – but not systematically - identified.
Efficiency	Cost-effectiveness depends on the same factors as effectiveness. Environmental efficiency also depends on adequate indicators, waste management and efficiency in the use of physical means (including water and energy)	Climate or other environmental risks are also a potential constraint on efficiency (e.g. heavy rains in Ethiopia affecting humanitarian actions, including food supply to people suffering from drought – 2679-01/2011)  There is a focus on environmental efficiency in the energy sector, as part of the objectives, but little consideration of environmental efficiency in project management itself.
Sustainability	Sustainability depends on a broad range of factors including the environment and climate change, to be considered at formulation stage and addressed during implementation.	See above (Q26.4)
Impact	The contribution to the overall objective depends on the other criteria and therefore on the same factors. Moreover side-effects (external to the overall objectives) are important from an environmental perspective. Environmentally-related side-effects include not only environmental (bio-physical) impacts but also effects on environmental awareness, on environmental management capacities and on vulnerability to climate change or other environmental changes. It should also be recalled that environmental projects can contribute to social and economic development.	The focus on environmentally-related side-effects is on bio-physical impacts. Evidence of social and economic development exists (see Q25.2).

**Q27.1. To what extent is environmental mainstreaming sustainable?**

In Austrian development cooperation or external assistance, environmental mainstreaming consists of (1) promoting environmental interventions, (2) incorporating environmental safeguards in interventions (environmental or not) and (3) developing capacities to continue mainstreaming activities cost-effectively. Therefore we can distinguish three components in the sustainability of environmental mainstreaming:

- a) Sustainability of environmental interventions (that is the extent to which the results and outcomes of environmental interventions persist after the implementation period): see Q27.3.
- b) As regards sustainability of environmental safeguards (the extent to which their effects persist after the implementation period), environmental appraisals (and actions taken prior to them) prevent damages (including scarcely reversible losses) and have therefore sustainable effects. But impact mitigation measures for approved interventions are poorly monitored and field data on their sustainability are lacking. Where they require continued efforts following project completion the risk of poor sustainability is high.
- c) Capacities and conditions for continuing environmental mainstreaming activities have been assessed in Q09 and Q10: From this perspective environmental mainstreaming is likely to be sustainable, since environmental awareness and the recognition of the linkages between environment and other development aspects are likely to be permanent and because ADA and other actors practice environmental mainstreaming on a permanent basis, with staff and procedures embedded as part of their institutional organisation. Nevertheless there can be a risk that budget constraints and urgent development, or even security needs, will lead to reductions in the resources allocated to environmental mainstreaming while new environmental challenges, such as the increasing impact of climate change, would require the opposite trend. This should presumably be considered as a major challenge.

**Q27.2. What are the constraints and risks on the sustainability of environmental mainstreaming and how can we mitigate them?**

As explained in Q27.1 three components can be distinguished:

- sustainability of environmental interventions;
- sustainability of impact mitigation;
- capacities and conditions for continuing environmental mainstreaming (on Austrian side).

The first component is addressed in Q27.3. The tables below list constraints on or risks to the second and third components and show how they can be mitigated.

**Table 28.** Analysis of the risks on impact mitigation sustainability.

Risks or constraints on the sustainability of environmental impact mitigation/safeguards	Recommendation for mitigation
Complexity of the procedure or safeguards.	According to the Environmental and Social Sustainability Study of Protection of Basic Services (PBS II) in Ethiopia “the simpler the procedure,

Risks or constraints on the sustainability of environmental impact mitigation/safeguards	Recommendation for mitigation
	the easier it would be to understand for the (...) staff and it is more likely that the safeguards procedure will be implemented”
Low priority given to the sustainability of environmental safeguards because of major concerns for the sustainability of the main outcomes and results of the intervention.	Pay proactive attention to the sustainable achievement of the main outcomes, especially where there is a risk of producing permanent environmental damage without permanent socio-economic benefit.
Lack of local ownership (see Q13.4) or environmental awareness in the institutions in charge of the management of post-project environmental impacts.	As far as possible use a participatory approach in the design of the environmental safeguards.
Lack of financial resources to carry out the required monitoring and environmental management activities.	Incorporate this aspect in the assessment of the financial viability of the project; in income-generating projects ensure it includes provisions for managing the environmental impacts and will be sustainable.
Lack of capacity in the institutions in charge of post-project impacts.	Use the environmental appraisal to recommend adequate capacity-building activities (or decide that the project cannot be approved in cases of major constraint).
Unclear institutional framework or allocation of responsibilities.	Pay attention to this aspect when designing safeguards.
External factors including climate change.	Pay attention to this aspect when designing safeguards.

**Table 29.** Analysis of the risks and constraints on conditions and capacities to continue and develop environmental mainstreaming (on Austrian side).

Risks or constraints on conditions and capacities for environmental mainstreaming	Recommendation for mitigation
Lack of environmental awareness and long-term thinking	Training with awareness-raising component.
Lack of knowledge or skills in understanding the complex environmental issues and linkages between the environment and development	Training.
High dispersal and fragmentation reducing the capacity to deeply analyse and understand local issues)	Concentration and thematic specialisation
Pressures for short term results.	Integrating sustainability expectations in the intervention logic (results, objectives and their indicators).

Risks or constraints on conditions and capacities for environmental mainstreaming	Recommendation for mitigation
Budget cuts or increasing budget constraints	Keep the balance between environmental and non-environmental concerns even where the resources vary.

Q27.3. To what extent are environmental interventions (especially interventions with an environmental marker 2) sustainable?<sup>39</sup>

#### Q27.3.1. Theoretical approach

Sustainability is usually an issue in development projects and can be more challenging for environmental projects, for several reasons:

- Because they can be overly supply-driven, may enter in conflict with local human practices, involve stakeholders who are not the main beneficiaries or take time to demonstrate their benefits, environmental projects may suffer from a lack of ownership or support by local stakeholders (see Q13.4);
- Like social projects, environmental projects may not generate cash incomes covering the costs. For example, in the water sector and waste collection beneficiaries may have poor capacities (or willingness) to pay for the service especially if the price reflects the total costs (including costs of environmental safeguards). Renewable energy projects can also suffer from poor financial sustainability, notably because of the volatility of oil prices.
- Because the environment is a collective, multi-stakeholder and cross-sector issue it requires adequate institutional setting that may be lacking or difficult to establish; new environmental issues (including climate change adaptation) are usually managed through inadequate institutional frameworks because they have not been designed to address them.
- There may be a lack of adequate technical or scientific expertise to address environmental issues and their linkages with development, which are complex.
- Recipients can perceive environmental projects funded by developed countries as payment for environmental services (or payment according to the Polluter Pays Principle) and therefore expect a continuation of funding.

Environmental projects may nevertheless have sustainable (but weakly detectable) impacts in terms of avoiding losses (including barely reversible losses in biodiversity for example) and reducing future costs, establishing sustainable resource management systems (sustainability is often part of the objectives), and changing patterns in the dynamics of ecosystems and in socio-economic developments (promoting transition towards more sustainable development).

#### Q27.3.2. Evidence from Austrian projects

Most evaluation reports (mid-term reviews and final evaluations) point out strengths and weaknesses in the sustainability factors, usually without any clear conclusion on the prospects for sustainability. However the recent impact assessment of environmental projects in South-

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<sup>39</sup> Sub-question slightly revised.

East-Europe (FAKT, 2015) provides some direct evidence on sustainability (from projects visited following their completion). It is noteworthy that the evaluation report of the “Rural Water and Sanitation Support” (8207-00/2008) in Kosovo identified quite severe (financial, institutional and technical) constraints to sustainability while the FAKT study reveals, six years after the end of ADA funding, that “the water supply continues to function and beneficiaries are largely satisfied with the supply”. This example shows how delicate *ex ante* sustainability assessments are.

Those reports complementing our case studies show the following:

- Ownership and social support can be satisfactory (e.g. 2677-00/2011 on drought resilience in East Africa, with “good contribution of many multi-stakeholder dialogues and community vision plans which activated and motivated communities enhanced their connectivity and improved their self-confidence”) and there is no clear evidence of the opposite.
- Constraints to financial sustainability are relatively frequent, notably in the energy sector (examples: hydropower dam referred to in the recent impact assessment of environmental projects in South East Europe, FAKT, 2015), in the water sector (e.g. 2560-00/2008 in Palestine; 2299-00/2008 in Uganda) and for institutions depending on external assistance (e.g. 2491-00/2007, Energy and Environment Partnership for Central America; 2560-00/2010: Coastal Municipality Water Utility in Palestine). Regarding organic farming, sustainability was positively assessed by FAKT in the Organic Food Production financial Project in Serbia (8220-01/2010) but not in the “Fruit Cultivation” project in Kosovo (2550-09/2013). Even in cases of economic incomes, absence of an adequate benefit-sharing mechanism may undermine the sense of ownership and concern for conservation (2509-00/2008).
- Institutional sustainability may be positively assessed (e.g. 2599-00/2009 supporting the Centre for Renewable Energy and Energy Efficiency which is anchored within ECOWAS) or it may not be (e.g. 8207-00/2008 on water and sanitation in Kosovo; 2299-00/2008 on water in Uganda, 2719-00/2013 Yayu Coffee Forest Biosphere Reserve in Ethiopia); the regulatory framework of a single project (example: 2608-09/2009 training on solar energy) can include both positive and negative aspects.
- High turnover in staff positions or responsibilities and in authorities is another constraint observed notably in Ethiopia (Yayu forest, 2719-00/2013) and Georgia (forest sector at national level); it affects the relevance of the selection of stakeholders involved in participatory processes and of target groups benefitting from training or awareness-raising activities (the risk of trained people not being in a position to use their skills was also noticed in the support to Global Water Partnership: 2665-00/2011).
- Poor technical quality of designs and execution (e.g. 8207-00/2008 on water and sanitation in Kosovo according to its evaluation) can also put sustainability at risk; there can also be poor capacities to operate established systems (e.g. 2560-00/2008 on water treatment in Palestine).
- Preparing tools or delivering equipment can provide sustainable outcomes if they are needed and if the right conditions for their use are in place. In South East Europe “a teaching tool had been officially introduced in schools to create a broader understanding of the concept of sustainable development” and “a sector strategy is highly appreciated by experts, and used as a reference document by government officers and donors” but a

- “sophisticated and up-to-date leak detection equipment, which had been delivered, is not used because it was claimed that the training for using it was not sufficient” (FAKT, 2015).
- The duration of the intervention can be insufficient to establish sustainability (e.g. 2719-00/2013 Yayu Coffee Forest Biosphere Reserve; 2536-00/2007 on organic farming in Central America, where the lack of an exit strategy was also pointed out; 8284-00/2011 on the “Themis network” involving the authorities responsible for the environment and justice sectors in South-East Europe).
  - The sustainability factors are usually assessed one by one but there may be a need to assess how they interact and to compare the overall sustainability of project alternatives. According to our analysis, the sustainability of windbreaks in Kakheti (8281-01/2011) is questionable when compared to the alternative of producing wood on suitable forest soils close to the villages and controlling wind erosion in the steppes through adequate agricultural techniques. Constraints include unsolved conflicts with shepherds, the high costs of planting and maintaining windbreaks due to marginal ecological conditions for forests (swelling clays, poor and irregular rains, high fire risk, competition with grass) and the spatial pattern of windbreaks (narrow and distant strips increasing the transportation costs of any intervention including surveillance).

Given the constraints on the sustainability of environmental projects, which are described above (27.3.1), the current evaluation could not find evidence that the sustainability of Austrian environmental projects should be deemed unsatisfactory.

However, as in the example of the hydropower plant in Albania, poor financial sustainability can lead to a situation where the environmental outcomes (contribution to climate change mitigation) cease whereas environmental damage persists.

Another important aspect to keep in mind is that many environmental projects are just a contribution to long-term impacts, which will depend on the sustainability of their outputs or direct outcomes and to other factors. This means that the project can remain useless if it is not sustainable.

**Q27.4. What are the constraints and risks on the sustainability of environmental interventions and how can we mitigate them?**

The table below lists constraints or risks (taking account of Q27.3) and how they can be mitigated.

**Table 30.** Analysis of the risks and constraints on the sustainability of environmental interventions.

<b>Risks or constraints</b>	<b>Recommendation for risk mitigation</b>
Project management is under pressures to achieve outputs and short-term results and therefore pays little attention to sustainability	Careful attention to the sustainability factors during project design. Integrating sustainability expectations in the intervention logic, especially expected results (with adequate indicators). If relevant plan an exit strategy.
Project documents do not always clearly analyse sustainability. Not all proposals include a section on sustainability and when such a	Request a section on sustainability in all proposals (all instruments) focusing on

<b>Risks or constraints</b>	<b>Recommendation for risk mitigation</b>
section exists crosscutting issues often are confused with sustainability factors. Environmental sustainability can be confused with attention to environmental impacts.	sustainability as such (distinct from the section on crosscutting issues). There may be a need for training or guidance on how to integrate the analysis of all sustainability factors, especially in complex environmental projects.
Interventions may lack time to build sustainability or ensure sufficient continuity	Long term interventions or strategic commitments to continue the provided support (insofar as it builds sustainable outcomes without generating dependency and includes an exit strategy).
Continuity may be insufficient and turnover in decision-makers or local authorities may be excessive (as experienced in Georgia and Ethiopia).	Continuity can be strengthened by long-term external support with broad stakeholder participation. A broad participatory multi-stakeholder approach can be of particular relevance to sustaining change in environmental governance due to the cross-cutting (inter-sector & inter-actor) dimension of environmental issues.
Ownership may sometimes (but not often) be insufficient (see Q13.4),	Participatory (multi-stakeholder and multi-sector) approaches; combining local/short term benefits with global/long term objectives; care in not raising excessive expectations; awareness-raising
Beneficiaries of environmentally-related services (waste collection, water supply) have poor capacities (or willingness) to pay.	Pay careful attention to this issue while designing waste management or water supply projects. Avoid paying for recurrent costs with short-term budgets except in the transition period before a long-term solution is established. Envisage recurrent cost-sharing by public authorities as an alternative to more expensive rehabilitation (see Water Aid, 2011, sustainability framework).
Market and institutional framework are sometimes barely conducive to economically sustainable environment-friendly production (renewable energy, organic products).	Due attention to this aspect in the sustainability appraisal. Provide support at appropriate policy level.
Beneficiaries or partners may lack technical capacities.	Building capacities (notably through know-how transfer when Austrian expertise is used) and institutional (formal or informal) links with appropriate organisations or stakeholders (research centres, local experts or universities).
The institutional framework may be inappropriate, weak or changing.	Systematic attention during the revision of sustainability issues and in the risk analysis. When deemed useful, integration of a project component aimed at building institutions to ensure sustainability (for example local comities

Risks or constraints	Recommendation for risk mitigation
	for community based management with external support).
Some partners are driven by expectations of further funding.	Pay attention on the need to ensure that the project benefits should result from its outcome and not from inefficient use of inputs.
There are risks of increasing external pressures or external shocks (notably from climate change).	Pay attention to major trends out of the project's control (including population growth and climate change) as part of the sustainability factors.
Marginal conditions are unsuitable for sustainable environmental outcomes (for e.g. degraded land for reforestation when better land is available without excessive pressure).	Prioritise conservation of existing resources through rehabilitation and select suitable conditions.
Sustainability factors are often assessed one by one, although their interaction can be important.	Encourage analysis of interactions between sustainability factors.
The sustainability of achieved outputs and outcomes may not be sufficient to ensure sustainable achievement of the intended impacts.	In sustainability assessments, pay attention to the risk that the outcome does not sustainably contribute to the final expected impact.

# Annex 3. Georgia country report

## 1. Introduction

A mission to Georgia was conducted by Bernd Schuh (BS) and Jean-Paul Ledant (JPL) from 7 to 13th June 2015 in the framework of the overall “Evaluation of the Environmental Policy of the Austrian Development Co-operation and its implementation by the Main ODA Actors between 2007-2014”. This reports presents an overview of the context (mainly based on literature review) and the main findings of the mission.

The information on the context should not be considered as final output and should therefore be carefully used. Its main purpose was to provide insight to the consultants. The section on finding and comments summarizes the lessons learned from this mission that can feed the answers to the evaluation questions defined in the main terms of reference. It should be recalled that the consultants do not evaluate the Austrian cooperation with Ethiopia neither individual interventions.

## 2. Context

### 2.1. Overall view of the country

Georgia is a former Soviet Republic located in the Caucasus region. It is bounded to the North by Russia, to the East by Azerbaijan and Armenia, to the south by Turkey and to the West by the Black Sea. Climate and ecological conditions are diverse due to gradients in altitude and the contrast between the subtropical coast and continental dry areas in the East. After its independence and the collapse of the Soviet Union (1991) the country’s social and economic indicators experienced a severe decline and conflicts rose. Currently the country is recovering but the central government has no control on Abkhazia and South Ossetia. Adjusted net saving is negative.

Table 31. Key indicators on Georgia<sup>40</sup>:

Indicator	Description
Total area	69 500 km <sup>2</sup>
Altitudinal range	0-5033 m
Arable land area	36%
Population	4 300 000
Population growth	- 1%
GNI per capita	6890 in 2013
GNI growth rate	6.4% growth in 2010 (after 3.8% decrease in 2009)
Adjusted Net Saving	-7,1 % of GNI
Human Development Index	79 <sup>41</sup>
Environmental Performance Index	36%

<sup>40</sup> Main sources: World Bank, 2011, Little Green Data Book and. UNDP. 2014. Human development 2014 report

<sup>41</sup> Which is high compared to GNI rank (which is 116) (10)

## 2.2. State of the environment in the country<sup>42</sup>

Table 32. Overview of the state of the environment in Georgia

Pressures	State and trends	Linkages with development
<b>Water</b>		
Polluting activities (past <sup>43</sup> and new): almost half of the sewage generated in Tbilisi is being illegally released directly into the Mtkvari River (7); excessive use of nitrogen-containing fertilizers in agriculture (7)	Polluted waters	Supply of clean drinking water is (or was) an “extremely important issue” (4), with waterborne disease trends “surprisingly high” in Tbilisi (7); the sanitation situation seems to be worse than in 2002 (9); transboundary issues.
<b>Land and desertification.</b>		
Deforestation and overgrazing.	Land degradation and desertification are becoming serious issues. At present, more than one million ha of eroded lands (380,000 ha arable lands and 547,000 ha pastures and hayfields). Around 4% of the country (3,000 km <sup>2</sup> ) is vulnerable to the desertification process.	Low land productivity, “natural” disasters due to deforestation in mountain areas (floods, avalanches, landslides...)
Former industrial and military activity	Several sites with polluted soils.	Health threats (and indirect effects on ecosystems).
<b>Biodiversity, forests and other living resources.</b>		
Wood collection during the fuel crisis (after the Soviet Union collapse), overgrazing <sup>44</sup> , however depopulation has also lead to a decline on human pressure (and reforestation) in some areas	Forest cover: 41% (dense forest and woodland); large areas of degraded pasture	Higher risk of avalanches, mudslides and floods. Lower production (timber and livestock).
Fisheries	See below (seas)	
Poaching, logging of endemic tree species.	Georgia is classified as a biodiversity hotspot. The status of many species and ecosystems are in decline. Of particular concern are the big mammals. However the diversity of species and landscapes remains high	Rich but declining resources for tourism in mountains and National Parks.

<sup>42</sup> Main sources: National Report on the State of the Environment in Georgia. 2011; OSCE, UNEP, ENVSEC. 2011. Geo-Cities Tbilisi. An integrated Environmental assessment of state and Trends for Georgia's Capital City

<sup>43</sup> Agricultural pollution declined after the collapse of the Soviet Union (6)

<sup>44</sup> Despite decline in livestock overgrazing has resulted from the closure of some pasture areas in the Nord (6)

Pressures	State and trends	Linkages with development
(intensification and standardization of agricultural production)	High but presumably declining agro-biodiversity (notably in vineyards)	Loss of genetic material, risk of increasing vulnerability to climate change and variability
Urban, industrial and domestic environment.		
Past (USSR) industrial, mining and military activities	Several sites polluted by chemical and radioactive <sup>45</sup> wastes, including up to 100 thousand tons of arsenic containing wastes in Racha-Svaneti.	Health threats.
New risks from pipelines and other transportation infrastructure.	(pollution risks)	
Uncontrolled urbanization, waste production	Poor air (see below) and water quality in the cities. The current situation regarding wastes is “dramatic”. Only 70 per cent of the urban population is connected to the sewerage system existing in about 40 towns	Health threats?
Air and climate.		
Moderate CO <sub>2</sub> emissions (1,4 T/capita <sup>46</sup> )	(local climate affected by global climate)	Exposure to climate-related disasters <sup>47</sup> (floods, droughts, hail, mudslides, landslides, avalanches etc.).
Pollution from traffic <sup>48</sup> and domestic and industrial sources	Poor air quality in the cities. In Tbilisi, concentrations of CO, SO <sub>2</sub> , NO <sub>2</sub> and particulate matter exceeded the national standards during 2004-2010. Concentrations of lead have decreased since 2008.	Health issues.
Seas (marine environment).		

<sup>45</sup> The detection and neutralization of radioactive sources, control of which was lost during disintegration of the Soviet Union, is now conducted together with strict control of import-export of nuclear and radioactive materials.(6)

<sup>46</sup> 8,3 T in Austria

<sup>47</sup> Earthquake risks are high too.

<sup>48</sup> The number of transport vehicles doubled in ten years after 2001 (6)

Pressures	State and trends	Linkages with development
Discharge of waste water and oil.	Marine eutrophication, bacterial and chemical pollution; loss of fish stocks however the biological monitoring shows improvements	Constraint to tourism and fisheries. Dramatic decline of fish catch in 1990-1992 <sup>49</sup>
Solid waste dumping in rivers (plastic bags)	Pollution with plastic bags	Constraint to tourism, potential impact on biodiversity
(Unidentified cause, may be not environmental)		Dramatic decline of fish catch in 1990-1992 <sup>50</sup>
Dams in Turkey on the Chorokhi River.	On-going coastal erosion (Southern coast) (4)	Damages to infrastructure? Damages to beaches?
Chemicals and other issues concerning several environmental components		
Use of DDT and other POPs (4)	Contamination of food chains	Potential health issues and biodiversity losses

## 2.3. Overview of the environmental policies and institutions in the country<sup>51</sup>

Table 33. Overview of the environmental policy and institutional framework in Georgia

Topic	Description/assessment
Environmental integration in overall development policies	The PRSP has a section on environmental protection.. Integration of environmental activity into the process of social-economic development of the country is a target of MEPNR. There is no overall sustainable development strategy.
Environmental integration in sector policies	Strategic documents from various economic sectors are developed without taking into account environmental considerations, with the exception of a few strategic documents). The new agricultural strategy includes minor environmental components but was not subject to SEA (despite EU support).
Environmental policies and strategies	Georgia has a new forest policy (“Forest Concept”) and a new Biodiversity Strategy

<sup>49</sup> The UNEP report (8) suggests this is due to environmental causes although the collapse of the Soviet Union could have an impact on fishing activities.

<sup>50</sup> The UNEP report (8) suggests this is due to environmental causes although the collapse of the Soviet Union could have an impact on fishing activities.

<sup>51</sup> Main sources: UNECE. 2010. The Environmental Performance Review – Georgia – Second Review; EU. 2007. Georgia’s country environmental profile (attached to the 2007-2013 Country Strategy Paper). Republic of Georgia, 2011, National Report on the State of the Environment in Georgia.

Topic	Description/assessment
	<p>Few strategic documents on the environment have been approved by the Government. MEPNR has prepared action plans, but these are not approved and are intended for internal use only. MENPR has determined the following main targets:</p> <ul style="list-style-type: none"> <li>- Integration of environmental activity into the process of social-economic development of the country;</li> <li>- Strengthening the legislative basis in the environmental field;</li> <li>- Improvement of ecological expertise;</li> <li>- Expansion of international relations and participation in global environmental issues;</li> <li>- Improvement of quality of clean and surface water and of atmospheric air in the cities;</li> <li>- Solution of problems in the field of management of hazardous chemical substances;</li> <li>- Protection of the Black Sea from pollution.</li> </ul> <p>National Environmental Action Plans are used as a tool for medium-term environmental planning, in addition to sectorial environmental plans and environmental plans of administrative units.. The First National Environmental Action Plan (NEAP) was adopted in 2000 and had 5-year time span. Due to insufficient financing, most of the measures defined by the Action Program have not been implemented</p> <p>A National Program to Combat Desertification was approved in 2003 which was not fully implemented due to insufficient financing. A National Program on Protecting and Enhancing Productivity of the Soils of Georgia for 2003-2010 was also prepared in 2003.</p> <p>A National Strategy and Action Plan for the Protected Areas System is being developed as well as a Water Resources Integrated Management Strategy. Development of a Waste Management Strategy is also planned.</p>
Multilateral Conventions	<p>Georgia has ratified the relevant international and regional conventions to which it is signatory, with the exception of the Strategic Environmental Assessment Protocol of the UN-ECE Convention on Environmental Impact Assessment in a Transboundary Context. Georgia has not signed the UN-ECE Convention on the Protection and Use of Transboundary Watercourses and International Lakes .Georgia is party to 24 international environmental agreements.</p>

Topic	Description/assessment
Participation to regional processes	Georgia is a member of the Commission on the Protection of the Black Sea Against Pollution (the Black Sea Commission), which is the body implementing the Convention on the Protection of the Black Sea Against Pollution and the Black Sea Strategic Action Plan. Georgia is furthermore member of the Danube-Black (DABLAS) Sea Task Force, which provides a Platform for cooperation between IFIs, donors and beneficiaries for water protection and water-related issues of the Danube and the Black Sea. The main aim is to encourage a strategic focus to the use of financing, and to ensure coordinated action between all financial instruments operating in this region. The regional Strategic Action Plan for the Environmental Protection and Rehabilitation of the Black Sea was adopted in April 2009.
	Georgia participates in the “Environment for Europe” process, which is a multilateral framework created in 1989 to steer the process of invigorating environmental awareness in the countries of Central and Eastern Europe, emerging from the old regimes and moving closer to the EU. The core activities of this process are undertaken by a Task Force co-chaired by the Commission and an NIS environment minister
	Georgia is a co-founder (together with Armenia, Azerbaijan and the European Commission), as well as host country, of the Caucasus Regional Environmental Centre (REC). The REC Caucasus, with headquarters in Tbilisi, aims to address environment issues in the Southern Caucasus through the promotion of regional co-operation between various stakeholders at all levels, involving actors of civil society, governmental bodies, local communities and the business sector. The REC Caucasus also aims to promote public participation in environmental decision making.
	Georgia also participates in the Europe and the North Asia Forest Law Enforcement Governance (FLEG) process concerning forest governance and the protection and sustainable management of forests in the region.
	Georgia is participating in the Eastern Europe, Caucasus and Central Asia component of the EU Water Initiative, a regional component of the EU Water Initiative as announced at the 2002 World Summit on Sustainable Development. The initiative aims to promote better water governance and coordination between stakeholders.
Institutional organisation at central level and capacities	Between 2004 and 2010, there have been 8 Ministers of Environmental Protection and Natural Resources and 19 deputy ministers, thus affecting the continuity of work of the Ministry of Environmental Protection and Natural Resources (MEPNR) and sometimes hampering its successful operation. The high turn -over in environmental ministries continues
	Budget of the Ministry in 2009: 36 000 000 DEL (8). As for environmental protection, expenditures accounted on average for some 0.5 per cent of total central Government outlay in 2007 and 2008, compared with 5.2 per cent in the local government budgets.
	There is an Agency for Protected Areas

Topic	Description/assessment
	In 2005 the Government established a governmental Commission on Sustainable Development. The representation was rather broad, with the leadership ensured by the Prime Minister and representation from all the ministries. However, the Commission has never been convened and therefore is not yet operational.
Decentralisation and capacities at regional or local level	A decentralisation process is on-going. Regional development strategies are currently prepared (sometimes with SEA).
Legal framework	The Constitution of Georgia establishes basic rules on environment protection and natural resource use. It also grants the right to everyone to have access to complete, objective and timely information on his or her working and living conditions.
	As of 2009-2010, environmental regulation was undertaken through licensing and permitting, as well as through the establishment of norms, rules and technical regulations. (6) National legislation has still to define mechanisms such as strategic environmental assessment.
	In the field of air quality, Georgia adopted legislation on ambient air protection in 1999. As regards waste management, a law was adopted in 1995 on transit and import of hazardous waste. A new law covering the classification, collection, transport, recycling and re-use as well as disposal of municipal and hazardous waste, is under consideration in 2007. In the field of water quality, key piece of legislation is the law on water in force since 1997 and last amended in 2000. Regarding nature protection, legislation is quite extensive (such as the law on soil protection (1994), the law on protected area system (1996), the law on wildlife (1996), the forest code (1999) and the law on endangered species (2003)). Other legislation includes the law on mineral resources (1996), the law on nuclear and radiation safety (1998), the law on hazardous chemical substances (1998), the law on the sea (1998), the law on fees for natural resources (2004), and the law on licenses and permits (2005)
	Overall, environment legislation is in place in several areas, but still needs further development, in particular with regard to implementing legislation. Georgia faces difficulties with implementation and enforcement of environment legislation due to limited administrative capacities and financial resources, especially at regional and local levels.
	In 2008, the Government began drafting of an environmental code, encompassing all environmental laws and normative and sub-normative acts. The draft environmental code is intended to bring together in a general framework law all environmental conventions ratified by Georgia along with new environmental legislation, with a view to introducing an innovative approach to harmonizing, systematizing, unifying and integrating existing and future environmental obligations. The draft environmental code is being developed and drafted on a chapter-by-chapter basis in an attempt to capture the various subjects comprehensively

Topic	Description/assessment
	In April 2007, a major change of policy occurred in the forestry sector, leading to a fast-track divestiture of most forest management responsibilities from the Government to the private sector and municipalities.
Other policy instruments	The pollution tax and the tax on the use of natural resources were abolished (9).
Public services and infrastructure	<p>Protected areas: 7,46 % of land area<sup>52</sup> with recent growth and change in the PA system. Since 2002, the total number of protected areas more than doubled and their total territory increased by 75 per cent).</p> <p>Water infrastructure is outdated; the “municipal sewerage systems in about 45 cities are completely rundown”. Renovation of the sewage network, including the construction of new wastewater treatment plants, and the construction of modern landfills are underway throughout the whole country. Over a hundred landfills are used in Georgia for waste disposal, of which only five (2 municipal and 3 private) meet the required environmental standards. A modern, sanitary landfill has been in operation since 2010, and all of Tbilisi is served by waste collection services.</p> <p>An Early Warning System is under development</p>
Public participation and civil society involvement	<p>The Ministry of Environment Protection of Georgia focuses significant efforts on improving the environmental awareness of the population.</p> <p>The Ministry of Environment and Natural Resources Protection of Georgia got special reward for "Access to Public Information in Georgia 2014" - from Institute for Development of Freedom of Information (IDFI) (2). Awareness-raising and involvement of civil society on environmental matters is well established.</p> <p>In contrast, public participation on environmental decision-making is lagging behind.</p> <p>Several NGOs also carry out environmental awareness-raising actions and projects. The Caucasus Environmental NGO Network (CENN) is especially active in this field. The NGOs NACRES (Noah's Ark for the Reintroduction of Endangered Species) and WWF Caucasus Office are working in the field of Biodiversity, Elkana is working in the Agro-biodiversity and Bio-farming field. The Centre for Strategic Research and Development, Green Alternative, Caucasus Regional Environmental Centre, Greens Movement of Georgia also have an active role.</p>
Environmental monitoring and indicators	Monitoring exists for air quality, surface water quality but the network of measurement stations is insufficient. There is a biological monitoring of the Black Sea. A national biodiversity monitoring System is currently being developed.

<sup>52</sup> 3.7 % of land area according to another source (1), which is quite low;

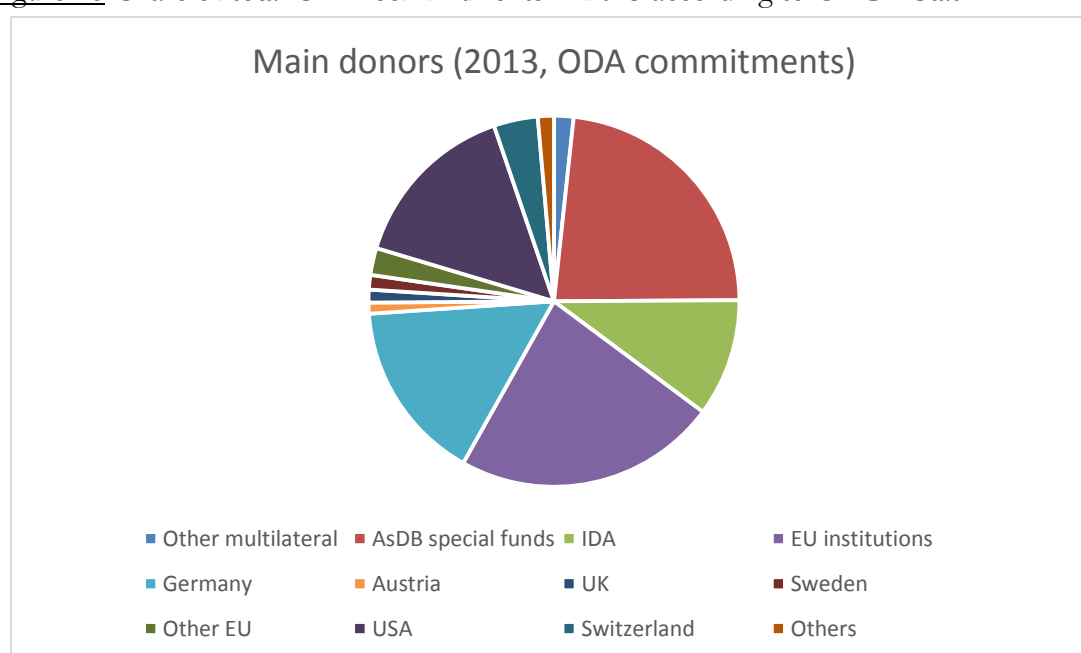
## 2.4. Overview of international cooperation with Georgia

The main donors are AsDB, EU institutions, Germany and the USA.

Table 34. Share of total ODA commitments in 2013 according to OECD Stat.

AsDB special funds	23,2%
IDA	10.3%
EU institutions	23.0%
Other multilateral	1.7%
Germany	15.8%
Austria	1.0%
UK	1.1%
Sweden	1.3%
Other EU member States	2.4%
USA	15.1%
Switzerland	3.8%
Other bilaterals	1.4%

Figure 18. Share of total ODA commitments in 2013 according to OECD Stat



Source of data: [www.stats.oecd.org](http://www.stats.oecd.org)

According to [www.openaiddata.org](http://www.openaiddata.org), the main sectors supported by ODA between 2000 and 2012 were governance (government and civil society), “transport and storage” and “conflict, peace and security” with a total of 45%. Agriculture and forestry (the Austrian priority sectors) represent 0.39 and 0.17% of the total ODA (less than environmental protection: 0.63%).

The main donors active in the environment sector in Georgia are: the Global Environmental Facility (GEF), United Nations Development Program (UNDP), United Nations Environmental Program (UNEP), European Community, the Governments of Germany

(GIZ, KfW, BMZ funds), USA (USAID), Netherlands, Norway and Japan (8). International cooperation has played a critical role in strengthening environmental protection efforts. Due to the importance of international assistance and investment in Georgia's environmental protection efforts, donor funded projects have to be coordinated in an efficient way. For that purpose, a project preparation unit was established to act as a focus for coordination with donors and international financial institutions. The unit was abolished in 2008, which has resulted in a loss of coordination and overlaps between concurrent and successive projects, as well as a loss of institutional memory which would facilitate the design of new projects (9).

## 2.5. Overview of Austrian co-operation with Georgia

Austrian co-operation works both at regional and at country level. At regional level Austria has been active during the whole evaluation period (2007-2014), on governance and conflict prevention and on energy (renewable energy/energy efficiency). At national level, co-operation started with the Three-year Programme 2013-2015 (2012) in the fields of rural development and forestry, including supports to the private sector.

The table below summarizes the links with ADC thematic priorities (TP) and thematic operational fields of the SG.

**Table 34.** Summary of Austrian cooperation with Georgia in the thematic priorities and thematic operation fields.

TP / TOF	Actions
TP-TOF Water and sanitation	No action (despite local issues)
TP. Rural development and natural resource management	Priority sectors: forestry and agriculture (3-year programme 2013-2015) and Georgia Country Strategy
TP Energy	Addressed at regional level
TP Education	No action
TP Private sector	Access to business and financial services ; Capacity development of small farmers and SMEs, building supply chains; Promotion of modern collective and private-sector approaches in agriculture (3-year programme 2013-15)
TP Governance including peace and security	Local governance/decentralisation and civilian conflict prevention (3-year programme 2013-15)
	Several actions on peace and security at regional level
TOF Sustainable natural resource management, combating desertification and preserving biodiversity	See priority sector: forestry (Improved management of natural resources). Opportunities for mainstreaming in the priority sector agriculture
TOF climate protection	See energy (includes renewable energy)

TOF Sustainable chemicals and waste managements (TOF)	No action (despite severe local issues)
Others (neither TP nor TOF)	No

### 3. Activity report of the mission

The following projects have been selected as case studies, with a field visit to 8181 and to 8277

Table 35. List of Georgian case studies

Number	Summary Title	Partner
8181-01/2011	Sustainable agriculture and forestry in Kakheti	GIZ
8290-01/2012	Regional and Local Development	UNDP-GEO
8286-01/2012	National Capacity and Structured Dialogue	CENN
8292-01/2013	Forest Sector Reform Programme	GIZ
8277-01/2011	Animal Health Management	CARD-Heifer
8311-01/2013	Strategy for Agricultural Development	FAO
8274-02/2013	ENPI FLEG	WB
BMLFUW	Adaptative forest management in Borjomi-Bakuriani Forest District	

The table below provides a summary of the mission's activities and persons met

Table 36. Activities and meetings during the mission in Georgia

Date	Organisation	Projects	Persons met	Team members
08-06-15	ADA	all	N. Togonidze, N. Grdzeldze, Z. Gunther	BS-JPL
	GIZ	8181, 8292	H.J. Lipp, C. Gönner	BS-JPL
	FAO	8311	M. Meskhi, B. Dzadzania (Project Manager), J. Sanz Alvarez (ENPARD)	BS-JPL
09-06-15	GIZ (Field visit)	8181	C. Gönner (GIZ), O. Weigel (GIZ), local partners	BS-JPL
10-06-15	UNDP	8290	N. Natsvlishvili, N. Antadze, M. Shioshvili	BS-JPL

Date	Organisation	Projects	Persons met	Team members
10-06-15	ÖBF	BMLFUW	K. Garforth Metreveli(local project coordinator)	JPL
	Min. of Agriculture	8311	I. Nozadze, L. Davitashvili, Deputy Ministers	BS
	CENN	8286-01/2012	R. Getiashvili, K. Poberezhna	BS-JPL
11-06-15	Heifer (Field visit)	8277	M. Tsikishvili, G. Murvanidse (Heifer), local partners	JPL
	MENR	various	C. Amirgulashvili (Head of Forest Policy Service)	BS
12-06-15	World Bank, IUCN, WWF	8274-02/2013	D. Kapanadze (WB), I. Osepashvili (WWF), M. Kavtarishvili (IUCN)	JPL

## 4. Main findings

### 4.1. Findings at intervention level

Several implementing partners have strong or adequate environmental mainstreaming capacities and procedures (The World Bank, UNDP, GIZ or environmental NGOs). In those circumstances ADA adequately relies on the environmental mainstreaming approaches of those partners. This is fully justified and planned in ADA's environmental mainstreaming procedure, which is adequately implemented. However even with adequate tools within the implementing partner, the implementation does not always fully reflect the environmental commitments of the project document or the ADA environmental recommendations. For example in the project 8290 an SEA was suggested by ADA's expert and was not done (for understandable reasons); similarly environmental training was anticipated in the project documents and was not implemented. In the project 8291 the overall focus on biodiversity is not always clear at implementation level. There seems to be a risk (to be confirmed from other components of the current evaluation) that Austrian tools for environmental mainstreaming (environmental appraisals) tend to be ignored once they have given a "green light" to the implementation of the project. ADA has little capacities to follow-up the implementation of its recommendations even in case the implementing partner shows less evidence that it will adequately manage environmental issues. In the example of Heifer (Animal health project), the evaluation mission was not used as an opportunity to check the level of environmental mainstreaming and the implementation of environmental recommendations. Environmental mainstreaming at ADA level is also poorly supported by feedbacks from the field (Q26). It is also noticed that the standard format of the logical frameworks is not always used or adequately used, which can hamper environmental integration in this key tool (as recommended in the EC guidelines for environmental integration) (Q10).

The BMLFUW project fully considers the socio-economic issues (Q9). In addition to pursuing environmental objectives (sustainable management of forest) it also takes care of environmental side-effects (by addressing the environmental impact of forest road building) (Q9). Therefore it is a good example of a project where "vertical environmental

mainstreaming” (incorporating environmental objectives) and “horizontal mainstreaming” (incorporating environmental safeguards) are combined.

In the example of the Animal Health project (8277), no environmental concern seems to have played any role except that waste management followed the local standards (Q12). This project is our less environmental case study and was implemented by a partner (the NGO Heifer) having no particular environmental mainstreaming procedure (except a no-harm principle). The NGO was not aware of the recommendations of the ADA environmental expert (may be because Heifer is a subcontractor of CARD). Nevertheless the ADA environmental recommendations (on waste disposal) were adequately implemented (Q20).

The GIZ-ADA project on windbreaks (8181) is a candidate success story due to the strong local ownership and visible effects on the ground. Positive aspects are that the project is demand-driven and targets short term benefits in terms of agricultural productivity, which may have contributed to more support to the environment and long term objectives (forest rehabilitation in windbreaks, soil conservation) (Q23). However future ownership may be sensitive to the fulfilments of the expectations raised by the project, especially in terms of long-term benefits. The sustainability of windbreaks in Kakheti is questionable, due to unsolved conflicts with shepherds and the high costs of planting and maintaining windbreaks due to marginal ecological conditions (swelling clays, poor and irregular rains, high fire risk, competition with grass) and to the spatial pattern of windbreaks (narrow and distant strips increasing the transportation costs of any intervention). There may be a need for an economic analysis of the best landscape management option maximizing the ratio between the ecosystem services resulting from wooded elements and the related costs, taking into account the new agricultural techniques reducing soil erosion and therefore the usefulness of windbreaks to control wind erosion. The evaluation team wonders whether the economic sustainability of the production of environmental benefits (ecosystem services) could not be enhanced through another spatial distribution of wooded elements (not necessarily windbreaks) in the landscape. (See the evaluation report which is not yet available) (Q27)

Ownership of project objectives by direct partners is usually satisfactory including in environmental projects. However it is hard to determine To what extent support to the project is motivated by the willingness to achieve the objectives or by the desire to receive funding or other forms of external support (such as travels to Central Europe). Sometimes ownership is paradoxically anchored in the belief that European or Austrian ideas or approaches are the best and do not need to be criticized or locally adapted, which is line with the EU “approximation” policy. This attitude is notably reflected in a demand to have a 100% Austrian forest management. Some stakeholders recognize that European approaches are not applicable but are nevertheless interested to learn about differences (Q13).

Other cross-cutting issues (than the environment) are unequally combined. Forestry and governance issues are closely combined notably through the support to the FLEG project and the support to Forest Reform, involving civil society (Q4). The links with gender and other cross-cutting issues are looser, however it appears that the focus on gender played an awareness-raising role for some environmental stakeholders (Q4).

When reporting the Rio Markers for an Austrian contribution to a broader programme it may happen that the scores are based on the specific objectives of the Austrian contribution or to the overall objectives of the broad programme. In the example of windbreaks in Kakheti (8281), the score 2 for biodiversity has been imported from the whole GIZ program while the specific ADA component does not really contribute to the objectives of the CBD (biodiversity conservation or equitable share of benefits) and may even negatively affect the typical species of open steppes. The opposite appears in the contribution to the agricultural strategy (8311), where the score (ENV 1) refers to the specific ADA component contributing

to a non-environmental programme. There may also be a tendency to mark the expected impact instead of the purpose (e.g. 8286) (Q16).

## **4.2. Findings at country or strategic level**

The Georgian country strategy focuses on forestry and agriculture. Some linkages between both sectors are also addressed (for example in the ADA-GIZ project where windbreaks – considered as forests – support agriculture), although rangeland management and pastoralism tend to be neglected despite their interactions with both sectors and environmental issues such as biodiversity. The decision to concentrate on a few sectors is perfectly in line with the “EU Code of Conduct on Complementarity and the Division of Labour in Development Policy”.

Similarly the decision to support the Agricultural Strategy of Georgia is perfectly in line with the Paris, Accra and Busan principle of ownership (although there can be a tension between this principle of “ownership” and the policy of “approximation” to the EU). Close co-ordination with other donors, especially in the environmental field (for example the work with GIZ and the contribution to EU FLEG) reflect the Paris and Accra principle of harmonisation (Q3).

ADC in Georgia broadly supports the environmental objectives of the SG. The actions in the forest sector fully contributes to them. The support to the agricultural sector includes “the certification of and transition to ecologically sustainable biological planting methods” also reflects the SG (Q2). The first thematic operational field “Sustainable natural resource management, combating desertification and biodiversity conservation” is clearly addressed through the support to the forest sector of Georgia and to some extent some agricultural interventions. . Forest interventions also contribute to the operational field “climate protection”. Other operational fields receive attention from a “crosscutting perspective” (example: waste management in the Animal Health Project) (Q17). The SG is usually not well known; however a project implementing partner read it in order to understand what Austria wants and found it useful (Q5).

Austrian Development Cooperation is well appreciated, including in its main environmental sector (forestry or sustainable management of forests) despite the lack of environmental specialist in ADA coordination office.

No particular issue is noticed regarding the Austrian “whole of the government approach” with regard to the environment (Q16); Two main ODA actors (ADA and BMLFUW) work in the forest sector where there is adequate donor coordination and no need for a specific Austrian coordination between the scattered ADA actions and the BMLFUW project. Coordination is not primarily ensured by the ADC coordination office (which however hosts the BMLFUW project). The ADC coordination office has a competent person in charge with forestry or environment but this person does not consider himself as an expert of those areas. The ADC coordination office has little availability to do such a coordination but this is not a big issue as adequate coordination exists independently. (Q19)

ADA works closely with other donors and tends to follow an “interstitial” approach complementing actions of other agencies or filling gaps. This approach seems fruitful and contributes to the overall consistency of broad inter-donor programmes (even if the internal coherence of ADA actions is reduced and the Rio markers are not consistently scored).

Austrian cooperation (with its partners) adequately combines field work with work at policy level, and long term objectives with short term objectives (Q24).

## **Forestry sector**

In the forest sector, synergies between Austrian (ADC as such and BMLFUW) actions and others provided a momentum for reforms and a better perception of sustainability issues. This was achieved through alliances with GIZ, EU, WB, IUCN, WWF, CENN and MoENR (Q23). The national forestry agency (Ministry of the Environment) shows willingness and strong commitment to environmental practices (Q13). Forest management follows European quality standards (under the strong influence of ÖBF), however Georgian specific management plans and procedures will be needed. The process – unlike as for agriculture – for adapting strategies and forest management is slowed down considerably due to a lack of resources. Several conflicts and problems cannot be tackled properly – e.g. illegal logging, wind breaks, grazing issues. In terms of environmental appraisals in the forest sector cooperation with ADA is sought, but still under negotiation.

More important than the policy dialogue between Austrian and Georgian ministries (Q13), Austria promotes internal dialogue between Georgian stakeholders' on forest issues and this certainly contributed to build awareness and ownership on forest conservation issues. In this context stakeholders of the environment and forest sectors benefit from external support to strengthen their position vis-à-vis other stakeholders who are less aware about environmental issues and prioritise economic growth. European support in this sector also works as an incentive towards effective sustainable resource management given the policy position to approximate to EU standards and values (although this can be valid for the less environmentally relevant EU standards and does not mean that sustainable resource management is broadly perceived as a priority).

## **Agricultural sector**

The agricultural development strategy includes environmental aspects but they are minor compared to concerns for productivity and competitiveness which are predominating in the Georgian agricultural strategy. The Georgian Ministry of Agriculture is aware of the environmental agenda of several donors (not only Austria), however it was emphasised that environmental concerns are merely a criterion amongst others and not so much a horizontal issue as stipulated in the national policy context of Austria. Still the Ministry assumes that the donors are flexible with their approach. This means that environmental issues in agriculture are single initiatives – e.g. wind breaks, good agricultural practices.

The strategy is supported by the ENPARD programme (EU programme with ADA contribution) without an SEA (despite this is suggested by the EC guidelines for environmental mainstreaming). The lack of SEA can be considered as a missed opportunity better harmonise environmental and development goals.

In this context the Austrian support to environmentally friendly agricultural practice should be particularly appreciated because it can ensure that the minor environmental aspects of the agricultural strategy are not neglected. It also shows that environmental concerns guided the selection of the intervention (Q12). However it is unclear that this environmental support is strong enough to provide significant added-value compared with a situation without particular support to this specific component. However there may be a risk in the future that this component (out of 4) becomes relatively neglected or just tend to marginally mitigate the adverse impacts of agricultural growth and intensification. The risk is to see the project just “greening” ADC without greening the overall agricultural strategy.

## 5. Conclusions

Austrian development cooperation in Georgia adequately mainstreams the environment, usually in close co-operation with other partners. Preliminary elements can be identified for the lessons to be learned and potential recommendations:

- Support to national policies with appropriate ownership and participation may have a broader and longer-term impact than field projects but also needs to be based on field evidence: combining field projects and policy level supports makes sense and seems to provide synergetic effects (Q24)
- At least two interventions (8281, 8311) tend to combine short term and long term benefits. In theory this seems an adequate approach to achieve long term results. (Q24)
- As ADC is divided in many small projects in several countries and sectors it appears to be difficult for the ADA environmental advisors to have an adequate view and to monitor all the projects; some actors on the field may sometimes feel that comments received from Vienna are not relevant due to a poor knowledge of the local context; although this comment does not concern specifically the environment, it can be expected that environmental advisors would become more effective if they could concentrate on less projects, countries and themes or sectors (Q10).
- As cooperation with Georgia shows that implementing partners may have adequate capacities for environmental mainstreaming more systematic exchanges of experiences and approaches with them may contribute to strengthen Austrian capacities (Q11).
- Austrian expertise in forestry is well appreciated and benefits from high confidence. Therefore it is important for sustainability not to deceive the hopes raised by Austrian interventions.
- ADC in Georgia suggests that Austrian short term supports in the environmental field are effective as far as they complement long term processes driven by other actors. Although flexibility is important, Austria may consider funding longer interventions without losing sight of the need not to generate or reproduce dependency. In Georgia long term involvement of donors (as well as broad participatory processes) can be key for continuity due to the high turn-over at ministerial level especially in the forest sector (Q27)

# Annex 4. Ethiopia country report

## 1. Introduction

A mission to Ethiopia was conducted by Bernd Schuh (BS) and Jean-Paul Ledant (JPL) from the 28-29<sup>th</sup> of September to the 5<sup>th</sup> of October 2015 in the framework of the overall “Evaluation of the Environmental Policy of the Austrian Development Co-operation and its implementation by the Main ODA Actors between 2007-2014”. This report presents an overview of the context (mainly based on literature review) and the main findings of the mission.

The information on the context should not be considered as final output and should therefore be carefully used. Its main purpose was to provide insight to the consultants. The section on finding and comments summarizes the lessons learned from this mission that can feed the answers to the evaluation questions defined in the main terms of reference. It should be recalled that the consultants do not evaluate the Austrian cooperation with Ethiopia neither individual interventions.

## 2. Context

### 2.1. The country

Ethiopia is one of the most populous countries in Africa. Most of the population occupies the Ethiopian Highlands, which are divided by the Great Rift Valley and surrounded by lowland deserts in the North and the East. The highlands, which account for roughly half of the country's area are also the source of the Blue Nile, which originates in Lake Tana in the northwest and contributes two-thirds of the Nile River's water. Although periodically hit by severe droughts, the country presents a fast growing economy. Rural poverty is still very widespread (96 percent according to UNDP, 2014) and the overall human development index is very low.

Table 37. Key indicators on Ethiopia <sup>(53)</sup>

Total area	1 000 000 km <sup>2</sup>
Altitude	110-4620 m
Arable land area	35%
Population	83 000 000
Population growth rate	2.5 per cent (slightly declining growth rate)
GNI per capita	550 USD (2014)
GNI growth rate	9.9 %/y (2014)
Adjusted Net Saving	8,3 % of GNI <sup>54</sup>
Human Development Index	Rank: 173 (highest=186) <sup>(55)</sup>

<sup>53</sup> Most data come from The World Bank. 2011. The Little Green Data Book

<sup>54</sup> During much of the 1980ies and 1990ies the net adjusted savings have been negative. Only recently have the net adjusted savings turned positive. Studies from the World Bank also estimate the cost of environmental degradation to amount to 4% of GDP. Source: Göteborg University, School of Economics and Commercial Law. 2008. Ethiopia Environment and Climate Analysis.

<sup>55</sup> UNDP. 2014.

## 2.2. State of the environment in Ethiopia

According to the EPI (Environmental Performance Index of the Yale University), Ethiopia ranks 131th out of 178 countries (171th with regard to water and sanitation) but is improving (especially concerning water and sanitation)<sup>56</sup>.

The table below provides an overview of the Ethiopia environment organized according to the main environmental themes.

Table 38. Overview of the state of the environment in Ethiopia

Pressures	State and trends	Linkages with development
<b>Water</b>		
Dam building, water use (notably for irrigation <sup>57</sup> ), agricultural and urban pollution, climate change and variability.	The total annual surface run-off is estimated to be in the order of 122 billion m <sup>3</sup> and there is a further estimated 2.6 billion m <sup>3</sup> of usable groundwater.  However water resources is unevenly distributed and are scarce or poor quality in some areas. Lake Alemaya is shrinking.	Water is a key resource for agriculture and other sectors, including hydro-power production. Poor water and sanitation facilities. Threats to health (diarrhea and other water-borne diseases) and high burden for women or girls who collect drinking water. Important international dimension (Sudan, Egypt and Somalia highly dependent on water flows from Ethiopia).
<b>Land and desertification.</b>		
Farming (on fragile soils with inadequate techniques and fallow reduction), overgrazing	Soil erosion <sup>58</sup> and fertility depletion in highlands, desertification in more arid areas (70% of land is prone to desertification; 85 per cent of the land is classified as moderately to very severely degraded (FAO AGL 2003)	Agricultural productivity and food security at risk. Rapid siltation in reservoirs. Social conflicts.
<b>Biodiversity and biological resources.</b>		
Habitat destruction	High biodiversity due to climate diversity and mountain isolation (6,603 species of plants, 839 birds,	Ecosystem services (including for tourism) and opportunity cost of conservation (not

<sup>56</sup> [www.epi.yale.edu/epi](http://www.epi.yale.edu/epi)

<sup>57</sup> Land developed for irrigation is (was) not more than 5 percent of potential: State of the Environment Report of Ethiopia. 2003

<sup>58</sup> "A number of studies indicate that up to 400 tons of fertile soil per hectare is lost annually" (State of the Environment Report of Ethiopia. 2003)

Pressures	State and trends	Linkages with development
	205 mammals); 12% of plant species are endemic; one of the twelve primary centers of origin and diversity of crops <sup>59</sup> in the world.	assessed); potential economic value of conserving crop biodiversity.
Fuelwood collection, forest clearing, overgrazing. Tree planting	According to the most recent study, Ethiopian forest cover has declined to 3.56% of the total. The annual loss of the highland montane forest areas of Ethiopia has been estimated at between 150,000 and 200,000 ha but “during the PASDP implementation (2004/05-2009/10) alone, the forest cover of the country increased from 4.1 million ha (3.56%) to 8.8 million ha (6.0865) of the total area (MoFED, GTP, 2010)”	High burden for women or girls who collect fuelwood. Low production, soil degradation
Overfishing	Reduction of fish stocks in lakes	Risk of decline in fisheries
Urban, industrial and domestic environment.		
High urban population density and growth, increasing traffic.	Extension of slums where water pollution, waste and sanitation hazards are rampant. In the major urban centers throughout the country, less than half of the solid waste generated is collected <sup>(60)</sup> . 99.4% of urban population lives in slums <sup>(61)</sup> . Air is polluted in Addis.	Low access to improved water source in rural areas (26%) and to improved sanitation (12%, 8% in rural areas) <sup>(62)</sup> . Health impact.
Use of woody biomass as energy source.	Domestic air pollution <sup>63</sup> .	Respiratory diseases especially among women <sup>(64)</sup> and children (Acute

<sup>59</sup> Coffee, Teff, Noug (Guizotia abyssinica), Enset (Ensete ventricosum)

<sup>60</sup> [www.cbd.int/countries/?country=et](http://www.cbd.int/countries/?country=et)

<sup>61</sup> UNEP. 2008. Africa. Atlas of our changing environment

<sup>62</sup> The World Bank. 2011. The Little Green Data Book

<sup>63</sup> Göteborg University, School of Economics and Commercial Law. 2008. Ethiopia Environment and Climate Analysis.

<sup>64</sup> Göteborg University, School of Economics and Commercial Law. 2008. Ethiopia Environment and Climate Analysis.

Pressures	State and trends	Linkages with development
		respiratory infection prevalence: 12,6% of children under 5) <sup>(65)</sup>
Climate.		
Very low CO2 emissions (0.10 T/capita), but doubling between 1990 and 2004 <sup>(66)</sup>	(weak but growing impact on global climate change)	
Global climate change due to GHG emissions and high natural variability.	Periodic droughts and floods.	Flood damages, food insecurity, diseases (malaria)
Seas (marine environment).		
NA	NA	NA
Issues concerning several environmental components		
Over the last four decades, serious concerns have been expressed pertaining to the accumulation of poorly stored, banned and obsolete pesticides.	Overall pollution. A study carried out in 1998 revealed that there is an accumulation of 1500 tons of expired chemicals as well as 1000 tons of contaminated equipment and soil in different parts of the country	Human health effects (and potential indirect effects due to biodiversity loss).

## 2.3. Overview of the environmental policies and institutions in the country

Table 39. Overview of the environmental policy and institutional framework in Ethiopia

Topic	Description/assessment
Environmental mainstreaming in development policies	<p>PASDEP (Plan for Accelerated and Sustainable Development to End Poverty 2005/6 - 2009/10) integrated the environment, with indicators and targets.</p> <p>The Growth and Transformation Plan (GTP) for the period 2010/11-2014/15 explicitly recognized that the environment is a vital and important pillar of sustainable development, and stated that “building a ‘Green Economy’ and on-going implementation of environmental laws are among the key strategic directions to be pursued during the plan period”.</p> <p>Ethiopia has developed a long-term integrated development strategy, called the Climate Resilient Green Economy (CRGE) Strategy (2011-2030). The CRGE vision is to see Ethiopia being carbon neutral and one of the middle income countries with GDP/capita/year of US\$1170 by 2025. To achieve this target,</p>

<sup>65</sup> The World Bank. 2011. The Little Green Data Book

<sup>66</sup> UNEP. 2008. Africa. Atlas of our changing environment

	strategies have been prepared through a participatory process for 8 key sectors. These are electric power, transport, industry, livestock, forestry, soil and buildings or green cities. The strategy is aimed at supporting sectors to achieve the GTP goals through following a green-growth path. <sup>(67)</sup> The CRGE strategy has identified and prioritised more than 60 initiatives in seven sectors to achieve its goals.
Environmental policies	Right after the 1992 Rio Conference, Ethiopia finalized a National Conservation Strategy (NCS) followed by an environment policy in 1997 that encapsulated sustainable development principles.
	Other relevant environmental policies: The National Policy on Disaster Prevention and Management (1997); The National Policy on Biodiversity Conservation and Research (1998); The Ethiopian Water Resources Management Policy (1999); National Biodiversity Strategy and Action Plan (2005) and Forest Development, Conservation and Utilization Policy (2007)
	The National Biodiversity Strategy and Action Plan (NBSAP) has four Strategic Objectives: (1) Representative examples of Ethiopia's remaining ecosystems are conserved through a network of effectively managed protected areas (PA); (2) By 2020, all remaining natural ecosystems outside of the protected areas are under sustainable use management; (3) The costs and benefits on biodiversity conservation are equitably shared through a range of public, private, community/CBO and NGO partnerships for PA management and for sustainable use and marketing of biodiversity; and (4) The rich agro-biodiversity of Ethiopia is effectively conserved through a mix of <i>in situ</i> and <i>ex situ</i> programs.
	The Ethiopia Strategic Investment Framework for sustainable land management presents a strategy for scaling-up such activities based on best practice. The programme will cover 177 watersheds in eight regions over five years, based on the model of participatory watershed management.
	The Ethiopian government is pursuing a policy of privatisation of its natural resources (forested areas, rangelands, minerals, spring waters, fossil fuel, game parks, etc.). According to the Göteborg University study there is (or was) a lack of consideration of the environmental impacts of these initiatives.
Multilateral Conventions	Ethiopia is party to the major MEA's: UNFCCC, CBD, CCD, Stockholm convention on POPs and Cartagena protocol.
Participation to regional processes	Ethiopia is member of the NBI (Nile Basin Initiative) and participates together with the governments of Egypt and Sudan in the Eastern Nile Subsidiary Action Programme (ENSAP)
	The ministry in charge with the environment was recently the MEP. A new "Ministry of Environment and Forest" was

<sup>67</sup> The Federal Democratic Republic of Ethiopia Environmental Protection Agency. 2011. GEF Portfolio Identification Document.

Institutional organization and capacities	established in 2013. It replaces the Environmental Protection Authority (EPA).
	The Ministry of Finance and Economic Development (MoFED) ensures coordination of line ministries in the preparation of medium and annual plans. This ensures that the three pillars of sustainable development (social, economic and environment) are accorded balanced importance with resource allocation.
	EWCA (Ethiopian Wildlife Development and Conservation Authority) is the authority in charge with national parks, but not with Biosphere reserves (which have no clear managed structure). EWCA was established in 2008.
	A National Sustainable Land Management Platform has been established and was to be replicated at regional level.
	The Ethiopian government has decentralized many environmental permitting decisions to regional governments that lack the resources and expertise to evaluate environmental dangers.
Legal framework	The right to live in a clean and healthy environment has been promulgated in the Constitution of the Federal Democratic Republic of Ethiopia.
	Environmental Laws include the Development, Conservation and Utilization of Wildlife: Proclamation No 541/2007 ; Forest Development, Conservation and Utilization Proclamation No 542/2007 ; Environmental Impact Assessment Proclamation 299/2002 ; Pollution Control Proclamation 300/2002 ; Prevention of Industrial Pollution: Council of Ministers Regulation No 159/2008 ; Water Resources Management Regulations No. 115/2005, Solid Waste Management Proc. No. 513/2007.
	In Ethiopian environmental laws, the Amharic for “sustainable development” is actually “unstoppable growth” (...) “Many of the current environmental laws ought to be reformed, not because they are objectively bad laws, but because they pacify the citizenry with language invoking the power of science and the international community and offer vast promises that cannot be fulfilled”. (Krueger et al., 2013)
Public services and infrastructure	The protected areas of Ethiopia constitute 14% of the total land area, but the montane forest ecosystems are not represented
	Urban areas are faced with shortage or non-existence of sewerage systems (7)
Public participation and civil society involvement	There is little evidence of a pro-environmental preservationist movement. Only in the recent past several civil society organisations have started to address the issues pertaining to the environment. Their level of participation in international environmental governance is still negligible.
	There are a number of local non-governmental organizations that are engaged in sustainable development and environment management supporting the efforts of the government. These include Centre for Indigenous Trees, Propagation and Biodiversity Development in Ethiopia; Environment and Coffee Forest Forum

	(ECFF); Ethio-Wetlands and Natural Resources Association (EWNRA); Ethiopian Heritage Trust; Forum for the Environment (FfE); Institute for Sustainable Development (ISD); LEM, the Environment and Development Society of Ethiopia; MELCA Ethiopia; Population, Health, Environment (PHE) Consortium; Sustainable Land Use Forum (SLUF), and others.
	The Environmental Pollution Control (“EPC”) Proclamation authorizes citizens to appeal directly to the courts to enforce environmental standards against polluting industries without having to show a “vested interest.” (Krueger et al.,2013).
Environmental monitoring system	(no information collected)

## 2.4. International cooperation with Ethiopia

According to OECD statistics, the main bilateral donors are the UK (515 000 000 USD disbursed in 2013) and the USA (678 000 000 USD) in 2013, the EU is also an important donor but its contribution decreased (from 364 000 000 USD in 2007 to 120 000 000 in 2013). According to [www.openaiddata.org](http://www.openaiddata.org), the main sectors supported by ODA between 2000 and 2013 were basic health, population and reproductive health and emergency responses.

## 2.5. Austrian co-operation with Ethiopia

Since 1993 Ethiopia is a priority country for ADC with a coordination office established in 1996, although Austrian ODA corresponds to 0.55% of the total ODA of DAC members (1.3% in Georgia).

The country strategy 2008–2012 is characterized by a decentralized approach with the social effects of environmental degradation and poverty at the centre of concern. The programme concentrates on social infrastructure, the provision of basic services and environmentally compatible agricultural production with a focus on local food security.

Sectors (classified according to ADC thematic priorities (TP) and thematic operational fields (TOF) as defined in the SG).

Table 40. Summary of Austrian cooperation with Ethiopia in the thematic priorities and thematic operation fields.

Sector	Actions
Water and sanitation (TP and TOF)	ICARDA in cooperation with national ministries and local research centres: sustainable water management (FMF) (contribution to WSP-Water Sanitation Program - not in the 3-year programme matrices)
Rural development and natural resource management (TP), sustainable natural resource management, combating desertification and preserving biodiversity (TOF)	Reduction of rural poverty through food security and sustainable resource management (North Gondar); CIFOR in cooperation with local research centres: sustainable resource management (forest use) (FMF); ICARDA/ILRI in cooperation with national and local research centres: improving sheep breeding (FMF); Capacity building REDD+ – measures for reducing tropical deforestation
Energy (TP) and related climate protection issues (TOF)	Energy (renewable energy and rural electrification; North Gondar (complementary operational area)
Climate protection (other components) (TOF)	BMLFUW Climate protection; 2010; Increased resilience, adaptation to climate change impacts and prevention of local conflicts (regional focus Somali)
Education (TP)	FMSR (MoU in the higher education sector); Universities: APPEAR
Private sector (TP)	Access to business and financial services; business partnerships
Governance including peace and security (TP)	Governance (human rights, measures against traditional violence against women) (complementary operational area); FMDS: Small arms and light weapons; Deployment of Austrian Armed Forces to Addis Ababa
Sustainable chemicals and waste managements (TOF)	No
Others (neither TP nor TOF)	Health: improving public health services and conditions of life for the rural population (Somali region) FAO Initiative Soaring Food Price (ISFP) (food) ICRC Special Fund for the Disabled: Mine Action Programme Federal state government of Lower Austria (local development); UNCDF (decentralisation and local development) NGOs cofinancing

**Table 41.** Main co-operation areas during the evaluation period (according to Three-year Programmes)

	Main sectors
2007-2009	<ul style="list-style-type: none"> <li>– Reduction of rural poverty through food security, sustainable resource management, production and marketing.</li> <li>– Medicine cluster: Improvement of public health services and conditions of life for pastoral population.</li> <li>– Energy.</li> </ul>
2010-2012	<p>North Gondar Zone: Reduction of rural poverty through food security and sustainable resource management;</p> <p>Somali Region : Health: improving public health services and conditions of life for the rural population:</p> <p>Complementary operational area: Governance (human rights, measures against traditional violence against women); Energy (renewable energy and rural electrification; North Gondar)</p>
2013-2015	<p>Food security, land use and sustainable resource management (regional focus North Gondar Zone);</p> <p>Access to business and financial services;</p> <p>Measures to prevent traditional violence against women;</p> <p>Increased resilience, adaptation to climate change impacts and prevention of local conflicts (regional focus Somali);</p> <p>Deployment of Austrian Armed Forces to Addis Ababa</p>
New strategy (Ethiopia Country Strategy)	<p>Food Security, Land Use and Sustainable Resource Management</p> <p>Public Services at the Local Level</p>

### 3. Activity report of the mission

The following projects have been selected as case studies, with a field visit to 2509-02/2013 (BS) and 2719-00/2013 (JPL).

Table 42. List of Ethiopian case studies

Number	Summary Title	Partner
2509-02/2013; 2509-01/2011; 2509-00/2008	Resource Management in North Gondar	BoFED
2719-00/2013	Yayu Coffee Forest	ECFF
2708-00/2012	Climate Resilient Green Economy Facility (CRGEF)	MoFED
2567-00/2010 to 05/2013	Protection of Basic Services	MoFED
2663-00/2010	Climate disasters	ÖRK
2679-01/2011	Drought rehabilitation and resilience	Licht für die Welt
2550-08/2008	Supply chain for the shoe industry	Jafra Brüder Wieser/DIRE
2319-03/2014	Water and Hygiene	ÖRK
2376-00/2008 to 2012	Assistance to Eritrean Refugees	UNHCR

The table below provides a summary of the mission's activities and persons met.

Table 43. Activities and meetings during the mission in Ethiopia

Date	Organisation/activity	Project	Persons met	Team members
28-sept	arrival			JPL
	ECCF	2719	Hailu	JPL
29-sept	arrival			BS
	MoFED	2708	Ato Admasu Nebebe	JPL-BS
	(missed attempts to EWCA and MoFED-bilateral aid)			JPL-BS
30-sept	Ministry of Environment and Forest (MEF)		Ghrmawit Haile	JPL-BS
	ADA coordination office		Kebede Dereje, Astrid Wein	JPL-BS
	Red Cross	2319, 2663	Klaus Palkovits, Abraham Gossaye	JPL-BS
	UNHCR	2376	Deribe Gurbu, Papa Sylla	JPL-BS
01-oct	BoFED (Bahir Dar)	2509	Ato Shumeye Alemu	BS
	ECCF	2509	Hailu and colleagues	JPL

Date	Organisation/activity	Project	Persons met	Team members
	Field visits	2509, 2663		BS
02-oct	Resource Management in North Gondar - Program Coordinating Unit	2509	Teshome Mulu	BS
	Bureau of Agriculture (Bahir-Dal)	2509	Shumeye Alemu	BS
	ECCF	2719	Hailu, Gedefa Daba, Motuma, Takele	JPL
	co-operatives, farmers	2719		JPL
03-oct	Bureau of Agriculture, Metu	2719	Tamene Balcha (deputy administrator)	JPL
	ECCF	2719	Team	JPL
	BOKU	BMLFUW projects	Birgit Habermann	BS
	EWCA Siemen National Park	2509	Maru Biyadleggn	BS
04-oct	(travels and internal debriefing))			BS
	Internal debriefing			JPL-BS
05-oct	ADA coordination office		Astrid Wein, Kebede Dereje	JPL-BS
	GPDI	2679	Sora Jatani	JPL-BS
	(Departure)			JPL-BS

## 4. Main findings relevant to the evaluation

### 4.1. Findings and comments at intervention level

The contributions to multi-donor programmes implemented by MOFED (2708-00/2012; 2567-00/2010 to 05/2013) illustrate a strong implementation of Aid Effectiveness principles, particularly ownership and alignment (Q3), although the Austrian added-value is poorly visible (at least on environmental aspects).

The CRGEF (supported by 2708-00/2012) pursues environmental goals and nevertheless developed environmental safeguards, with the support of World Bank experts (Q20). The Facility was explicitly established by the Ethiopian Government to access to climate change funding following the decisions of the Copenhagen conference. This can explain why it matches so much with the usual requirements of the international donors' community. This example can feed the debate on a question concerning many environmental policy measures in Africa or in developing countries: To what extent are they intended to solve environmental problems or to attract donors? (Q13).

The programme "Protection of Basic Services" (funded by interventions 2567-00/2010 to 05/2013) has (as expected) produced negative environmental impacts (for example soil

erosion) but an Environmental and Social Sustainability Study has been conducted and environmental safeguards have been developed here as well (Q20). This study shows interesting findings for the current evaluation: “the culture of vetting a given project for its environmental and social sustainability is taking roots, albeit slowly and at varying pace...; the simpler the procedure, the easier it would be to understand for the staff and it is more likely that the safeguards procedure will be implemented; provision of follow up training and refresher workshops on the implementation of safeguard tools are essential).

The North Gondar programme (2509-02/2013; 2509-01/2011; 2509-00/2008) is a unique example of long duration project related to natural resources management. It shows highly appreciated outcomes, despite a very complex logical framework (8 expected results are pursued in parallel) and various questions raised by its own evaluation (Q23). It provides examples of demonstrated positive environmental impacts (Q22) and on the interaction between natural resource management initiatives and conflicts (Q25). The project attempts to solve conflicts related to restriction in natural resource use in protected areas. It also supports land certification, which reduces land related conflicts. There is a risk however to create excessive pressure on the Simien National Park if the expected growth in tourism is achieved (Q22). The program is also illustrative of the tendency of project documents to predict environmental safeguards measures that are not implemented (Q20, Q21). The prodoc specifies that “an EIA will be carried out at regular intervals during planning session and implementation of program”

The Yayu project (2719-00/2013) has two purposes and no overarching objectives describing the expected impact (the overall objective is just to implement policies). Therefore the links between both project components are not explicit and they are conducted in parallel as two separate projects. One (on the management structure of the reserve) is unsuccessful (despite efforts). This could be expected at the project proposal stage (insufficient risk assessment regarding aspects that are beyond the control of the implementing partner, insufficient consideration of alternative strategies aimed at establishing the management structure of the biosphere reserve). The second one (on livelihood) is more promising and based on a relevant strategy consisting of decoupling income generation from pressures on natural resources. The project also benefits from complementarities with research programmes. But it suffers from limited budget and duration (Q23). The project is funded by BMLFUW “with strong developmental anchorage” (Q9).

The business partnership in the shoe industry (2550-08/2008) was a failure (the relationship between the companies was broken). From an environmental perspective, it is noteworthy that the project had an environmental component (on waste management) and that this component has been the less implemented (it was just planned). This suggests that an environmental component that is not necessary for achieving the main objective faces a high risk to be abandoned at an early stage. The example also reminds that a failed project is not neutral for the environment as it costs the environmental pressures associated with the use of means and implementation of activities.

Partners involved in humanitarian aid (UNHCR and NGOs) take care of the environment without any pressure from ADA (which does not apply its screening and appraisal procedure in that sector – Q20). Humanitarian aid is presumably the main or only sector where anchorage (Q9.4) or ownership (Q13) of environmental issues is stronger at partner side than in Austrian side. Ownership of project objectives by direct partners is satisfactory or even strong in all environmental-related projects (Q13).

The project in the water and sanitation sector (2319-03/2014) is in line with the SG and consider the environment adequately, with effective impacts on the living conditions and on health (reduction in Acute Watery Diarrhoea). The partner (Austrian Red Cross) acknowledges that the environmental screening is part of normal good practice. However it offers standard projects and therefore has standard responses to the environmental mainstreaming requirements. Its projects documents also includes a standard statement on the supposed positive impact of sanitation on ground water. It was apparently not requested to adapt the environmental assessment to the recipient environment or to justify that sanitation is properly done in order to avoid ground water contamination (Q20). We also find the statement that those projects “are on such a small scale that no negative environmental impact is expected”. The opinion that small scale projects are harmless has been expressed in other circumstances in the framework of humanitarian aid and seems to coexist with the idea that the same projects are nevertheless beneficial. The Red Cross project on climate disasters (2663-00-2010) is a mix of water & sanitation and natural resources management project, having demonstrated positive environmental impacts. However the project took place (at ADA’s invitation) in an area where the Austrian Red Cross is not used to work and this lead to fast preparation, to difficulties with the local partners and to a lack of follow-up by the NGO after the project completion. As the project responds to an invitation to apply for climate change adaptation, it also illustrates, to some extent, the risk that commitments to increase climate funding lead to donor-driven projects (Q13.4).

Other cross-cutting issues (than the environment) are unequally combined (Q4). Adequate attention is paid to gender mainstreaming in the Yayu project (2719-00/2013), especially since the small share of female beneficiaries (understandable from our perspective) was criticized by the project evaluation. Persons with disabilities are particularly targeted in the project on drought resilience (2679-01/2011).

Projects have faced constraints due to heavy or late rains. This illustrates the impact of climate variability and to some extent of climate change on project performances (including in non-environmental projects). This is an aspect not addressed by ADA environmental mainstreaming approaches (Q20, Q21), but sometimes considered in the risk assessment. The irony is that a drought relief project (2679-01/2011) suffered from heavy rains.

As observed in other countries, the scores for the Rio markers (Q16) are not always consistent or reflecting the reality. The Yayu Coffee Forest project (2719-00/2013) is positively scored for adaptation and was funded with a budget allocated to adaptation, but on the field adaptation is just a cross-cutting concern. Another project focuses more explicitly on climate issues (2679-01/2011) without having a positive score.

## **4.2. Findings at country or strategic level**

Contributing with other donors to national programmes or initiatives, like the CRGEF in the environmental field, is an opportunity to fully implement the Harmonisation & Alignment principles (Q3). Being a very small donor, Austria has however little impact on those major programmes and may prefer decentralized programmes or stand-alone field projects (even implemented by national partners) where there is room for innovation and qualitative Austrian added-value. Local partners may also appreciate not to depend on uncertain grants from the CFRGEF. The visited environmentally-related interventions funded by Austria show indeed positive outcomes, although it is likely that they could benefit

from more Austrian (or international) inputs in terms of technical assistance provided it contributes to capacity building and maintain the ownership principle.

The ADA coordination offices plays its management and coordination role (Q19) but has itself limited expertise in the environmental field. The support from environmental advisors in ADA headquarters is appreciated but it remains remote and divided between numerous interventions, sectors and countries. Despite the coordination role of the ADA coordination office, there has been little exchange of experience and learnings between the two projects targeting sustainable resource management (North Gondar and Yayu), notably because of the long distance and insufficient budget to travel.

No particular issue is noticed regarding the Austrian “whole of the government approach” with regard to the environment (Q16). ADC in Ethiopia supports the environmental objectives of the SG.

The SG is usually not known by local partners (Q5). This should nevertheless not be criticized as the responsibility to check that the project documents are in line with the SG belongs to ADA.

## **5. Conclusions**

- Austrian development cooperation in Ethiopia adequately mainstreams the environment or relies on environmental mainstreaming by other partners.
- As ADC is divided in many small projects in several countries and sectors it appears to be difficult for the ADA environmental advisors to have an adequate view and to monitor all the projects; it can be expected that environmental advisors would become more effective if they could concentrate on less projects, countries and themes or sectors (Q10).
- Examples from Ethiopia shows that implementing partners in humanitarian aid may have adequate capacities for environmental mainstreaming; this suggests that more systematic exchanges of experiences and approaches with them may contribute to strengthen Austrian capacities (Q11). The UNHCR had identified important needs for support on environmental issues.
- There is a need to continue the support to the economic activities around the Yayu forest and to revise the strategy supporting the management of the reserve.
- Austria should focus on quality and therefore make more use of adequate expertise, from a capacity building perspective.

# Annex 5. List of documents

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## ADC Strategic documents

Federal Act on Development Cooperation (2003)

Strategic Guideline on Environment & Development in Austrian Development Policy (2009).

Three-year Programme 2007-2009 (2007).

Three-year Programme 2008-2010 (2008).

Three-year Programme 2009-2011 (2009).

Three-year Programme 2010-2012 (2010).

Three-year Programme 2010-2012 update 2011 (2011).

Three-year Programme 2013-2015 (2012).

[Bhutan Country Strategy 2010-2013](#) (2011)

[Ethiopia Country Strategy 2014-2016](#) (2012)

[Kosovo Country Strategy 2013-2020](#) (2013).

[Moldova Country Strategy 2011-2015](#) (2010).

[Mozambique Country Strategy 2010-2013](#) (2010).

Georgia Country Strategy (2012).

Uganda Country Strategy (2015)

BMF. Strategischer Leitfaden des BMF für die Internationalen Finanzinstitutionen (2009).

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Strategie Österreichs zur internationalen Klimafinanzierung für die Jahre 2013-2020.(2013).

[Strategic Guideline on Security and Development](#). (2011).

Austrian Action Plan on Aid Effectiveness (2008).

[Energy for sustainable development](#) (Policy document, 2010).

Water and Sanitation (Policy document, 2009).

[Poverty reduction](#) (Policy document, 2009).

[Peacebuilding and conflict prevention](#) (Policy document, 2011).

[Gender equality and empowerment of women](#) (Policy document, 2010).

[Good Governance](#) (Policy document, 2011).

[International humanitarian aid](#) (Policy document, 2009).

[NGO-Cooperation](#) (Policy document, 2007).

[Human rights](#) (Policy document, 2011).

[Development Communication & Education in Austria](#) (Strategy for implementing, 2010).

[Higher Education and Scientific Cooperation](#) (Strategy for implementing, 2009).

[Budget Support](#) (Strategy for implementing, 2009).

[Climate change in ADC](#) (ADC Focus paper, 2013).

[Green Economy](#) (ADC Focus paper, 2012).

[Right to Water and Sanitation](#) (ADC Focus paper, 2013).

Water – Energy – Food security nexus (ADC Focus paper, 2015).

## **Other key documents**

Report 2013. Austrian Official Development Assistance (German version)

Report 2012: Austrian Official Development Assistance

Report 2011: Austrian Official Development Assistance

Report 2010: Austrian Official Development Assistance

Report 2009: Austrian Official Development Assistance

ADC Report 2008: Regions and priority countries

ADC Report 2008: Official Development Assistance in Figures

ADC Report 2007, Part I: Thematic focuses

ADC Report 2007, Part II: Official Development Assistance in Figures

BMEIA website <http://www.bmeia.gv.at/>

BMF website <https://www.bmf.gv.at>

BMLFUW website <http://www.bmlfuw.gv.at/>

ADA website <http://www.entwicklung.at/>

## **Strategic reviews and evaluations**

Bhutan Country Strategy 2010-2013. Mid-Term Review Bhutan 2013

Comparative Review of Austrian Development Co-operations' Budget Support Operations  
Cape Verde, Mozambique, Nicaragua, Uganda, 2010

Évaluation de Coopération Austro-Burkinabé. Programme Partiel « Formation  
Professionnelle », 2008

Evaluation der Personellen Zusammenarbeit / Beitrag der RückkehrerInnen von  
HORIZONT3000 und Jugend Eine Welt zur entwicklungspolitischen Bildungs- und  
Öffentlichkeitsarbeit

Evaluation of Development Communication and Education of the Austrian Development  
Policy and Development Cooperation (ADC) from 2006-2013 2014 English/ Ex. Summary  
also in German

Evaluation of Higher Education Programmes in Nicaragua and South-East Europe 2005-  
2009, 2010

Evaluation of HORIZONT3000 TA Personnel Programme Nicaragua, Uganda 2007

Evaluation of Private Sector Development of the Austrian Development Cooperation 2008  
– 2012 (visited countries: Kosovo, Macedonia) 2013

Evaluation of the Austrian Development (ADC) Gender Policy between 2004-2011 (visited  
countries: Albania, Ethiopia) 2012 English

Evaluation of the Austrian Development Cooperation Programme in Kenya 1996- 2006,  
2007 (English summary)

Evaluation of the Austrian Development Cooperation Programme in Kenya 1996- 2006, 2007

Evaluation of the Country Programme Serbia 2009

Evaluation of the Education and Training Sector of the Austrian Development Cooperation Bosnia Herzegovina, Ethiopia, Montenegro, Serbia, Uganda 2007

Evaluation of the Education Sector of Austria's Development Cooperation and Cooperation with South-East Europe – country report Ethiopia, 2007

Evaluation of the Humanitarian Assistance of the Austrian Development and the East Development Cooperation for the Period of 2004-2008 (visited country: Uganda) 2010 German/ Ex. English Summary

Evaluation of the Humanitarian Assistance of the Austrian Development and the East Development Cooperation for the Period of 2004-2008 (visited country: Uganda) 2010 German/ Ex. Summary also in English (full report in German not read)

Evaluation of the Implementation of the Paris Declaration in Uganda (Joint Evaluation), 2008

Evaluation of the Instruments of the Business Partnership Programme Bosnia Herzegovina, Ethiopia, Kosovo, Tanzania 2009 (in German)

Evaluation of the Paris Declaration - Headquarter Study (Joint Evaluation) 2010

Evaluation of the Paris Declaration – Uganda Study (Joint Evaluation), 2011 English

Evaluation of the Relevance of Culture and Cultural Heritage in Austrian Development Cooperation and Cooperation with Eastern Europe Bhutan, Bosnia Herzegovina, Guatemala, Nepal 2007

Évaluation Stratégique du Programme Partiel « Développement Rural » de la Coopération Autrichienne pour le Développement Burkina Faso, 2008

Evaluierung der Humanitären Hilfe der Oesterreichischen Entwicklungszusammenarbeit im Zeitraum 2004-2008 (The Contribution of Repatriates-Development Communication and Education in Austria from Horizont3000 and Jugend und Eine Welt)

Evaluierung: Strategischer Leitfaden Umwelt und Entwicklung, 2013

Kohärenzanalyse Umwelt und Entwicklung

Mid-Term Evaluation of the Austrian Partnership Programme in Higher Education and Research for Development (APPEAR) 2013

OECD DAC Peer Review in 2009

OECD DAC Peer Review in 2014

Peer Review of the Evaluation Function of UNIDO (Joint Review with Denmark, CTBTO, World Bank/GEF) 2010 English (not relevant for us)

Support to Civil Society Engagement in Policy Dialogue (Joint Evaluation) Bangladesh, Mozambique, Uganda 2012

The Contribution of Repatriates - Development Communication and Education in Austria from Horizont3000 and Jugend und Eine Welt) 2008 (in German)

## **Operational documents**

ADA organisation chart

„Platform for Environment & Development”: Terms of Reference

ADA Guidelines for project and programme evaluations

ADA Environmental impact questionnaire

ADA Notes on the environmental impact questionnaire

## **Documents on individual interventions**

List not detailed here:

Sample of logical frameworks

Sample of environmental appraisals

Sample of evaluation reports (at intervention level)

Full documentation for case studies

## **References on the visited countries**

ADA. 2012. Georgia Country Strategy

Agency of Protected Areas. Report 2007-2012.

Belliethathan, S. and Y. Weldesemaet, Civil Society Participation in International Environmental Governance: Ethiopia. Horn of Africa Regional Environment Centre/Network

Ethiopia - European Community. 2008. Country Strategy Paper and National Indicative Programme for Ethiopia 2008-2013 (annex 2, referred to as Country Environmental Profile is lacking)

Ethiopia. Rio+20 report

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The Federal Democratic Republic of Ethiopia Environmental Protection Agency. 2011. GEF Portfolio Identification Document.

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UNDP, UNEP and OSCE. 2004. Environment and Security. Transforming risks into cooperation. The case of Southern Caucasus.

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UNEP. 2008. Africa. Atlas of our changing environment.

UNEP. 2012. Geo5. Global Environment Outlook.

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## **International publications and data sources**

Busan Partnership for Effective Development Co-operation

CBD text and website

European Commission. 2011. Increasing the impact of EU Development Policy: an Agenda for Change. COM(2011) 637 final.

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OECD. 2012. Trends in aid to environment, a component of sustainable development finance (1991-2011). From Development Co-operation Report 2012 Lessons in Linking Sustainability and Development

OECD. 2014. Estimated Budgetary Support and Tax Expenditures for Fossil Fuels, 2013. OECD Publishing

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The Universal Declaration of Human Rights.

UNCCD text and website

UNFCCC text and website

## Annex 6. List of interventions

List of interventions used as examples or case studies, with their sector and environmental marker. CS = full case study, EA = environmental assessment (screening checklist or appraisal); EV = evaluation report; LF = logical framework,

Number	Title	Sector – CRS	ENV	
0612-00/2008	International Post-Graduate Training Programmes in Limnology (IPGL)	14081 - education & training in water supply & sanitation	2	LF
0612-00/2009	CAPAQUA - Aufbau von Ausbildungs- und Forschungskapazität zum nachhaltigen Management von aquatischen Ökosystemen im östlichen Afrika	14081 - education & training in water supply & sanitation	2	EA
1111-00/2009	FORED Forest Research for Development Partnership	31282 - forestry research	2	EA
1219-00/2008	ICIMOD - Intern. Center for integrated Mountain Development, Beitrag 2008-2009	43010 - multisector aid	2	EA
1219-00/2010	Programmbeitrag ICIMOD 2010 - 2012	41020 - biosphere protection	2	EV
1360-00/2008	Rehabilitation of Rangjung Hydro Power Plant	23065 - hydro-electric power plants	1	LF
1442-00/2007	Rural Water Supply and Environmental Sanitation in Lower Tana and Maseno Division - Phase 5	14030 - basic drinking water supply & basic sanitation	1	EA
1469-00/2008	Improving Livelihoods through Knowledge Partnerships and Value Chains of Bee Products and Services in the Himalayas	31166 - agricultural extension (vormals 31182)	2	EV
1471-00/2009	Hope pour la Casamance, Senegal (Projet de Développement Local des Communautés Rurales Mampatim et Médina Chérif - PRODEL III)	43040 - rural development (erweitert um 16330 resettlement.)	2	EV
1494-01/2011	Medizinische Grundversorgung für die Bevölkerung im Gemeindebezirk Prinzapolka inkl. HIV-AIDS Betreuung in Puerto Cabezas und Bluefields, Nicaragua	12220 - basic health care	0	LF
1555-01/2008	Indigenen-Organisationen und nachhaltige Entwicklung am Oberen und Mittleren Rio Negro, Amazonien, Brasilien (Konsolidierung Abschluss)	41020 - biosphere protection	2	EA
1778-00/2010	Universität URACCAN Siuna - Stärkung lokaler Kapazitäten in den Karibikregionen Nicaraguas	15112 - decentralisation & support subnational govmt 09	1	LF

Number	Title	Sector – CRS	ENV	
1913-00/2008	Unterstützung der Generaldirektion für Raumplanung DGOT	15110 - public sector policy and administrative management	2	LF
1963-00/2007	Förderung und Neuordnung des Gemeindemarktes in Esteli, Nicaragua	32130 - SME development	2	LF
1980-01/2010	Rahmenprogramm Caritas 2010 - 2013	52010 - food aid/food security programmes		EA
1980-01/2013	Rahmenprogramm Caritas 07/2013 - 06/2016	52010 - food aid/food security programmes	1	LF
1980-06/2013	Rahmenprogramm Öko Himal 2013-2015	12220 - basic health care	0	EA
1980-10/2011	Rahmenprogramm Diakonie 2011 - 2013	11110 - education policy & admin. management	0	LF
1980-11/2012	Rahmenprogramm Österreichisches Rotes Kreuz 12/2012 - 11/2015	74010 - disaster prevention and preparedness	1	EA
2003-00/2014	Contribution Pronasar 2014 - 2015, Common Fund Water and Sanitation	14010 - water resources policy/admin.mgmt	0	EA
2098-00/2012	Projet de renforcement des capacités de la FECOPAO (PRCF) - Stärkung des Dachverbands für ländliche Kooperativen im Westen Burkina Faso	43040 - rural development (erweitert um 16330 resettlement.)	1	LF
2100-00/2009	Programme d'Action pour un Développement Rural Juste et Durable (PADER III - Konsolidierung)	43040 - rural development (erweitert um 16330 resettlement.)	2	EA
2104-00/2007	Capacity Development for Department of Energy	23081 - energy education/training	1	LF
2116-00/2008	Rural Electrification VI Phobjikha Bhutan	23040 - electrical transmission/distribution	1	CS
2191-00/2007	Dezentralisierte Integrierte Ländliche Entwicklung in Cata, Eastern Cape, Abschlussphase	43040 - rural development (erweitert um 16330 resettlement.)	0	EV
2217-00/2009	Kap Verde - Sektorbudgethilfe Umwelt 2009-2011	41010 - environmental policy and admin. management	2	CS
2217-00/2010	Monitoring 2010 Sektorbudgethilfe Umwelt Kap Verde - Technische Beratung (2 Missionen)	41010 - environmental policy and admin. management	2	CS
2217-00/2011	Joint Monitoring 2011 und Wissenstransfer, Sektorbudgethilfe Umwelt	41010 - environmental policy and admin. management	2	CS
2217-01/2007	Assessment Sectoral Budget Support	41010 - environmental policy and admin. management	2	CS
2217-01/2009	Monitoring der Sektorbudgethilfe Umwelt, Kap Verde	41010 - environmental policy and admin. management	2	CS

Number	Title	Sector – CRS	ENV	
2217-02/2007	Monitoring der Sektorbudgethilfe Umwelt (PANA II) in Kap Verde	41010 - environmental policy and admin. management	2	CS
2243-00/2009	Social Development Fund: Promoting Gender Equality, Human Rights and Community Service	16010 - social/welfare services (vornals 16310)	0	EA
2296-00/2009	Capacity Development for Bhutanese Department of Energy - Support for Dagachhu Hydro Power Project	23065 - hydro-electric power plants	1	LF
2299-00/2008	Joint Water and Sanitation Sector Programme Support (JWSSPS)	14010 - water resources policy/admin.mgmt	1	EV
2299-00/2013	Water and Sanitation Sector Financing Uganda	14010 - water resources policy/admin.mgmt	1	EA
2299-01/2013	Catchment based integrated water resources management for climate change adaptation in Uganda	14010 - water resources policy/admin.mgmt	1	LF
2299-02/2013	Design and Development of Robust Systems for National Forest Monitoring and Information on Safeguards for Uganda's REDD+ Activities	31210 - forestry policy & admin. management	2	LF
2307-00/2008	Curriculum & Teaching Materials Development - Hotel & Tourism Management and Training Institute	33210 - tourism policy and admin. management	0	EV
2318-02/2013	Unterstützung der Afrikanischen Wasserfazität (AWF)	14010 - water resources policy/admin.mgmt	1	EA
2319-02/2008	Learn to Earn - HOPE'87 - Pakistan	11330 - vocational training	0	LF
2319-02/2009	Förderung und Bildung von Kindern und Jugendlichen	11120 - education facilities and training	0	LF
2319-02/2013	Thiállal Bandu - Gib AIDS keine Chance!	13040 - STD control including HIV/AIDS	0	EA
2319-03/2010	Wasser/Hygiene Projekt West Arsi	14030 - basic drinking water supply & basic sanitation	1	CS
2319-03/2014	Bishangari Wasser und Hygiene Projekt	14030 - basic drinking water supply & basic sanitation	1	CS
2319-04/2008	Nachhaltige Gemüseproduktion im Township Phake Thabeng - Missio Austria - Südafrika	31161 - food crop production	1	LF
2319-04/2014	Innovationsplattform für biologische Landwirtschaft	31120 - agricultural development	2	EA
2319-05/2007	Wassermanagement durch lokale Gemeinschaften	14010 - water resources policy/admin.mgmt	2	LF
2319-06/2008	Nahrungsmittelsicherheit in Ada Berga	31161 - food crop production	1	LF

Number	Title	Sector – CRS	ENV	
2319-06/2012	Verbesserung der Lebensbedingungen durch Community Empowerment in Pakistan	31163 – livestock	0	LF
2319-07/2011	Ernährungssicherheit in Händen der Afar-Frauen	43040 - rural development (erweitert um 16330 resettlement.)	1	LF
2319-09/2014	Kommunalentwicklung durch technische Ausbildung	11330 - vocational training	1	LF
2319-10/2011	Projekt für nachhaltige Landwirtschaft	31120 - agricultural development	1	LF
2319-11/2012	Hygiene & Wasser für West Arsi (Phase 2)	14030 - basic drinking water supply & basic sanitation	1	CS
2319-12/2008	Verbesserung des Gesundheitszustands durch Basisgesundheitsversorgung	12220 - basic health care	1	EA
2353-00/2009	Programme d'appui au fonds de développement local dans les provinces Kourittenga, Koulpelogo et Kompienga (PFDL-3K)	43040 - rural development (erweitert um 16330 resettlement.)	2	LF
2376-00/2008	Assistance and Protection for Eritrean Refugees in Ethiopia 2008	72050 - relief coordination, protection & support services	0	CS
2376-00/2009	Assistance and Protection for Eritrean Refugees in Ethiopia 2009	72050 - relief coordination, protection & support services	0	CS
2376-00/2010	Humanitarian Assistance and Protection for Eritrean Refugees in Ethiopia	72050 - relief coordination, protection & support services	0	CS
2384-00/2008	Informatisierung ländlicher Gemeinden Santiagos - Kap Verde, Phase II	15110 - public sector policy and administrative management	0	LF
2414-00/2009	Regionalprogramm Boucle de Mouhoun, Phase II	43040 - rural development (erweitert um 16330 resettlement.)	2	LF
2441-02/2007	Verbesserung der Ernährungssituation der Bevölkerung von 24 Dörfern in Burkina Faso	31191 - agricultural services	0	EV
2441-04/2007	Food Security Project in Gamo Gofa, Äthiopien	31120 - agricultural development	0	LF
2443-01/2009	Stopping Female Genital Mutilation in Afar	13020 - reproductive health care	0	LF
2463-00/2008	Renovierung der Volksschule in Aiuun, saharauische Flüchtlingslager - Algerien	11220 - primary education	0	LF
2470-00/2009	Development of Sustainable Energy for Rangelands - DESER II	23030 - power generation/renewable sources	2	LF
2491-00/2007	Beitrag zur Partnerschaft für Energie und Umwelt für Zentralamerika	23030 - power generation/renewable sources	2	EV

Number	Title	Sector – CRS	ENV	
2505-00/2007	Beitrag zum ESMAP Multi-Donor Trust Fund	23010 - energy policy and admin. management	1	EV
2509-00/2008	Sustainable Resource Management in North Gonder (Phase 1)	43040 - rural development (erweitert um 16330 resettlement.)	2	CS
2509-01/2011	Sustainable Resource Management Programme in North Gondar (Phase 2)	43040 - rural development (erweitert um 16330 resettlement.)	2	CS
2509-02/2013	Livelihood Improvement through Sustainable Resource Management in North Gondar	31120 - agricultural development	1	CS
2518-00/2007	Finanzierung der Teilnahme von afrikanischen Delegierten an der Vertragsstaatenkonferenz der Wüstenkonvention (UNCCD)	41010 - environmental policy and admin. management	2	EA
2532-00/2007	Kapazitätenaufbau und E-Learning in marginalisierten Gebieten Zentralamerikas: Campus Virtual Centroamericano	11420 - higher education	1	LF
2536-00/2007	RUTA - Förderung der biologischen Landwirtschaft in Zentralamerika	31110 - agricultural policy and admin.mgmt.	2	EV
2549-00/2008	Beitrag zur Positionierung der zivilen Bevölkerung für die SADC Poverty and Development Conference, 04/2008, Mauritius	15150 - democratic participation & civil society (rev09)	0	EA
2550-01/2010	Novi Sad ecoProfit Project	41010 - environmental policy and admin. management	1	EA
2550-01/2011	Bio-Kaffee aus Oaxaca	31162 - industrial crops/export crops	2	EA
2550-02/2012	WP-KOS-MOSER-Kapazitätenaufbau und Bewusstseinsbildung in der kosovarischen Abfallwirtschaft	14050 - waste management/disposal	1	CS
2550-03/2008	EP/Enhance pro-poor Livelihood in Ranchi	43040 - rural development (erweitert um 16330 resettlement.)	1	EA
2550-03/2012	WP-MEX-ALPLA Einführung des dualen Ausbildungssystems für die Berufsbilder Kunststoffformgeber und Werkzeugmacher	11330 - vocational training	1	EA
2550-04/2009	WP-PK-OMV Hepatitisprophylaxe und Kapazitätsaufbau in der Sindh-Provinz	12250 - infectious disease control (coverage modified 07)	0	EA
2550-04/2012	Markt- und Kapazitätenaufbau in der bosnischen Forstwirtschaft	32162 - forest industries	0	EA
2550-05/2011	Sustainable Outdoor Tourism in Albania	33210 - tourism policy and admin. management	0	EA
2550-05/2013	WP-SER-OVOS, Markt- und Kapazitätenaufbau für "Serious and Educational Games" in Serbien	22040 - information and communication technology (ICT) neu	0	EA

Number	Title	Sector – CRS	ENV	
2550-08/2008	UP/Improvement of the Supply Chain for the Shoe Industry	32163 - textiles, leather and substitutes	0	CS
2560-00/2008	Efficient Integration of Non-conventional Water Management Solutions into the Existing Management Structure in the West Bank	14010 - water resources policy/admin.mgmt	1	EV
2560-00/2010	Improving the CMWU's Capacity for Monitoring the Water Quality in Gaza	14015 - water resources protection	2	EV
2567-00/2008	PBS - Protection of Basic Services	16050 - multisector aid for basic social services (43020)	0	CS
2567-01/2009	PBS II - Protection of Basic Services Phase II	16050 - multisector aid for basic social services (43020)	0	CS
2567-02/2010	PBS II - Beitrag 2010	16050 - multisector aid for basic social services (43020)	0	CS
2567-03/2011	PBS II - Beitrag 2011	16050 - multisector aid for basic social services (43020)	0	CS
2567-04/2012	PBS (Phase II – Extension) Beitrag 2012	16050 - multisector aid for basic social services (43020)	0	CS
2567-05/2013	PBS - Promoting Basic Services - Phase III - Beitrag 2013/2014	16050 - multisector aid for basic social services (43020)	0	CS
2579-00/2009	Environment and Security Initiative - Transforming risks into cooperation	41010 - environmental policy and admin. management	2	EV
2580-00/2012	Mainstreaming von Klimawandel im karibischen Disaster Risk Management (Phase 2)	74010 - disaster prevention and preparedness	2	EA
2599-00/2009	Aufbau Regionales ECOWAS Energiezentrum für erneuerbare Energie und Energieeffizienz in Westafrika	23010 - energy policy and admin. management	2	EV
2599-00/2013	Support to the ECOWAS Centre for Renewable Energy and Energy Efficiency (ECREEE)	23010 - energy policy and admin. management	2	EA
2599-02/2013	Strengthening the capacities of the ECOWAS Centre for Renewable Energy and Energy Efficiency (ECREEE)	23010 - energy policy and admin. management	2	EA
2600-00/2011	Enhancing Regional Response Capacity for Conflict Prevention in West Africa	15220 - civilian peace-building, conflict prevention/resol	0	EA
2606-00/2013	Beitrag zur Phase II der Energie- und Umweltpartnerschaft im Südlichen und Östlichen Afrika	23010 - energy policy and admin. management	2	EV

Number	Title	Sector – CRS	ENV	
2608-00/2009	Solarthermische Ausbildung und Demonstrationsanlagen in SADC Mitgliedstaaten	23067 - solar energy	2	EV
2611-00/2009	Regionales Programm (PALCEE) zur Förderung von Energieeffizienz in Zentralamerika & Karibik - OLADE	23010 - energy policy and admin. management	2	LF
2613-00/2009	Beitrag zum Programm der nicaraguanischen Regierung zur Ernährungssicherung ("Hambre Cero")	31120 - agricultural development	0	EV
2622-00/2009	Capacity Development for Adaptation to Climate Change and GHG Mitigation in Non Annex I Countries	41081 - environmental education/training	2	EA
2624-00/2010	EcoMUNI - Einführung ökoeffizienter Produktionsweisen auf kommunaler Ebene; Nicaragua	32130 - SME development	2	EV
2629-00/2009	Sustainable Water Supply and Sanitation Service Delivery in Pader District, Northern Uganda (Call)	14030 - basic drinking water supply & basic sanitation	2	EV
2631-00/2011	Capacity Development in the area of Peace and Security for African Union Representatives, Regional Organizations and Civil Society	15220 - civilian peace-building, conflict prevention/resol	0	LF
2633-00/2010	PRORURAL - Beitrag zur Programmhilfe im Sektor Ländliche Entwicklung, Nicaragua	43040 - rural development (erweitert um 16330 resettlement.)	1	LF
2655-00/2010	Unterstützung des Salon International de l'Artisanat de Ouagadougou (SIAO)	32130 - SME development	0	EA
2658-00/2010	Stärkung ausgewählter inklusiver Wertschöpfungsketten im MKMB-Bereich in Zentralamerika	32130 - SME development	0	EV
2662-01/2014	Lernprogramm Anpassung an den Klimawandel - Phase II	43040 - rural development (erweitert um 16330 resettlement.)	2	LF
2663-00/2010	Reduction of vulnerability to climate related disasters on community level - Ethiopia	74010 - disaster prevention and preparedness	2	CS
2664-00/2011	Menschenrechtsbildung in Ostafrika auf Basis des Handbuchs Menschenrechte verstehen	15160 - human rights (former 15162)	0	EA
2665-00/2011	Water, Climate and Development Programme in Africa	14010 - water resources policy/admin.mgmt	2	LF
2665-01/2013	Water, Climate and Development Programme in Africa - Klimafinanzierung BMLFUW	14010 - water resources policy/admin.mgmt	2	EV
2668-00/2011	Capacity Development in Healthcare	12181 - medical education/training	0	EA
2673-00/2011	Beitrag zur Lucerne World Mountain Conference	41010 - environmental policy and admin. management	2	EA

Number	Title	Sector – CRS	ENV	
2675-00/2011	Projet de consolidation de la gouvernance environnementale locale au Burkina Faso (COGEL)	41010 - environmental policy and admin. management	2	LF
2676-06/2011	Strengthening Humanitarian Coordination and Advocacy in the Horn of Africa	72050 - relief coordination, protection & support services	2	LF
2677-00/2011	Building drought resilience through land and water management, East Africa	14010 - water resources policy/admin.mgmt	2	EV
2679-01/2011	Humanitarian Response to Drought Affected People in Somali Region and Borana Zone, Ethiopia	72010 - material relief assistance and services	0	CS
2679-02/2011	Integrated Recovery and Resilience Project, East Mandera, Kenya	73010 - reconstruction relief and rehabilitation	1	LF
2681-00/2012	Friedensbildung und Konfliktprävention in der Grenzregion Sénégambie méridionale in Westafrika	15220 - civilian peace-building, conflict prevention/resol	1	LF
2682-03/2012	HOPE for the People Affected by the Sahel Crisis - emergency relief for Tuareg refugees and livelihood support for local pastoralists	72010 - material relief assistance and services	2	LF
2682-05/2013	Humanitarian Assistance to vulnerable population affected by food crisis and floods in Diffa Region, Niger	72010 - material relief assistance and services	2	LF
2702-00/2012	Capacity Development of Royal Audit Authority Bhutan	15130 - legal and judicial development	0	EA
2704-00/2012	Beitrag zum Rapid Response Fund (RRF) des Conflict Early Warning & Response Mechanism (CEWARN) im östlichen Afrika (Folgevertrag zu 2632)	15220 - civilian peace-building, conflict prevention/resol	0	EA
2708-00/2012	Contribution to the "Climate Resilient Green Economy (CRGE) Facility"	43040 - rural development (erweitert um 16330 resettlement.)	2	CS
2710-00/2012	Stärkung von Resilienz und Ernährungssicherheit der ländlichen Bevölkerung in Burkina Faso	31140 - agricultural water resources	1	EA
2718-00/2013	Support to Community Resilience and Development Programme for Area C and East Jerusalem (CRDP)	43010 - multisector aid	1	EV
2719-00/2013	Strengthening Implementation of the Yaya Coffee Forest Biosphere Reserve	41020 - biosphere protection	2	CS
2753-00/2014	Communicating Energy in Southern Africa	23010 - energy policy and admin. management	0	LF
2764-00/2014	An integrated approach towards effective implementation of UNSCR 1325 and 1820	15170 - women's equality organisations & institut. (15164)	0	LF
7942-03/2009	Regional- und Tourismusentwicklung in Nord-Montenegro ("Phase III")	33210 - tourism policy and admin. management	1	EV

Number	Title	Sector – CRS	ENV	
7964-02/2009	Stari Lec Phase III: Integrative Improvement of Living Conditions for Disabled People in Vojvodina	16010 - social/welfare services (vornals 16310)	1	LF
7972-00/2008	Medienentwicklung in Südosteuropa (SEEMO) 2008	15153 - media & free flow of information (former 15163)	1	EA
7994-00/2008	HSN-Kinderschutzprojekt Bosnien & Herzegowina und Kosovo 2008	16010 - social/welfare services (vornals 16310)	0	LF
8023-04/2010	Touristische Berufsbildung in SOE (2010-2012)	33210 - tourism policy and admin. management	0	EV
8043-01/2010	Water and Sanitation Project (ApaSan) in the Republic of Moldova 2009-2012	14031 - Water supply (only) - basic (NEW 07)	1	EA
8045-00/2007	VET Center Grigoraucă	11330 - vocational training	1	LF
8071-01/2012	ENVSEC: Transforming Environmental and Security Risks into Cooperation in the South Eastern European Region (Phase II); and Climate Change and Security in Dniester River Basin	41010 - environmental policy and admin. management	2	EV
8080-00/2010	Landwirtschaftsschulen als Kompetenzzentren für die praktische landwirtschaftliche Ausbildung in Moldau - Phase III	31181 - agricultural education/training	1	EA
8103-01/2009	Green Pack Junior	41081 - environmental education/training	2	LF
8108-01/2014	Arbeit für Jugendliche mit intellektueller Behinderung	16010 - social/welfare services (vornals 16310)	0	EA
8108-02/2013	Stärkung von Frauen für nachhaltige Landwirtschaft in ländlichen Gebieten des Südkaukasus	31120 - agricultural development	1	EA
8108-04/2013	Beratungs- und Qualifizierungsprogramm für nachhaltige Regionalentwicklung in Georgien	43040 - rural development (erweitert um 16330 resettlement.)	1	LF
8108-08/2008	Schulische Inklusion von Kindern mit Behinderung	11220 - primary education	0	EA
8117-01/2009	Promotion of Foreign Direct Investments (FDI) through institutional capacity development of the Investment Promotion Agency of Kosovo	25010 - business services	0	LF
8127-02/2014	Establishing safe waste water disposal in the town of Cantemir – Moldova (Konsultantenleistungen Phase 1&2)	14022 - Sanitation (only) - large systems (NEW 07)	1	EA
8134-01/2007	Integrative Regionalentwicklung in der Großgemeinde Suhareka im Bereich Landwirtschaft	43040 - rural development (erweitert um 16330 resettlement.)	0	EA

Number	Title	Sector – CRS	ENV	
8138-00/2010	Addressing social inclusion through vocational education and training	16020 - employment policy and admin.mgmt. (vormals 16110)	0	LF
8189-00/2012	Raising awareness and increase participation of civil society in country policies on water issues	14010 - water resources policy/admin.mgmt	1	LF
8196-00/2010	Roma, Ashkali, Egyptians (RAE) Housing and Integration Project (RAE-HIP) in Gjakova/Djakovica	15160 - human rights (former 15162)	0	EA
8197-00/2007	Elaboration of the National Environmental Investment Strategy Mazedoniens	41010 - environmental policy and admin. management	2	EA
8207-00/2008	Rural Water and Sanitation Support - South Eastern Kosovo - PHASE II	14030 - basic drinking water supply & basic sanitation	1	EV
8209-00/2012	Kosovo SME Support Programme (KOSME)	32130 - SME development	1	EA
8214-00/2007	Website on Eco-Finance Institutions	41010 - environmental policy and admin. management	2	EA
8220-00/2008	Integrierte Regionalentwicklung Südserbien	43040 - rural development (erweitert um 16330 resettlement.)	0	LF
8220-01/2010	Organic Food Production Support in South Serbia (OFPS)	31110 - agricultural policy and admin.mgmt.	2	EV
8230-00/2007	Ausbildungsmaßnahmen und Mikrokreditprogramm für Minenopfer in Aserbaidschan	15250 - land mine clearance	0	EV
8254-00/2009	Schule für Sozialberufe - Inception Phase	16010 - social/welfare services (vormals 16310)	0	EA
8274-02/2013	ENPI FLEG II Forest Law Enforcement and Governance: Complementary Measures to Georgia and Armenia	31210 - forestry policy & admin. management	2	CS
8276-00/2010	Fostering sustainable development in Montenegro - Institutional capacity building and technical assistance	15110 - public sector policy and administrative management	2	LF
8277-01/2011	Animal Health Management in Cross-Border Areas of Armenia and Georgia	31195 - livestock/veterinary services	1	CS
8281-01/2011	Wiederaufforstung zugunsten einer nachhaltigen Land- und Forstwirtschaft in Kakheti, Georgien	31130 - agricultural land resources	2	CS
8284-00/2011	Regional Platform on sustainable natural resource management in South Eastern Europe	31210 - forestry policy & admin. management	2	EV
8284-01/2014	Themis Network – Stage 2: Promoting regional cooperation in SEE via networking within the authorities	41010 - environmental policy and admin. management	2	LF

Number	Title	Sector – CRS	ENV	
	responsible for the environment and justice sectors			
8285-00/2011	Inclusion & Rights of Roma Women in South Eastern Europe	15160 - human rights (former 15162)	0	EA
8286-01/2012	Sustainable Forest Governance in Georgia: Strengthening Local and National Capacity and Developing Structured Dialogue Phase I	31210 - forestry policy & admin. management	2	CS
8290-01/2012	Fostering Regional and Local Development in Georgia	15110 - public sector policy and administrative management	0	CS
8292-01/2013	ADA-BMZ/GIZ Forest Sector Reform Programme in Georgia	31210 - forestry policy & admin. management	2	CS
8294-00/2012	Supporting implementation of National Water Supply and Sewerage Services Sector Strategy in Albania	14010 - water resources policy/admin.mgmt	0	LF
8295-00/2012	Advancing Quality in ICT Vocational Education in Moldova	11330 - vocational training	0	EA
8298-00/2012	Improving water management and protection of water-related ecosystems in the Lower Dniester Ramsar Site	14015 - water resources protection	2	EA
8302-00/2013	Local-level Response for Employment Generation and Integrated Territorial Development (InTerDev)	43040 - rural development (erweitert um 16330 resettlement.)	0	LF
8305-00/2013	Boys and Men as Allies in Violence Prevention and Gender Transformation in the Western Balkans	15170 - women's equality organisations & institut. (15164)	0	EA
8306-00/2013	Support for Low Emission Development in SEE (SLED)	41010 - environmental policy and admin. management	2	LF
8307-00/2013	Supporting Moldova's National Climate Change Adaptation Planning Process	41010 - environmental policy and admin. management	2	LF
8309-00/2014	Regional Child Protection Resource Centre (RRC) for South Eastern Europe	16010 - social/welfare services (vormals 16310)	0	LF
8311-01/2013	Capacity Development of the Ministry of Agriculture of Georgia: Improved Policy Making and Effective Implementation of the Strategy for Agricultural Development (ENPARD Support) Phase I	31110 - agricultural policy and admin.mgmt.	1	CS
8330-00/2014	Building a bridge between Parliament and civil society	15150 - democratic participation & civil society (rev09)	0	EA

## Annex 7. List of persons met

The list is provided by alphabetical order of institutions and names, it excludes final beneficiaries met during field visits and persons involved in the on-line survey.

Institution	Surname	First name	Position
ADA	Bieder	Norbert	Programme manager Kosovo, Moldova
ADA	Binder	Johannes	Programme manager Serbia, Montenegro, South Caucasus
ADA	Burtscher	Robert	Advisor Water and _Sanitation
ADA	Engelits	Günter	Programme manager Eastafrica
ADA	Karner	Alexander	Advisor Sustainable Energy
ADA	Kohlweg	Karin	Head of Evaluation and participant of the Platform
ADA	Krejdil	Daniela	Programme manager Middle East, Humanitarian Aid, CGIAR, BiH
ADA	Maier	Katharina	Advisor Environment and Natural Resources
ADA	Neuwirth	Hubert	Programme manager Albania, South-East Europe
ADA	Scherb	Margit	Head of Quality Assurance and Knowledge Management
ADA	Schmid	Andrea	Head of NGO-Cooperation international
ADA	Sötz	Elisabeth	Advisor Environment and Natural Resources and participant of the Platform
ADA	Steller	Ursula	Leiterin Länder und Regionen
ADA	Thiard-Laforet	Susanne	Programm-Managerin, Privatsektorentwicklung und WiPa / Asien
ADA	Todeschini	Christina	Programme manager Africa region and Ethiopia
ADA	Tortschanoff	Monika	Programme manager Western Africa und Uganda
ADA	Zeiner	Robert	Head of programmes and projects
ADA – ADC coord. officeADA	Dereje	Kebede	Coordination office in Addis-Abbeba
ADA – ADC coord. office	Grdzeldze	Nikoloz	Programme Officer, Regional Office for the South Caucasus
ADA – ADC coord. officeADA	Wein	Astrid	Coordination office in Addis-Abbeba
ADA – ADC coord. office	Zimmer	Gunther	Head of Regional Office for the South Caucasus
ADA – ADC coord. officeADA	Togonidze	Nino	Regional Office for the South Caucasus

Institution	Surname	First name	Position
BFW	Jandl	Robert	BFW-Vienna (involved in a pProject in Georgia)
BKA	Huber	Pia Paola	Unit IV/2 : Enviornment, Sustainability and Transport ; and participant in the Platform
BMeiA	Breitwieser	Franz	Unit VII.3a – Development Policy Aspects of Environment & Sustainability
BMeiA	Köck	Donatus	Unit VII/5 Country Desk Eastern Europe
BMeiA	Launsky-Tieffenthal	Peter	Head of Section VII - Development Cooperation
BMeiA	Mair	Anton	Head of Unit VII/2 Evaluation, Development Policy and Strategy
BMeiA	Schnitzer	Manfred	Unit VII/5 Country Desk Africa
BMeiA	Scholz	Stefan	Head of Unit VII/5 Planning and Programme Matters concerning Development Cooperation and Cooperation with Eastern Europe
BMeiA	Stojan	Walter Maria	Unit III/6 Environment and Sustainability
BMF	Garcia	Seena	Unit III/3 – International Financial Institutions
BMF	Gruber	Elisabeth	Unit III/3 – International Financial Institutions
BMF	Huber	Konstantinni	Unit III/3 – International Financial Institutions
BMF	Maca	Silvia	Unit III/7 – Export Financing and International Export Promotion Policy
BMF	Platzer	Renate	Unit III/7 – Export Financing and International Export Promotion Policy
BMF	Schönleitner	Günther	Unit III/3 – International Financial Institutions
BMF	Treppel	Leander	Unit III/3 – International Financial Institutions
BMLFUW	Braun	Matthias	Unit I/4 Climate Protection and Air Pollution Control
BMLFUW	Drexler	Jürgen	Unit II/10 International Agriculture and Trade Policy
BMLFUW	Hangler	Johannes	Unit III/1 Forest Policy and Forest Information
BMLFUW	Krajnik	Paul	Unit V/5 Chemicals Policy and Biocides
BMLFUW	Latorre	Jesus Garcia	Unit I/9 International Environmental Affairs
BMLFUW	More	Elfriede A.	Unit I/9 International Environmental Affairs and participant of the Platform

Institution	Surname	First name	Position
BMLFUW	Müller-Elsigan	Claudia	Unit II/3 Agri-Environment, Mountain Farmers, Less-Favoured Areas, Organic Farming and participant of the Platform
BMLFUW	Obermayr	Gabriele	Unit I/3 Environmental Aid Policy, Sustainability, Biodiversity
BMLFUW	Schilling	Christian	Unit IV/3 National and International Water Management
BMLFUW	Überreiter	Ernst	Unit IV/3 National and International Water Management
BMLFUW	Wollansky	Gertraud	Unit I/9 International Environmental Affairs
BOFED (North Gondar)	Mulu	Teshome	Programme ject coordincoordinating ation office – head of office (North Gondar)
BOFED (North Gondar)Resource Management in North Gondar - Program Coordinating Unit	Zerihun	Bekele	Programme coordinating office Project coordination office – biodiversity expert
BOKU	Habermann	Birgit	Centre for Development Research, implementing BMLFUW project in Ethiopia
Bureau Bureau of Agriculture <sup>68</sup>	Alemu	Shumeye	Head of regional Bureau of Agriculture Bahir Dar
Bureau of Agriculture <sup>69</sup>	Balcha	Tamene	Deputy administrator (Bureau of Agriculture in Metu, Ethiopia)
Care Österreich	Milke	Stefan	Program and Policy Advisor: Climate Change & Food Security and participant of the Platform
CENN	Poberezhna	Kateryna	Agricultural management specialist, Project 8286-01/2012 in Georgia
CENN	Getiashvili	Rezo	Public outreach specialist, Project 8286-01/2012 in Georgia
ECFF	Motuma		Former Site Office Coordinator (2719-00/2013)
ECFF	Takele		Community Facilitator (2719-00/2013)
ECFF	Merga	Hailu	Project manager
ECFF	Daba	Gedefa	Site Office Coordinator (2719-00/2013)
EWCA	Biyadglegn	Maru	Simien National Park
FAO	Meskhi	Mamuka	Assistant representative (FAO Georgia country office)
FAO	Dzadzania	Beka	Project manager (FAO Georgia country office)
FAO	Sanz Alvarez	Javier	ENPARD - Georgia (FAO Georgia country office)

<sup>68</sup> Regional representation of the Ethiopian Ministry of Agriculture

<sup>69</sup> Idem

Institution	Surname	First name	Position
GIZ	Lipp	Hans-Joachim	Sustainable agriculture in Kakheti (8181-01/2011)
GIZ	Gönner	Christian	Team Leader Georgia, Sustainable management of biodiversity (8181-01/2011)
GIZ	Weigel	Olga	Programme Director South Caucasus (8181-01/2011)
GPDI	Jatani	Sora	Executive Director (Gayo Pastoralist Development Initiative)
Heifer	Tsikishvili	Medea	Heifer Georgia country office
Heifer	Murvanidse	George	Country Director, Heifer Georgia country office
IUCN	Kavtarishvili	Marika	ENPI FLEG project (8274-02/2013) in Georgia
KPC	Gauss	Martin	Abwicklungsstelle für BMLFUW-Projekte; langjährige Erfahrung im österr. JI/CDM Programm
MEF	Haile	Ghrmawit	
MENR	Amirgulashvili	C.	Head of Forest Policy Service
Ministry of Agriculture of Georgia	Nozadze	Iuri	Deputy Minister
Ministry of Agriculture of Georgia	Davitashvili	Levan	Deputy Minister
MOFED	Nebebe	Admasu	Climate Resilient Green Economy Facility
ÖBF	Garforth Metreveli	Kate	Project coordinator. Adaptive Sustainable Forest Management Planning
ÖBF	Sutter	Michael	ÖBF-Vienna (involved in a pProject in Georgia)
OeEB	Gunz	Gerhard	Strategy and Development Policy and participant of the Platform
OeEB	Duchateau	Kristin	OeEB's Sustainability Coordinator – Advisor Programmes
Red Cross	Palkovits	Klaus	Addis-Abbeba office
Red Cross	Gossaye	Abraham	Addis-Abbeba office
Siemen National Park; North Gonder	Biyadlegn	Maru	National Park Authority – park warden
UBA	Mayer	Johannes	International Relations (Twinning Projects)
UBA	Kroiss	Fritz	Key Account Manager(Twinning Projects)
UBA	Gaugitsch	Helmut	Land use and biological safety (Twinning Projects)
UNDP	Natsvlishvili	Natia	Assistant Resident Representative (Georgia)

Institution	Surname	First name	Position
UNDP	Shioshivili	Marika	Regional and Local Development in Georgia (8290-01/2012)
UNDP	Antadze	Nino	Energy and Environment Team Leader (UNDP Georgia country office)
UNHCR	Gurbu	Deribe	Addis-Abbeba office
UNHCR	Sylla	Papa	Addis-Abbeba office
World Bank	Kapanadze	Darejan	Senior environmental specialist, ENPI FLEG project (8274-02/2013) in Georgia
WWF	Osepashvili	Ilia	ENPI FLEG project (8274-02/2013) in Georgia

# Annex 8. Summary of the on-line survey questionnaire

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For most questions respondents are guided in their answers with multiple choices. Only the main questions are listed here.

## 1. Identification

- 1.1 Which type of stakeholder do you represent?
- 1.2 What are the region(s) or country(ies) you are involved with?

## 2. Use and Usefulness of the Strategic guideline

- 2.1 Before this survey, were you aware of the existence of the Strategic Guideline on Environment & Development in Austrian Development Policy, published in 2009?
- 2.2 How do you appreciate the level of your knowledge, before the current survey, about the Strategic Guideline on Environment & Development in Austrian Development Cooperation?
- 2.3 Please indicate, how often you, your colleagues or partners refer to the Guideline on Environment & Development in your/their work?
- 2.4 In your work, how do you consider the importance of the Strategic Guideline on Environment & Development, compared to other Guidelines?
- 2.5 How do you appreciate the overall usefulness of the Strategic Guideline for your in-country work?
- 2.6 Please rank each contribution of the Strategic Guideline according to the level of its usefulness in your work:
  - Contribution to programme/project design
  - Contribution to management, monitoring and evaluation of programmes/projects
  - Contribution to awareness-raising or Policy dialogue on environmental challenges
  - Contribution to better coherence in Austrian
  - Development Coordination and between Austrian actors
- 2.7 What is your opinion on the coverage of the Guideline? Please explain your answer.
- 2.8 Should the Strategic guideline be organized according to a "nexus" approach?
- 2.9 In your view, should the Guideline be updated?
- 2.10 If you consider that the Guideline should be updated, please indicate your agreement/disagreement with the following statements
  - The Guideline should incorporate climate finance as new issue
  - The Guideline should incorporate innovative financing as new issue

- The Guideline should incorporate Sustainable development goals (SDGs) as new issue
- The Guideline should incorporate other environmental priorities (to be specified within a separate question)
- There are aspects to be taken out (to be specified within a separate question)

2.11 Please specify other aspects to be incorporated in a future revised Guideline that you have mentioned in the previous question:

2.12 Please specify aspects to be taken out from a future revised Guideline that you have mentioned in the previous question.

### **3. Coherence, coordination and dialogue**

3.1 Please indicate the extent to which Austria is involved or active in inter-donor coordination regarding environmental issues, including climate change.

3.2 Concerning the dialogue between Austrian partners and partners from the specific beneficiary country (if you work at country level) or region (if you work at regional level), please choose the statement which describes the best the importance of the environment in this dialogue:

- Environment is a key issue frequently discussed between Austrian partners and partners from the specific beneficiary country/region
- Environment is an important issue among others discussed between Austrian partners and partners from the specific beneficiary country/region
- Environment is recognized as an issue, but is not sufficiently discussed between Austrian partners and partners from the specific beneficiary country/region
- Environment is not discussed at all between Austrian partners and partners from the specific beneficiary country/region
- I don't know
- Other

3.3 Please indicate which are the main environmental themes addressed in the policy dialogue in your specific country

3.4 How do you describe differences in perception of national environment related issues between you and your partners?

### **4. Environmental interventions**

4.1 In your opinion, what level of involvement is justified, taking into account local needs, Austrian capacities and the involvement of other donors?

4.2 How do you appreciate the level of coherence between environmental interventions of different Austrian actors working in the country or at regional level?

4.3 In your opinion, are the following topics particular weaknesses or strengths regarding the environmental interventions in your specific country/region? Please indicate also their importance :

- Coherence and coordination between Austrian actors

- Alignment on national policies
- Coordination between international donors
- Coordination between national institutions
- Ownership or support from national stakeholders
- Ownership or support from beneficiaries

4.4 Please add other constraints or strengths regarding the environmental interventions:

4.5 Do you agree with the following statements :

- Austrian financial support for environmental interventions generate fruitful policy dialogue on environmental issues
- Austrian financial support for environmental interventions contribute to environmental awareness

## **5. Environmental assessments**

5.1 Which of the following environmental mainstreaming tools or procedures have been used in interventions you are involved in?

5.2 How do you appreciate the adequacy of the ADA tools and procedures for environmental screening and appraisal? 5.2.1 Please comment your answer to the previous question (5.2)

5.3 Do you agree or disagree that the use of environmental mainstreaming tools or procedures (including the implementation of their recommendations):

- Is justified because it effectively helps mitigate adverse environmental impacts
- Is justified because it effectively helps raising the awareness or strengthening capacities
- Pose excessive constraints in terms of budget
- Pose excessive constraints in terms of timing
- Pose excessive constraints in terms of workload
- Pose other excessive constraints (e.g. in terms of negotiations)

5.4 As national/regional stakeholder, how can you qualify your perception on ADA environmental mainstreaming tools or procedures?

5.5 Do you consider that the existing ADA environmental tools and procedures are justified, taking into account the existence of local tools, procedures and regulations?

5.6 Does the Austrian Development Cooperation coordinate with other donors for environmental appraisals or assessments?

5.7 Please specify donors you coordinate environmental appraisals and assessments with :

5.8 Has a full Environmental Impact Assessment (EIA) or Strategic environmental assessment (SEA) been already used for Austrian interventions or supported by the Austrian Development Cooperation?

5.9 In Austrian interventions (or interventions supported by Austria) To what extent are the recommendations resulting from environmental assessments implemented?

## **6. Overall perception of efforts towards environmentally friendly Development**

6.1 How can you qualify the overall impact (or effect) of the Austrian Development Cooperation in terms of:

- Biophysical environment
- Environmental awareness and institutional capacities to manage the environment
- Climate change adaptation and reduction of natural or environmental disaster risks

6.1.1 Please explain your answer to the previous question (6.1)

6.2 Do you consider that Austria should attempt to have a better impact in terms of environmentally friendly development?

6.3 If yes, which aspects can or should Austria change?

6.4 Please feel free to add any comments: