



**United Nations Development Programme**

**Country: Ukraine**

**PROJECT DOCUMENT**

**Project Title: Integrating Rio Convention Provisions into Ukraine's National Policy Framework**

**UNDAF Outcome(s):** 4.1 – Government of Ukraine adopts policy frameworks and mechanisms to ensure reversal of environmental degradation, climate change mitigation and adaptation, prevention and response to natural and man-made disasters.

**UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:** Mainstreaming environment and energy.

**UNDP Strategic Plan Secondary Outcome:** Mechanisms for sustainable management of natural resources are created

**Expected CP Outcome(s):** Policy frameworks and mechanisms adopted to ensure reversal of environmental degradation, climate change mitigation and adaptation, and prevention and response to natural and man-made disasters.

**Executing Entity/Implementing Partner:** Ministry of Ecology and Natural Resources of Ukraine

**Implementing Entity/Responsible Partners:** United Nations Development Programme (UNDP).

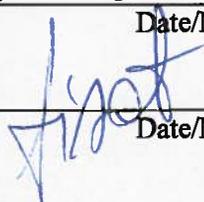
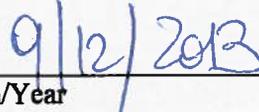
**Brief Description:** The goal of this project is to catalyze Ukraine's implementation of the three Rio Conventions on a strengthened policy and institutionally sustainable development baseline. To this end, the project will focus on mainstreaming Rio Convention provisions into Ukraine's broader national development framework and strengthening related capacities to implement this framework. The first project objective is to integrate principles and obligations of the three Rio Conventions into Ukraine's national policy framework. Specifically, this will involve the preparation of a national Sustainable Development Strategy (SDS) that fully integrates global environmental priorities. This objective will be complemented by a second objective to strengthen key institutional and individual capacities to pursue sustainable development that delivers global environmental benefits. This second objective will be targeted implementation of the SDS at the regional level, training government staff at the local, regional and national levels on the specific interpretation of Rio Convention provisions as they apply to their respective roles and responsibilities to implement associated development policies. This second objective will also be implemented by a targeted public awareness campaign to raise the understanding of the critical linkages between the Rio Convention principles and the more immediate socio-economic development priorities. Both objectives will be implemented through a learning-by-doing approach. The active participation of stakeholder representatives in the full project life cycle serves to facilitate the strategic adaptation of project activities in keeping with project objectives. The critical role of non-state stakeholders will contribute to the adaptive collaborative management of project implementation.

Programme Period:	2011-2015
Atlas Award ID:	00074532
Project ID:	00086888
PIMS #	4478
Start date:	Jan 2014
End Date:	Dec 2016
Management Arrangements:	NIM
PAC Meeting Date:	26 Nov 2013

Total resources required	US\$ 1,930,000
Total allocated resources:	US\$ 1,930,000
• UNDP	US\$ 150,000
• Other:	
o GEF	US\$ 900,000
o Government of Ukraine	US\$ 700,000
o Government of Germany	US\$ 50,000
o UN Global Compact	US\$ 30,000
o All-Ukrainian Environmental League	US\$ 100,000

Agreed by (Government):   
 \_\_\_\_\_  
 Date/Month/Year

Agreed by (Executing Entity/Implementing Partner):   
 \_\_\_\_\_  
 Date/Month/Year

Agreed by (UNDP):    
 \_\_\_\_\_  
 Date/Month/Year

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## **Acronyms and Abbreviations**

APR	Annual Progress Report
CCCD	Cross-Cutting Capacity Development
CBD	Convention on Biological Diversity
CBO	Community-Based Organization
CCA	Common Country Assessment
CCD	Convention to Combat Desertification and Drought
CER	Committee on Economic Reforms
CERs	Certified Emission Reductions
CHM	Clearing House Mechanism
CoP	Conference of Parties
CSO	Civil Society Organization
EC	European Commission
EEAS	European External Action Service
EU	European Union
EUSSD	European Union Strategy for Sustainable Development
FCCC	Framework Convention on Climate Change
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEF Sec	Secretariat of the Global Environment Facility
GHG	Greenhouse Gas
GoU	Government of Ukraine
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MAPF	Ministry of Agrarian Policy and Food
MEAs	Multilateral Environmental Agreements
MECMI	Ministry of Energy and Coal Mining Industry
MEDT	Ministry of Economic Development and Trade
MENR	Ministry of Ecology and Natural Resources
MESYS	Ministry of Education and Science, Youth and Sport
MFA	Ministry of Foreign Affairs
MoF	Ministry of Finance
MoI	Ministry of Interior
MoSP	Ministry of Social Policy
MRDCCCL	Ministry of Regional Development, Construction and Communal Living
MSP	Medium-Size Project
NBSAP	National Biodiversity Strategy and Action Plan
NAPU	National Academy of Public Administration
NASU	National Academy of Sciences of Ukraine
NCSA	National Capacity Self-Assessment
NCSD	National Commission on Sustainable Development
NEC	National Environmental Council
NEP	National Environmental Policy
NFP	National Focal Points
NGO	Non-governmental organization
PB	Project Board
PDF	Project Development Facility of the Global Environment Facility
PIR	Project Implementation Review

PMU	Project Management Unit
RCU	Regional Coordination Unit
SAEE	State Agency on Energy Efficiency and Energy Saving
SDS	Sustainable Development Strategy
SEI	State Ecological Inspectorate
SEIA	State Environmental Investment Agency
SEPA	State Environmental Protection Agency
SFA	State Fishery Agency
SFRA	State Forestry Resources Agency
SGS	State Geological Service
SLM	Sustainable Land Management
SLRA	State Land Resources Agency
SWRA	State Water Resources Agency
UKSDC	United Kingdom Sustainable Development Commission
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP CO	United Nations Development Programme Country Office
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UUNPF	Ukraine-United Nations Partnership Framework
WB	World Bank

## **PART I - PROJECT**

### **A Project Summary**

#### **A.1 Project Rationale, Objectives, Outcomes/Outputs, and Activities**

1. This basis for this project is grounded in Ukraine's National Capacity Self-Assessment (NCSA), which was completed in 2007. As with many other countries, Ukraine's challenge in meeting global environmental priorities is rooted in a real priority to meet national socio-economic priorities, lack of awareness on the national benefits of Rio Convention implementation, weak institutional capacities to implement the Rio Conventions, and limited financial resources of government institutions, among other challenges and barriers.

2. Under the NCSA, Ukraine prepared their National Environmental Policy (NEP), which reflected the principles and provisions of the three Rio Conventions. The NEP also helped strengthen Ukraine's alignment with the European Union's (EU) Environment Action Programme, and subsequent EU large-scale financing.

3. Since 2007, Ukraine has been making positive advances towards improving its governance of the environment, passing into law (in December 2010) the Main Principles (Strategy) of the National Environmental Policy. This law called for Ukraine to stabilize and improve the environment by *integrating environmental objectives into sectoral socio-economic policies*. The NEP law frames a comprehensive policy and legal framework that reflects the principles of the Rio Conventions as well as the European Union's legislative requirements on the environment for member states (See Annex 1).

4. This project responds directly to the NEP law, and will facilitate the integration of Rio Convention provisions into sectoral policies, programmes, plans and legislation. The project's strategy is to take a sub-national approach to this exercise by focusing on a key set of sectoral policies that are implemented at the regional level by regional authorities. In this way, sustainable development is not just about meet national socio, economic and environmental priorities, but rather that the environmental pillar of sustainable development institutionalizes global environmental obligations as defined by the three Rio Conventions. Sustainable development has never been only about meeting national priorities. However, because of the pressing social and economic needs that more visibly affect people's daily lives, the environmental component has traditionally been interpreted as managing the environment to the extent that it supports national social and economic priorities.

5. This project is eligible for funding under the GEF-5 Cross-Cutting Capacity Development (CCCD) Strategy, Programme Framework C, which calls for the strengthening of capacities to develop policy and legislative frameworks to meet Rio Convention objectives. This framework provides the vision for CCCD projects to integrate and mainstream Rio Convention (among other MEA) obligations into a country's policy and legislative frameworks, and to underpin these strengthened capacities with strengthening improved management and compliance.

6. This project will be among the set of innovative and transformative projects under the Global Environmental Facility (GEF) that will demonstrate the pursuit of sustainable development through sectoral policies that help better deliver global environmental benefits as well as meeting their national socio-economic objectives. At the end of the project, a key set of foundational capacities through improved sectoral policies, programmes, plans and legislation as well as training of government staff and other stakeholders will have been strengthened that facilitates the delivery and sustainability of global environmental outcomes.

7. There are two complementary objectives of this project. The first is to integrate the principles and criteria that frame the articles of the Convention on Biological Diversity (CBD), Convention to Combat Desertification and Drought (CCD), and Framework Convention on Climate Change (FCCC) into a key set of Ukraine's sectoral development policies. This will be complemented by a second objective, which

is to strengthen a key set of institutional and individual capacities to operationalize the improved sectoral policies, programmes, plans and legislation at the regional level. Activities include training workshops on how to operationalize key programme recommendations. A third component serves to reinforce the first two components by promoting a greater understanding of the complex and dynamic inter-dependencies among environment, economy and social development policies. For example, targeted learning materials will be prepared for incorporation into the curricula of secondary schools and universities.

8. The project will take an adaptive collaborative management (ACM) approach to implementation, which calls for stakeholders to take an early and proactive role in the mainstreaming exercises, as well as to help identify and solve unexpected implementation barriers and challenges. By taking an ACM approach, project activities and outputs can be more legitimately modified and adapted to maintain timely and cost-effective project performance and delivery.

## **A.2 Key Indicators, Assumptions, and Risks**

9. There are a few risks and assumptions associated with the design of this project. The first risk is associated with the political challenge<sup>1</sup> of governance reform, which is further complicated by the prevailing perception within government that environment should always take a back seat to more important issues, such as the economy and health care. Given the catalytic role of the international and donor community, which includes the European Union (EU), on the important contribution of the environment to socio-economic development, and supported by empirical evidence from the scientific community, the Government of Ukraine recognizes the need to pursue environmentally sound and sustainable development.

10. The severity of this risk is nominal due to the high commitment of Ukraine to strengthen national policies in line with the global community and the EU, the latter with whom Ukraine is pursuing membership. Ukraine is currently working closely with the EU on a series of governance reforms, which includes environment, and to which this project is complementary. Furthermore, Ukraine, the EU and other donors are closely coordinating their contributions to ensure consistency with donor policies and priorities, as well as to ensure cost-effectiveness.

11. Another risk to project objectives is the potential resistance from politically entrenched and institutionally sectors that has traditionally governed Ukraine. The political institutions in Ukraine have a history of working within the legal boundaries of mandates at the technical level. As a result, there is minimal sharing of information or collaboration among ministries and agencies. This is particularly evident in the environment sector due to the relatively limited understanding of the linkages between environmental protection and the development sectors. This project makes the assumption that line ministries, agencies, and other relevant government authorities will avail themselves of key representatives to the development of the SDS, as well as to training and public awareness activities. The consultations undertaken to develop the project, as well as the participatory approach that the project will take will minimize the risk of non-stakeholder participation.

12. This risk makes the assumption that political commitment to the project will not wane during its implementation or beyond, jeopardizing the institutional sustainability of project outcomes. For this reason, the ACM approach described above is central to the success of the project. Collaboration across sectors and among stakeholder representatives throughout the implementation process will allow for the on-going monitoring and realignment of project activities to maintain validity, legitimacy, relevancy, and greater likelihood of sustainability of project outcomes.

13. The severity of the commitment risk is low to medium because Ukraine adopted the NEP into law in 2010, and as a result, there is an expectation (indeed assumption) that all ministries and government authorities will be required to demonstrate, at minimum, participation in project activities since they serve to facilitate ministries' adherence to the NEP. In this respect, the project is designed to take a careful and

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<sup>1</sup>This is largely resistance of government bureaucracies to change that result in the shifting, especially loss, of mandates, resources, and above all power.

measured approach to implementation, with proactive encouragement of key government representatives in the peer review processes of analyses and strategy development. Non-state stakeholders will also be given important opportunities to inform the development of the SDS, through their participation as experts in the analyses and policy formulation process, as well as through the dialogues of the public councils that will be convened for NGOs, CSOs, business communities, and academia. The project includes a key set of training activities targeted to national and regional representatives of government authorities on the implementation of recommendations from the sectoral analyses and components of the proposed SDS at the regional level by regional authorities in partnership of line ministries.

14. This project also makes the assumption that a national SDS can feasibly integrate and reconcile Rio Convention principles, criteria, and objectives in the absence of mutual exclusive priorities among environmental, economic and social development goals. While there will be instances where these priorities are not reconcilable, the risk that Ukraine will not be able to successfully undertake this is limited by the numerous lessons learned and best practices from a number of EU countries, among others. In 2006, the European Council adopted the European Union Strategy for Sustainable Development (EUSSD) that set out a single, coherent strategy on how the EU and its member states would more effectively live up to their commitment to meet the challenges of sustainable development. Ukraine's commitment to EU membership serves as a strong incentive to develop their SDS, taking into account that the SDS must integrate global environmental priorities as outlined in the NEP law.

15. A key indicator of this project's successful outcome will be a key set of Rio Convention-improved sectoral policies, programmes, plans and legislation that have been approved and endorsed by the line ministries for consideration by Parliament. Given the recent change in government leadership, with key cabinet positions yet to be named, as well as upcoming regional elections, this project does not envision adoption of the Sustainable Development Strategy during its implementation. However, given Ukraine's history of policy reform processes and alignment with the European Union towards eventual membership, there is a strong likelihood that the SDS would be adopted at the right political time. By taking a bottom-up and sectoral approach to Rio Convention mainstreaming, the SDS will enjoy a high degree of legitimacy, which will bode well for its eventual parliamentary adoption.

## **B Country ownership**

### **B.1 Country Eligibility**

16. Ukraine is eligible to receive technical assistance from UNDP, and is thus eligible for support under the Global Environment Facility (GEF). Ukraine ratified the Convention on Biological Diversity (CBD) on 7 February 1995, the Convention to Combat Desertification and Drought on 27 August 2002, and the Framework Convention on Climate Change (FCCC) on 29 October 1996. Ukraine ratified important protocols under the Rio Conventions in later years, namely:

- a. The Cartagena Protocol on Biological Safety on 11 September 2003 to protect biodiversity from the potential risks posed by genetically modified organisms that are the product of biotechnology.
- b. The Nagoya-Kuala Lumpur Supplementary Protocol on Liability and Redress on 30 January 2012 on remedial measures arising from damages caused by the transboundary movement of living modified organisms.
- c. The Kyoto Protocol on 4 February 2004, committing to stabilize greenhouse gas emissions for the period 2008-2012 at the 1990 level.

17. Though not an eligibility requirement, Ukraine has demonstrated its commitment to other global environmental priorities, having acceded to or ratified several other international and regional treaties and protocols that call for the protection and sustainable use of natural resources, such as the Convention on Transborder Air Pollution Across Long Distances, the Kyoto Protocol, the Aarhus Convention that called for public rights to environmental information and participation in environmental decision-making,

Convention on Wild Flora, Fauna and Natural Living Environments in Europe, as well as Convention for the Protection and Sustainable Development of the Carpathians.

18. Fit with the GEF-5 CCCD Strategy: The GEF strategy for Cross-Cutting Capacity Development projects serves to provide resources for reducing, if not eliminating, the institutional bottlenecks and barriers to the synergistic implementation of the Rio Conventions. This particular project is in line with CCCD Programme Framework C, which calls for countries *to strengthen capacities for developing policy and legislative frameworks*. Through a learning-by-doing process, this project will improve sectoral policies, plans and programmes by integrating provisions of the three Rio Conventions (sub-programme framework C1). The project will help institutionalize these capacities through the implementation of selected recommendations, reinforcing improved compliance with Rio Conventions (sub-programme C2).

## **B.2 Country Drivenness**

19. Ukraine's equivalent of their UN Development Assistance Framework (UNDAF) takes the form of the Ukraine-United Nations Partnership Framework (UUNPF) for the period of 2012-2016 approved in 2010. This Framework represents an alignment with key national development priorities, including the Programme for Economic Reforms for 2010-2014, and the national Millennium Development Goals (MDGs), among other national policies and strategies, with funds and programmes of the UN System agencies into a common operational framework for the UN's partnership with the Government of Ukraine. There are four interrelated thematic areas within which the UN system and the Government of Ukraine have agreed to cooperate on: sustained economic growth and poverty reduction; social development; governance; and environment and climate change.

20. The Environment and Climate Change Framework of the UUNPF has three expected outcomes that will help Ukraine achieve environmental sustainability: a strengthened Ukraine's policy framework; improved institutional structures and mechanisms to implement the UUNPF; and increased use of energy efficient technologies and renewable and alternative sources of energy. Among the priority concerns identified in the UUNPF is integrating environmental sustainability into Ukraine's national and sub-national strategies in the agriculture, a main national economic sector due to the interdependence between agricultural productivity, climate change (droughts and floods) and environmental conditions (soil and water quality erosion). The objective of the UUNPF is to develop capacities that will catalyze reform of environmental policies, programmes and institutions, as well as individual skills and know-how.

21. The social and economic development priorities for the period of 2010-2014 identified in Ukraine's Common Country Analysis (CCA) correspond to the government's priorities under the Millennium Development Goals (MDGs). These include addressing climate change and the sustainable use of the natural resources in line with national priorities and multilateral environment agreements, in particular the three Rio Conventions.

22. In addition to the three Rio Conventions and other MEAs, Ukraine has adopted a number of strategic frameworks that reflect the broad range of critical environmental priorities. These include the 2004–2015 Strategy for Economic and Social Development of Ukraine “On the Way to European Integration” (2004) and the Action Programme of the Cabinet of Ministers “Towards People” (2005) that give individual ministries a basis for carrying out high-priority actions on environmental issues. Environmental objectives and targets are also included in Ukraine's 2003 programme for implementing the Millennium Development Goals (MDGs).

### **B.2.a National Capacity Self-Assessment (NCSA)**

23. Between 2004 and 2007, UNDP supported the implementation of Ukraine's GEF-funded National Capacity Self-Assessment project. The NCSA was implemented in three phases, the first of which consisted of taking stock of the country's national implementation of the three conventions, with particular attention paid to analyzing the institutional framework underlying convention implementation.

The second phase focused on an assessment of the cross-cutting interactions of convention implementation, including an assessment of stakeholder capacities, with the final phase identifying priority actions for capacity development. The NCSA was prepared through a collaborative process among stakeholders that strengthened the legitimacy of its outcomes, one of which was the National Environmental Policy (NEP) of 2007 (see paragraph 43 below).

24. The problems related to global environmental management are rooted in an overall institutional weakness of governance, including environmental governance, in Ukraine. The NCSA identified the following major shortfalls.

1. Lack of awareness amongst the Ministries and other state bodies on the international conventions and of the opportunities they provide, as well as of the steps required from Ukraine to fulfill its commitments;
2. Weak institutional arrangements for the implementation of the Conventions;
3. Poor financing and lack of appropriate human resources in governmental institutions;
4. Lack of consistency and insufficient sharing of information between key stakeholders. There is currently little communication across agencies responsible for the Conventions in Ukraine. This is linked to low commitment to follow up on identified priorities, and to the lack of a strong policy framework and political commitment to implementation; and
5. The weak capacity of the government to carry out strategic planning that reflects an integration of international objectives into local and national action plans. This is primarily related to two factors: first, the lack of up-to-date social, economic and environmental data to support the strategic planning process; and second, lack of communication and coherent regulations establishing the framework for preparing and implementing integrated sustainable planning.

25. Based on these challenges, the NCSA's main recommendation was to improve national policy, legislative, and institutional frameworks for better compliance to the requirements of sustainable development, in particular to the three Rio Conventions. This included:

- a. Develop and secure cabinet approval on the concept of a national system of ecological management using the mechanisms of state, regional, public and entrepreneurial accountability;
- b. Implement a complex ecological audit of all the approved and implemented national and state programs;
- c. Revise and approve a programme of scientific research on sustainable development in Ukraine;
- d. Create a methodology and legal basis for an integrated evaluation of ecosystem potential on the basis of ecological-economic balances, cadastres of natural resources, and ecological monitoring and auditing; and
- e. Reform the Ministry of Environmental Protection of Ukraine into the Ministry of Ecological Policy, reinforcing its authority in the sphere of strategic planning in the transition to sustainable development.

### **B.2.b Sustainable Development Context**

26. Ukraine is a country in Eastern Europe, sharing borders with Belarus, Hungary, Moldova, Poland, Romania, the Russian Federation, and Slovakia, as well as the Black Sea and Sea of Azov to the south. With an area of 603,628 km<sup>2</sup>, Ukraine is the second largest contiguous country on the European continent, after the Russian Federation. See Figure 2.



**Fig 2: Map of Eastern Europe and Ukraine**

27. Ukraine is a middle income country that is ranked 69<sup>th</sup> out of 169 countries according to the 2010 Human Development Index. The population is approximately 46 million people, 77.8% of whom are ethnic Ukrainians. Ukraine is undergoing a severe demographic crisis, characterized by an aging and declining population. The country's fertility rate is among the lowest in the world, and the life expectancy in Ukraine is 69.8 years. Although Ukraine has a highly educated labour force and high quality education, the country is currently not well equipped to deal with the potential implications of a shrinking labour force and aging population, such as higher expenditures on health care, elderly care and pensions.

28. Most of Ukraine consists of fertile plains (or steppes) and plateaus. Most of Ukraine's land is arable land (56%) with the remainder under forests and woodland (17%), permanent pastures (13%), permanent crops (2%), and other (12%). Mountains are to found largely in the west (Carpathian Mountains), the south (Crimean Mountains), and Donets Ridge (east). Ukraine has a temperate continental climate with cool winters and relatively hot summers. Only the southern Crimean coast of Ukraine has a humid subtropical climate. Significant natural resources in Ukraine include iron ore, coal, manganese, natural gas, oil, salt, sulfur, graphite, titanium, magnesium, kaolin, nickel, mercury, timber, and arable land.

29. Though much of Ukraine's original plant cover has been cleared for cultivation, three main zones of natural vegetation are still distinguishable: the Polissya (woodland and marsh), the forest-steppe, and the steppe. The Polissya zone lies in the northwest and north, more than one-third of which is arable land, about one-quarter covered with mixed woodland, and about 5 percent as peat bog. The remainder is marshland, river valleys and their floodplains. The Polissya contains the southernmost portions of the Pripyat Marshes, and Ukraine has undertaken major efforts to drain these swamplands and reclaim the land for agriculture. The forest-steppe zone extends south from the Polissya. About two-thirds of this agricultural region is arable land and one-eighth under forests.

30. Further south, near the Black Sea, Sea of Azov, and Crimean Mountains, the forest-steppe joins the steppe zone. Many of the flat, treeless plains in this region are under cultivation, although low annual precipitation and hot summers make supplemental irrigation necessary. Remnants of the natural vegetation of the steppe, including its characteristic fescue and feather grasses, are protected in nature reserves. Other biodiverse regions are found near the borders of the country, with most of the country's rich forestlands in the Carpathian region of western Ukraine. Along the southern coast of the Crimean Peninsula, a narrow strip of land about 10 km wide (6 miles) makes up a unique biodiverse region where both deciduous and evergreen grasses and shrubs grow and important to migratory birds, a number of which are threatened.

31. Ukraine's environmental challenges are significant and present one of the most complex areas for the country to address given the pressures of rapid economic growth and social transition. Despite a considerable progress achieved in the past years, Ukraine's environment still remains in a critical state. Environmental governance is not effective, due largely to insufficient political commitment, unrealistic and unclear objectives, inadequate financing, weak technical and institutional capacities, and poor monitoring and evaluation.

32. Ukraine is one of the world's most energy intensive countries (2.6 times the world average) as a result of inefficient technology and practices in key economic sectors, such as energy and heavy industry. With water resources per capita at almost seven times less than in the world, Ukraine's water consumption is significantly below than the world and European average. At the same time, water consumption in Ukraine's economic sectors is 2.5 times higher than in the world. The production of industrial wastes per capita is also among the highest in the world. Although Ukraine has a significant and diverse natural resource potential, historically, this has been extensively exploited leading to large scale environmental degradation.

33. Rapid industrialization, intensive farming, and a lack of effective pollution controls during the Soviet era have collectively contributed to the serious degradation of Ukraine's environment. A number of the world's most polluted sites can be found in the Ukraine, and about 15% of the population (10 million people) lives in critical environmental conditions. The coal-burning industries of eastern Ukraine, which emit high levels of sulfur dioxide, hydrocarbons, and dust, have created severe air pollution. Air quality is particularly poor in the cities of Dnipropetrovs'k, Kryvyi Rih, and Zaporizhzhya. Major rivers, including the Dnepr, Dniester, Inhul, and Donets are seriously polluted with chemical fertilizers and pesticides from agricultural runoff and with poorly treated or untreated sewage.

34. Coastal water pollution in the Sea of Azov and the Black Sea has necessitated the closing of beaches and has led to a dramatic reduction in fish yields. The freshwater flow into the Sea of Azov has been largely diverted for irrigation purposes, leading to a sharp increase in salinity. The 1986 accident at the Chernobyl nuclear power plant created severe environmental problems in northwestern Ukraine, contaminating vast areas of land with radioactive isotopes, notably strontium-90. The contaminated agricultural lands near Chernobyl will be unsafe for thousands of years, although some of these areas continue to be occupied and farmed. Several thousand premature deaths from cancer are expected over the long-term.

35. This is further compounded by the inefficient and costly use of natural resources, with Ukraine having the highest level of deforestation in Europe. Ukraine's current land-use situation is close to critical, with the most comprehensive degradation processes associated with agricultural activity. Ukraine is characterized by a very high index of agricultural development, with agricultural lands covering 68.9% of the country, of which 80% are arable lands. Ukraine also has a very high level of cultivated lands, significantly exceeding the ecologically justified limits. The index of plowed lands in Ukraine is five times above the world average, with very inefficient land use. Soil erosion affects 58% of the country's lands, resulting in about 11 million tons of lost humus (mature natural compost). Every year, an additional 80-90 thousand hectares (200 to 220 thousand acres) of soil is lost due to erosion. Land degradation is further exacerbated by the wide-scale contamination of soils with radionuclides, heavy metals, and pesticides.

36. There is an overwhelming sense that Ukraine has been performing below its potential since its independence over twenty years ago. According to the 2009 review of the World Economic Forum, Ukraine trails other economies in transition in the areas of institutional effectiveness, macro-economic stability, and market efficiency. Ukraine expects to benefit from the next phase of globalization given its enviable geographic location, abundant natural resources and educated labour force. However, the country will require deep fiscal and structural reforms to realize its full potential. The decisions that Ukraine's leaders take now could make the difference between a low-growth scenario and one of rapid modernization, the latter turning Ukraine into a powerhouse in Eastern Europe. The route to sustained recovery in Ukraine lies in deepening key reforms: restoring macroeconomic credibility, improving the investment climate, and reducing the inefficiencies of the public sector governance.

37. Economic development in Ukraine has been improving since 2000, catalyzed by high prices for metal products, high capital inflows, and strengthened domestic demand as a result of increased wages and budgetary transfers. However, this was punctuated by the global financial crisis in 2008-2009 that exposed macroeconomic vulnerabilities. This included a one-sided export structure and high capital needs, which largely depended on international markets for metallurgical products and foreign capital inflows. While Ukraine grew by 7% on average during 2001-2008, GDP crashed by 15% in 2009, setting Ukraine back to where it was in 2005.

38. Between 2008 and 2010, large-scale exploitation of natural resources exacerbated Ukraine's environmental degradation and yet did not contribute to the expected improved economic development - Ukraine's 2011 GDP per capita was just over 60% of the European average. Ukraine did secure a role in the region's contribution to the world market for raw materials.

### **B.2.c Policy and Legislative Context**

39. Between 1997 and 2007, Ukraine had undertaken a number of initiatives towards strengthening a national policy on sustainable development in the aftermath of the United Nations Conference on Environment and Development (UNCED). These included the conceptualization of a national strategy on sustainable development and recommendations for the integration of ecological policy into socio-economic reforms, and the preparation of an action plan for its implementation in 2000. However, the political crisis of 2007 and subsequent global economic crisis resulted in a loss of momentum towards completing and approving these.

40. The Government of Ukraine has actively engaged in the formulation and adoption of a number of social and economic development plans, strategies and policies relevant to this project. This includes the Programme for Economic Reforms for 2010-2014, the National Poverty Reduction Strategy 2010-2015, the Concept of Sustainable Development of Ukraine, the National Environmental Policy to the year 2020, and the Programme of Social and Economic Development for 2010. Ukraine's Strategic Directions and Objectives on Attracting International Technical Assistance and Cooperating with International Financial Institutions for 2009-2012 serves as a platform for further alignment and coordination of international assistance.

41. In 2011, Ukraine established the National Platform of the Civil Society Forum of the Eastern Partnership to serve as an open forum for community organizations and their networks to discuss and consult on various issues within the general framework of democracy, EU membership, environment, education and culture. In practice, the National Platform serves as a mechanism to engage civil society in the formulation and legitimization of national policy. Mirroring the platform on civil society and non-governmental organizations, there are three other national platforms directed to engaging government agencies and authorities, the private sector, and academia. These four platforms are in effect stakeholder constituency public dialogues.

42. In early 2012, the National Academy of Sciences of Ukraine drafted a concept paper of Ukraine's Transition to Sustainable Development, containing a set of nine objectives that included biodiversity conservation, reduction of greenhouse gas emissions, soil conservation, and efficient use of natural resources. This concept paper served as a basis for the drafting of a "Concept on Sustainable Development Strategy", which was then circulated for review by the Cabinet of Ministers. However, due to the upcoming elections at the time, this draft concept was not considered and set aside. After the election in October 2012 and new political leadership, priority to the development of the SDS was reinvigorated.

43. One of the products of the NCSA was the preparation of the National Environmental Policy in 2007, which framed commitments under the Rio Conventions and other MEAs from the perspective of integration with the European Union and World Trade Organization (WTO) membership. The NEP represents a strategic evaluation of Ukraine's national environmental potential, and serves as a basis for helping Ukraine coordinate its national reform agenda with Rio Convention obligations, WTO and EU requirements, as well as with other MEA commitments. The NEP entered into law in December 2010 as

the Law on the Main Principles (Strategy) of the National Environmental Policy (N° 2818-VI) adopted in December 2010 and entered into force in January 2011. The goal of the NEP law is *to stabilize and improve Ukraine's environment by integrating environmental objectives into sectoral socio-economic policies*. See Annex 1.

44. Also in 2011, Ukraine adopted the National Action Plan on Environmental Protection (NAPEP) for 2011-2015, giving priority to addressing environmental concerns of national interest, including addressing climate change. These include the complete removal and disposal of pesticides and toxic chemicals from air and water by the end of 2012, creating automated air pollution monitoring systems in major industrial regions, improving urban water supply and wastewater treatment, and decreasing carbon dioxide emissions in the municipal heating sector by 10% by 2015. Another goal of the NAPEP is to catalyze Ukraine's environmental reforms closer in line with those required by the EU. See Annex 2.

45. In addition to the NEP law, Ukraine has adopted a number of other relevant environmental laws, most of which call for specific protections and management regimes of Ukraine's natural resources. These include protection of fisheries, sub-surface resources, and hazardous waste management. However, in addition to environment-related laws, there are a number of other sectoral development laws that are relevant to this project, given that the aim of the project is to deliver global environmental benefits through the implementation of sectoral policies, programmes, plans and legislation. Consider Ukraine's Law on State Control over Lands Usage and Protection, which sets out to "determine the legal, economic, and social principles for organization of performance of the state control over lands usage and protection and ...securing the rational usage and recovery of natural resource and environmental protection." This law was passed in April 2008, and while it provides clear criteria and principles of environmental protection, the law does not include criteria or principles that are clearly of global priority, such as the protection of terrestrial ecosystems for the preservation of threatened endemic species.

46. Ukraine's top priority is the membership in the European Union and to that end is undertaking a wider range of policy, legislative and institutional reforms towards meeting requirements under the EU's *acquis communautaire*, i.e., the accumulated legislation, legal acts, and court decisions that constitute the body of European Union law. In May 2001, the European Commission approved the Act on "A Sustainable Europe for a Better World: A European Union Strategy for Sustainable Development."<sup>2</sup> This act serves as a long-term strategy for European Union members to reconcile their policies towards the pursuit of sustainable development, which rests on a dynamic balance of economic, social, and environmental priorities.

47. Non-compliance with international obligations was an important priority for Ukraine, in particular under the Aarhus Convention on Access to Information, Public Participation in Decision-Making, and Access to Justice in Environmental Matters. In 2011, Ukraine (through the Cabinet of Ministers) adopted a policy that now allows for public consultations on draft regulations, which the Ministry of Ecology and Natural Resources (MENR) does on a regular basis, including for the preparation of the 2011-2015 National Environmental Protection Action Plan (NAPEP), building on the success of the comprehensive consultations that took place under the NCSA for the preparation of the NEP. However, the policy allowing public consultation on national legislative saw a setback with the adoption of a law regulating urban development that abolished the state environmental expert review (SEE), or "expertiza", in effect an equivalent of the environmental impact assessment of proposed construction projects<sup>3</sup>. In June 2011, Parliament removed the local community from decision-making on granting mining permissions, which is contrary to the Aarhus Convention on the protection of environmental rights, and which Ukraine had previously ratified in 1998. As part of the set of reforms to align with European Union legal frameworks, the European Union is supporting Ukraine in the revision of its environmental impact assessment and permitting system. See paragraph 161.

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<sup>2</sup> European Commission Communication of 15 May 2001, COM(2001) 264

<sup>3</sup> Although the SEE partially fulfilled the requirements of the EU Directive on EIA, in practice the SEE procedure was complex and had encouraged corruption as well as discouraging investment.

#### **B.2.d Institutional Context**

48. The Ministry of Ecology and Natural Resources (MENR) is the central governmental body that oversees the formulation, coordination, and implementation of a key set of Ukraine's environmental policies. As such, the MENR is the focal point institution for the three Rio Conventions and responsible for reporting on their national implementation to the respective secretariats. The MENR carries out its work through a number of executive bodies, such as the inspectorates, state services, state enterprises, and research institutes at the national level.
49. The Ministry of Ecology and Natural Resources (MAPF) is another important line ministry, which is responsible for the management of fisheries, forests, and land (among others) through the State Fishery Agency (SFA), State Forest Resources Agency (SFRA), and State Land Resources Agency (SLRA).
50. The State Environmental Investment Agency (SEIA) is another central government authority whose work is directed and coordinated by the Cabinet of Ministers through the MENR, but not under its control. The State Environmental Protection Agency (SEPA) oversees the management of Ukraine's protected areas and is under the control of the MENR. The SEIA was established in 2007 to address issues relating to climate change and to prepare Ukraine's national communication to the FCCC. The SEIA is responsible for monitoring the execution of the official regulation under its authority and make proposals to the Minister of the MENR for policy improvements.
51. In addition to the SEIA, a number of other key state agencies are directed and coordinated by the Cabinet of Ministers through the MENR, namely the State Geological Service (SGS), State Water Resources Agency (SWRA), and State Ecological Inspectorate (SEI). The SEI is the main environmental enforcement authority for the MENR, with additional inspectorates for agriculture, fisheries, and land resources.
52. At the regional level, state departments for environmental protection implement environmental policy in oblasts and select cities. Although the latter authorities are subordinated to the MENR, their work is also coordinated with regional administrations.
53. The MENR cooperates with various non-state organizations in Ukraine, which include scientific institutions to help prepare key studies and reports, such as the National Academy of Sciences for the third edition of Ukraine's Red Data Book. The MENR also collaborates with NGOs, such as for the monitoring of biodiversity conservation activities and threats.
54. A number of other ministries and committees are also involved in environmental policy implementation, environmental protection and effective management of natural resources, among them the Ministry of Finance and the Parliamentary Committee on "Environmental Policy, Use of Natural Resources and Mitigation of the Consequences of the Chernobyl Accident, Ministry of Economic Development and Trade of Ukraine."
55. In addition to the MENR, Ukraine's other ministries play an important role in environmental affairs, either as a result of their role in managing natural resources as a commodity, such as the Ministry of Agrarian Policy and Food, deciding of financial matters affecting environment such as the Ministry of Economic Development and Trade. Table 1 below lists Ukraine's current ministries.
56. The National Academy of Sciences of Ukraine (NASU) is a leading national institution that is made of leading scientists, and has played a leading role in the drafting of key policy instruments for the consideration of the Cabinet of Ministers and national reporting to various United Nations entities, among others.
57. In addition to these structures, the Cabinet of Ministers established the Inter-ministerial Commission for the Implementation of the UNFCCC in 1999 to address the issue of a national policy on climate change, as well as to reinforce the national climate change administrative structure and ensure the fulfillment of obligations under UNFCCC. Meeting on a regular basis, this Commission is headed by the Deputy Prime Minister and enjoys inclusive membership, made up of representatives from the secretariats of the Cabinet of Ministers, Parliament (Verkhovna Rada), Presidential Administration of Ukraine,

ministries and other executive bodies, the National Academy of Sciences, including a representative from an NGO.

Agrarian Policy and Food	Health
Culture	Income and Fees
Defense	Industrial Affairs
Ecology and Natural Resources	Infrastructure
Economic Development and Trade	Internal Affairs
Education and Science	Justice
Energy and Coal Industry	Regional Development, Construction, and Housing
Finance	Social Policy
Foreign Affairs	Youth and Sports

Table 1: Ukraine's ministries as of May 2013

58. Ukraine's institutional structure in the area of environmental management is heavily sectoral and centralized, coupled with the duplication of functions at the national, regional and local levels, thus evoking at times conflict and lack of responsibility and accountability. While the line ministries' sectoral approach to the implementation of their strategies, plans and programmes conform within the boundaries of their institutional mandates and legislative authorities, this also makes it difficult to integrate the Rio Conventions provisions into their programme of work. The MENR does not have the authority to coordinate the work of other ministries involved in the implementation of the provisions of the Rio Conventions in an integrated way. This is exacerbated by an insufficiency of institutional and legislative capacities to catalyze inter-ministerial and inter-agency collaboration and communication. Ukraine has been addressing these issues by supporting mechanisms that allow for more substantive input from experts. This includes the establishment of a public consultative process through the creation of the national platforms, as outlined in paragraph 41 above.

59. In 1997, Ukraine attempted to address these issues through the establishment of the National Commission on Sustainable Development (NCSD), which consisted of members of the Cabinet of Ministers, specialists of the ministries and central government authorities, scientists, and community representatives. The NCSD, among others, was tasked to ensure political support to a sustainable development strategy as well as to establish procedures for cross-sectoral coordination towards the integration of environmental conservation principles in the development of socio-economic programmes and projects. The NCSD was a form of a high level council that exists for a few other priority issues that currently enjoy stability. For example, Ukraine's High Level Council on National Security and Defense is considered a stable high level consultative and effective decision-making mechanism. Ukraine has also established the position of "Authorized person" or Special Envoy under the Office of the Prime Minister to help champion key issues such as corruption, European Union integration, and gender. The Inter-Ministerial Commission for the Implementation of the UNFCCC is a similar commission that has been meeting for the past dozen years.

60. However, this NCSD was a casualty of the political crisis in 2007 when the government sought to reduce the number of consultative and advisory bodies. In 2009, a new NCSD was created, but did not enjoy the same level of commitment as other high level councils or commissions. In the past four years, the NCSD only met twice until its recent dismantling in March 2013 in preparation for institutional reforms that will be catalyzed by this project. In April 2013, as part of the post-Rio+20 follow-up, the Government held an international conference on "Environment for Ukraine" attended by high level government officials. The conference resolved to create a National Commission on Sustainable Development under the Cabinet of Ministers of Ukraine with the participation of the NGOs and businesses and ensure its active work. This resolution serves to reinforce the Government's commitment to pursuing membership with the European Union, all the countries of which have the equivalent of a NCSD.

## **B.2.e Barriers to Achieving Global Environmental Objectives**

61. For many years, Ukraine had relied on the 1998 policy paper "Main Directions of the National Policy of Ukraine for Environmental Protection, Natural Resource Use and Environmental Safety" in order to guide environmental strategies and action. However, progress has been slow in making sustained environmental achievements, in large part because of the perceived policy mutual exclusivity between environment and socio-economic development.

62. The barriers to achieving global environmental objectives are in large part a reflection of the challenge Ukraine faces in pursuing environmentally sound and sustainable development. During the last 22 years (since independence), certain experience and practice in this area has been gained. However, at the same time, the frequent changes of the government, along with further structural changes among other unforeseen events, have all had a negative impact on the quality of development and implementation of the environmental protection policy. The main barriers identified during the NCSA process were:

### *Systemic*

- a. Lack of a comprehensive approach to the strategic implementation of the Rio Conventions and creation of synergies;
- b. Inadequate financial resources for the national implementation of MEAs;
- c. Inadequate economic incentives to catalyze Rio Convention implementation;

### *Institutional*

- d. Lack of an effective national programme and institutional mechanisms for the environmentally friendly and rational management, protection, and monitoring of land;
- e. Inadequate system for environmental monitoring, including monitoring of ground surface, biological diversity, and critical environmental phenomena;
- f. Inadequate mechanisms for enforcing the fulfillment of Ukraine's obligations under multilateral environmental agreements;
- g. Inadequate economic mechanisms for encouraging business entities to use resource and energy saving technologies in agricultural production;
- h. Under-developed information and advisory services on better approaches to economic development to fulfill Rio Convention obligations, including risk assessment of enhanced agricultural production;
- i. Lack of environmental protection measures applied to agricultural territories within the framework of land reform;
- j. Weak organizational capacity and lack of effective coordination and management at all levels (rayon, regional, and national level) to support Rio Convention implementation;
- k. Inadequate consideration of environmental impacts during the development of sectoral regulation;
- l. Inadequate indicators to assess Rio Convention implementation; and

### *Individual*

- m. Poor awareness of state officials, specialists, and public at large with regard to Ukraine's obligations under the three Rio Conventions.

63. Most of these barriers to achieving global environmental objectives in Ukraine are largely the result of the lack of awareness and understanding of the Rio Conventions' value. The traditional sectoral approach to development coupled with seriously limited financial resources means that line ministries will follow the path of least resistance. This is exacerbated by the complex bureaucratic structures that are a disincentive for ministries and agencies to override institutional and regulatory directives.

## **C. Programme and policy conformity**

### **C.1 GEF Programme Designation and Conformity**

64. This project conforms to the GEF-5 Cross-Cutting Capacity Development (CCCD) Strategy, Programme Framework C, which calls for the strengthening of capacities to develop policy and legislative frameworks to meet Rio Convention objectives. More precisely, this CCCD framework provides the vision for CCCD projects to integrate and mainstream Rio Convention (among other MEA) obligations into a country's policy and legislative frameworks, and to underpin these strengthened capacities with strengthening improved management and compliance.

65. Taking into account the NEP, project activities will focus on a collaborative and expert analysis and integration of Rio Convention provisions into sectoral policies, plans and programmes. This will be accompanied by targeted training on how to better operationalize recommended modifications by undertaking priority mainstreaming exercises. For example, the project could look at the set of guiding policy documents under the Ministry of Agrarian Policy and Food, and identify policy conflicts or gaps in relation to Rio Convention implementation. This would be followed by a set of recommended policy reforms to be instituted. Thus, this project intends to catalyze policy and legislative reforms that are built not only on a foundation of national socio-economic or environmental priorities, but also on global environmental values. By mainstreaming the global environment into Ukraine's sectoral policies, the latter will not only be more environmentally friendly and sustainable, but create synergies for the cost-effective implementation of actions that meet both national priorities and global environmental obligations.

66. Given the holistic construct of sustainable development and its foundations based on the principles of environmental conservation (of both national and global significance), economic growth, and social needs (which includes culture), a Sustainable Development Strategy (SDS) that integrates the three GEF focal areas would facilitate a cost-effective and synergistic implementation of the three Rio Conventions. While the adoption of a Sustainable Development Strategy is a long-term goal of the project, the outcomes of this project center on an improved systemic, institutional, and individual capacities to meet and sustain global environmental objectives. Project outcomes will be measured against a set of metrics that indicate a better understanding of the linkages between the national sectoral policies and global environmental objectives; namely:

- a. Rio Convention obligations are an integral part of the Sustainable Development Strategy.
- b. SDS Roadmap is an overarching plan of action for the environmental and sectoral action plans.
- c. The Government of Ukraine and a wide range of stakeholders systematically review natural resource and environmental policies in a holistic manner in line with Rio Conventions requirements.
- d. Recommended reforms and restructuring per the SDS are presented for parliamentary consideration.

67. These four framework indicators<sup>4</sup> will be embodied within a strengthened policy and institutional framework, reflected by the SDS that will serve as a legitimate instrument for the ministerial action, and strengthened organizational and individual capacities to implement the SDS roadmap. The project does not currently envisage the creation of any new institutional structure, but rather to strengthen existing institutional structures as the more cost-effective approach. However, with the recent commitment of the Government to create a new National Commission on Sustainable Development, this project's outcomes will help mobilize political momentum towards that end.

68. GEF Cross-Cutting Capacity Development is a programme that does not lend itself readily to programme indicators, such as reduction of greenhouse gas emissions over a baseline average for the years 1990 to 1995, or percentage increase of protected areas containing endangered endemic species.

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<sup>4</sup> These framework indicators are further disaggregated into output, process, and performance indicators that are detailed in the GEF Alternative and Logical Framework.

Instead, CCCD projects are measured by output, process, and performance indicators that are proxies to the framework indicators of improved capacities for the global environment. To this end, CCCD projects look to strengthen cross-cutting capacities in the five major areas of stakeholder engagement, information and knowledge, policy and legislation development, management and implementation, and monitoring and evaluation. See Annex 3 below.

69. This project will implement capacity development activities through an adaptive collaborative management approach to engage stakeholders as collaborators in the design and implementation of project activities that take into account unintended consequences arising from policy interventions.

70. The project is also consistent with the programmatic objectives of the three GEF thematic focal areas of biodiversity, climate change and land degradation, the achievement and sustainability of which is dependent on the critical development of capacities (individual, organizational and systemic). Through the successful implementation of this project, recommendations and amendments will be made on sectoral policies, legislation, plans and programmes, which will in turn be organized under the rubric of a national Sustainable Development Strategy that fully reflect Rio Convention principles and obligations. Table 2 summarizes the project's conformity with the 11 operational principles of capacity development identified in the GEF Strategic Approach to Capacity Building.

**Table 2: Conformity with GEF Capacity Development Operational Principles**

<b>Capacity Development Operational Principle</b>	<b>Project Conformity</b>
Ensure national ownership and leadership	The development of this project benefitted from consultations with a large cross-section of stakeholders, which included NGO representatives, high-level politicians, senior government representatives, experts from research institutes, among others.
Ensure multi-stakeholder consultations and decision-making	The project will use multi-stakeholder and expert consultative reviews of mainstreaming analyses and recommendations towards the preparation of a Sustainable Development Strategy. Project implementation will take an adaptive collaborative management approach, which includes stakeholder representatives in the project decision-making structures.
Base capacity building efforts in self-needs assessment	Mainstreaming Rio Convention provisions into Ukraine's national policy framework was identified as a top cross-cutting capacity priority in their NCSA, which included the preparation of a Sustainable Development Strategy.
Adopt a holistic approach to capacity building	The project's strategy is to focus on at least four main line ministries that govern socio-economic and environmental issues for Ukraine, including finance. A systematic and in-depth analysis of their sectoral policies, legislation, plans and programmes will be carried out to ensure that as comprehensive a review is made.
Integrate capacity building in wider sustainable development efforts	By integrating Rio Convention provisions into Ukraine's socio-economic policies and plans, this project will direct capacity building activities (e.g., training and learn-by-doing mainstreaming exercises) towards strengthening plans and programmes that set out to meet sustainable development goals so that they deliver both national and global environmental benefits.
Promote partnerships	By its very nature, this project requires collaboration and coordination among Ukraine's government ministries and agencies. Equally important will be the partnerships that are strengthened with non-state organizations such as academic and research institutes, NGOs, CSOs and the private sector as the project engages them in the development and testing of sectoral policy and programme recommendations.

Accommodate the dynamic nature of capacity building	The project's implementation arrangements include the creation of a Project Board that will convene regularly (once every four months and as needed should the need arise) to oversee the performance of capacity development activities, manage risks, and to approve appropriate modifications to the project activities.
Adopt a learning-by-doing approach	The core of the project's capacity development activities are via a learning-by-doing approach. Government representatives and other stakeholders will be involved in the collaborative review, analysis for formulation of recommendations for the various sectoral analyses. The learning-by-doing will also be instituted through the implementation of selected recommended policy reforms of the respective sectoral analyses.
Combine programmatic and project-based approaches	This project takes a bottom-up and top-down approach to Rio Convention mainstreaming. This project effectively began with the NCSA, which was a bottom-up approach to develop a national environmental policy, which was subsequently enacted into law (the NEP). Using the NEP and Rio Convention provisions as the analytic framework for the sectoral analyses, recommendations will be made to strengthen sectoral policies to be better deliver global environmental outcomes. These would be integrated into a national Sustainable Development Strategy, which will provide a programmatic framework for the holistic pursuit of Rio Convention outcomes and sustainable development.
Combine process as well as product-based approaches	The project's execution process is the adaptive collaborative management approach, which is organized to ensure that representatives from all stakeholder groups are represented early in the decision-making process. This process effectively began with the NCSA, which identified this project's objective as early as 2007, whose commitment was maintained through the government's enactment into law of the NEP. The project will engage as many social actors that play or will potentially play a role in implementing sectoral policy recommendations by involving them as peer and expert reviewers of the sectoral analyses and the recommendations, and well as having them take part in the implementation of the selected recommended actions.
Promote regional approaches	The project will test recommendations for reforms and amendments at the regional level. This will allow for the ground-truthing of the recommendations, and inform modifications of the sectoral recommendations prior to their integration into an integrated global environment and sustainable development strategy.

### C.1.a Guidance from the Rio Conventions

71. This project will address the shared obligations under the three Rio Conventions, which call for countries to strengthen their national capacities for effective national environmental management framework. This project will address a set of Rio Convention articles that call for improved stakeholder engagement to address global environmental issues. Specifically, the project will strengthen Ukraine's environmental governance for the global environment by integrating Rio Convention provisions into sectoral development policies, legislation, plans and programmes, all organized under the rubric of a national Sustainable Development Strategy. This responds to the Article 4(f) of the FCCC, which calls for Parties to "Take climate change considerations into account, to the extent feasible" in their relevant social, economic and environmental policies and actions..." Similarly, Article 6(b) of the CBD calls for Parties to "Integrate, as far as possible and as appropriate, the conservation and sustainable use of biological diversity into relevant sectoral or cross-sectoral plans, programmes and policies." Article 4(a) of the CCD calls for Parties to "Adopt an integrated approach addressing the physical, biological and socio-economic aspects of the processes of desertification and drought."

72. The project will also strengthen organizational capacities, which include individual capacities to carry out actions for improved decision-making on the global environment. For example, Article 19 of the CCD calls for "institution building, training and development of relevant local and national capacities in efforts to combat desertification and mitigate the effects of drought." Article 17(2) of the CBD calls

for "information on training and surveying programmes, specialized knowledge, indigenous and traditional knowledge" to be shared in order to facilitate the conservation and sustainable use of biodiversity. Article 6(a)(iv) of the FCCC calls for the "Training of scientific, technical, and managerial personnel."

73. Stakeholder engagement is similarly called for in the three Rio Conventions. Articles 6(a)(ii) and (iii) of the FCCC expressly call for Parties to promote and facilitate public access to information on climate change and its effects, as well as for public participation in addressing climate change. Article 10(d) calls for Parties to "support local populations to develop and implement remedial action in degraded areas where biodiversity has been reduced." Article 5(d) of the CCD calls for Parties to "promote awareness and facilitate the participation of local populations, particularly women and youth, with the support of NGOs, in efforts to combat desertification and mitigate the effects of drought."

**Table 3: Capacity Development Requirements of the Rio Conventions**

Type of Capacity	Convention Requirements	FCCC	CBD	CCD
<b>Stakeholder Engagement</b>	Capacities of relevant individuals and organizations (resource users, owners, consumers, community and political leaders, private and public sector managers and experts) to engage proactively and constructively with one another to manage a global environmental issue.	Article 4 Article 6	Article 10 Article 13	Article 5 Article 9 Article 10 Article 19
<b>Organizational Capacities</b>	Capacities of individuals and organizations to plan and develop effective environmental policy and legislation, related strategies, and plans based on informed decision-making processes for global environmental management.	Article 4 Article 6	Article 8 Article 9 Article 16 Article 17	Article 4 Article 5 Article 13 Article 17 Article 18 Article 19
<b>Environmental Governance</b>	Capacities of individuals and organizations to enact environmental policies or regulatory decisions, as well as plan and execute relevant sustainable global environmental management actions and solutions.	Article 4	Article 6 Article 14 Article 19 Article 22	Article 4 Article 5 Article 8 Article 9 Article 10

74. Environmental governance is a centerpiece of this project, wherein the project will strengthen Ukraine's national policy framework for catalyzing Rio Convention implementation through integrated sectoral policies, plans and programmes. The institutional sustainability of the project's strengthened capacities of an integrated global environmental and sustainable development strategy would be supported by the project's training and awareness-raising activities. Table 1 identifies the Rio Convention articles to which this project will help address.

## C.2 Project Design

### C.2.b GEF Alternative

75. This project takes a GEF incremental approach to sustainable development, where the co-financed baseline is Ukraine's work to pursue socio-economic and sustainable development in the countries' national interest, and the GEF adds or modifies this baseline, as appropriate, to create synergies in development actions that provide global environmental benefits. This project builds upon Ukraine's

commitment to sustainable development and earlier draft of a sustainable development strategy to take a bottom-up approach to mainstreaming Rio Convention provisions into sectoral development policies, plans, programmes, and legislation that will in turn inform a more robust and integrated global environmental and sustainable development strategy.

76. The European Commission is an important partner in the implementation of this project through their support to Ukraine under the EU-Ukraine Association Agreement (EUUAA), which is a large-scale programme of environmental reforms that is expected to be signed by the end of 2013. This project also builds upon the EC's Sector Budget Support Programme on "Support for the Implementation of an Environmental Strategy". This project's activities will be closely coordinated with both of these EC projects, as well as with Sweden's bilateral support to the environmental mainstreaming in targeted sectoral policies.

#### C.2.b.1 Project Rationale

77. The rationale for this project comes about by the transformative value that an integrated global environment and national sustainable development strategy, which will catalyze actions undertaken to meet national socio-economic priorities and yet will also deliver global environmental benefits. Given the holistic construct of sustainable development and its foundations based on environment, economic and social (which includes culture), the SDS cuts across the GEF focal areas and is intended to strengthen a targeted set of Ukraine's foundational capacities to meet Rio Convention commitments. That is, for Ukraine's Sustainable Development Strategy to be truly holistic and sustainable, it must fully integrate global environmental obligations and priorities.

78. In addition to the three Rio Conventions, this project responds to Ukraine's commitments to the global environment through other multilateral environmental agreements (MEAs). Ukraine's highest authorities have acknowledged and adopted a number of strategic frameworks that reflect the broad range of critical environmental priorities. These include the 2004–2015 Strategy for Economic and Social Development of Ukraine "On the Way to European Integration" (2004) and the Action Programme of the Cabinet of Ministers "Towards People" (2005) that give individual ministries a basis for carrying out high-priority actions on environmental issues. Environmental objectives and targets are also included in Ukraine's 2003 programme for implementing the Millennium Development Goals (MDGs). In 2010, the Government of Ukraine also adopted a four-year programme of economic reforms entitled "Prosperous Society, Competitive Economy, Effective State". These reforms call for undertaking a comprehensive set of policy and programme reforms to catalyze the country's pursuit of sustainable economic development, improvement of life standards and social services, improving the business climate and raising investments, and modernizing infrastructure and primary sectors. Building upon this important baseline, this project capitalizes on these sustainable development reforms to integrate global environmental provisions into new and improved management policies, programmes and plans.

79. Despite the success of Ukraine's NCSA (see section B.2.a) to catalyze the 2007 formulation and 2010 legislative adoption of the NEP, there remains the barrier to its implementation as a result of the sectoral and regional policies and planning processes that do not adequately reflect global environmental priorities. The NAPEP (See Annex 2) lists a number of priority actions to implement the NEP, a number of which will be undertaken by the present CCCD project. The EC and Sweden are two important donors that have responded to address the capacity development needs in Ukraine for environmental mainstreaming, with most activities targeting sustainable economic growth and the green economy. These donors are also supporting Ukraine with environmental mainstreaming under targeted MEAs.

80. The GEF will partner with these donors' technical assistance programmes to provide incremental support to mainstreaming global environmental provisions under the three Rio Conventions. This project will also coordinate with the programmes funded by the EC and Sweden to mainstream environmental priorities into regional and local planning and decision-making processes. This project will develop a Sustainable Development Strategy that will serve as a roadmap for line ministries and regional authorities to carry out their national development mandates and priorities while also meeting Rio Convention and

other EC and MEA commitments. The SDS will also help Ukraine to better coordinate donor-funded programmes, identify synergies, and target opportunities for replication and scaling up of best practices.

### C.2.b.2 Project Goal and Objectives

81. The goal of this project is to **catalyze Ukraine's implementation of the three Rio Conventions on a strengthened policy and institutionally sustainable development baseline**. To this end, the project will focus on mainstreaming Rio Convention provisions into Ukraine's broader national development framework and strengthening related capacities to implement this framework. The first project objective is **to integrate principles and obligations of the three Rio Conventions into Ukraine's national policy framework**. Specifically, this will involve the preparation of a national Sustainable Development Strategy (SDS) that fully integrates global environmental priorities.

82. This objective will be complemented by a second objective **to strengthen key institutional and individual capacities to pursue sustainable development that delivers global environmental benefits**. This second objective will be targeted implementation of the SDS at the regional level, training government staff at the local, regional and national levels on the specific interpretation of Rio Convention provisions as they apply to their respective roles and responsibilities to implement associated development policies. This second objective will also be implemented by a targeted public awareness campaign to raise the understanding of the critical linkages between the Rio Convention principles and the more immediate socio-economic development priorities. Both objectives will be implemented through a learning-by-doing approach. The active participation of stakeholder representatives in the full project life cycle serves to facilitate the strategic adaptation of project activities in keeping with project objectives. The critical role of non-state stakeholders will contribute to the adaptive collaborative management of project implementation.

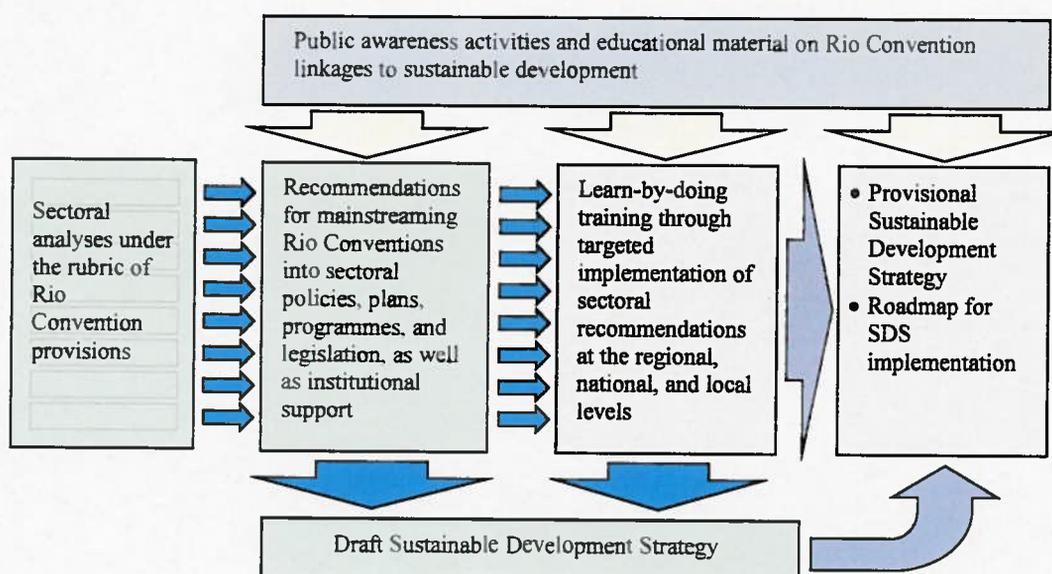


Figure 3: Project Design

### C.2.b.3 Expected Outcomes and Outputs

83. At the end of the project, activities will have resulted in a set of improved capacities to meet and sustain Rio Convention objectives. This project will have strengthened and helped institutionalize commitments under the Rio Conventions within the framework of national sustainable development policy. In this way, the project will have lowered the transaction costs in terms of political will and

resources (human and financial) to address and sustain global environmental outcomes. To this end, the project will have produced a national Sustainable Development Strategy (SDS) that fully reflects articles of the three Rio Conventions and decisions of their respective Conference of the Parties. The project will have also strengthened the institutional arrangements necessary for the cost-effective implementation of the SDS by demonstrating regional SDS implementation and extensive training and public awareness on the critical links between environment and development. This will in turn inform the preparation of the SDS Roadmap. Figure 3 summarizes the design of the project.

84. This project will be implemented in three linked components:

- I. Integrating Rio Conventions into a Sustainable Development Strategy
- II. Developing institutional and technical capacity
- III. Enhancing awareness and understanding

### **Component 1: Integrating Rio Conventions into a Sustainable Development Strategy**

#### **Outcome 1: Rio Convention principles and obligations are mainstreamed into sectoral policies**

85. The first component focuses on strengthening the policy and institutional framework by integrating Rio Convention provisions into Ukraine's sectoral policies that serve to meet national socio-economic development priorities. This mainstreaming exercise will inform the development of a Sustainable Development Strategy (SDS) that reinforces the legitimacy of these improved sectoral policies, programmes, plans and legislations. The project will use lessons learned and good practices experienced in Ukraine, Europe and other countries in mobilizing commitments by policy-makers through consultative mechanisms that include the advocacy role of non-state stakeholders. Towards this end, project activities will include the targeted reconciliation of the Rio Convention obligations with sectoral plans, resulting in a set of policy, programme, legislative, and institutional recommendations and reforms. Taking into account the lessons learned in the preparation of an earlier draft of the sustainable development strategy (see paragraph 42), the recommendations of the sectoral analyses will be integrated into a comprehensive strategy (the SDS) and accompanying roadmap, the purpose of which is to provide a catalytic vision for the implementation of sectoral policies.

86. These analyses, recommendations, and strategizing will take place through an all-inclusive process of expert peer review and stakeholder consultations. In particular, these activities will be carried out in close coordination with the EC/EEAS and the Swedish International Development Agency (SIDA). Four stakeholder constituency public dialogues (known as platforms in Ukraine) will include representatives from government agencies, non-governmental organizations, private sector, civil society, and academia. The SDS prepared under the project will be a draft until it is adopted by Parliament, post-project implementation.

#### **Output 1.1: SWOT and Gap analysis of Ukraine's policy framework and institutional implementation of Rio Conventions**

87. This output comprises a set of in-depth analyses of Ukraine's sectoral policies, legislation, plans, their actions, and their associated institutions from the perspective of Rio Convention implementation through the NEP. They will form the basis for preparing output 2. The analyses will be targeted to the following eight line ministries:

- Agrarian Policy and Food
- Ecology and Natural Resources
- Economic Development and Trade
- Education and Science
- Energy and Coal Mining Industry

- Infrastructure
- Regional Development, Construction and Housing
- Social Policy

#### Activities:

- 1.1.1: Identify a set of national experts to peer review the sectoral analyses and their associated recommendations. In addition to peer reviewing the sectoral analyses undertaken under Output 1.1, they will also review the draft SDS prepared under Output 1.2, the training programme of Activity 2.1.4, and the draft SDS Roadmap prepared under Output 2.2. Terms of Reference for the work of the peer reviewers will be prepared. A small amount of funds will be set aside to cover peer review fees, as appropriate, to ensure that independent expert reviews are carried out on key project analyses.

*Target indicator: At least 40 national experts will have agreed to participate as peer reviewers by month 3 of project implementation. Over time, as experts become unavailable, new experts will be identified to make up at least 40 national expert peer reviewers.*

- 1.1.2: Prepare an analytic framework based on the articles and decisions of the three Rio Conventions, the NEP and best practices for Rio Convention mainstreaming to guide the analysis of sectoral policies of the eight selected line ministries. The analytical framework should be peer reviewed and presented at two or more stakeholder meetings, as needed to secure consensus.

*Target indicator: Analytical framework for the Rio Conventions analytic framework is completed by month 3.*

*Target indicator: Analytical framework for the Rio Conventions analytic framework is endorsed by consensus at stakeholder meeting by month 3.*

- 1.1.3: Analyze the key set of sectoral policies, legislation, plans and programmes and their associated action plans, as appropriate, for the pre-selected eight line ministries (see paragraph 87). These analyses will be accompanied by a set of recommended amendments and reforms. This activity will be carried out by a lead author and panel of experts and ministry representative(s). Each sectoral analysis will be peer reviewed substantively by at least ten (10) national experts. A peer reviewer may review more than sectoral analysis, but cumulatively there should be at least 40 national peer reviews. The preparation of the sectoral analyses will include expert workshops.

*Target indicator: An inventory of action plans to implement Rio Conventions and sectoral programmes are prepared by month 3.*

*Target indicator: Eight (8) SWOT and Gap analyses on the selected eight sectors drafted by month 8.*

*Target indicator: Forty (40) national peer reviews.*

*Target indicator: All eight analyses are rated as high quality<sup>5</sup>*

- 1.1.4: Present peer reviewed analyses and recommendations to four constituent public councils/dialogues for further stakeholder validation, which will include parliamentarians as well as local and regional stakeholder representatives.

*Target indicator: Analyses made widely available to all stakeholders within four (4) weeks of their completion*

*Target indicator: Four (4) constituent public dialogues carried out, each organized as a one-day event with presentations and discussions on the findings of the eight sectoral analyses by month 10.*

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<sup>5</sup> Ratings will be based on a set of 12 criteria on a scale of 1 to 5.

*Target indicator: Each constituent public dialogue is attended by at least 50 representatives from the target stakeholder constituency.*

## **Output 1.2: Sustainable Development Strategy**

88. The SDS will strategize policy and legislative reforms to catalyze Rio Convention implementation is produced and presented to Parliament for consideration. Following the validation of sectoral analyses from the lens of the Rio Conventions by the four stakeholder constituency dialogues (public councils), a second expert and stakeholder consultation process will be used to consolidate and reconcile the recommended sectoral policy, legislative, and institutional amendments and reforms into a draft Sustainable Development Strategy (Activity 1.2.1 below). This second process will be similar in construct to the sectoral analyses conducted for output 1.1, with the results of stakeholder consultations used to construct a draft Sustainable Development Strategy for Parliamentary consideration and eventual adoption.

### **Activities:**

1.2.1: Draft the Sustainable Development Strategy. Experts will be contracted to integrate Rio Convention principles, priorities, and obligations into Ukraine's socio-economic priorities. This exercise will be carried out by reconciling and integrating the eight sectoral analyses and recommendations carried out under activity 1.1.3. A series of consultative meetings among experts and stakeholders will be convened to facilitate the drafting of the SDS prior to the expert workshops of activity 1.2.2.

*Target indicator: Draft SDS is completed by month 18.*

*Target indicator: The draft SDS will be peer reviewed substantively by at least 20 national experts.*

*Target indicator: The draft SDS is rated as high quality<sup>6</sup>*

1.2.2: Conduct expert workshops among representatives from line ministries and experts to review the draft SDS. The expert workshops will be facilitated by the National Academy of Sciences of Ukraine (NASU). A third expert and stakeholder workshop will be convened in year 3 to further review the draft SDS at the time of its approved consideration by Parliament.

*Target indicator: Establish and convene expert workshops to help integrate the eight (8) sectoral analyses into a first draft of the SDS. The first will be convened for the review of the second draft that incorporates input from the expert peer review. The second will be convened after the second peer review and serve to validate the sectoral analyses. The first and second expert workshops will be convened by month 12 and 17 respectively. The third awareness-raising activity will be convened for Parliamentarians to at the time of Parliamentary consideration, month 25.*

*Target indicator: Each expert workshops lead by the NASU will be include at least one mid-level to senior stakeholder participant from the relevancy ministries, agencies, departments, as well as key representatives from relevant non-state stakeholder organizations, including private sector, academia, NGO, and civil society.*

1.2.3: Undertake an assessment of guidelines, tools and resources to support the mainstreaming of Rio Conventions into sectoral policies, plans, and programmes through the implementation of the

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<sup>6</sup> Ratings will be based on a set of 12 criteria on a scale of 1 to 5.

SDS. These will be informed by the implementation of activities 2.1.2, 2.1.4, 2.1.5, and 3.6.1, and include expert workshops to discuss and agree on the best practice guidelines, tools and resources to promote.

*Target indicator: For each of the eight (8) sectors, each guideline, tool, and resource will be succinctly reviewed in one-page.*

*Target indicator: An integrated annotated outline of the full set of guidelines, tools, and resources are peer reviewed and validated in the second expert peer review workshop completed by month 18.*

1.2.4: Convene four (4) public stakeholder constituent dialogues (public councils/platforms) on the draft SDS and its implementation. This will be structured around eight sectoral panel discussions.

*Target indicator: Four (4) constituent public dialogues carried out, each organized as a one-day event convened by month 19.*

*Target indicator: Each constituent public dialogue is attended by at least 50 representatives from the target stakeholder constituency.*

1.2.5: Prepare concept note on the draft SDS (together with SDS roadmap prepared under activity 2.2.4) and submit for consideration by Cabinet of Ministers and Parliament..

*Target indicator: Concept note submitted and approved for consideration by the Cabinet of Ministers and Parliament by month 26.*

## **Component 2: Developing institutional and technical capacity**

### **Outcome 2: Institutional and individual (technical) capacities for SDS implementation are strengthened**

89. The project's second component focuses on strengthening individual and organizational capacities by targeted implementation of policy and programme recommendations made under output 1.1.1, which corresponds to output 2.3 of the original PIF. Guidelines and training manuals will be prepared to help institutionalize the learning-by-doing to implement integrated global environmental and sustainable development strategies through the SDS. This output corresponds to output 2.2 of the original PIF. Targeted training will be provided on focal area and sectoral aspects of sustainable development in order to reinforce the validity and legitimacy of each ministry and their respective agencies and departments' actions towards congruent implementation of the policy and programme recommendations. Training will be provided across governmental units to understand how new and improved roles and responsibilities can more effectively contribute to meeting policy and programme recommendations. The project would also provide training on selected best practices and guidelines for operationalizing policy and programme recommendations.

90. Another output under this component is the preparation of a roadmap for the implementation and institutionalization of the SDS, building upon the best practices and lessons learned of the targeted implementation of the sectoral components of the SDS.

### **Output 2.1: Learn-by-doing mainstreaming of Rio Conventions into selected sectoral policies, plans, programmes, and legislation at the regional, national, and local levels**

91. This project is designed to develop the technical capacities through a learn-by-doing approach. The active involvement of technical staff in the implementation of the recommendations from the sectoral analyses at the regional level, government staff and other stakeholders will become more experienced on environmentally-friendly approaches that will deliver global environmental outcomes. At the national level, training will be provided to at least four line ministries on best practices for the environmentally friendly implementation of sectoral analyses, with an emphasis on delivering global environmental

outcomes. Trainings will be coordinated with those being provided by other donor-funded programmes and projects, with the GEF project incorporating training modules related to the Rio Conventions.

92. In consultation with EC/EEAS and SIDA, among other donors, the Project Board, line ministries, and stakeholders will agree on the selection of the four top priority capacity development recommendations from the sectoral analyses to be implemented at the regional or local level, one for each line ministry. These activities will serve as the means by which representatives from the regional authorities and other key stakeholder representatives take an active role in the mainstreaming activity. Due to funding limitations, a GEF allocation of US\$ 25,000 complemented by an additional US\$ 25,000 in co-financing for each line ministry would be used to: contract national experts; draft revised sectoral policies, plans, programmes, mandates; and organize targeted training sessions.

93. Implementation of the high priority recommendations to mainstream the Rio Conventions into sectoral policies, plans, programmes and legislation will begin in the second year, and will be closely monitored collaboratively and adaptively managed. Lessons learned and best practices from the early implementation of the sectoral capacity development recommendations will inform the development of the SDS roadmap under output 2.2.

#### **Activities:**

2.1.1: Carry out a survey of line ministry staff and other stakeholders on their awareness of Rio Convention priorities and on environmentally-friendly approaches to implementation of sectoral plans. This survey will be taken at the beginning of the project to assess a baseline of technical capacities and inform the design of a training strategy to be undertaken in activity 2.1.3. A second survey will assess the extent to which ministry staff and key stakeholders' awareness and understanding of Rio Convention mainstreaming under the project has increased. This activity would also be undertaken as part of the public awareness survey of activity 3.3.1.

*Target indicator: Two surveys carried out with N>200 respondents, the first completed by month 3 and the second by month 30.*

*Target indicator: Statistical and sociological analyses of survey results are completed by month 5 (baseline) and by month 32.*

2.1.2: Undertake a comprehensive assessment of training needs based on activity 1.1.3 and 2.1.1. This will be based on lessons learned and best practices on similar training needs from other EU countries. Validate this assessment through peer review of experts and stakeholders. Training needs will be finalized as part of activity 3.6.1, building upon lessons learned under output 2.2.

*Target indicator: Report on the comprehensive training needs assessment drafted, peer reviewed, and completed by month 9.*

2.1.3: Select and structure four regional Rio Convention mainstreaming activities on the basis of recommendations made through the sectoral analyses undertaken in 1.1.3. This will be carried out in consultation with line ministries, EC/EEAS, and donors implementing relevant activities. Implementation of these mainstreaming activities will be undertaken as part of activity 2.1.5.

*Target indicator: Four (4) high priority recommendations, one each from the sectoral analyses, selected for early implementation by month 10 under activity 2.1.5.*

2.1.4: Design a targeted training programme building on activities 2.1.1, 2.1.2, and 2.1.3, as well as the relevant training under other donor-funded programmes and projects. Trainings will be carried out within the structure of the regional Rio Convention mainstreaming activities. Validate this assessment through peer review of experts and stakeholders.

*Target indicator: Within the construct of the regional implementation of selected sectoral mainstreaming activities, a training programme is drafted, peer reviewed, and approved by month 13.*

*Target indicator: The training programme will be peer reviewed substantively by at least 16 national experts.*

*Target indicator: The training programme is rated as high quality<sup>7</sup>*

2.1.5: Carry out targeted regional Rio Convention mainstreaming activities of sectoral recommendations selected in activity 2.1.3 in collaboration with other relevant donor-funded projects at the regional or local level. Central government staff will participate, as appropriate, in these activities.

*Target indicator: Four (4) sets of Rio Convention mainstreaming activities selected from among the eight sectoral ministries under implementation at the regional or local level by month 14 and completed by month 19.*

*Target indicator: Each regional activity carries out two training workshops to mainstream Rio Convention into the respective sectoral policy, plan, programme or legislation, the first at the beginning by month 14 and the second at the end by month 19.*

*Target indicator: Four (4) sectoral policies, plans, programmes, and legislations have been revised to better integrate Rio Conventions by month 19.*

*Target indicator: Lessons learned and best practice report prepared on targeted regional Rio Convention mainstreaming activities completed by month 21.*

2.1.6: Cull lessons learned and best practices from the implementation of regional Rio Convention mainstreaming activities to inform the development of a draft SDS roadmap.

*Target indicator: Lessons learned and best practice report prepared on targeted regional Rio Convention mainstreaming activities completed by month 21.*

## **Output 2.2: Draft SDS Roadmap for the effective integration and institutionalization of Rio Convention provisions into sectoral policies, plans, programmes, and legislation**

94. The early implementation of the SDS to catalyze Rio Convention implementation will inform the preparation of a roadmap to guide full-scale SDS implementation. The roadmap will build upon the lessons learned and best practices in the implementation of the 2011-2015 National Action Plan for Environmental Protection, as well as other sectoral action plans. Availing of the set of guidelines, tools and resources identified under the project to catalyze the mainstreaming of Rio Conventions into sectoral development frameworks, the roadmap will be designed and tested (Activity 2.1.5) as a comprehensive tool to strategically implement the full complement of national strategies and action plan. It will be structured in a way that develops human resource capacities through a learn-by-doing approach. The roadmap will contain a set of manageable indicators to measure SDS implementation and expected outcomes.

### **Activities:**

2.2.1: Draft a roadmap for the implementation of the SDS using an expert and peer review process. This exercise will be based on the lessons learned of activity 2.1.6 and integrate training proposed in activity 3.6.1.

*Target indicator: Draft SDS roadmap is to be completed by month 22.*

*Target indicator: The draft SDS roadmap will be peer reviewed substantively by at least 20 national experts.*

*Target indicator: The draft SDS roadmap is rated as high quality<sup>8</sup>*

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<sup>7</sup> Ratings will be based on a set of 12 criteria on a scale of 1 to 5.

<sup>8</sup> Ratings will be based on a set of 12 criteria on a scale of 1 to 5.

2.2.2: Conduct a series of stakeholder consultations to validate the draft SDS roadmap. Once the draft roadmap has been drafted and peer reviewed under activity 2.2.2, it will be circulated widely and discussed through a series of individual and group stakeholder consultations.

*Target indicator: At least 50 representatives from the main stakeholder constituencies (central government, regional government, NGO, academia, private sector, and civil society) actively consulted on the draft roadmap.*

*Target indicator: Stakeholder consultations conclude with a validation workshop by month 23.*

2.2.3: Prepare a concept note on the draft SDS roadmap and submit (together with SDS prepared under activity 1.2.5) for consideration by Cabinet of Ministers and Parliament.

*Target indicator: SDS and accompanying roadmap concept note submitted for consideration by the Cabinet of Ministers and Parliament by month 26.*

### **Component 3: Enhancing awareness and understanding of the environment's contribution to socio-economic development, with particular reference to the Rio Conventions**

95. Component I and II s will be complemented by a third component, which will develop and implement a broad-based public awareness campaign to raise the level of public support to the goal and objectives of the project, focusing on promoting an understanding of Rio Convention issues.

96. This component will help increase the understanding and awareness of civil society on how environmental conservation relates to their personal, local, socio-economic, and immediate needs. The original PIF called for two framework outputs: a) public awareness products on the impact on local welfare of global environmental threats; and b) public advocacy products that link Rio Conventions to local level planning and budget allocation processes. Both of these framework outputs will be delivered through more specific outputs, such as public dialogues, public service announcements on television and radio, educational curricula modules, and student presentations, among others.

97. The high school poster competition of activity 3.4.2 could build upon the recent poster competition organized through the NGO Living Planet<sup>9</sup>. The winning entries could also form the basis for developing a high-quality Public Service Announcement (PSA) for radio and television (activity 3.4.4).

#### **Output 3.1 Kick-Off and Results Conference**

3.1.1: Organize and convene a one-day conference at the beginning of the project to raise awareness of the project goal and objectives. This conference will focus on presentations and panel discussions on the challenges of meeting Rio Convention obligations and how Rio Convention mainstreaming is a high value approach to meeting and sustaining global environmental objectives and benefits. The broad-based survey of activity 3.2 will be undertaken in time to survey conference participants.

*Target indicator: One-day Kick-Off Conference is held by month 3.*

*Target indicator: Over 240 participants attend Kick-Off Conference.*

3.1.2: Organize and convene a one-day conference at the end of the project to promote the value of Rio Convention mainstreaming and mobilize commitment and resources to catalyze replication of mainstreaming best practices. This conference will focus on presentations and panel discussions on the lessons learned to mainstream Rio Convention obligations into sectoral planning frameworks, and to reaffirm the high return on investment towards meeting and sustaining global

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<sup>9</sup> See <http://www.zhiva-planeta.org.ua/ksr.html>.

environmental objectives and benefits. This conference should take place after the second broad-based survey and statistical analysis of activity 3.2.1.

*Target indicator: One-day Project Results Conference is held by month 35.*

*Target indicator: Over 240 participants attend Conference.*

### **Output 3.2 Broad-based survey on public awareness**

3.2.1: Carry out a broad-based survey to assess public awareness of global environmental issues. Using sound scientific methodologies, this survey will build on the World Values Survey<sup>10</sup> carried out in Ukraine in 2005, and implemented in conjunction with activity 2.1.1 at the beginning and six months prior to the closing of the project. The first survey will serve as an assessment of baseline awareness for assessing project outcomes. A second survey will assess the extent to which awareness on the value of Rio Convention mainstreaming has been raised. Both sets of survey results will be analyzed by expert sociologists.

*Target indicator: Two broad-based surveys carried out at the beginning of the project point and with six months of project termination (N>500), the first is completed by month 3 and the second by month 30.*

*Target indicator: Statistical and sociological analyses of survey results are completed by month 5 (baseline) and by month 32.*

### **Output 3.3 Public awareness campaign**

3.3.1: Prepare an implementation plan to coordinate this project's awareness raising and advocacy activities with those of other donor-funded awareness-raising activities. In the past year, Ukraine has been carrying out a number of activities to promote environmental consciousness in conjunction with Rio+20, among other MEAs. However, these have focused on specific thematic issues. This activity will review public awareness campaigns and activities of the past two (2) years, including those that are currently under implementation, and identify a set of new and improved awareness building activities that fill important awareness gaps on Rio Convention mainstreaming in sectoral policies, plans, programmes, and legislation. This will ensure that there is no overlap or duplication of resources, as well as to provide small additional resources to expand and extend activities for greater impact. This activity will be informed by the baseline survey results of 3.2.1, but not be dependent on it.

*Target indicator: Programme of work on public awareness and advocacy activities developed in cooperation with partner development agencies completed by month 4.*

### **Output 3.4 Public awareness and educational materials**

3.4.1: Prepare a set of articles on the Rio Conventions for publication in popular literature. These will articles will be targeted to the general population and published in print media with a high circulation. Articles will also be printed as separate brochures for targeted distribution at special events.

*Target indicator: At least 18 articles on the relevancy of the Rio Conventions to Ukraine's national socio-economic development will be written and published in popular literature with high circulation. Articles are to be published at least every two months. First article is to be published by month 3.*

*Target indicator: Each article is published as a brochure, at least 100 copies each and distributed to at least two high value special events for greatest impact. At least nine (9) will be distributed by month 20 and 18 by month 32.*

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<sup>10</sup> See World Values Survey for the 2005 questionnaire carried out in Ukraine, as well as for statistical analyses.  
<http://www.worldvaluessurvey.org>

- 3.4.2: Develop a plan for high schools to organize creative competitions for school children to express their concern about how their daily lives relates to global environmental issues. The competitions will be promoted on the Environment for Ukraine website and Facebook (Output 3.7).  
*Target indicator: Project plan for high school competitions completed by month 8.*  
*Target indicator: At least 10 high schools carry out high school competitions by month 20.*  
*Target indicator: At least 20 high schools carry out high school competitions by month 32.*
- 3.4.3: Prepare a global environment education module for high schools in integrate into their school curricula. This will include the collation and preparation of educational background material. Environmental studies are not being taught as a full course in high schools. These education modules are intended to strengthen the content of the existing course material as well as help provide sufficient rationale for expanding environmental studies to a full course.  
*Target indicator: Education module prepared for high schools completed by month 8.*  
*Target indicator: At least 10 high schools have implemented education module by month 20.*  
*Target indicator: At least 20 high schools have implemented education module by month 32.*
- 3.4.4: Prepare and air a Public Service Announcement (PSA) for television and radio to promote the mainstreaming of Rio Conventions into socio-economic development issues. This will involve the conceptualization of the message, the story-boarding, filming, and post-production. This will be followed by its airing at strategic intervals.  
*Target indicator: One PSA completed for radio and television by month 14, with the first airing by month 16.*  
*Target indicator: At least 100 airings of the PSA on television and at least 100 airings of the PSA on radio, both by month 34.*

### **Output 3.5 Awareness-raising dialogues and workshops**

- 3.5.1: Organize and convene workshops for media professionals to better enable them to report on the global environmental issues and their relevance to Ukraine. The project will invite the media from print and audio-visual media to two workshops per year. As part of the statistical and sociological analysis of activity 2.1.1, a database search of articles on Rio Convention mainstreaming keywords will be conducted to identify baseline indicators and trends. A similar analysis at the end of the year will show the extent to which media professionals have increased (maintained or decreased) their level of reporting on Rio Convention mainstreaming.  
*Target indicator: At least five (5) media awareness workshops held, each with at least 20 participating media representatives, the first by month 6.*  
*Target indicator: By month 32, reporting in the popular literature on Rio Convention mainstreaming shows a 10% increase over forecasted trends using baseline data and past trends*
- 3.5.2: Organize and convene panel discussions on best practices and experiences on synergies between conservation of the global environmental that can also benefit businesses.  
*Target indicator: Three (3) panel discussions, with at least 50 private sector representatives, one held each year, the first by month 7.*
- 3.5.3: Organize and convene regional awareness workshops on the linkages between local socio-economic development and priorities and the global environment.  
*Target indicator: At least four (4) regional workshops are convened, with local and regional government representatives from all regions (25) having participated in at least one workshop. Each workshop should be attended by at least 50 local/regional representatives. Two regional workshops will be completed by month 20 and all four regional workshops will have been completed by month 29.*

3.5.4: Convene four public stakeholder constituent dialogues/councils on the Rio Conventions. These would be organized around the institutionalized public dialogues, i.e., "platforms". In addition to the dialogues carried out in year 1 (activity 1.1.4) and year 2 (activity 1.2.4), four additional stakeholder constituent dialogues will be carried out in year 3 to present and discuss best practices and lessons learned in mainstream Rio Conventions into sectoral development through the project

*Target indicator: Four (4) public dialogues carried out in year 3, by month 32.*

*Target indicator: Each constituent public dialogue is attended by at least 50 representatives from the target stakeholder constituency.*

*Target indicator: Statistical and sociological analysis of broad-based awareness survey undertaken in activity 3.2.1 (by month 32) shows a 20% increase in across the board understanding Rio Convention mainstreaming values and opportunities.*

### **Output 3.6 Training of government staff on Rio Convention mainstreaming**

3.6.1: Building on activity 1.2.3 (training assessment) and 2.1.4 (preliminary/targeted training programme), as well as lessons learned (2.1.6) in the targeted mainstreaming activities (2.1.5), prepare a comprehensive training programme for government staff on the skills, tools, manuals, and resources to facilitate the implementation of the SDS roadmap.

*Target indicator: Comprehensive public administration training programme is completed by month 22 and approved for incorporation within Ukraine's national public administration training programme by month 26.*

3.6.2: Mainstreaming of Rio Conventions undertaken through the preparation of the sectoral analyses, SDS, SDS Roadmap, and targeted revision of into sectoral policies, plans, programmes, and legislation serve as learning-by-doing. These are: 1.2.1, 1.2.2, 2.1.4, 2.1.5, 2.2.2, and 3.3.1.

*Target indicator: At least 300 government staff and stakeholder representatives have actively participated in learning-by-doing activities by month 32. (This does not include participation by stakeholders in direct training workshops, e.g. the 200 government staff training in activity 3.5.3)*

*Target indicator: Statistical and sociological analysis of government staff awareness survey undertaken in activity 2.1.1 shows a 20% increase in across the board understanding Rio Convention mainstreaming results.*

*Target indicator: All Rio Convention Focal Points endorse SDS and accompanying roadmap for Parliamentary approval by month 26*

### **Output 3.7 Internet visibility of Rio Convention mainstreaming**

3.7.1: Include webpages on the Environment for Ukraine website (www.pryroda.in.ua) on linkages between local action and global environmental outcomes under the Rio Conventions. This website (which may include an electronic discussion forum) will serve as a clearinghouse on up-to-date information about Ukraine's national implementation of the Rio Conventions.

*Target indicator: Environment for Ukraine website includes new webpage and introductory articles on Rio Convention mainstreaming by month 3.*

*Target indicator: Website is regularly updated, at least once a month with new information, articles, and relevant links on Rio Convention mainstreaming.*

*Target indicator: Number of visits to the Rio Convention mainstreaming webpages raises sustained visits to Environment for Ukraine website by at least 10%.*

3.7.2: Create a Facebook page on Rio Convention mainstreaming

*Target indicator: Facebook page created by month 3.*

*Target indicator: At least 3,000 Facebook likes by month 32.*

### **C.3 Sustainability and Replicability**

#### **C.3.a Sustainability**

98. The project's fundamental approach to sustainability is to create incentives for continued development and application of the capacities developed by the project. The project's exit strategy is dependent on the continuation of particular commitments and activities without the need of long-term international financing. These include:

- High-level political commitment to sustainable development;
- Parliamentary approval of the draft Sustainable Development Strategy;
- On-going commitment and accountability for inter-ministerial and inter-agency collaboration in decision-making and planning processes;
- Cost-effective and well-functioning coordination structure for implementing the SDS;
- Regular trainings for civil servants at the national and local level using curricula on public administration for global environmental management and sustainable development;
- Full engagement of all key stakeholders, in particular non-state actors;
- Long-term implementation of SDS Roadmap,
- On-going raising of public awareness on linkages of the global environment to national socio-economic development priorities; and
- Increasing the ownership of project benefits.

99. Although Ukraine possesses a sufficient level of expertise and information that is available to decision-makers on Rio Convention implementation, the level of political will and accountability of decision-makers to use this expertise and implement Rio Conventions' obligations remain inadequate. This is in part due to an insufficiency of understanding the importance and value of global environmental benefits to national socio-economic development priorities. Additionally, there is no integrated approach for planning national socio-economic development within the framework of the Rio Conventions. As a result, Ukraine proceeds with its planning processes through sectors, leaving environmental issues to be addressed within the "environment" sector.

100. High-level political commitment is critical to the sustainability of project outcomes, specifically to reinforce the legitimacy of the SDS and its implementation by central and regional government authorities. Together with the existing governance structures and mechanisms, project implementation arrangements (e.g., Project Board and expert working groups) set out to institutionalize the capacities developed under the project. The activities in Component 2 of the project set out to strengthen, among others, the institutional capacities for SDS implementation. The feasibility and effectiveness of alternative structures and mechanisms to implement and sustain SDS implementation would be explored. The best set of institutional structures and mechanisms for SDS implementation will be validated by stakeholders and incorporated into the SDS Roadmap. A number of options were considered during the design of the project, which would be further explored during project implementation.

101. Building upon the project implementation arrangements, one option would be to institutionalize the Project Board and expert working groups convened to help formulate the SDS and its accompanying roadmap. The new mechanism would be to include an inter-agency working group on sustainable development under the Cabinet of Ministries. This group would be supported by a small secretariat to coordinate consultations among agencies, as well as with non-state stakeholders. This mechanism would also serve to reinforce the legitimacy and accountability of ministries and central and regional government authorities to take appropriate action.

102. Under the Cabinet of Ministers, the inter-agency group may be perceived as espousing the policies of the political party in power. To minimize this perception and the potential loss of political commitment as a result of changes in government leadership, a slight variation would be to establish the inter-agency working group under Parliament. As a parliamentary mechanism, this group would include recognized non-state stakeholder representatives, e.g., academia, civil society, and NGOs.

103. Another approach to ensuring sustainability is to ensure that the SDS is in line with multilateral environmental agreements and international sustainable development goals, such as the Post-2015 Development Agenda. The legitimacy of these goals at the national level can only come about with a strong alignment with national socio-economic development priorities. The project would develop the SDS that integrates and reconciles the Rio Conventions with national socio-economic priorities through a clear vision, goals, and objectives. While the formulation of the SDS will be informed by international and national obligations and priorities, it will also be built from the bottom-up through a steady process of local and regional stakeholder consultation process. The transparency of the formulation process will help strengthen the legitimacy of the SDS among stakeholders, thereby contributing to reinforcing the likelihood of sustainability.

104. Successful implementation of the SDS is dependent on the committed and active engagement of all ministries and central and regional authorities. In Ukraine, experience has shown that when the lead responsibility for a strategy lies within a single line ministry, the prevailing perception is that the strategy is political. As one of its projects, the lead ministry is responsible for the executing arrangements, which includes resource mobilization and financial management. Unless otherwise mandated to, line ministries are not required to undertake activities that fall outside of their remit. For this reason, the implementation of the SDS and sustainability of its outcomes requires legitimized action by all appropriate government ministries and authorities, including non-state stakeholders. Therefore, the inter-agency group will need to be empowered by Parliament and the Cabinet of Ministers to hold government authorities at all levels accountable for actions called for in the SDS and its accompanying roadmap. The roadmap would be accompanied by a comprehensive set of useful guidelines, tools, manuals, and other resources that would facilitate the ease of following the roadmap.

105. Organizational absorptive capacity is a major constraint to a well-functioning environmental management system. While there is a sufficient baseline of technical expertise in Ukraine in various agencies related to the Rio Conventions and sustainable development, the Ministry of Ecology and Natural Resources itself is currently not sufficiently capacitated or empowered as a change agent to catalyze national implementation of the Rio Conventions. The recent adoption of the National Environmental Policy has helped empower the MENR, and the supporting National Action Plan on Environmental Protection, require strengthened capacities to effectively implement them. While the project will catalyze the mainstreaming of the Rio Conventions into sectoral policies, plans, programmes, legislation, and institutional mandates, institutional capacity development is an on-going requirement to sustain outcomes.

106. On-going training will be critical to the success and sustainability of both the coordination body and other social actors responsible for the implementation of the SDS. To this end, the project will build on the best practices and lessons learned through the early implementation of selected high priority recommendations of the draft SDS to formulate a robust training programme for government staff and selected non-state actors. This will be undertaken in close collaboration with the National Academy of Public Administration (NAPU).

107. During project development, stakeholders considered the option of creating a National Agency on Sustainable Development, and alternatively the establishment of a State Agent (Authorized Person) on Sustainable Development. The creation of a national agency has the advantage of being a new institutional body is that it can be structured to target support to the implementation of the inter-agency working group on sustainable development. However, establishing a new body comes at a great expense

and runs the risk of duplicating roles and responsibilities currently held by other government authorities. There have been some success stories from having a State Agent in Ukraine. This has been tried in the cross-cutting issues of gender and poverty, with successful results.

### **C.3.b Replicability and Lessons Learned**

108. The project is inherently designed for replicability, taking a measured approach to test best practices, and lessons learned will be used to adaptively manage the replication of activities to ensure that they remain relevant, valid and legitimate. The early implementation of the SDS through selected high priority recommendations from the sectoral analyses serves a number of purposes. The first is that the current capacity development baseline is raised to better enable Ukraine to replicate project activities and outputs. Secondly, lessons will be learned to determine the cost-effectiveness of capacity development activities, thereby allowing for them to be modified appropriately for subsequent replication. The SDS and its accompanying roadmap serve as a policy framework for the replication of best practices for Rio Convention mainstreaming in other regions of Ukraine.

109. An initial set of project activities is the in-depth assessment of the baseline capacities to mainstream the Rio Conventions and the assessment of tools and resources to support SDS implementation. The project's incremental approach to the development of the SDS through the sectoral analyses serves to ensure that lessons learned on the most feasible approaches to mainstream the Rio Conventions inform a resilient SDS. Due to Ukraine's on-going alignment with European Union standards, lessons learned and best practices will be primarily based on European experiences. By partnering with the European Commission and implementing this project in close coordination with the EC/EEAS, this project will benefit from policy guidance that will reinforce the most appropriate choices for Rio Convention mainstreaming.

110. The series of public and awareness dialogues with stakeholders is central to ensuring that lessons are really learned, and that the country as a whole moves forward with incremental improvements on meeting Rio Convention obligations within the framework of national sustainable development. As more and more people understand the critical linkages between the global environment and local actions, they will be able to take more informed decisions.

111. Progress evaluation reports will be used to inform the appropriate adaptation of project activities and milestones. There will not be a mid-term evaluation of the project as the core capacity development activities. The key enabling conditions to ensuring project sustainability is that the institutional coordination mechanisms are put in place and sufficiently capacitated. As part of the development and negotiation on institutional modalities to implement the SDS, and based on the experiences, best practices, and other lessons learned, the project will decide on the best determine how best to institutionalize and replicate the project's implementation arrangements.

### **C.4 Stakeholder Involvement**

112. This project was developed on the basis of consultations with a number of stakeholder representatives, both during the development of the PIF and the development of the present project document. National experts were recruited to prepare a number of background studies and consulted more broadly with other national stakeholders on the validity of the project strategy. This included an initial stakeholder consultation workshop that was attended by over 20 representatives (December 2012) and a later stakeholder validation workshop, which was attended by over 60 representatives (March 2013).

113. Taking an adaptive and collaborative management approach to execution, the project will ensure that key stakeholders are involved early and throughout project execution as partners for development. This includes their participation in the Project Board, review of project outputs such as recommendations

for amendments to policies, plans, programmes and legislation, as well as participation in monitoring activities.

114. The background studies prepared as part of the development of the project included assessments of Ukraine's current institutional field related to the Rio Conventions, best practices for coordinating environmental priorities, and stakeholder roles. The project strategy was also discussed with representatives of the European Commission's European External Action Service, which confirmed the congruency between their current and planned programme of work and the GEF project. Important consultations were also held with various government representatives and focal points to ensure that the project was appropriately design and its implementation arrangements suitable. Consultations with government representatives on the final draft of the project document were undertaken to confirm project co-financing.

115. The first set of government stakeholders are the eight ministries, their respective state agencies, and central and regional authorities that will directly benefit from the project. State agencies include those that cover environmental investment (SEIA), energy (SAEE), fisheries (SFA), forests (SFRA), land (SLRA), and water (SWRA) are important stakeholders that provide oversee the management of these natural resources. Other state agencies play a more central role in managing socio-economic development priorities that may have an impact on the global environment. These include:

- Ministry of Agrarian Policy and Food
- Ministry of Ecology and Natural Resources
- Ministry of Economic Development and Trade
- Ministry of Education and Science, Youth and Sport
- Ministry of Energy and Coal Mining Industry
- Ministry of Infrastructure
- Ministry of Regional Development, Construction and Housing
- Ministry of Social Policy

116. In addition to the above, a key group of stakeholders are the parliamentarians that make policy decisions and who will be responsible for approving the Sustainable Development Strategy. The project will carry out structured awareness-raising dialogues to raise and strengthen the support of parliamentarians to the concept and strategy of integrated approach to meeting global environment (Rio Conventions) and national socio-economic development priorities.

117. In addition to participation from regional authority representatives, other key stakeholders include the private sector and academic institutions, the latter holding a vast amount of data, information and expertise. Academic institutions (and to certain extent NGOs) play considerable role in Ukraine in informing decision-makers (central Government in particular) on sustainable development/environmental (Rio context in particular) matters and even initiate and undertake drafting of strategic documents and decisions to be further adopted by governmental institutions. The profound analyses and drafts produced by academia in major cases are used only too little extent by decision-makers or in detached context, or decisions are even in many cases are undertaken contrary to proposed recommendations.

118. Other non-state stakeholders have played and are envisaged to continue to play an important role in ensuring that the project remains grounded to on-the-ground realities and expectations as well as focused on Rio Convention obligations. Community-based organizations could play an important role in sustainable development of regions by taking into account local culture and traditions. Informal stakeholders (citizens' groups, professional networks, etc.) will be engaged to foster coherence between stakeholders' positions and policies and build broad political support and commitment. Many community-based and civil society organizations are often better aware than line ministries of the social, economic and environmental consequences of decisions taken by central government.

119. Many such organizations play role of "watchdogs" with a continuous commitment to monitor new and existing projects for compliance with rules and regulations. They will greatly enhance the legitimacy of the project, but also ensure that the capacity development activities continue to be relevant and

appropriately targeted. In so doing, the project can better adapt to changing circumstances and unforeseen events, and thus have a greater likelihood of institutionalizing the capacities developed. During the project initiation workshop, a stakeholder involvement plan will be developed to secure commitments from key partners and champions for important project activities. In particular, the workshop will review project activities, detailing the leadership roles for project stakeholders. A first major activity will be a kick-off conference to promote the goal and objectives of the project to create a significant momentum to catalyze project implementation.

120. The project will take advantage of a number of existing mechanisms in Ukraine to engage stakeholders to formulation and realization of environmental policy. These include the four stakeholder public council meetings (dialogues) that were convened under the MENR and its regional departments that unite environmental NGOs. In addition to the public councils (platforms), Ukraine organizes an annual International Forum called "Environment for Ukraine" that gathers different stakeholders, including central and local authorities, academia, education, business, NGOs and youth. As of 2013, the public councils are going to be independent from the MENR as they do not support activity of the MENR on promoting unconventional gas production. Another reason is that the regional departments of the MENR will be included in the structure of state regional administrations. In response, environmental NGOs established the National Environmental Council (NEC) and included different stakeholders (business, education, academia, and community-based organization) to the NEC. Close cooperation with NEC and contribution to organization of 'Environment for Ukraine' Forum could be good sustainable options to engage stakeholders in long-term perspective.

121. The private sector in Ukraine has already begun to address its role in fostering sustainable development at the global level, e.g., through the work of the World Business Council for Sustainable Development and initiatives such as the new UN-Private Sector Global Compact on responsible business behaviour. The project will build upon the commitment and involvement of the private sector and civil society by ensuring that the SDS responds to the private sector drivers and incentives for their active and sustained engagement. Private sector involvement will be more productive with a transparent SDS development process, one that is open to voluntary and market-based instruments, balanced with regulatory and fiscal instruments. The public dialogues and awareness workshops of the project are structured in a way to ensure that private sector stakeholders are willing to "come to the table" in order to understand the constraints they face and the factors likely to foster innovation and new ways of working.

## C.5 Monitoring and Evaluation

122. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures. The project team and the UNDP Country Office (UNDP-CO) will undertake monitoring and evaluation activities, with support from UNDP-GEF, including by independent evaluators in the case of the final evaluation. The logical framework matrix in Annex 4 provides a logical structure for monitoring project performance and delivery using SMART indicators during project implementation. The output budget and the work plan in the UNDP project document provide additional information for the allocation of funds, both the GEF and co-financing, for expected project deliverables and the timing of project activities to produce these deliverables. Annex 5 provides a breakdown of the total GEF budget by outcome, project management costs, and allocated disbursements on a per year basis. A GEF tracking tool for CCCD will be used as part of monitoring and evaluation activities to assess project delivery. The work plan is provisional, and is to be reviewed during the first project board and endorsed at the project initiation workshop.

123. The following sections outline the principle components of monitoring and evaluation. The project's monitoring and evaluation approach will be discussed during the project's initiation report so as to fine-tune indicators and means of verification, as well as an explanation and full definition of project staff M&E responsibilities.

124. A project initiation workshop will be conducted within the first two (2) months with the full project team, National Project Director, relevant government counterparts, co-financing partners, the UNDP-CO, with representation from the UNDP-GEF Regional Coordinating Unit as appropriate. Non-governmental stakeholders should be represented at this workshop.

125. A fundamental objective of this initiation workshop will be to further instill and understanding and ownership of the project's goals and objectives among the project team, government and other stakeholder groups. The workshop also serves to finalize preparation of the project's first annual work plan on the basis of the project's log-frame matrix. This will include reviewing the log frame (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise, finalize the Annual Work Plan (AWP) with precise and measurable performance (process and output) indicators, and in a manner consistent with the expected outcomes for the project.

126. Specifically, the project initiation workshop will: (i) introduce project staff to the UNDP-GEF expanded team that will support the project during its implementation, namely the CO and responsible Project Management Unit<sup>11</sup> (PMU) staff; (ii) detail the roles, support services and complementary responsibilities of UNDP-CO and PMU staff with respect to the project team; (iii) provide a detailed overview of UNDP-GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the combined Annual Project Reports - Project Implementation Reviews (APR/PIRs), Project Board (PB) meetings, as well as final evaluation. The initiation workshop will also provide an opportunity to inform the project team on UNDP project-related budgetary planning, budget reviews, and mandatory budget re-phasing.

127. The initiation workshop will provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for PMU staff and associated decision-making structures will be discussed again, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase.

128. The initiation workshop will also present a schedule of M&E-related meetings and reports. The Project Manager in consultation with UNDP will develop this schedule, and will include: (i) tentative time frames for PB meetings, and the timing of near-term project activities, such as the in-depth review of

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<sup>11</sup> The Project Management Unit (PMU) will be an administrative extension of the MENR, with technical and administrative support from the UNDP-CO Environmental Governance and Sustainable Development Project.

literature on natural resource valuation; and (ii) project-related monitoring and evaluation activities. The provisional work plan will be approved in the first meeting of the PB.

129. Day-to-day monitoring of implementation progress will be the responsibility of the Project Manager based on the project's Annual Work Plan and its indicators. The Project Manager will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

130. The Project Manager will fine-tune outcome and performance indicators in consultation with the full project team at the initiation workshop, with support from UNDP-CO and assisted by the UNDP-GEF. Specific targets for the first year implementation performance indicators, together with their means of verification, will be developed at the initiation workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the Project Team, and agreed with the Executing Agency (MENR) and SEIA, among other key project partners sitting on the PB.

131. Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through the provision of quarterly reports from the Project Manager. Furthermore, specific meetings may be scheduled between the PMU, the UNDP-CO and other pertinent stakeholders as deemed appropriate and relevant (particularly the PB members). Such meetings will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

132. Annual Monitoring will occur through the Annual Project Board meeting. This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to PB meetings at least twice per year. The first such meeting will be held within the first twelve months following the initiation workshop. For each year-end meeting of the PB, the Project Manager will prepare harmonized Annual Project Report / Project Implementation Reviews (APR/PIR) and submit it to UNDP-CO, the UNDP-GEF Regional Coordination Unit, and all PB members at least two weeks prior to the meeting for review and comments.

133. The APR/PIR will be used as one of the basic documents for discussions in the PB year-end meeting. The Project Manager will present the APR/PIR to the PB members, highlighting policy issues and recommendations for the decision of the Committee participants. The Project Manager will also inform the participants of any agreement(s) reached by stakeholders during the APR/PIR preparation, on how to resolve operational issues. Separate reviews of each project output may also be conducted, as necessary. Details regarding the requirements and conduct of the APR and PB meetings are contained with the M&E Information Kit available through UNDP-GEF.

134. The terminal review meeting is held by the PB, with invitation to other relevant Government and municipal stakeholders as necessary, in the last month of project operations. The Project Manager is responsible for preparing the terminal review report and submitting it to UNDP-COs, the UNDP-GEF Regional Coordinating Unit, and all participants of the terminal review meeting. The terminal review report will be drafted at least one month in advance of the terminal review meeting, in order to allow for timely review and to serve as the basis for discussion. The terminal review report considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. The report also decides whether any actions remain necessary, particularly in relation to the sustainability of project outputs and outcomes, and acts as a vehicle through that lessons learned can be captured to feed into other projects under implementation or formulation. The terminal review meeting should refer to the independent final evaluation report, conclusions and recommendations as appropriate.

135. The UNDP-CO, in consultation with the UNDP-GEF Regional Coordinator and members of the PB, has the authority to suspend disbursement if project performance benchmarks are not met as per delivery rates, and qualitative assessments of achievements of outputs.

136. A project initiation report will be prepared immediately following the initiation workshop. This report will include a detailed First Year Work Plan divided in quarterly time-frames as well as detailed activities and performance indicators that will guide project implementation (over the course of the first year). This Work Plan will include the proposed dates for any visits and/or support missions from the UNDP-CO, the UNDP-GEF Regional Coordinating Unit, or consultants, as well as time-frames for meetings of the project decision-making structures (e.g., PB). The report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months' time-frame.

137. The initiation report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation, including any unforeseen or newly arisen constraints. When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in that to respond with comments or queries.

138. The combined Annual Project Report (APR) and Project Implementation Review (PIR) is a UNDP requirement and part of UNDP's Country Office central oversight, monitoring and project management. As a self-assessment report by project management to the Country Office, the APR/PIR is a key input to the year-end Project Board meetings. The PIR is an annual monitoring process mandated by the GEF. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from on-going projects. These two reporting requirements are very similar in input, purpose and timing that they have now been amalgamated into a single APR/PIR Report.

139. An APR/PIR is to be prepared on an annual basis for the previous reporting period (30 June to 1 July), but well in advance (at least one month) in order to be considered at the PB meeting. The purpose of the APR/PIR is to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The APR/PIR is discussed by the PB, so that the resultant report represents a document that has been agreed upon by all of the key stakeholders.

140. A standard format/template for the APR/PIR is provided by UNDP-GEF. This includes, but not limited to, the following:

- An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome;
- The constraints experienced in the progress towards results and the reasons for these;
- The three (at most) major constraints to achievement of results;
- Annual Work Plans and related expenditure reports;
- Lessons learned; and
- Clear recommendations for future orientation in addressing key problems in lack of progress.

141. UNDP will analyze the individual APR/PIRs by focal area, theme and region for common issues/results and lessons. The APR/PIRs are also valuable for the independent evaluators who can utilize them to identify any changes in project structure, indicators, work plan, etc., and view a past history of delivery and assessment.

142. Quarterly Progress Reports are short reports outlining the main updates in project performance, and are to be provided quarterly to the UNDP Country Office. UNDP-CO will provide guidelines for the preparation of these reports, which will be shared with the UNDP-GEF RCU. Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform on quarterly basis.

143. During the last three months of the project, the PMU will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the project, lessons

learned, the extent to which objectives have been met, structures and mechanisms implemented, capacities developed, among others. Together with the independent final evaluation, the project terminal report is one of two definitive statements of the project's activities during its lifetime. The project terminal report will also recommend further steps, if necessary, in order to ensure sustainability and replicability of the project outcomes and outputs.

144. An independent final evaluation will take place three months prior to the terminal tripartite review meeting, and will focus on: a) the cost-effectiveness, efficiency and timeliness of project implementation and performance; b) highlight issues requiring decisions and actions; and c) present initial lessons learned about project design, implementation and management. Findings of this evaluation will be incorporated as lessons learned, and recommendations for improvement addressed to ensure the institutional sustainability of project outputs, particular for the replication of project activities. The final evaluation will also look at project outcomes and their sustainability. The final evaluation should also provide recommendations for follow-up activities, as appropriate. The terms of reference for the final evaluation will be prepared by the UNDP-CO based on guidance from the UNDP-GEF Regional Coordinating Unit, in consultation with the MENR and SEIA.

145. The Project Manager will provide the UNDP Resident Representative with certified periodic financial statements and an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in UNDP's Programming and Finance manuals. The audit will be conducted by the legally recognized auditor of UNDP Ukraine. Audit on project will follow UNDP Financial Regulations and Rules and applicable Audit policies.

146. Learning and knowledge sharing will be enhanced through the dissemination of project results within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

147. Communications and visibility requirements: Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: [http://www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo). The UNDP logo can be accessed at: <http://intra.undp.org/coa/branding.shtml>.

148. Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at:

[http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf). Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

**Table 5: Monitoring Workplan and Budget**

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP CO, UNDP GEF</li> </ul>	Indicative cost: 10,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> <li>▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</li> </ul>	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> <li>▪ Oversight by Project Manager</li> <li>▪ Project team</li> </ul>	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RTA</li> <li>▪ UNDP EEG</li> </ul>	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> </ul>	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	Indicative cost : 10,000	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team,</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	Indicative cost : 30,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ local consultant</li> </ul>	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ Project manager and team</li> </ul>	Indicative cost per year: 3,000	Yearly
Visits to field sites	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ UNDP RCU (as appropriate)</li> <li>▪ Government representatives</li> </ul>	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding project team staff time and UNDP staff and travel expenses		US\$ 60,000 (+/- 5% of total budget)	

## **D. Financing**

### **D.1 Financing Plan**

149. The financing of this project will be provided by the GEF, with co-financing from the Government of Ukraine. The allocation of these two sources of finances is structured by the three main project outputs, as described in section C.2.b above. Table 6 below details this allocation. The Total Budget and Workplan (input) budget for the GEF contribution is provided in Table 6a below and Annex 12 of this project document.

**Table 6: Project Costs (US\$)**

<b>Total Project Budget by Component</b>	<b>GEF (\$)</b>	<b>Co-Financing (\$)</b>	<b>Project Total (\$)</b>
Component 1	260,000	259,000	519,000
Component 2:	347,000	317,000	664,000
Component 3	203,000	254,000	457,000
Project Management	90,000	150,000	240,000
<b>Total project costs</b>	<b>900,000</b>	<b>980,000</b>	<b>1,880,000</b>

**Table 6a: GEF Total Budget and Work Plan**

<b>Award ID:</b>	<b>00074532</b>
<b>Project ID:</b>	<b>00086888</b>
<b>Award Title:</b>	<b>Integrating Rio Convention Provisions into Ukraine's National Environmental Policy Framework</b>
<b>Business Unit:</b>	<b>UKR10</b>
<b>Project Title:</b>	<b>Integrating Rio Convention Provisions into Ukraine's National Environmental Policy Framework</b>
<b>PIMS No:</b>	<b>4478</b>
<b>Implementing Partner (Executing Agency)</b>	<b>Ministry of Environment and Natural Resources</b>

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	Budget Notes:
<b>COMPONENT 1:</b> Rio Convention principles and obligations mainstreamed into sectoral policies	MENR	62000	GEF	71300	Local Consultants	96,000	43,500	10,000	149,500	1
				71200	International Consultants	2,500	2,500	2,000	7,000	2
				72100	Contractual services - Companies	58,500	39,500	5,500	103,500	3
					<b>Sub-total GEF</b>	<b>157,000</b>	<b>85,500</b>	<b>17,500</b>	<b>260,000</b>	
					<b>Total Outcome 1</b>	<b>157,000</b>	<b>85,500</b>	<b>17,500</b>	<b>260,000</b>	
<b>COMPONENT 2:</b> Strengthening institutional and individual capacities for SDS implementation	MENR	62000	GEF	71300	Local Consultants	20,500	136,000	0	156,500	4
				71200	International Consultants	2,000	2,500	2,000	6,500	2
				72100	Contractual services - Companies	43,000	122,500	18,500	184,000	5
					<b>Sub-total GEF</b>	<b>65,500</b>	<b>261,000</b>	<b>20,500</b>	<b>347,000</b>	
					<b>Total Outcome 2</b>	<b>65,500</b>	<b>261,000</b>	<b>20,500</b>	<b>347,000</b>	
<b>COMPONENT 3:</b> Enhancing awareness and understanding of the environment's contribution to socio-economic development, with particular reference to the Rio Conventions	MENR	62000	GEF	71300	Local Consultants	39,517	21,767	52,716	114,000	6
				71200	International Consultants	2,000	2,000	2,500	6,500	2
				72100	Contractual services - Companies	27,500	15,500	39,500	82,500	7
					<b>Sub-total GEF</b>	<b>69,017</b>	<b>39,267</b>	<b>94,716</b>	<b>203,000</b>	
					<b>Total Outcome 3</b>	<b>69,017</b>	<b>39,267</b>	<b>94,716</b>	<b>203,000</b>	
<b>Project Management</b>	<b>MENR</b>	<b>62000</b>	<b>GEF</b>	<b>71200</b>	<b>International Consultant</b>	<b>0</b>	<b>0</b>	<b>10,000</b>	<b>10,000</b>	<b>8</b>

	71600	Travel	0	0	5,000	5,000	9
	71400	Contractual Services -- Individual	20,000	20,051	20,000	60,051	8
	74599	Direct Project Costs	4,983	4,983	4,983	14,949	10
		Sub-total GEF	24,983	25,034	39,983	90,000	
		Total Outcome 4	24,983	25,034	39,983	90,000	
<b>Total Project</b>			316,500	410,801	172,699	900,000	

**Budget Notes:**

1. Environmental Sociologist, Agrarian Policy Specialist, Natural Resource Expert, Environmental Economist, Environmental Education Specialist 1, Energy Expert, Transportation Specialist, Urban Development Specialist, Social Welfare Specialist, Public Administration Expert (1), Expert Review fees
2. International Technical Specialist
3. WG consultations to draft Rio Convention analytical framework, Working group consultations to analyze and draft sectoral analyses, Conference services for four platform meetings, Consultative meetings to draft SDS prior to expert workshops, Expert workshops (2x) to integrate sectoral analyses into SDS, Working group meetings to assess best practice guidelines and resources, High-level stakeholder consultations to champion SDS
4. Environmental Sociologist, Environmental Education Specialist 1, Environmental Education Specialist 2, Agrarian Policy Specialist, Natural Resource Expert, Environmental Economist, Energy Expert, Transportation Specialist, Urban Development Specialist, Social Welfare Specialist, Public Administration Expert fees
5. Sub-contract NASU to implement survey, Contractual Services: Meeting services for stakeholder focus group on training needs assessment, Regional stakeholder consultation meetings to negotiate mainstreaming exercise, Regional stakeholder working group meetings to design/draft training programme, Regional WG meetings to carry out mainstreaming exercise, Regional stakeholder consultations and focus groups on mainstreaming best practices and lessons learned, Meeting services for expert consultation on draft SDS Roadmap, Regional stakeholder consultative meetings on draft SDS Roadmap, High-level stakeholder consultations to champion SDS Roadmap
6. Environmental Sociologist, Environmental Education Specialist 1, Agrarian Policy Specialist, Natural Resource Expert, Environmental Economist, Energy Expert, Transportation Specialist, Urban Development Specialist, Social Welfare Specialist, Public Administration Expert (1), Graduate Students, Website Designer
7. Services for Kick-Off and Project Results Conferences, Sub-contract NGOs to implement survey, Meeting services for expert and stakeholder consultation, Publication of articles, Meeting services for expert and stakeholder consultation, Video production and airtime on radio and TV, Workshop venue cost, Panel meeting cost, Workshop venue cost, Conference services for four platform meetings, Meeting services for expert and stakeholder consultation, Website and Facebook management and promotion fees
8. Project Assistant
9. Travel for Final Evaluation
10. Direct Project Costs

**Table 7: Estimated Project management budget/cost (estimated cost for the entire project)**

Component	GEF (\$)
International Expert Final Evaluation (Fee only)	10,000
Travel for International Expert Final Evaluation	5,000
Locally recruited personnel: Project Assistant	60,051
Direct Project Costs	14,949
Total project management cost	90,000

150. Direct project costs (DPC) are costs that are incurred by UNDP that are execution-driven and are incurred for, and can be traced in full to, the delivery of project inputs. These execution-related costs are completely separate and distinct from General Management Support (GMS) costs that are incurred by UNDP regardless of the implementation/execution modality chosen for the project and that are distributed to UNDP from the 9.5% GEF implementation fee. The DPCs will be used to reimburse the UNDP Country Office for supporting national project implementation through, for example, the recruitment of project personnel, issuance of project personnel contracts, and the procurement of project goods and services. Over the three years of planned project implementation, this cost is estimated at US\$ 10,500, although the actual or transacted costs will be fully reimbursed as part of the standard UNDP financial management procedures. A letter of agreement has been signed by the Government of Ukraine and UNDP (Annex 13).

151. An internationally recruited consultant will be contracted to undertake the independent final evaluation towards the end of the project. The travel budget includes the costs of DSA, TE and return airfare for the international consultant. The travel budget also includes financing for to cover the cost of local consultant travel to the regions where they will be facilitating the negotiations and drafting of sectoral policy, programmes, plans, or legislation. Arrangements for the full recovery of DPCs will be provided upon the request of and in agreement between UNDP as the implementing partner and the Government of Ukraine.

152. No UNDP Implementing Agency services are being charged to the Project Budget. All such costs are being charged to the IA fee. The Government of Ukraine has requested UNDP to provide a few execution services (including procurement and recruitment) under the National Execution Arrangements, and these will be charged to the Project Budget. Details of such charges can be provided at the time these services are requested.

153. An international expert will be recruited to provide technical advisory services on an as needed basis over the three years of project implementation to ensure high quality interventions. This includes technical backstopping on the project's work to integrate Rio Conventions into sectoral policies, programmes, plans, and/or legislation such as undertaking a technical review and quality control of the work of all consultants and sub-contractors, ensuring the adequate delivery of expected outputs, and effective synergy among the various subcontracted activities.

**Table 8: Consultants for technical assistance components (estimated for entire project)**

Consultants	Estimated Staff weeks	GEF (\$)	Co-Financing (\$)	Project Total (\$)
Agrarian Policy Specialist (local)	30.0	24,000	13,500	37,500

Natural Resource Expert (local)	30.0	24,000	13,500	37,500
Environmental Economist (local)	30.0	24,000	13,500	37,500
Environmental Education Specialist 1 (local)	80.0	73,000	27,000	100,000
Environmental Education Specialist 2 (local)	48.0	30,000	30,000	60,000
Energy Expert (local)	30.0	24,000	13,500	37,500
Transportation Specialist (local)	30.0	24,000	13,500	37,500
Urban Development Specialist (local)	30.0	24,000	13,500	37,500
Social Welfare Specialist (local)	30.0	24,000	13,500	37,500
Environmental Sociologist (local)	65.0	57,000	24,250	81,250
Public Administration Expert (local)	72.0	52,000	38,000	90,000
Website Designer (local)	6.0	6,000	1,500	7,500
Graduate Students/NGOs (\$250 per article) (local)	4.0	5,000	0	5,000
International Technical Specialist	7.0	20,000	0	20,000
<b>Total</b>		<b>411,000</b>	<b>215,500</b>	<b>626,250</b>

## D.2 Cost Effectiveness

154. The financing of this project is inherently cost-effective through its design. Mainstreaming Rio Conventions into sectoral policies will be undertaken within the leverage sustainable development baseline of strengthening sectoral policies to meet socio-economic development priorities. The financing of this project is also cost-effective in that the GEF contribution has leveraged an approximately equal amount of resources as co-financing. The cost-effectiveness of the project also arises by the nature of the leveraging. The Government of Ukraine, with the support of the European Commission, had become a process of important governance reforms towards Ukraine's alignment with a range of European policies, legislation, and standards. This includes environment.

**Table 9: Project Costs (%age)**

Project Budget Component by Contribution type	Contribution (US\$)	Percentage (%)
Component 1: GEF	260,000	13.8
Component 1: Co-Financing	259,000	13.8
Component 2: GEF	347,000	18.5
Component 2: Co-Financing	317,000	16.8
Component 3: GEF	203,000	10.9
Component 3: Co-Financing	254,000	13.5
Project Management: GEF	90,000	4.8
Project Management: Co-Financing	150,000	7.9
<b>Total</b>	<b>1,880,000</b>	<b>100</b>

155. During the preparation of this project, consultations with the EC were successful to align this proposed GEF project with the planned EC programmes, thereby reducing the potential cost of a number of the mainstreaming activities significantly. This alignment also helped identify areas of potential overlap so that GEF resources (and other co-financing) are more effectively and efficiently used to strengthen sectoral policies to deliver global environmental benefits. Another indicator is that the GEF

contribution to project management is 5% of the total project cost (with the Government providing an additional 10%).<sup>12</sup>

### D.3 Co-financing

156. The co-financing to this project is estimated at US\$ 1,030,000, of which US\$ 750,000 is being provided by the Government of Ukraine through the Minister of Environment and Natural Resources. This co-financing is part of a larger sum of money in the amount of US\$ 4.2 million that the Government has allocated to co-finance activities related to the global environment. These funds are considered as in-kind because they will be managed by MENR as needed during project implementation. While most of the project's co-financing is in-kind, these funds represent real funds that are paid to government staff or contracted consultants that will help execute project activities.

157. UNDP is providing significant co-financing in the amount of US\$ 150,000 to cover project implementation costs. All-Ukrainian Environmental League is an important NGO based in Kiev that enjoys excellent relations with the Government of Ukraine and with civil society in equal measure, and is making available their expertise and experience to the project in the equivalent amount of US\$ 100,000.

**Table 10: Co-financing Sources**

Name of Co-financier	Classification	Amount (US\$)
Ministry of Ecology and Natural Resource	Government	750,000
UNDP	GEF Implementing Agency	150,000
United Nations Global Compact	Multilateral Donor	30,000
All-Ukrainian Environmental League	National NGO	100,000
<b>Total Co-financing</b>		<b>1,030,000</b>

158. The United Nations Global Compact was launched in Ukraine in 2006, and involves over 34 Ukrainian and international businesses, associations and civil society to promote corporate social responsibility. Through this programme, the broad-based survey on public awareness on the Rio Conventions and the environment in general will be implemented, as well as the preparation of a public awareness implementation plan and the convening of private sector sensitization workshops, all three with input from the All-Ukrainian Environmental League. The cost of the UN Global Compact's contribution is estimated at US\$ 30,000.

## E. Institutional Coordination and Support

### E.1 Core Commitments and Linkages

#### E.1.a Linkages to other activities and programmes

159. A few programmes and projects under implementation in Ukraine would be considered as parallel co-financing. This includes the cooperation between the Government of Ukraine and the European Union on the pursuit of targeted reforms towards Ukraine's integration into the EU. The EU-Ukraine Association Agreement (EUUAA), expected to be signed by the end of 2013, is built on a mutual commitment "to enhancing cooperation in the field of environmental protection and to the principles of sustainable development"<sup>13</sup>. Article 292 of the EUUAA also reaffirms both Parties' commitment "to the

<sup>12</sup> For a medium-size project of less than US\$ 2 million of project funding, the 15% cost of administrative costs compares favourably with the findings of the 2010 GEF Overall Performance Study 4.

<sup>13</sup> EU-Ukraine Association Agreement, p. 6.

effective implementation of their laws and practices of the MEAs to which they are party"<sup>14</sup>. Article 296 further calls upon Ukraine to "not fail to effectively enforce its environmental and labour laws, through a sustained or recurring course of action or inaction" and "not weaken or reduce the environmental or labour protections afforded in its laws to encourage trade and investment"<sup>15</sup>. The EC's bilateral programming for 2014-2017 for Ukraine centers on the vision of "Greening Ukraine", under which a number of technical assistance projects will be implemented to support the EUUAA programme.

160. The EC and the Government of Ukraine is a regional programme on the green economy (Greening Economies in the Eastern Neighbourhood), which will be implemented by the partner agencies of the Organisation of Economic Cooperation and Development (OECD), United Nations Environmental Programme (UNEP), United Nations Economic Commission for Europe (UNECE), and United Nations Industrial Development Organization (UNIDO). This programme sets out to mainstream sustainable consumption and production into Ukraine's national development plans, legislation and regulatory framework with a view to provide sound legal bases for future policy development.

161. A component of this programme sets to catalyze the integration of Strategic Environmental Assessment and Environmental Impact Assessment systems into Ukraine's legal, regulatory, and administrative frameworks. This objective is fully consistent with the proposed GEF project, which seeks to mainstream Rio Conventions into these same national development plans, legislation and regulatory framework for the same purpose of providing sound legal bases for future policy interventions. Implementation of the proposed GEF project will be closely coordinated with the European External Action Service (EEAS) of the EC and its partner implementing agencies. Annex 9 provides further information about this programme's implementation. Both the EUUAA and Green Economy programmes set out to support Ukraine's reforms to meet European EIA procedures, which requires engaging stakeholders in its early stages and to provide sufficient timeframes for consultations.

162. A key support to the implementation of the NEP and NAPEP is the EC's €35 million Sector Budget Support Programme (SBSP) on Support for the Implementation of an Environmental Strategy of Ukraine. Many of the activities under this programme will complement activities under the proposed GEF project, requiring close coordination between implementing partners. The specific objective of the SBSP is to support improvements in environmental governance and environmental mainstreaming in sectoral policies such as energy, transportation and industry. Technical assistance activities under this programme will be complemented by financing from the proposed GEF CCCD project, as well as from other donors such as Sweden.

163. The expected outcomes of the SBSP are:<sup>16</sup>

- a. National environmental legislation is strengthened to better meet EC standards and best practices;
- b. Regional and sectoral environmental policies are adopted and implemented;
- c. International conventions and MEAs are more steadily implemented as a result of increased organizational and monitoring capacity;
- d. Awareness on environmental issues in the public at large is significantly increased;
- e. Losses of biological and ecosystem diversity are limited; and
- f. Approaches for the sustainable use of natural resources are mainstreamed within resource management regimes.

164. The Government of Sweden is € 10 million of technical assistance to improve capacity for Ukrainian authorities to formulate and implement EC-harmonized legislation and regulatory frameworks in the field of environment and climate change. This will include developing capacities at the national, regional and local level on the harmonization of Ukraine's environmental legislation with both EC and

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<sup>14</sup> Ibid, p.173

<sup>15</sup> Ibid, p. 175

<sup>16</sup> Paragraphs 159 - 0 will be moved to another section in the project document, on coordination with other programmes and projects.

other MEAs.<sup>17</sup> The Swedish contribution will complement the EUUAA programme, both of which in turn will be coordinated with the proposed GEF project.

165. As part of the mainstreaming exercise to integrate the Rio Conventions into sectoral policies, the project will undertake a SWOT analysis and gap analysis, and follow this with a series of public stakeholder consultations to validate the findings and champion the recommendations of the analyses. These activities will be organized and coordinated through the Government of Germany's Capacity Building for Low Carbon Growth project (with a budget of US\$ 3,370,000) in Ukraine, which is carrying out similar analyses.

166. UNDP is currently implementing a number of projects that complement this Rio Convention Mainstreaming project, and with which activities will be closely coordinated to ensure no overlap or duplication, as well as to foster synergies, as appropriate. For example, a number of these projects include workshops and seminars where many of the participants would be the same as those likely to be invited to the workshops and seminars under the Rio Convention Mainstreaming project. In such an instance, the project will explore convening both workshops back-to-back if this would increase participation and reduce costs. Such opportunities would be explored on a case-by-case basis. The key projects include:

- a. Capacity Building for Low Carbon Growth in Ukraine: This is a GEF-funded project that is building institutional capacities for the Government of Ukraine to design and implement long-term policies and measures directed at reducing greenhouse gas emissions and enhancing their absorption by greenhouse sinks.
- b. Mainstreaming Environment in the Local Strategies in Chernobyl Affected areas: This project is working in three regional territories that were affected by the Chernobyl disaster, with the focus of the project to green regional development.
- c. Transforming the Market for Efficient Lighting: This project sets out to help reduce greenhouse gas emissions by promoting energy efficient lighting technology, phasing out of inefficient lighting sources, and awareness-raising.
- d. Community-Based Approach to Local Development – Phase II: This project is promoting sustainable socio-economic development at the local level by strengthening participatory governance and encouraging community-based initiatives throughout Ukraine.
- e. Municipal Governance and Sustainable Development Programme: This project is building capacity for political participation of local communities and municipalities into decision-making processes, and using this capacity for multi-stakeholder cooperation and multi-sectoral interventions towards achieving sustainable development. This proposed CCD project takes into account these improved participatory processes to ensure active engagement of stakeholders in the various sectoral mainstreaming exercises, among other consultative activities.
- f. Sustainable development in Crimea: transformational models for rural territories and advisory services: This project is helping to build the capacities of local authorities in the Crimea through the targeted implementation of tested sustainable development models. The focus of this project is to reconcile and integrate the local identity of the pilot village into enhanced socio-economic development and improved environmental protection.
- g. Smart Practices for Oversight by Non-State Actors on Administrative Service Provision: This project is developing the administrative capacities of local authorities to better monitor and pursue adaptive management.
- h. Support to the Social Sector Reform in Ukraine: This project is providing support to the Ministry of Social Policy to help accelerate reforms to meeting short- and medium-term socio-economic goals.
- i. Acceleration of Millennium Development Goals Progress in Ukraine: This project is helping the Government of Ukraine to accelerate progress to meeting the Millennium Development Goals

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<sup>17</sup> This is also known as EU legal acquis.

through an enhanced monitoring system, strengthened capacity in MDG-based policy-making and planning, and mainstreaming in sectoral strategies. With respect to the latter, the proposed CCCD project will take these past mainstreaming activities into account when selecting those sectoral policies, programmes, and plans for Rio Convention mainstreaming.

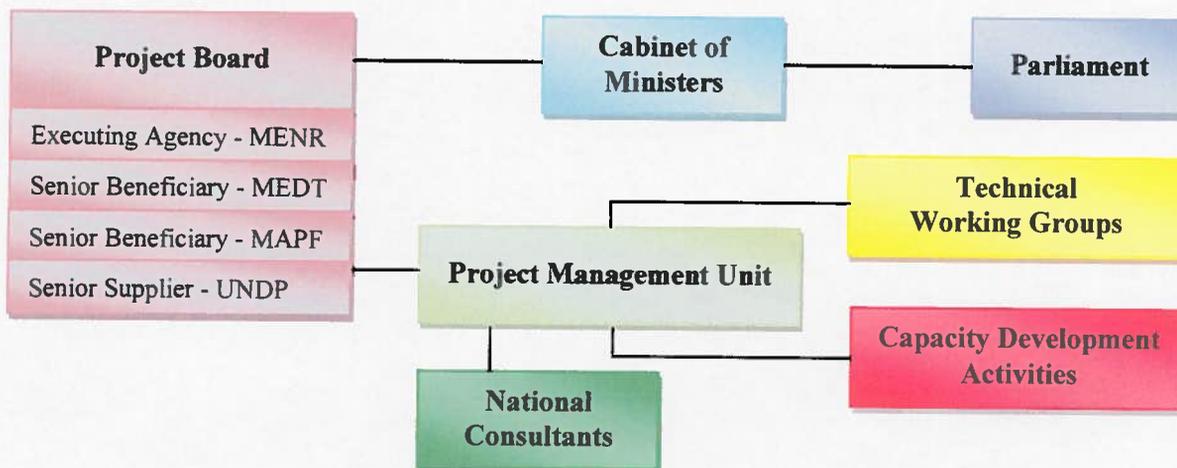
- j. Leveraging change through the Universal Periodic Review (UPR): Supporting CSOs and journalist communities in human rights advocacy efforts: This project advocates policy and institutional changes to uphold the human rights agenda by strengthening the UPR as a consultative and inclusive process of dialogue. This includes enhancing the capacities of the media to serve as change agents and the sharing of smart practices of successful and effective UP implementation.

## **E.2 Management Arrangements**

167. UNDP is the GEF Implementing Agency for this project, with the UNDP Country Office responsible for transparent practices, appropriate conduct and professional auditing. The Executing Agency is the Ministry of Ecology and Natural Resources (MENR), which will assign a National Project Director (NPD) and provide its staff and network of experts as support to Project Management Unit (as part of government co-financing).

168. This project will be implemented under the 2012-2016 Ukraine-United Nations Partnership Framework, with UNDP project support to the Government of Ukraine on a programme of activities to meet national commitments to the Millennium Development Goals and the Rio Conventions, among other multilateral agreements on environment and climate change. With the objective of this project on mainstreaming Rio Conventions into sectoral development planning frameworks, UNDP will also be supporting the Government of Ukraine to meet sustainable economic growth objectives, as outlined in Programme Frame 1 of the Ukraine-United Nations Partnership Framework. The basic implementation and execution framework is as follows:

**Figure 3: Project execution**



169. **Project Board:** This Board is specifically established by the project to provide management oversight of project activities and is to be chaired by the MENR (Focal Point for the CBD, CCD, and GEF). The Board will review progress and evaluation reports, and approve programmatic modifications to project execution, as appropriate and in accordance to UNDP procedures. Policy recommendations will be discussed and recommended for consideration by the Cabinet of Ministers and Parliament. The Board will be chaired by the NPD (see paragraph 172 above). In addition to the MENR, government membership of the Project Board will include the SEIA (Focal Point for the FCCC), as well as representatives from the line ministries responsible and their respective state agencies. Non-state stakeholders will also be represented on the Project Board, namely from the private sector, academic and research institutions, NGOs, and CSOs. The Project Board will meet four (4) times per year, practically at the UNDP Country Office Headquarters. Meetings will be co-financed by UNDP.

170. The MEDT and MAPF are Senior Beneficiaries of the project on the basis that the project will be strengthening and integrating Rio Convention provisions into their sectoral policies, legislation, policies and plans and institutional mandates. UNDP will be the Senior Supplier, providing technical guidance and support for the cost-effective procurement and implementation of project services and activities, including project implementation oversight through regular monitoring and reporting.

171. **National Project Director:** A senior government official will be designated as the National Project Director (NPD), and will be responsible for management oversight of the project. The NPD will devote a significant part of his/her working time on the project. Duties and responsibilities of the NPD are described in Annex 8. In the fulfillment of his/her responsibilities, the NPD will be supported by the Project Board and a full-time National Project Manager (NPM).

172. **Project Management Unit:** The MENR will establish a Project Management Unit (PMU) for the day-to-day management of project activities and subcontract specific components of the project to specialized government agencies, research institutions, as well as qualified NGOs. The PMU will be administered by a full-time National Project Manager (NPM) and supported by a part-time assistant.

173. **National Consultants:** The project will contract a number of national experts as consultants to undertake the eight sectoral analyses. These consultants will be expert in public administration, natural resource management, environmental economics, cultural anthropology, and environmental sociology. In addition to these national experts, the project will contract the services of additional consultants and companies to support project implementation, such as a video production company. Annex A provides a set of indicative Terms of References for the expected contracts.

174. **Capacity Development Activities:** The project will take an adaptive collaborative management (ACM) approach to implementation. That is, UNDP and MENR will manage project activities in order that stakeholders are involved early and throughout project implementation, providing regular input of the performance of project activities. This will help signal unforeseen risks and contribute to the timely modification and realignment of activities within the boundaries of the project's goal and objectives.

175. **Technical Working Groups (TWGs):** A working group comprised of independent experts, technical government agency representatives, as well as representatives from stakeholder groups will discuss and deliberate on the draft sectoral analyses and the ensuing recommendations for policy and institutional reforms. The TWGs will be constituted on the basis of the sectoral policies, legislation, plans and programmes that will be analyzed for each of the eight ministries (which include the state agencies that are coordinated through the Cabinet of Ministers). A pool of approximately 40-50 experts will be drawn upon so that each TWG is made up of at least eight (8) peer review experts.

176. **Stakeholder Consultations:** These consultations will focus on the active participation of stakeholders in the sectoral analyses and recommendations for consideration by the Cabinet of Ministers and the drafting of a Sustainable Development Strategy for consideration by Parliament. Stakeholders will also be represented on the Project Board to inform the adaptive collaborative management of the project. The project will also organize public policy dialogues/councils, known as "National Platforms" in keeping with Ukraine's policy of public participation on policy drafts. These will serve as a validation of the sectoral analyses and recommendations prior to their consideration by the Cabinet of Ministers and Parliament.

## **F. Legal Context**

177. This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

178. Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner. The implementing partner shall:

- a. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b. assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

179. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

180. The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

**PART II: ANNEXES**

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*Annex 1: Law on Ukraine's National Environmental Policy*

**Law of Ukraine**

**"On the Main Principles (Strategy) of the National Environmental Policy of Ukraine for the Period until the Year 2020"**

**Date of entry into force:  
January 14, 2011**

The Law adopts the Main Principles (Strategy) of the National Environmental Policy of Ukraine for the Period until the Year 2020 (hereinafter referred to as "Strategy").

The general provisions of the Strategy determine that the primary reasons for environmental problems in Ukraine are:

- the inherited economic structure with a prevailing share of resource- and energy-intensive industries, the negative influence of which was aggravated by the transition to the market environment;
- the worn-out state of the fixed assets in the industrial and transport infrastructure;
- the existing system of state governance in the sphere of environmental protection, regulation of the use of natural resources, lack of clear division between environmental and economic functions;
- insufficient maturity of civic institutions;
- insufficient societal understanding of the priorities of environmental protection and advantages of sustainable development;
- violation of environmental legislation.

The goal of the national environmental policy is stabilizing and improving Ukraine's environmental state by integrating the environmental policy into the socio-economic development of Ukraine.

The national environmental policy is aimed at reaching strategic goals, such as:

- increasing the level of societal environmental awareness;
- improving the environmental condition and increasing the level of environmental safety;
- attaining the environmental state that would be safe for human health;
- integrating the environmental policy and improving the integrated environmental management system;
- stopping the loss of biodiversity and landscape diversity, and forming an environmental network;
- ensuring environmentally balanced nature management.

The main instruments of implementing the national environmental policy are:

- cross-sector partnership and involvement of interested parties;
- evaluation of the environmental impact of strategies, programs and plans;
- improving the licensing system in the sphere of environmental protection;
- ecological expert analysis and evaluation of the environmental impact of the objects of environmental expert analysis;
- environmental audit, environmental management systems, ecolabeling;
- environmental insurance;
- technical regulation, standardization and reporting in the sphere of environmental protection, nature management and ensuring environmental safety;
- legislation in the sphere of environmental protection;
- education and research support for creating and implementing

- the national environmental policy;
- economic and financial mechanisms;
- monitoring of the environmental state, and control in the sphere of environmental protection and ensuring environmental safety;
- international cooperation in the sphere of environmental protection and ensuring environmental protection.

Implementation of the Strategy will allow to:

- create an effective public information system in the issues of environmental protection and increase the level of environmental awareness among the citizens of Ukraine;
- improve the state of the environment to a level that is safe for the life of the public, taking into consideration the European environmental quality standards;
- continuously decrease and gradually eliminate the causal link between economic growth and deterioration of the environment, etc.

*Annex 2: 2011-2015 National Action Plan for Environmental Protection*

The National Action Plan for Environmental Protection for 2011-2015 was adopted by Ukraine's Cabinet of Ministers on 25 May 2011, the purpose of which was to implement the National Strategy for Environmental Protection to 2020 (adopted by Parliament on 21 December 2010).

Extracted from "Ukraine Shale Gas Volume II: Legal and Regulatory Analysis", prepared by International Resources Group, May 2012, pp. 2-7.

<b>1</b>	<b>Public Information and Awareness</b>
1.1	Develop a national environmental information system according to EU standards by 2020. (to include a national database of natural resources, and a database on amounts and sources of pollution).
1.2	Increase environmental information and environmental social marketing through the media by 15% by 2015 and by 30% by 2020.
1.3	Promote the development of information centers, regional offices of the specially authorized body of executive power on environmental protection and the Aarhus Information Centre established at the specially authorized body of executive power on environmental protection.
1.4	Support projects of environmental NGOs with government funds, increasing their funding to 3% of the budget of the State Fund for Nature Protection by 2020.
1.5	Develop a strategy for environmental education for sustainable social and economic development by 2015.
1.6	Implement a program of environmental education for government employees that work on environmental issues by 2015.
1.7	Establish a network of regional (oblast level) ecological education centers based in established educational institutions and/or NGOs by 2015.
1.8	Implement a program of environmental education for the general public at national, regional, and local levels.
1.9	Make information from government agencies responsible for environmental protection publicly available through official websites and the media.
1.10	Develop a program for public access to ecological information and for public participation in environmental decision-making, in accordance with the Aarhus Convention, by 2012, and implement it by 2015.

1.11	NGOs conduct a public assessment of national environmental policy and produce a report, to be published and disseminated with support from the MENR.
1.12	Develop mechanisms and procedures for public input into environmental decision-making and enforcement, including public participation in Environmental Impact Assessments and other environmental planning procedures.
1.13	Develop agricultural experiment stations and extension services in every oblast to develop and teach practices for sustainable, environmentally-friendly agriculture to local farmers, and transfer appropriate technologies.
1.14	Provide state support for the creation and development of the places that use energy and resource saving technologies of residential construction, as well as the comprehensive implementation of such technologies by 2015.
1.15	Introduce ecological and environmental education at the national, regional (oblast), and local level. Public Participation in Environmental Management.
2	<b>Environmental Conservation</b>
2.1	Increase the level of environmental safety by means of the implementation of a comprehensive approach to risk assessment, prevent and minimize the effects of natural disasters in accordance with the Johannesburg Plan of Implementation by 2015.
2.2	Reduce emissions of common pollutants from: a) stationary sources by 10 percent by 2015 and by 25 percent by 2020 compared to the baseline level; b) mobile sources by means of setting standards for the amount of pollutants in exhaust gases by 2015 according to Euro-4 standards, by 2020 — according to Euro-5 standards.
2.3	Determine target indicators for the amount of hazardous substances in the atmosphere, in particular for heavy metals, non-methane volatile organic compounds, airborne dust particles (with a diameter of less than 10 microns) and persistent organic pollutants for the purpose of their inclusion when setting technological standards of pollutants emission from stationary sources.
2.4	Optimize the structure of the energy sector of the national economy due to the increase in the use of energy sources with low carbon dioxide emissions by 10 percent by 2015 and by 20 percent by 2020, as well as ensure the reduction of emissions of greenhouse gases according to the international commitments declared by Ukraine within the framework of the Kyoto Protocol to the United Nations Framework Convention on Climate Change.
2.5	Define the basic principles of the state policy on adaptation to climate change by 2015, develop and gradually implement the national action plan on mitigating the effects of climate change and preventing the anthropogenic influence on climate change for the period up to 2030, particularly within the framework of the implementation of the mechanism of the Kyoto Protocol to the United Nations Framework Convention on Climate Change, joint implementation projects and targeted environmental (green) investments projects.
2.6	Reform the system of state governance in the sphere of the protection and efficient use of waters through the introduction of integrated management of water resources based on the basin principle.
2.7	Reconstruct existing municipal wastewater treatment facilities and construct new ones in order to reduce the level of contamination of waters with pollutants by 15 percent by 2020 (primarily with organic substances, nitrogen and phosphorus compounds), as well as to reduce the discharge of insufficiently treated wastewater by 20 percent (compared to the baseline year) by 2020.
2.8	Decrease the area of plowed land in Ukraine by 5-10% by 2020 through a program to remove from lands from crop production that are on slopes greater than 3%, in watershed zones, or that are eroded or polluted, and restoration of natural, native vegetation on these areas.
2.9	Develop procedures to incorporate environmental protection requirements in any decisions that involve the transfer or change of land use designation (for construction, industry, energy, transportation, etc.) by 2015.
2.10	Develop and introduce by 2020 a system of management of agrarian landscapes to restore the environment and create an ecological network that will conserve biotic and landscape diversity.
2.11	Increase the area of forest cover in Ukraine to 17% by 2020 (compared to 13-14% now) by reforestation and afforestation of Forest Fund lands and new forest shelterbelts, except on areas of remaining steppe vegetation.

2.12	Introduce green mining technologies, as well as mandatory reclamation and environmental rehabilitation of territories affected as a result of the production activities of the enterprises of chemical, mining, oil refining industries by 2020; namely, ensure the reclamation of at least 4.3 thousand hectares of lands by 2020.
2.13	Ensure the fullest use of the extraction of mineral resources, minimizing waste during their extraction and processing.
2.14	Exercise the state registration of artesian wells and equipping them with measurement devices for measuring the volume of extracted water by 2015.
2.15	Enhance the effective functioning of the state system of coordination of activities of the bodies of executive power and local self-government bodies on preventing the onset of natural and man-made emergencies and increasing responsiveness to them when they occur by 2020.
2.16	Improve the national system of informing people of natural and man-made emergencies by 2020.
2.17	No 2.17 in Ukrainian table.
2.18	Enforce the implementation of the measures to reduce the amount of radionuclides outside the exclusion zone and the zone of unconditional (mandatory) resettlement by 2015 by means of the functioning of a scientifically based system that combines natural renewable processes with land reclamation, forest protection and technical measures enhancing the barrier functions of the natural and man-made complex of the exclusion zone.
2.19	Ensure the disposal of 70 percent of household waste of the cities with the population of at least 250 thousand people at specialized and environmentally friendly landfills by 2015, as well as the disposal of such waste in full amount by 2020, as well as reduce the portion of waste subject to biological degradation by 15 percent compared to the baseline level in special places of household waste storage by 2020.
2.20	Increase the amount of preparation, utilization and use of waste as secondary raw materials by 1.5 times by 2020; introduce new technologies of utilization of solid household waste.
2.21	Ensure the final detoxification of pesticides unsuitable for use by 2020 by means of the introduction of environmentally friendly technologies for their detoxification; development of the action plan for replacing the most dangerous chemicals produced and used in key sectors of economy by 2015 and its implementation by 2020, as well as ensure their safe transportation and storage.
2.22	Exercise control over the import of genetically modified organisms to the territory of Ukraine, prevent their proliferation; improve the permit system in the sphere of treatment of genetically modified organisms by 2015, including their transboundary movement, ensure the coordination of genetic engineering activities.
3	<b>Achievement of the Environmental Condition Safe for Human Health</b>
3.1	Prevent violations of sanitary and hygiene requirements for air quality in urban places (with the population of at least 250 thousand people) by means of the creation and improvement of the systems of automatic monitoring and enhancing environmental control over air quality by 2015.
3.2	Ensure prevailing compliance (90 percent) with sanitary and hygiene requirements for the quality of surface waters in the places of intensive water use by people (for places with a population of at least 250 thousand people) by 2020; ensure full compliance with regulatory requirements for the sources of district drinking water supply by 2015.
3.3	Ensure prevailing compliance (70 percent) with sanitary and hygiene requirements for the quality of water used for the needs of drinking and cooking by rural population by 2020.
3.4	Prepare the State targeted program of assessment and prevention of risks for human health in Ukraine caused by environmental factors by 2015, which envisages the application of the methodology of risk assessment; introduction of environmental risk management by 2020 (including the cases of emergencies of man-made and natural character).
3.5	Introduce the system of environmental labeling for commodity products and food.
3.6	Detect environmental risk areas and prepare the State targeted program of reducing industrial pressure on human health in environmental risk areas for the period up to 2020.

3.7	Enhance state ecological control over the compliance with the legislation in the process of placement, construction, operation of new industrial enterprises and other facilities and reconstruction of existing ones on the basis of human health risk assessment by 2015.
3.8	Develop the institutional framework for informing people of environmental risks by 2015.
3.9	Expand the range of issues of sanitary-epidemiological and environmental protection character in the program of management staff training by 2015 and improve the system of continuous professional training for the persons working in the sphere of environmental protection by 2020.
3.10	Develop the regulatory legal framework for environmental insurance based on identifying the issues of causing harm to human health by 2015.
3.11	Develop the State environmental monitoring system by means of its modernization; enhance the coordination of activities of the subjects of monitoring and improvement of data management systems as a basis for making managerial decisions by 2015.
4	<b>National Environmental Policy</b>
4.1	Develop and implement the regulatory legal support of mandatory integration of the environmental policy with other documents that contain political and/or program principles of state, industry (sector), regional and local development by 2012.
4.2	Institutional development and enhancing the capacity of state governance in environmental protection sector.
4.3	Involve all economic and social sectors and stakeholders in developing and implementing a framework national environmental policy, "Environment for Ukraine." National Development Policy
4.4	Establish environmental management systems and prepare state targeted programs of greening of individual sectors of the national economy, which envisage technical re-equipment and introduction of energy efficiency and resource saving technologies, low waste, waste-free and environmentally friendly technological processes.
4.5	Develop and introduce a system of incentives for economic entities that implement the environmental management system, principles of corporate social responsibility, apply the ecological audit, certification of production, product quality according to international environmental protection standards by 2015.
4.6	Develop a clean production strategy and action plan for Ukraine by 2015. Energy Sector
4.7	Develop a methodology for determining a degree of environmental risk driven by production activities at environmentally hazardous facilities by 2015.
4.8	Install anti-noise structures/screens (where urban places are located near highways) in urban places with the population of at least 500 thousand people by 2015 and in urban places with the population of at least 250 thousand people – by 2020.
4.9	Create economic conditions for the development of infrastructure of green types of vehicles by 2015, in particular public transport; increase the share of public transport in the total infrastructure by 25 percent by 2020.
4.10	Increase the requirements for ensuring environmental safety and reliability of pipeline transport
4.11	Review the regulatory legal framework in order to ensure environmental protection requirements, in particular regarding energy and resource saving, in the process of industrial and residential design, construction, reconstruction and dismantling of constructions.
4.12	Increase energy and resource saving in multi-family houses
4.13	Create the enabling conditions for widespread adoption of organic and ecologically-friendly agricultural practices by 2020.
4.14	Develop the incentives to promote the implementation of environmental management systems in military formations by 2015, ensure environmentally friendly environmental management in the process of operational and combat training during military trainings and exercises by 2020.

4.15	Eliminate the effects of environmental damage caused by military activities; namely, compensate damages to the state caused by temporary presence of foreign troops on the territory of Ukraine.
4.16	Implement environmental management systems and enhance state environmental control over the objects of tourism and recreation, as well as hotel and restaurant facilities; develop ecological tourism and eco-friendly recreation.
5	<b>Biodiversity Conservation</b>
5.1	Develop a national program to track and control the introduction of non-native invasive species (terrestrial, aquatic, and marine).
5.2	Pass legislation to control domestic and international trade of endangered species by 2015.
5.3	Implement a national campaign to educate the public and decision-makers about the importance of ecosystem services, and conduct assessments of their economic value throughout Ukraine, by 2015
5.4	a. Designate habitats to be managed as buffer zones around protected areas, and corridors linking them, so as to form an "Ecological Network" that, together with the protected areas themselves, would cover 41% of Ukraine by 2015. b. Increase the area of protected areas governed by the Nature Protection Fund to 10% of Ukraine by 2015, and 15% by 2020.
5.5	Incorporate an "ecosystem approach" to environmental management into Ukrainian legislation and management policies and practices in accordance with the European Union by 2020.
5.6	Develop a program of ex-situ conservation, captive breeding, and reintroduction to the wild for rare and endangered species.
5.7	Develop financial mechanisms and incentives for biodiversity conservation based on an economic assessment of the economic value of biodiversity, and including economic analysis of the financial sustainability of protected areas and development of mechanism to make them financially sustainable.
5.8	Take administrative measures to terminate the catastrophic decrease in reserves of aquatic living resources as a result of their excessive exploitation and deterioration of the environment by 2015.
6	<b>Ensuring Ecologically Balanced Environmental Management</b>
6.1	Prepare and approve a draft Concept of 10-year policy framework for sustainable consumption and production (SCP) pursuant to Johannesburg Plan of implementation on sustainable development (2002), develop and implement a draft Strategy and national plan of action up to 2015.
6.2	Further develop the national system of cadasters of natural resources, state statistical reporting on the use of natural resources and environmental pollution.
6.3	Re-equip production facilities based on the implementation of innovative projects, energy efficiency and resource saving technologies, low waste, waste-free and environmentally friendly technological processes by 2020.
6.4	Implement a system of economic and administrative mechanisms by 2015 for the purpose of encouraging the manufacturer to perform sustainable and renewable environmental management and environmental protection, as well as introduction of new cleaner technologies and innovations in the sphere of environmental management.
6.5	Increase the energy efficiency of production by 25 percent by 2015 and by 50 percent by 2020 compared to the baseline year by implementing resource saving in energy sector and industries that consume energy and energy resources.
6.6	Increase the use of renewable and alternative energy sources by 25 percent by 2015 and by 55 percent by 2020 compared to the baseline level.
6.7	Increase the share of land used in organic agriculture by 7 percent by 2020.
6.8	Create an environmentally and commercially reasonable system of payments for special use of natural resources and fee for environmental pollution by 2015 in order to encourage economic entities to efficient environmental management.

6.9	Reform the existing system of environmental protection funds by 2015 for the purpose of increasing centralization of funds at the level of oblasts, the Autonomous Republic of Crimea, cities of Kyiv and Sevastopol.
7	<b>Improvement of Regional Environmental Policy</b>
7.1	Develop and implement mid-term regional environmental protection action plans as the main instrument for the implementation of the national environmental policy at the regional level.
7.2	Develop the methodology and prepare local environmental protection action plans by 2015.
7.3	Integrate the environmental component with the strategic documents on the development of cities and regions, take into account the requirements of Aalborg Charter during the evaluation of the regional programs of social and economic development, review master plans of development of large cities in order to implement the provisions of the above mentioned international documents.
7.4	Legislative support of the transition from socio-economic planning to ecological and socio-economic planning of regional and local development by 2015.
7.5	Develop the regulatory legal framework for ecological and economic macro regions by 2020.
7.6	Perform the classification of regions by the levels of the man-made environmental risks; create appropriate geographic information data and maps banks by 2015.
7.7	Implement a pilot project on the combination of territorial planning system with the procedures of long-term forecasting, ecological and socio-economic planning, as well as conduct a strategic environmental assessment on the example of the Carpathian macro region by 2015.
7.8	Develop the "public — government — business" partnership at the regional level in order to guarantee social and ecological standards of environmentally friendly living of people by 2020.
7.9	Reduce the negative impact of urbanization processes on the environment, stop the destruction of the natural environment within cities, improve the indicators of landscaping and greenery areas of general use, reduce the level of pollution of atmospheric air, water bodies, as well as noise and electromagnetic pollution by 2020.

Annex 3:

Capacity Development Scorecard

Project/Programme Name: Integrating Rio Conventions into Ukraine's National Environmental Policy Framework

Project/Programme Cycle Phase: Project preparation

Date: May 2013

Capacity Result / Indicator		Staged Indicators		Rating		Score		Comments		Next Steps		Contribution to which Outcome		
<b>CR 1: Capacities for engagement</b>														
Indicator 1 – Degree of legitimacy/mandate of lead environmental organizations	Institutional responsibilities for environmental management are not clearly defined	Institutional responsibilities for environmental management are identified		0				The Ministry of Ecology and Natural resources is responsible for environmental management. There are focal points for Rio Conventions. However, the Ministry has relatively low political commitment to the environment, being mostly oriented on natural resources use. Ukraine possesses sufficient level of expertise on environmental management. Academic institutions and environmental NGOs are driving forces to reach positive changes in environmental policy and management in Ukraine.		The capacity of lead environmental organizations and individual capacities of civil servants will be strengthened. By the end of project, Ukraine will have improved capacities to coordinate environmental management in such a way that will create synergies for the national implementation of Rio Conventions.		Project Outcome 2		
		Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders		1	1									
		Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders		2										
		No co-management mechanisms are in place		3										
Indicator 2 – Existence of operational co-management mechanisms	Some co-management mechanisms are in place and operational	Some co-management mechanisms are formally established through agreements, MOUs, etc.		0				Ukraine's current system of environmental governance is not very effective. There is a need to integrate environmental objectives into sectoral and regional policies. The ability of the government to carry out strategic planning is poor. One of the factors of such situation is lack of communication and coherent regulations establishing the framework for preparing and implementing integrated planning and management.		The sustainable development strategy directed at integration of Rio Conventions provisions into Ukraine's policy will be developed. A Technical Working Group for strategy development as an example of operational planning and co-management mechanism will be established.		Project Outcome 2		
		Comprehensive co-management mechanisms are formally established and are operational/functional		1	1									
		Identification of stakeholders and their participation/involvement in decision-making is poor		2										
		Stakeholders are identified but their participation in decision-making is limited		3										
Indicator 3 – Existence of cooperation with stakeholder groups	Stakeholders are identified and regular	Stakeholders are identified but their participation in decision-making is limited		0				The principal key stakeholder is the Ministry of Ecology and Natural Resources of Ukraine. Other institutions involved in environmental protection are Parliament, sectoral ministries and agencies, first of all, Ministry of Economic Development and Trade of Ukraine and ministries responsible for energy, agriculture,		During the project, key stakeholders will actively participate in the drafting of integrated Sustainable Development Strategy. Also they will participate in training workshops at the national,		Project Outcomes 1 and 2		
		Stakeholders are identified and regular		1	1									
		Stakeholders are identified and regular		2										

Capacity Result / Indicator		Staged Indicators		Rating		Score		Comments		Next Steps		Contribution to which Outcome	
		consultations mechanisms are established						industry, transport and agriculture as well as local governments. Academic institutions and NGOs are involved in environmental decision-making but their participation is limited. There is limited stakeholder involvement in the consultative process that informs policy-making.		regional and local level.			
		Stakeholders are identified and they actively contribute to established participative decision-making processes		3									
<b>CR 2: Capacities to generate, access and use information and knowledge</b>													
Indicator 4 – Degree of environmental awareness of stakeholders		Stakeholders are not aware about global environmental issues and their related possible solutions (MEAs)		0				During the past twenty years, Ukraine has carried out a number of activities to raise stakeholders' awareness about global environmental issues and MEAs. Despite these efforts, the general public in Ukraine remain generally unaware or unconcerned about the Rio Conventions and their contribution to local and national socio-economic priorities.		In addition to the three Rio Conventions, this project will respond to Ukraine's commitments to the global environment through other multilateral environmental agreements (MEAs). A public awareness campaign will be implemented at local, regional and national level.		Project Outcome 3	
		Stakeholders are aware about global environmental issues but not about the possible solutions (MEAs)		1									
		Stakeholders are aware about global environmental issues and the possible solutions but do not know how to participate		2		2							
		Stakeholders are aware about global environmental issues and are actively participating in the implementation of related solutions		3									
		The environmental information needs are not identified and the information management infrastructure is inadequate		0									
Indicator 5 – Access and sharing of environmental information by stakeholders		The environmental information needs are identified but the information management infrastructure is inadequate		1		1		Environmental information in Ukraine is gathered by many institutions in different formats. Information exchange between institutions is not always "fluent". A few institutions publish environmental information on their web-sites in comprehensive formats, which limits the public access to it. There is much technical expertise on data and information to the Rio Conventions in academic and research institutions. However only the Ministry of Ecology and Natural Resources of Ukraine have benefited from this to understand the critical state of the environment.		At the frame of project, an analytical report on public awareness of environmental issues will be prepared. The public awareness campaign that will include sensitisation workshops and public dialogues and regular broad-based surveys on public awareness will be conducted. A website on Rio conventions will be developed.		Project Outcome 3	
		The environmental information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited		2									
		Comprehensive environmental information is available and shared through an adequate information management infrastructure		3									

Capacity Result / Indicator		Staged Indicators			Rating		Score		Comments		Next Steps		Contribution to which Outcome	
Indicator 6 – Existence of environmental education programmes		No environmental education programmes are in place	0		In Ukraine's secondary education, the course "Basics of Environmental Sciences" is not provided. Environmental education is based only on general knowledge of global and regional environmental problems. In the high education system, more than 100 universities train specialists in environmental sciences. They cover mostly applied areas of environmental sciences (hydro ecology, agro ecology, environmental monitoring, etc.). Environmental studies are not taught as a full term course at the high school level.	The project will provide a full-term high school course on environmental studies that will be approved by school board.	Project Outcome 3							
		Environmental education programmes are partially developed and partially delivered	1	1										
		Environmental education programmes are fully developed but partially delivered	2											
		Comprehensive environmental education programmes exist and are being delivered	3											
Indicator 7 – Extent of the linkage between environmental research/science and policy development		No linkage exist between environmental policy development and science/research strategies and programmes	0		NOT APPLICABLE TO THE PROJECT									
		Research needs for environmental policy development are identified but are not translated into relevant research strategies and programmes	1											
		Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs	2											
		Relevant research results are available for environmental policy development	3											
Indicator 8 – Extent of inclusion/use of traditional knowledge in environmental decision-making		Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes	0		NOT APPLICABLE TO THE PROJECT									
		Traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes	1											
		Traditional knowledge is collected but is not used systematically into relevant participative decision-making processes	2											
		Traditional knowledge is collected, used and shared for effective	3											

Capacity Result / Indicator		Staged Indicators		Rating		Score		Comments		Next Steps		Contribution to which Outcome	
		participative decision-making processes											
<b>CR 3: Capacities for strategy, policy and legislation development</b>													
Indicator 9 – Extend of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated and does not produce adequate environmental plans and strategies	0						Based on National Capacity Self-Assessment, the Concept of the National Environmental Policy (NEP) was developed in 2007. The NEP represents a strategic evaluation of Ukraine's national environmental potential. The NEP was adopted by the Parliament of Ukraine in December 2010 as the Law on the Main Principles (Strategy) of the National Environmental Policy (№ 2818-VI) and entered into force in January 2011. In 2011, Ukraine adopted the National Action Plan on Environmental Protection (NAPEP) for 2011-2015, giving priority to addressing environmental concerns of national interest, including addressing climate change. There is no overarching policy that links the Rio Conventions within the framework of national sustainable development.	In line with Rio Conventions requirements and as a way to integrate national priorities with international commitments and obligations, the Sustainable Development Strategy of Ukraine will be drafted through a cross-sectoral and participatory approach. The project will build upon Ukraine's political commitment to reform its environmental sector in support of the Rio Conventions provisions.	Project Outcome 1			
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but there are not implemented/used	1											
	Adequate environmental plans and strategies are produced but there are only partially implemented because of funding constraints and/or other problems	2	2										
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations and produces the required environmental plans and strategies; which are being implemented	3											
Indicator 10 – Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment	0						Environmental legislation framework exists, but requirements of the Rio Conventions are not effectively integrated into national legislation. There is little coordination on the implementation of natural resource and environmental policies. Policy interventions often result in overlap, duplication of effort and weak implementation. Natural resource and environmental legislation is extensive but not cohesive and in a number of cases conflicts with other legislation.	The project will be directed at policy and legislative reforms that integrate Rio Conventions provisions. Policy and legislative amendments will be submitted to the Parliament review and approval.	Project Outcome 1			
	Some relevant environmental policies and laws exist but few are implemented and enforced	1	1										
	Adequate environmental policy and legislation frameworks exist but there are problems in implementing and enforcing them	2											
	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established	3											

Capacity Result / Indicator		Staged Indicators		Rating		Score		Comments		Next Steps		Contribution to which Outcome	
Indicator 11 – Adequacy of the environmental information available for decision-making	and functions												
	The availability of environmental information for decision-making is lacking	0						There are a number of websites that cover the environment, but they are of varying quality and none adequately cover Rio Conventions mainstreaming.		A website on Rio conventions will be developed.		Project Outcome 3	
	Some environmental information exists but it is not sufficient to support environmental decision-making processes	1	1										
	Relevant environmental information is made available to environmental decision-makers but the process to update this information is not functioning properly	2											
Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions	3												
<b>CR 4: Capacities for management and implementation</b>													
Indicator 12 – Existence and mobilization of resources	The environmental organizations don't have adequate resources for their programmes and projects and the requirements have not been assessed	0						Financial resources to enact environmental policies (and the 3 Rio Conventions) are generally available according to adopted National Action Plan on Environmental Protection (NAPEP) for 2011-2015.		The project will contribute via the training of civil servants at national, regional and local level in integrating Rio Conventions provisions into national policy planning and implementation.		Project Outcome 2	
	The resource requirements are known but are not being addressed	1						An important support to the implementation of the National Environmental Policy and is the EC's €35 million Sector Budget Support Programme (SBSP) on Support for the Implementation of an Environmental Strategy of Ukraine.					
	The funding sources for these resource requirements are partially identified and the resource requirements are partially addressed	2	2										
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations	3											
Indicator 13 – Availability of required technical skills and technology transfer	The necessary required skills and technology are not available and the needs are not identified	0						Consideration of environmental issues in sectoral and regional planning is not systematic and rarely carried out. Some training is provided to government of Ukraine staff, but none on integration of Rio Convention provisions into sectoral and regional planning.		The project will support an extensive programme of training, information dissemination and advocacy to ensure adherence and involvement of concerned stakeholders in the policy and institutional reforms.		Project Outcome 2	
	The required skills and technologies needs are identified as well as their sources	1	1										
	The required skills and technologies are obtained but their access depend on foreign sources	2											
	The required skills and technologies	3											

Capacity Result / Indicator		Staged Indicators		Rating	Score	Comments	Next Steps	Contribution to which Outcome
		are available and there is a national-based mechanism for updating the required skills and for upgrading the technologies						
<b>CR 5: Capacities to monitor and evaluate</b>								
Indicator 14 – Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme		0				A Working Group for monitoring and evaluation of progress in project implementation will be established. For monitoring of implementation of Sustainable Development Strategy (SDS) a pilot project for the regional implementation of SDS will be developed. Also the SDS roadmap will be prepared and implemented.	Project Outcome 2
	An adequate resourced monitoring framework is in place but project monitoring is irregularly conducted		1	1				
	Regular participative monitoring of results in being conducted but this information is only partially used by the project/programme implementation team		2					
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action		3					
	None or ineffective evaluations are being conducted without an adequate evaluation plan; including the necessary resources		0					
Indicator 15 – Adequacy of the project/programme monitoring and evaluation process	An adequate evaluation plan is in place but evaluation activities are irregularly conducted		1	1		For evaluating of adequacy of project monitoring, the progress reports will be prepared quarterly. Also independent mid-term and final evaluation reports will be prepared. The project will support preparation Rio Convention national reports and communications.	Project Outcomes 1, 2 and 3	
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team		2					
	Effective evaluations are conducted timely and accurately and are used by the implementation team and the Agencies and GEF Staff to correct the course of action if needed and to learn for further planning activities		3					

Annex 4: Logical Framework

Project Strategy	Objectively verifiable indicators		Sources of verification	Risks and Assumptions	
	Indicator	Baseline value			Target value and date
<b>Long-term goal: To catalyze Ukraine's implementation of the three Rio Conventions on a strengthened policy and institutional sustainable development baseline</b>					
<b>Project objectives:</b>					
<p>A. To integrate principles and obligations of the three Rio Conventions into Ukraine's national policy framework</p> <p>B. To strengthen key institutional and individual capacities to implement policies, plans, and programmes that deliver global environmental benefits</p>	<p><b>Outcome indicators:</b></p> <ul style="list-style-type: none"> <li>▪ Rio Convention obligations are an integral part of the Sustainable Development Strategy</li> <li>▪ SDS Roadmap is an overarching plan of action for the environmental and sectoral action plans</li> <li>▪ The Government of Ukraine and a wide range of stakeholders systematically review natural resource and environmental policies in a holistic manner in line with Rio Conventions requirements.</li> <li>▪ Recommended reforms and restructuring per the SDS are presented for parliamentary consideration</li> </ul>	<ul style="list-style-type: none"> <li>▪ There is no overarching policy that links the Rio Conventions w/in the framework of national sustainable development</li> <li>▪ Requirements of the Rio Conventions are not effectively integrated into sectoral legislation</li> <li>▪ There is little inter-ministerial coordination on the implementation of natural resource and environmental policies.</li> <li>▪ Policy interventions often result in overlap, duplication of effort, and weak implementation.</li> <li>▪ There is limited stakeholder involvement in the consultative process that informs policy-making.</li> </ul>	<p><b>By the end of the project:</b></p> <ul style="list-style-type: none"> <li>▪ A draft Sustainable Development Strategy has been approved by the Cabinet of Ministers and ready for Parliamentary consideration for adoption</li> <li>▪ A draft SDS Roadmap has been approved by the Cabinet of Ministers</li> <li>▪ There is a minimum of 20% increase in the understanding of the Rio Convention mainstreaming among government staff</li> <li>▪ There is a minimum of 15% increase in the appreciation of the Rio Conventions among the general public</li> <li>▪ There is a minimum of 25% increase in the acceptance by government representatives and other stakeholder representatives of the legitimacy of the SDS and its accompanying Roadmap</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meeting Minutes<sup>18</sup></li> <li>▪ Working Group meeting reports</li> <li>▪ UNDP quarterly progress reports</li> <li>▪ Independent mid-term and final evaluation reports</li> <li>▪ Rio Convention national reports and communications</li> <li>▪ GoU and local self-government bodies decisions</li> <li>▪ GEF Cross-Cutting Capacity Development Scorecard</li> <li>▪ Statistical analyses of surveys carried out under activities 2.1.1 and 3.3.1</li> </ul>	<ul style="list-style-type: none"> <li>▪ Central and regional government ministries and authorities maintain political commitment to the formulation and implementation of the Sustainable Development Strategy</li> <li>▪ The project will be executed in a transparent, holistic, adaptive, and collaborative manner</li> <li>▪ Non-state stakeholder representatives, in particular project champions, remain active participants in the project</li> <li>▪ Policy and institutional reforms and modifications recommended by the project and the SDS are politically, technically, and financially feasible</li> </ul>

<sup>18</sup> Meeting minutes includes records of key meetings such as local, regional and national consultations regarding inputs on the design and implementation of the relevant output and associated activities. Meetings may be individual or group meetings, with government officials or non-state stakeholders.

Project Strategy	Objectively verifiable indicators		Risks and Assumptions	
	Indicator	Target value and date		
<b>Outcome 1: Policies and institutions catalyze the mainstreaming of the Rio Convention principles and obligations into sectoral policies</b> <b>Output 1.1</b> SWOT and Gap analysis of Ukraine's policy framework and institutional implementation of Rio Conventions	<ul style="list-style-type: none"> <li>▪ Analytical framework report for Rio Convention mainstreaming</li> <li>▪ Eight (8) sectoral analytical reports containing detailing opportunities for mainstreaming Rio Conventions</li> <li>▪ At least 10 peer review comments submitted for each sectoral analysis</li> <li>▪ High quality rating of all eight completed sectoral analyses rated by peer review experts<sup>19</sup></li> <li>▪ Each constituent public dialogue/council is attended by at least 50 diverse representatives from the target stakeholder constituency</li> </ul>	<ul style="list-style-type: none"> <li>▪ 2007 NCSA Thematic and Cross-Cutting Assessments</li> <li>▪ Sectoral assessments undertaken for specific ministries</li> <li>▪ Relevant assessments and analyses are no longer current due to policy and institutional changes in the past year and the October 2012 elections</li> </ul>	<ul style="list-style-type: none"> <li>▪ At least 50 experts agree to be peer reviewers by month 3<sup>20</sup></li> <li>▪ An inventory of action plans to implement Rio Conventions and sectoral programmes is prepared by month 3</li> <li>▪ Analytical framework for Rio Convention mainstreaming completed by month 6</li> <li>▪ Eight (8) SWOT and Gap analyses on the selected eight sectors drafted by month 8</li> <li>▪ Analyses made widely available to all stakeholders w/in 4 weeks of their completion</li> <li>▪ Four public stakeholder constituent meetings held by month 10 to review sectoral reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Policy recommendations and legislative reforms are politically, technically, and financially feasible</li> <li>▪ Analyses are deemed legitimate, relevant, and valid among all key stakeholder representatives and project champions</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Analytic reports</li> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports<sup>21</sup></li> <li>▪ Peer review ratings</li> <li>▪ Number of downloads from Internet</li> <li>▪ Public stakeholder constituent meeting participation lists</li> </ul>	

<sup>19</sup> Each analysis will be circulated for peer review to at least ten (10) national experts, who will use a set of 12 criteria to rate the analyses on a scale of 1 to 5.  
<sup>20</sup> Target dates are by the month after project implementation

<sup>21</sup> Tracking and progress reports include UNDP Quarterly Reports, Annual Performance Reports (APRs), and Project Implementation Reports (PIRs). Each output will be tracked by a report that records the activities and milestones of each output using tools such as Gantt or PERT charts.

Project Strategy	Objectively verifiable indicators			Risks and Assumptions
	Indicator	Baseline value	Target value and date	
<p><b>Output 1.2:</b> Draft Sustainable Development Strategy articulates a holistic vision and programmatic approach to policy and legislative reforms that catalyze Rio Convention implementation<sup>22</sup></p>	<ul style="list-style-type: none"> <li>▪ Draft SDS is prepared</li> <li>▪ Key stakeholders actively participated in the drafting of the integrated SDS</li> <li>▪ Assessment report of guidelines, tools, and resources to facilitate implementation of sectoral policies, plans, and programmes and legislation</li> <li>▪ Official Endorsement of recommended policy and legislative reforms by independent experts, decision-makers, and key stakeholder representatives</li> <li>▪ At least 20 peer review comments submitted from diverse independent experts</li> <li>▪ High quality rating of draft SDS by peer review experts<sup>23</sup></li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental legislation is extensive but not cohesive and sometimes conflict with other legislation</li> <li>▪ Rio Conventions obligations are not effectively integrated within national legislation</li> <li>▪ Commitment to Rio Convention provisions are not evident</li> <li>▪ A draft of the SDS exists, but does not fully integrate Rio Convention provisions</li> <li>▪ The draft SDS was not carried out to sufficiently engage and secure endorsement of all key stakeholders</li> <li>▪ Draft SDS, though considered by the Cabinet of Ministers, was not considered by Parliament</li> </ul>	<ul style="list-style-type: none"> <li>▪ Two expert workshops are convened to draft the SDS between months 12 and 17</li> <li>▪ Draft SDS that provides a vision for mainstreaming Rio Conventions into sectoral policies, plans, programmes and legislation completed by the NASU by month 18</li> <li>▪ Annotated outline of guidelines, tools and resources for SDS implementation completed by month 18</li> <li>▪ Four public stakeholder constituent meetings on the draft SDS held by month 19</li> <li>▪ SDS concept prepared and submitted for parliamentary consideration by month 22</li> </ul>	<ul style="list-style-type: none"> <li>▪ A consensus on recommended policy and legislative reforms among all stakeholders is realistic</li> <li>▪ Ministries and Parliament consider policy and legislative recommendations to mainstream Rio Conventions</li> <li>▪ NASU remains an independent authority of highest quality expertise</li> <li>▪ GoU remains politically committed to the SDS and facilitates its development and approval</li> <li>▪ Ministries and Parliament agree to schedule review and parliamentary hearing consider SDS</li> </ul>
			<p>Sources of verification</p> <ul style="list-style-type: none"> <li>▪ Formal communications</li> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> <li>▪ Draft and final versions of the SDS</li> <li>▪ Meeting minutes</li> <li>▪ NASU decisions and resolutions</li> <li>▪ Tracking and progress reports</li> <li>▪ Letters of support from key regional and national authorities</li> <li>▪ Parliamentary journals</li> </ul>	

<sup>22</sup> Although the Sustainable Development Strategy is considered a draft and will not be ready for Parliamentary consideration until month 26

<sup>23</sup> The same rating criteria used for the sectoral analyses of output 1.1 will be used (12 criteria ranked on a scale of 1 to 5)

Outcome 2: Capacities developed to implement Rio Conventions through national and regional SDS implementation				
Project Strategy	Objectively verifiable indicators			Risks and Assumptions
	Indicator	Baseline value	Target value and date	
<p><b>Output 2.1:</b> Learn-by-doing mainstreaming of Rio Conventions into selected sectoral policies, plans, programmes, and legislation at the regional, national, and local levels</p>	<ul style="list-style-type: none"> <li>▪ Four sets of high priority Rio Convention mainstreaming recommendations from the eight sectoral analyses are selected for targeted implementation at the regional, national, and local levels</li> <li>▪ All selected Rio Convention mainstreaming recommendations are completed within a 12 month period</li> <li>▪ Independent evaluation of targeted mainstreaming activities, best practices, and lessons learned</li> </ul>	<ul style="list-style-type: none"> <li>▪ Current programmes for regional economic development are not sustainable and do not adequately take into account national or international environmental priorities or obligations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Rio Convention awareness survey of ministry and agency staff completed with N&gt;200 respondents by month 3</li> <li>▪ Statistical analysis of survey results completed month 5</li> <li>▪ Assessment of training needs assessment report completed by month 9</li> <li>▪ Four (4) high priority recommendations, one each from the sectoral analyses, selected for early implementation by month 10</li> <li>▪ Training programme on selected sectoral mainstreaming activities is drafted, peer reviewed, and approved by month 13</li> <li>▪ Four (4) sets of Rio Convention mainstreaming activities under implementation at the regional or local level by month 14 and completed by month 19</li> <li>▪ Lessons learned and best practice report prepared on targeted regional Rio Convention mainstreaming activities completed by month 21</li> </ul>	<ul style="list-style-type: none"> <li>▪ Local self-government bodies and regional departments of the line ministries are committed to project goals and will support SDS implementation</li> </ul>
			<p>Sources of verification</p> <ul style="list-style-type: none"> <li>▪ Sectoral analyses report (Output 1.1)</li> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> <li>▪ Letters of support from key local, regional, and national GoU officials</li> </ul>	

Project Strategy	Objectively verifiable indicators			Risks and Assumptions
	Indicator	Baseline value	Target value and date	
<b>Output 2.2:</b> Draft SDS Roadmap for the effective integration and institutionalization of Rio Convention provisions into sectoral policies, plans, programmes, and legislation	<ul style="list-style-type: none"> <li>▪ Draft SDS Roadmap document is prepared</li> <li>▪ SMART indicators to measure SDS Roadmap implementation are developed</li> <li>▪ Specific structures and arrangements for national SDS implementation are recommended for regional and central government consideration</li> <li>▪ At least 20 peer review comments submitted from diverse independent experts</li> <li>▪ High quality rating of draft SDS Roadmap by peer review experts<sup>24</sup></li> </ul>	<ul style="list-style-type: none"> <li>▪ There is no systematic approach or institutional procedures to integrate environmental conservation priorities and Rio Convention provisions into socio-economic development planning processes</li> <li>▪ There is no coordination among agencies and ministries to reconcile design and implementation of sectoral plans with Rio Convention provisions</li> <li>▪ There are a number of donor-funded projects that have and are supporting environmental mainstreaming to conform with EU standards, but a small fraction deal with the Rio Conventions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Preliminary public administration training programme approved by month 9</li> <li>▪ Comprehensive public administration training programme approved by month 20</li> <li>▪ Draft SDS roadmap is completed by month 22</li> <li>▪ At least 50 representatives from the main stakeholder constituencies actively consulted on the draft roadmap</li> <li>▪ Draft SDS roadmap is endorsed and validated by a consensus of key stakeholder representatives by month 23</li> <li>▪ Draft SDS roadmap is considered by Cabinet of Ministers and Parliamentarians by month 26</li> </ul>	<ul style="list-style-type: none"> <li>▪ Best practices related to the SDS from other countries are appropriately adapted for replication in Ukraine</li> <li>▪ GoU officials at all levels remain committed to institutional reforms that may call for staff redistribution and/or redundancy</li> <li>▪ Agents of SDS implementation fully absorb the training provided by the project in output 2.3</li> <li>▪ Pilot implementation of SDS is overall successful</li> </ul>
			Sources of verification <ul style="list-style-type: none"> <li>▪ Draft SDS Roadmap</li> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> <li>▪ Letters of support from key non-state stakeholders</li> <li>▪ Official letters of endorsement from regional and central government authorities</li> </ul>	

<sup>24</sup> The same rating criteria used for the sectoral analyses of output 1.1 will be used (12 criteria ranked on a scale of 1 to 5)

Outcome 3: Enhanced awareness and understanding of the environment's contribution to socio-economic development, with particular reference to the Rio Conventions				
Project Strategy	Objectively verifiable indicators			
	Indicator	Baseline value	Target value and date	
Output 3.1: <b>Kick-Off Conference</b>	<ul style="list-style-type: none"> <li>One-day Kick-Off Conference raises high profile of Rio Convention mainstreaming into sectoral policies, plans, programmes, and legislation through a series of eight (8) sectoral panel discussions</li> </ul>	<ul style="list-style-type: none"> <li>As a follow-up to Rio+20, Ukraine will be organizing an annual conference to promote national action to its follow-up. However, this will likely take place before this project can be included among the activities. Also, a separate conference would give a higher profile of the need for Rio Convention mainstreaming. A half-day special event will be organized during the Rio+20 Conference to promote the project (non-GEF funds)</li> </ul>	<ul style="list-style-type: none"> <li>One-day Kick-Off Conference is held by month 3</li> <li>Eight (8) expert panel discussions present the value of Rio Convention mainstreaming (Concurrent panel discussions)</li> <li>Over 240 participants attend the Kick-Off Conference</li> <li>At least 30 participants attend each of the panel discussions</li> </ul>	<ul style="list-style-type: none"> <li>Participation to the conference assumes that most all stakeholders will attend the conference</li> <li>Concurrent panel discussions will not significantly limit conference attendance</li> <li>Conference will further enhance support for Rio Convention mainstreaming</li> </ul>
			<ul style="list-style-type: none"> <li>Conference registration lists</li> <li>Expert panelist participation</li> <li>Meeting minutes</li> <li>Tracking and progress reports</li> </ul>	

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<b>Output 3.2: Broad-based survey on public awareness</b>	<ul style="list-style-type: none"> <li>▪ Analysis of the Ukraine's awareness and understanding of the link between environment and development (report)</li> <li>▪ Improved awareness and understanding of the value of mainstreaming Rio Conventions within sectoral policies, plans, programmes and legislation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Awareness and understanding of the Rio Conventions have improved in the past year as a result of Rio+20. However, environmental issues in the Ukraine remain to be seen as a separate sector, with marginal policy influence on socio-economic development priorities</li> <li>▪ The most recent relevant survey on Ukraine's environmental attitudes and values was taken in 2005. While it provided useful data, in the advent of Rio+20 this data is out of date.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Two broad-based surveys are carried out, the first by month 3 and the second by month 30</li> <li>▪ At least 500 survey respondents participate in the survey</li> <li>▪ Statistical and sociological analyses (2x) of survey results completed by month 5 (baseline) and month 32</li> </ul>	<ul style="list-style-type: none"> <li>▪ Survey instrument</li> <li>▪ Survey responses</li> <li>▪ Statistical and sociological analysis reports (2x)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Survey respondents contribute their honest attitudes and values</li> <li>▪ Changes in awareness and understanding of Rio Convention mainstreaming can be largely attributed to project activities (survey questionnaire can address this issue)</li> </ul>
<b>Output 3.3: Public awareness campaign</b>	<ul style="list-style-type: none"> <li>▪ Comprehensive public awareness plan developed to detail the content and distribution of materials and media</li> </ul>	<ul style="list-style-type: none"> <li>▪ In the past year, Ukraine has been carrying out a number of activities to promote environmental consciousness in conjunction with Rio+20, among other MEAs. However, these have focused on specific thematic issues</li> </ul>	<ul style="list-style-type: none"> <li>▪ Programme of work on public awareness and advocacy activities developed in cooperation with partner development agencies completed by month 4</li> <li>▪ Suite of public awareness activities underway by month 5</li> </ul>	<ul style="list-style-type: none"> <li>▪ Public awareness campaign plan</li> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Donor countries and projects implementing parallel public awareness campaigns are willing to modify, as appropriate, their activities to supporting the awareness activities of the present project to create synergies and achieve cost-effectiveness</li> </ul>

Project Strategy	Objectively verifiable indicators		Sources of verification	Risks and Assumptions	
	Indicator	Baseline value			Target value and date
<b>Output 3.4: Public awareness and educational materials</b>	<ul style="list-style-type: none"> <li>▪ Articles on Rio Convention mainstreaming in popular literature</li> <li>▪ High school competitions on links between local behaviour and the global environment</li> <li>▪ High school education modules and accompanying lecture material on the global environment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Articles on the Rio Conventions are being published, but in specialized literature that is largely read by environmental supporters or in the popular literature during crisis events, with few exceptions</li> <li>▪ Only some high schools currently teach environmental issues once a week, with limited content</li> </ul>	<ul style="list-style-type: none"> <li>▪ At least 18 articles on Rio Convention mainstreaming published in popular literature with high circulation, at least one every 2 months, the first by month 3</li> <li>▪ Articles on Rio Convention mainstreaming are also published as brochures, at 100 copies each, and distributed to at least two high value special events, at least 9 by month 20 and at least 18 by month 32</li> <li>▪ Project plan for high school competitions on Rio Convention mainstreaming completed by month 8</li> <li>▪ High school education module on Rio Conventions and accompanying lecture material are completed by month 8</li> <li>▪ At least 10 high schools carry out Rio Convention mainstreaming competitions and have implemented education module by month 20</li> <li>▪ At least 20 high schools carry out Rio Convention mainstreaming competitions and have implemented education module by month 32</li> </ul>	<ul style="list-style-type: none"> <li>▪ Published articles</li> <li>▪ Published brochures</li> <li>▪ High school competition events (promoted on website of 3.7 and Facebook)</li> <li>▪ High school education module and accompanying lecture materials</li> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> <li>▪ Sensitization workshop reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Articles published in the popular media will be read and not skipped over</li> <li>▪ Brochures will be read and the content absorbed</li> <li>▪ High school competitions and education module will be popular with teachers, students, and their parents</li> <li>▪ Government and schools will agree to expand environmental studies to a full course and offer in all high schools</li> </ul>

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<b>Output 3.5: Awareness-raising dialogues and workshops</b>	<ul style="list-style-type: none"> <li>▪ Media awareness workshops on Rio Convention mainstreaming</li> <li>▪ Expert panel discussions on synergies between Rio Conventions and business</li> <li>▪ Annual public constituent meetings on Rio Convention mainstreaming</li> <li>▪ Regional sensitization of Rio Convention mainstreaming and SDS implementation</li> <li>▪ Increased sensitization and understanding on Rio Convention mainstreaming values</li> </ul>	<ul style="list-style-type: none"> <li>▪ Media professionals generally have no special training or understanding of Rio Convention mainstreaming issues</li> <li>▪ The private sector is primarily focused on traditional approaches to maximizing profits, seeing environmental issues as an added transaction cost that reduces profits</li> <li>▪ Public dialogues (national platforms) were recently created to discuss key environmental issues, and set up to meet once a year</li> <li>▪ Regional government representatives are not familiar with approaches to mainstream Rio Convention into regional development</li> <li>▪ The general public in Ukraine remains generally unaware or unconcerned about the contribution of the Rio Conventions to meeting and satisfying local and national socio-economic priorities</li> </ul>	<ul style="list-style-type: none"> <li>▪ At least five (5) media awareness workshops held, each with at least 20 participating media representatives, the first by month 6</li> <li>▪ Three (3) panel discussions, with at least 50 private sector representatives, one held each year, the first by month 7</li> <li>▪ At least four regional awareness workshops on Rio Convention mainstreaming and SDS implementation held by month 29, with at least 50 regional government representatives attending each</li> <li>▪ Four (4) public dialogues meetings carried out in year 3 by month 32<sup>25</sup></li> <li>▪ By month 32, statistical and sociological analysis of broad-based survey shows at least 20% increase in the understanding of Rio Convention mainstreaming values and opportunities</li> <li>▪ By month 32, reporting in the popular literature on Rio Convention mainstreaming shows a 10% increase over business as usual forecast</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> <li>▪ Participant registration lists</li> <li>▪ A awareness and sensitization workshop reports</li> <li>▪ Public dialogue meeting reports</li> <li>▪ Survey results</li> <li>▪ Newspaper citations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Public attitudes towards environment are not too negative that they are willing to participate in awareness raising activities</li> <li>▪ There is sufficient commitment from policy-makers to maintain long-term support to public awareness raising activities</li> <li>▪ Media representatives and private sector representatives are open to learn about Rio Convention mainstreaming values and opportunities, and will actively work to support project objectives</li> <li>▪ Participation to the public dialogues attracts people that are new to the concept of Rio Convention mainstreaming, as well as detractors, with the assumption that dialogues will help convert their attitudes in a positive way</li> </ul>

<sup>25</sup> Similar public dialogues for the four stakeholder constituents will be carried out in Year 1 under activity 1.1.4 and in Year 2 under activity 1.2.4.

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<p><b>Output 3.6: Training of government staff on Rio Convention mainstreaming</b></p>	<ul style="list-style-type: none"> <li>▪ Comprehensive training programme on Rio Convention mainstreaming integrated within National Academy of Public Administration (NAPU) trainings</li> <li>▪ Number of government staff and stakeholder representatives that participated actively in learn-by doing Rio Convention mainstreaming through activities 1.2.1, 1.2.2, 2.1.3, 2.1.4, 2.1.5, and 3.3.1</li> <li>▪ SDS training workshops carried out at the regional and national levels</li> <li>▪ Rio Convention Focal Points endorse SDS implementation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Low awareness and understanding of government staff on the importance of Rio Conventions to national socio-economic priorities</li> <li>▪ National Academy of Public Administration provides advanced for government staff, but presently does not include Rio Convention mainstreaming</li> </ul>	<ul style="list-style-type: none"> <li>▪ Comprehensive training programme is completed by month 22 and approved for integration into NAPU's training programme by month 26</li> <li>▪ Learn-by-doing activities of activities 1.2.1, 1.2.2, 2.1.3, 2.1.4, 2.1.5, and 3.3.1:</li> <li>▪ Preparation of draft SDS Roadmap (activities 1.2.1 and 1.2.2)</li> <li>▪ Structuring of 8 regional Rio Convention mainstreaming priority actions under the sectoral analyses (activity 2.1.3)</li> <li>▪ Preparation of targeted training project (activity 2.1.4)</li> <li>▪ Active participation in targeted regional Rio Convention mainstreaming exercises (activity 2.1.5) and preparation of public awareness campaign (activity 3.3.1)</li> <li>▪ All Rio Convention Focal Points endorse SDS and accompanying roadmap for Parliamentary approval by month 26</li> </ul>	<ul style="list-style-type: none"> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> <li>▪ Participant registration lists</li> <li>▪ Workshop reports</li> <li>▪ Endorsement letters</li> </ul>	<ul style="list-style-type: none"> <li>▪ Political commitment to the SDS will remain sufficiently high to ensure that training on Rio Convention mainstreaming and SDS roadmap will be obligatory within the NAPU's training after the project has ended.</li> <li>▪ The experience of civil servants and other stakeholders in the learn-by-doing activities for Rio Convention mainstreaming and early implementation of the SDS will be sufficiently rewarding that further interest is generated for sustained and active participation towards the full SDS implementation</li> </ul>

Project Strategy	Objectively verifiable indicators			Risks and Assumptions
	Indicator	Baseline value	Target value and date	
<b>Output 3.7:</b> <b>Internet visibility of Rio Convention mainstreaming</b>	<ul style="list-style-type: none"> <li>▪ Website promotes Rio Convention mainstreaming</li> <li>▪ Facebook page on Rio Convention mainstreaming</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environment for Ukraine is a current website that is devoted to promoting environmental issues, but does not include information that promotes the linkage between Rio Conventions and socio-economic development</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environment for Ukraine website includes new webpage and introductory articles on Rio Convention mainstreaming by month 3</li> <li>▪ Website is regularly updated, at least once a month with new information, articles, and relevant links on Rio Convention mainstreaming.</li> <li>▪ Number of visits to the Rio Convention mainstreaming webpages raises sustained visits to Environment for Ukraine website by at least 10%.</li> <li>▪ Facebook page created by month 3</li> <li>▪ At least 3,000 Facebook likes by month 32</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interest in environmental issues can be distinguished from rising interest on Rio Convention mainstreaming</li> </ul>
				<b>Sources of verification</b> <ul style="list-style-type: none"> <li>▪ Meeting minutes</li> <li>▪ Tracking and progress reports</li> <li>▪ Survey results</li> <li>▪ Website and unique site visits using site meters</li> <li>▪ Facebook 'likes'</li> </ul>

Annex 5: Outcome Budget (GEF Contribution and Co-financing)

Activity Description	Year 1	Year 2	Year 3	GEF	Co-financing	Total
<b>Component 1</b>	<b>277,950</b>	<b>196,050</b>	<b>45,000</b>	<b>260,000</b>	<b>259,000</b>	<b>519,000</b>
<b>Output</b>						
<b>1.1 SWOT and Gap analysis</b>						
1.1.1 Identify and secure peer reviewers	30,000	30,000	30,000	30,000	60,000	90,000
1.1.2 Prepare Rio Convention analytical framework	18,000	0	0	18,000	0	18,000
1.1.3 Undertake SWOT and Gap analyses of sector policies	100,000	0	0	68,000	32,000	100,000
1.1.4 Convene four (4) public stakeholder constituent dialogues	90,000	0	0	52,000	38,000	90,000
<b>Output</b>						
<b>1.2 Sustainable Development Strategy</b>						
1.2.1 Prepare a draft of the Sustainable Development Strategy	13,750	21,250	0	15,500	19,500	35,000
1.2.2 Conduct expert workshops to draft Sustainable Development Strategy	5,000	15,000	5,000	7,500	17,500	25,000
1.2.3 Undertake an assessment of guidelines, tools, and resources on mainstreaming	11,200	24,800	0	16,000	20,000	36,000
1.2.4 Convene four (4) public stakeholder constituent dialogues on draft SDS	0	90,000	0	40,000	50,000	90,000
1.2.5 Prepare and submit draft SDS for Parliamentary consideration	10,000	15,000	10,000	13,000	22,000	35,000
<b>Component 2</b>	<b>92,375</b>	<b>496,625</b>	<b>75,000</b>	<b>347,000</b>	<b>317,000</b>	<b>664,000</b>
<b>Output</b>						
<b>2.1 Learn-by-doing mainstreaming of Rio Conventions into sectors</b>						
2.1.1 Carry out baseline survey of government staff's awareness of Rio Conventions	30,000	0	0	21,000	9,000	30,000
2.1.2 Undertake an assessment of training needs	27,500	5,000	0	22,500	10,000	32,500
2.1.3 Select four (4) Rio Convention/sectoral mainstreaming activities to implement	20,000	0	0	10,000	10,000	20,000
2.1.4 Design targeted training programme to support 2.1.3 regional implementation	14,875	12,625	0	16,000	11,500	27,500
2.1.5 Carry out targeted Rio Convention/sectoral mainstreaming activities per 2.1.3	0	406,500	40,000	226,500	220,000	446,500
2.1.6 Identify best practices and cull lessons learned on initial mainstreaming exercises	0	27,500	0	17,500	10,000	27,500
<b>Output</b>						
<b>2.2 Roadmap for Sustainable Development Strategy implementation</b>						
2.2.1 Draft SDS Roadmap	0	30,000	10,000	17,500	22,500	40,000
2.2.2 Convene stakeholder consultations and expert meetings on SDS Roadmap	0	15,000	10,000	10,000	15,000	25,000
2.2.3 Prepare and submit draft SDS roadmap for Parliamentary consideration	0	0	15,000	6,000	9,000	15,000

<b>Component 3</b>		<b>173,850</b>	<b>83,725</b>	<b>199,425</b>	<b>203,000</b>	<b>254,000</b>	<b>453,000</b>
<b>Output</b>							
<b>3.1</b>	<b>Kick-Off Conference</b>						
3.1.1	Organize and convene a one-day Kick-Off Conference	20,000	0	0	7,000	13,000	20,000
3.1.2	Organize and convene a one-day Project Results Conference	0	0	20,000	6,000	14,000	20,000
<b>Output</b>							
<b>3.2</b>	<b>Broad-based survey on public awareness</b>						
3.2.1	Carry out broad-based awareness survey (in conjunction with activity 2.1.1)	30,000	0	0	12,000	18,000	30,000
<b>Output</b>							
<b>3.3</b>	<b>Public awareness campaign</b>						
3.3.1	Prepare public awareness implementation plan	19,500	0	0	11,000	8,500	19,500
<b>Output</b>							
<b>3.4</b>	<b>Public awareness and educational materials</b>						
3.4.1	Prepare articles on Rio Conventions	11,750	11,750	11,500	17,000	18,000	35,000
3.4.2	Develop plan for high school competitions on Rio Conventions and implement	10,250	6,125	6,125	5,000	17,500	22,500
3.4.3	Prepare global environmental education module for high schools	10,250	6,125	6,125	8,000	14,500	22,500
3.4.4	Prepare and air a PSA on Rio Convention mainstreaming on TV and radio	25,250	4,375	4,375	9,000	25,000	34,000
<b>Output</b>							
<b>3.5</b>	<b>Awareness-raising dialogues and workshops</b>						
3.5.1	Organize and convene journalist awareness workshops	15,000	14,000	9,500	21,000	17,500	38,500
3.5.2	Organize and convene private sector sensitization panel discussions	11,175	11,675	10,650	12,500	21,000	33,500
3.5.3	Organize and convene regional awareness workshops	9,675	10,675	11,150	15,000	16,500	31,500
3.5.4	Convene four (4) public policy dialogues/councils ("platforms")	0	0	110,000	60,000	50,000	110,000
<b>Output</b>							
<b>3.6</b>	<b>Training of government staff on Rio Convention mainstreaming</b>						
3.6.1	Prepare a comprehensive training programme for Rio Convention mainstreaming	0	15,500	6,500	11,000	11,000	22,000
3.6.2	Undertake learn-by-doing mainstreaming activities, through activities above	0	0	0	0	0	0
<b>Output</b>							
<b>3.7</b>	<b>Internet visibility of Rio Convention mainstreaming</b>						
3.7.1	Improve Environment for Ukraine website to include Rio Convention information	10,000	2,500	2,500	8,000	7,000	15,000
3.7.2	Create a Facebook page on Rio Convention mainstreaming	1,000	1,000	1,000	500	2,500	3,000

Project Management		Year 1	Year 2	Year 3	GEF	Co-Fin	Total
	Unit Cost	89,000	90,000	111,000	90,000	200,000	290,000
A	Locally recruited personnel: Project Manager (1)	22,000	22,000	26,000	70,000	0	70,000
B	Locally recruited personnel: Project Assistant	40,000	40,000	40,000	5,000	115,000	120,000
C	International Evaluation Consultant Fee (2)	0	0	15,000	15,000	0	15,000
D	Office facilities and communications (3)	25,000	25,000	25,000	0	75,000	75,000
E	Travel (Regional Mainstreaming meetings)	2,000	3,000	5,000	0	10,000	10,000
<b>Total Project Financing</b>		<b>633,175</b>	<b>864,400</b>	<b>430,425</b>	<b>900,000</b>	<b>1,030,000</b>	<b>1,930,000</b>

**Notes**

- (1) The Public Administration Expert and Project Manager is the same individual
- (2) The International Consultant will conduct an independent evaluation of the project
- (3) In addition to office space for the project team, this budget will cover the cost of Project Board meetings, 4x per year.

Annex 6: Provisional Work Plan

Activity	Description	Year 1														
		1	2	3	4	5	6	7	8	9	10	11	12			
<b>A</b>	Project start-up: Organize project team and review work plan															
<b>B</b>	Policy Board Meetings															
<b>Output 1.1</b>	<b>SWOT and Gap analysis</b>															
1.1.1	Identify peer reviewers															
1.1.2	Prepare Rio Convention analytical framework															
1.1.3	Undertake SWOT and Gap analyses of sector policies															
1.1.4	Convene four (4) public stakeholder constituent dialogues															
<b>Output 1.2</b>	<b>Sustainable Development Strategy</b>															
1.2.1	Prepare a draft of the Sustainable Development Strategy															
1.2.2	Conduct expert workshops to draft Sustainable Development Strategy															
1.2.3	Undertake an assessment of guidelines, tools, and resources on mainstreaming															
1.2.4	Convene four (4) public stakeholder constituent dialogues on draft SDS															
1.2.5	Submit draft SDS for Parliamentary consideration															
<b>Output 2.1</b>	<b>Learn-by-doing mainstreaming of Rio Conventions into sectors</b>															
2.1.1	Carry out baseline survey of government staff's awareness of Rio Conventions															
2.1.2	Undertake an assessment of training needs															
2.1.3	Select four (4) Rio Convention/sectoral mainstreaming activities to implement															
2.1.4	Design targeted training programme to support 2.1.3 regional implementation															
2.1.5	Carry out targeted Rio Convention/sectoral mainstreaming activities per 2.1.3															
2.1.6	Identify best practices and cull lessons learned on initial mainstreaming exercises															
<b>Output 2.2</b>	<b>Roadmap for Sustainable Development Strategy implementation</b>															
2.2.1	Draft SDS Roadmap															
2.2.2	Convene stakeholder consultations and expert meetings on SDS Roadmap															
2.2.3	Submit draft SDS roadmap for Parliamentary consideration															

Activity	Description	Year 1												
		1	2	3	4	5	6	7	8	9	10	11	12	
<b>Output 3.1</b>	<b>Kick-Off and Project Results Conference</b>													
3.1.1	Organize and convene a one-day Kick-Off Conference													
3.1.2	Organize and convene a one-day Project Results Conference													
<b>Output 3.2</b>	<b>Broad-based survey on public awareness</b>													
3.2.1	Carry out broad-based awareness survey (in conjunction with activity 2.1.1)													
<b>Output 3.3</b>	<b>Public awareness campaign</b>													
3.3.1	Prepare public awareness implementation plan													
<b>Output 3.4</b>	<b>Public awareness and educational materials</b>													
3.4.1	Prepare articles on Rio Conventions mainstreaming													
3.4.2	Develop high school competition plan on RC mainstreaming and implement													
3.4.3	Prepare global environmental education module for high schools													
3.4.4	Prepare and air a PSA on Rio Convention mainstreaming on TV and radio													
<b>Output 3.5</b>	<b>Awareness-raising dialogues and workshops</b>													
3.5.1	Organize and convene journalist awareness workshops													
3.5.2	Organize and convene private sector sensitization panel discussions													
3.5.3	Organize and convene regional awareness workshops													
3.5.4	Convene four (4) public policy dialogues/councils ("platforms")													
<b>Output 3.6</b>	<b>Training of government staff on Rio Convention mainstreaming</b>													
3.6.1	Prepare a comprehensive training programme for Rio Convention mainstreaming													
3.6.2	Undertake learn-by-doing mainstreaming activities, through activities above													
<b>Output 3.7</b>	<b>Internet visibility of Rio Convention mainstreaming</b>													
3.7.1	Improve selected website to include Rio Convention mainstreaming information													
3.7.2	Create a Facebook page on Rio Convention mainstreaming													
<b>C</b>	<b>Project final evaluation and wrap-up</b>													

Activity	Description	Year 2											
		13	14	15	16	17	18	19	20	21	22	23	24
<b>A</b>	Project start-up: Organize project team and review work plan												
<b>B</b>	Policy Board Meetings												
<b>Output 1.1</b>	<b>SWOT and Gap analysis</b>												
1.1.1	Identify peer reviewers												
1.1.2	Prepare Rio Convention analytical framework												
1.1.3	Undertake SWOT and Gap analyses of sector policies												
1.1.4	Convene four (4) public stakeholder constituent dialogues												
<b>Output 1.2</b>	<b>Sustainable Development Strategy</b>												
1.2.1	Prepare a draft of the Sustainable Development Strategy												
1.2.2	Conduct expert workshops to draft Sustainable Development Strategy												
1.2.3	Undertake an assessment of guidelines, tools, and resources on mainstreaming												
1.2.4	Convene four (4) public stakeholder constituent dialogues on draft SDS												
1.2.5	Submit draft SDS for Parliamentary consideration												
<b>Output 2.1</b>	<b>Learn-by-doing mainstreaming of Rio Conventions into sectors</b>												
2.1.1	Carry out baseline survey of government staff's awareness of Rio Conventions												
2.1.2	Undertake an assessment of training needs												
2.1.3	Select four (4) Rio Convention/sectoral mainstreaming activities to implement												
2.1.4	Design targeted training programme to support 2.1.3 regional implementation												
2.1.5	Carry out targeted Rio Convention/sectoral mainstreaming activities per 2.1.3												
2.1.6	Identify best practices and cull lessons learned on initial mainstreaming exercises												
<b>Output 2.2</b>	<b>Roadmap for Sustainable Development Strategy implementation</b>												
2.2.1	Draft SDS Roadmap												
2.2.2	Convene stakeholder consultations and expert meetings on SDS Roadmap												
2.2.3	Submit draft SDS roadmap for Parliamentary consideration												

Activity	Description	Year 2											
		13	14	15	16	17	18	19	20	21	22	23	24
<b>Output 3.1</b>	<b>Kick-Off and Project Results Conference</b>												
3.1.1	Organize and convene a one-day Kick-Off Conference												
3.1.2	Organize and convene a one-day Project Results Conference												
<b>Output 3.2</b>	<b>Broad-based survey on public awareness</b>												
3.2.1	Carry out broad-based awareness survey (in conjunction with activity 2.1.1)												
<b>Output 3.3</b>	<b>Public awareness campaign</b>												
3.3.1	Prepare public awareness implementation plan												
<b>Output 3.4</b>	<b>Public awareness and educational materials</b>												
3.4.1	Prepare articles on Rio Conventions mainstreaming												
3.4.2	Develop high school competition plan on RC mainstreaming and implement												
3.4.3	Prepare global environmental education module for high schools												
3.4.4	Prepare and air a PSA on Rio Convention mainstreaming on TV and radio												
<b>Output 3.5</b>	<b>Awareness-raising dialogues and workshops</b>												
3.5.1	Organize and convene journalist awareness workshops												
3.5.2	Organize and convene private sector sensitization panel discussions												
3.5.3	Organize and convene regional awareness workshops												
3.5.4	Convene four (4) public policy dialogues/councils ("platforms")												
<b>Output 3.6</b>	<b>Training of government staff on Rio Convention mainstreaming</b>												
3.6.1	Prepare a comprehensive training programme for Rio Convention mainstreaming												
3.6.2	Undertake learn-by-doing mainstreaming activities, through activities above												
<b>Output 3.7</b>	<b>Internet visibility of Rio Convention mainstreaming</b>												
3.7.1	Improve selected website to include Rio Convention mainstreaming information												
3.7.2	Create a Facebook page on Rio Convention mainstreaming												
<b>C</b>	<b>Project final evaluation and wrap-up</b>												





## *Annex 7: Terms of References*

The following Terms of Reference outlines the general responsibilities to be carried out by consultants contracted under the project.

### **Background**

This project is grounded in Ukraine's National Capacity Self-Assessment (NCSA), which was completed in 2007. As with many other countries, Ukraine's challenge in meeting global environmental priorities is rooted in a real priority to meet national socio-economic priorities, lack of awareness on the national benefits of Rio Convention implementation, weak institutional capacities to implement the Rio Conventions, and limited financial resources of government institutions, among other challenges and barriers. Under the NCSA, Ukraine prepared their National Environmental Policy (NEP), which reflected the principles and provisions of the three Rio Conventions. The NEP also helped strengthen Ukraine's alignment with the European Union's (EU) Environment Action Programme, and subsequent EU large-scale financing. Since 2007, Ukraine has been making positive advances towards improving its governance of the environment, passing into law (in December 2010) the Main Principles (Strategy) of the National Environmental Policy. This law called for Ukraine to stabilize and improve the environment by *integrating environmental objectives into sectoral socio-economic policies*. The NEP law frames a comprehensive policy and legal framework that reflects the principles of the Rio Conventions as well as the European Union's legislative requirements on the environment for member states.

### **Project Goal and Objectives**

The goal of this project is to **catalyze Ukraine's implementation of the three Rio Conventions on a strengthened policy and institutional sustainable development baseline**. To this end, the project will focus on mainstreaming Rio Convention provisions into Ukraine's broader national development framework and strengthening related capacities to implement this framework through two complementary objectives. The first project objective is to **integrate principles and obligations of the three Rio Conventions into Ukraine's national policy framework**. Specifically, this will involve the preparation of a national Sustainable Development Strategy (SDS) that fully integrates global environmental priorities.

This objective will be complemented by a second objective to **strengthen key institutional and individual capacities to pursue sustainable development that delivers global environmental benefits**. This second objective will be targeted implementation of the SDS at the regional level, training government staff at the local, regional and national levels on the specific interpretation of Rio Convention provisions as they apply to their respective roles and responsibilities to implement associated development policies. This second objective will also be implemented by a targeted public awareness campaign to raise the understanding of the critical linkages between the Rio Convention principles and the more immediate socio-economic development priorities. Both objectives will be implemented through a learning-by-doing approach. The active participation of stakeholder representatives in the full project life cycle serves to facilitate the strategic adaptation of project activities in keeping with project objectives. The critical role of non-state stakeholders will contribute to the adaptive collaborative management of project implementation.

### **Project Strategy**

The project's strategy is to take a sub-national approach to this exercise by focusing on a key set of sectoral policies that are implemented at the regional level by regional authorities. In this way, sustainable development is not just about meet national socio, economic and environmental priorities, but rather that the environmental pillar of sustainable development institutionalizes global environmental

obligations as defined by the three Rio Conventions. Sustainable development has never been only about meeting national priorities. However, because of the pressing social and economic needs that more visibly affect people's daily lives, the environmental component has traditionally been interpreted as managing the environment to the extent that it supports national social and economic priorities.

This project will be among the set of innovative and transformative projects under the Global Environmental Facility (GEF) that will demonstrate the pursuit of sustainable development through sectoral policies that help better deliver global environmental benefits as well as meeting their national socio-economic objectives. At the end of the project, a key set of foundational capacities through improved sectoral policies, programmes, plans and legislation as well as training of government staff and other stakeholders will have been strengthened that facilitates the delivery and sustainability of global environmental outcomes.

The project will take an adaptive collaborative management (ACM) approach to implementation, which calls for stakeholders to take an early and proactive role in the mainstreaming exercises, as well as to help identify and solve unexpected implementation barriers and challenges. By taking an ACM approach, project activities and outputs can be more legitimately modified and adapted to maintain timely and cost-effective project performance and delivery.

### **Project Outcomes and Components**

At the end of the project, activities will have resulted in a set of improved capacities to meet and sustain Rio Convention objectives. This project will have strengthened and helped institutionalize commitments under the Rio Conventions within the framework of national sustainable development policy. In this way, the project will have lowered the transaction costs in terms of political will and resources (human and financial). To this end, the project will have produced a national Sustainable Development Strategy (SDS) that fully reflects articles of the three Rio Conventions and decisions of their respective Conference of the Parties. The project will have also strengthened the institutional arrangements necessary for the cost-effective implementation of the SDS by demonstrating regional SDS implementation and extensive training and public awareness on the critical links between environment and development. This will in turn inform the preparation of the SDS Roadmap. Figure 3 summarizes the design of the project.

This project will be implemented in three linked components:

- A. Integrating Rio Conventions into a Sustainable Development Strategy
- B. Strengthening institutional and individual capacities for SDS implementation
- C. Enhancing awareness and understanding of Rio Convention contribution to socio-economic development

### **Responsibilities**

#### 1. National Project Director (NPD)

The Government of Ukraine must appoint a national director for this UNDP-supported project. The National Project Director supports the project and acts as a focal point on the part of the Government. This responsibility normally entails ensuring effective communication between partners and monitoring of progress towards expected results.

The National Project Director is the party that represents the Government's *ownership* and *authority* over the project, *responsibility* for achieving project objectives and the *accountability* to the Government and UNDP for the use of project resources.

In consultation with UNDP, the Ministry of Ecology and Natural Resources (MENR), as the concerned ministry, will designate the National Project Director from among its staff at not lower than the Deputy Minister or Head of Department level. The National Project Director (NPD) will be supported by a full-time National Project Manager (NPM).

#### *Duties and Responsibilities of the NPD*

The NPD will have the following duties and responsibilities:

- a. Assume overall responsibility for the successful execution and implementation of the project, accountability to the Government and UNDP for the proper and effective use of project resources)
- b. Serve as a focal point for the coordination of projects with other Government agencies, UNDP and outside implementing agencies;
- c. Ensure that all Government inputs committed to the project are made available;
- d. Supervise the work of the National Project Manager and ensure that the National Project Manager is empowered to effectively manage the project and other project staff to perform their duties effectively;
- e. Select and arrange, in close collaboration with UNDP, for the appointment of the National Project Manager (in cases where the NPM has not yet been appointed);
- f. Supervise the preparation of project work plans, updating, clearance and approval, in consultation with UNDP and other stakeholders and ensure the timely request of inputs according to the project work plans;
- g. Represent the Government institution (national counterpart) at the tripartite review project meetings, and other stakeholder meetings.

#### *Remuneration and entitlements:*

The National Project Director may not receive monetary compensation from project funds for the discharge of his/her functions.

## **2. Public Administration Expert/Project Manager**

The Public Administration Expert will also act as the Project Manager and be recruited for the duration of the project. Forty-five (45) percent of this national consultant's time will be spent carrying out a number of activities, namely:

- a. Lead consultant for the drafting of the Sustainable Development Strategy (activity 1.2.1)
- b. Supporting the Lead Sector Consultant in facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Lead consultant for the drafting of the SDS Roadmap (activity 2.2.1)
- d. Organizing and facilitating media awareness workshops (activity 3.5.1)
- e. Organizing and facilitating private sector sensitization workshops (activity 3.5.2)
- f. Organizing and facilitating regional awareness workshops (activity 3.5.3)
- g. Lead organizer and co-facilitator of the four public policy dialogues/councils (platforms) (activity 3.5.4)

As the Project Manager, the Public Administration Expert will also undertake the responsibilities associated with the execution of project activities. This includes organizing project activities with the support of MENR and UNDP, managing the work of the other national consultants, and

monitoring and reporting of project performance and delivery to the Project Board, MENR, and UNDP.

The Public Administration Expert will have a post-graduate degree in public administration or related field, and have a minimum of ten (10) years' experience in progressively responsible and substantive areas in environmental and natural resource governance programming and planning.

### 3. Project Assistant

The Project Assistant will support the Project Manager in the carrying out of his/her duties, which will include:

- a. Organizational and logistical issues related to project execution per UNDP guidelines and procedures
- b. Record keeping of project documents, including financial in accordance with audit requirements
- c. Ensure all logistical arrangements are carried out smoothly
- d. Assist Project Manager in preparation and update of project work plans in collaboration with the UNDP Country Office
- e. Facilitate timely preparation and submission of financial reports and settlement of advances, including progress reports and other substantial reports
- f. Report to the Project Manager and UNDP Programme Officer on a regular basis
- g. Identification and resolution of logistical and organizational problems, under the guidance of the Project Manager

The Project Assistant will have at least five (5) years' experience in supporting the implementation of UNDP implemented projects, with preference in environment and natural resource management projects.

### 4. Environmental Sociologist

The Environmental Sociologist will be recruited to carry out a number of activities, namely:

- a. The preparation of the Rio Convention analytical framework for the sectoral analyses (activity 1.1.2)
- b. An assessment of the guidelines, tools and resources on mainstreaming, with particular attention to lessons learned and best practices in mainstreaming Rio Conventions provisions in sectoral policies and programmes (activity 1.2.3)
- c. Lead consultant to prepare and carry out a baseline survey of government staff's awareness of Rio Conventions (activity 2.1.1)
- d. Supporting the Lead Sector Consultant in facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- e. Lead consultant to prepare and carry out a broad-based baseline survey of public awareness of Rio Conventions (activity 3.2.1)
- f. Support the Public Administration Expert in organizing and facilitating media awareness workshops (activity 3.5.1)
- g. Support the Public Administration Expert in organizing and facilitating private sector sensitization workshops (activity 3.5.2)
- h. Support the Public Administration Expert in organizing and facilitating regional awareness workshops (activity 3.5.3)

The Environmental Sociologist will have a post-graduate degree in environmental sociology, preferably a PhD, with demonstrated experience in constructing and implementing surveys, as well as their statistical analysis on trends in environmental values and attitudes.

#### 5. Agrarian Policy Specialist

The Agrarian Policy Specialist is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. The Specialist will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activities 1.1.4 and 3.5.4)

The Agrarian Policy Specialist will have a post-graduate degree in a field related to agricultural studies, agro-economics, and/or rural sociology, preferably a PhD, with demonstrated experience in analyzing and programming sustainable agricultural and rural development reforms. He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

#### 6. Natural Resource Expert

The Natural Resource Expert is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. The Expert will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activities 1.1.4 and 3.5.4)

The Natural Resource Expert will have a post-graduate degree in natural resource management or environmental sociology, preferably a PhD, with demonstrated experience in analyzing natural resource management programmes and policies. He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

## **7. Environmental Economist**

The Environmental Economist is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. He/she will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activities 1.1.4 and 3.5.4)

The Environmental Economics will have a post-graduate degree in environmental economics, preferably a PhD, with demonstrated experience in analyzing and developing national economic policies and development programmes. He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

## **8. Environmental Education Specialist 1**

The Environmental Education Specialist 1 is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. The Specialist will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Undertake an assessment of training needs (activity 2.1.2)
- d. Design a targeted training programme to support the sectoral mainstreaming exercises at the regional level (activity 2.1.4)
- e. Identify best practices and cull lessons learned from the sectoral mainstreaming exercises at the regional level (activity 2.1.6)
- f. Prepare a public awareness implementation plan to promote Rio Convention mainstreaming into sectors (activity 3.3.1)
- g. Design plan for high school competitions on Rio Conventions and facilitate their implementation in consultation with teachers and high school decision-makers (activity 3.4.2)
- h. Prepare a global environmental education module for high school students to gain a more comprehensive and in-depth understanding of global environmental issues and how local values, attitudes and behaviour affect global environmental outcomes (activity 3.4.3)
- i. Prepare narrative script for a Public Service Announcement (PSA) on Rio Convention mainstreaming that will be used by a professional video production company to produce for radio and television (activity 3.4.4)
- j. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activities 1.1.4 and 3.5.4)

- k. Prepare a comprehensive training programme for Rio Convention mainstreaming (building on the targeted training programme of activity 2.1.4) as part of the long-term training needs to catalyze the implementation of the SDS (activity 3.6.1)

The Environmental Education Specialist 1 will have a post-graduate degree in K-12 education, preferably a PhD, with demonstrated experience in developing national education policies, programmes, and plans as well as the development of high school curricula on environmental studies. He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

#### 9. Environmental Education Specialist 2

The Environmental Education Specialist 2 will only be contracted to support the work of the Lead Sector Consultants during the mainstreaming exercises.

- a. Support the Lead Sector Consultant in facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)

The Environmental Education Specialist 2 will have a post-graduate degree in K-12 education, preferably a PhD, with particular experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

#### 10. Energy Expert

The Energy Expert is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. The Expert will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activities 1.1.4 and 3.5.4)

The Energy Expert will have a post-graduate degree in earth and environmental engineering or related field, preferably a PhD, with demonstrated experience in analyzing and developing sustainable and renewable energy policies and programmes. He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

#### 11. Transportation Specialist

The Transportation Specialist is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. The Specialist will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activities 1.1.4 and 3.5.4)

The Transportation Specialist will have a post-graduate degree transportation engineering or a related field, preferably a PhD, with demonstrated experience in analyzing and developing sustainable transportation systems. He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

## 12. Urban Development Specialist

The Urban Development Specialist is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. The Specialist will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activities 1.1.4 and 3.5.4)

The Urban Development Specialist will have a post-graduate degree urban or population sociology or a related field, preferably a PhD, with demonstrated experience in analyzing and developing policies and programmes for sustainable urban development. He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

## 13. Social Welfare Specialist

The Social Welfare Specialist is one of eight Lead Sectoral Consultants that will undertake the sectoral analyses and co-facilitate the targeted mainstreaming of Rio Conventions. The Specialist will be responsible for the following activities:

- a. Undertake a SWOT and Gap analyses of sector policies, programmes, plans, and/or legislation to inform recommendations for their improvement in accordance with Rio Convention provisions (activity 1.1.3)
- b. Facilitating collaborative and consultative teamwork for the targeted mainstreaming of Rio Conventions into sectoral policies, programmes, plans, and/or legislation, along with other national consultants (activity 2.1.5)
- c. Serve as co-facilitator for the four public policy dialogues/councils (platforms) (activity 3.5.4)

The Social Welfare Specialist will have a post-graduate degree social studies, sociology, or a related field, preferably a PhD, with demonstrated experience in analyzing and developing policies and programmes for improving social welfare, labour practices, and/or health delivery systems.

He/she will have experience in facilitating expert and stakeholder working groups in the collaborative drafting of sector policies.

14. Website Designer

The Website Designer will be contracted to support the improved design of the Environment for Ukraine website under the supervision of the Project Manager, and in consultation with the stakeholders to ensure best appropriate design. The consultant would be responsible for implementing activity 3.7.1.

The Website Designer will have a graduate degree in computer science, with at least five (5) years in designing high trafficked websites. He/she must be fluent in English.

15. Graduate Students/NGOs

Graduate students will be contracted to prepare articles on Rio Convention mainstreaming for publication in the popular press and brochures. The graduate students must have good working knowledge of English. NGOs may also be sub-contracted to prepare articles. Graduate students must be enrolled in a post-graduate degree-seeking in a field related to the sectoral mainstreaming exercises. NGOs must demonstrate their comparative advantage in supporting and advocating policy and/or programme reforms in one or more of the selected eight sectors.

16. International Evaluation Consultant

The international evaluation consultant will be an independent expert that is contracted to assess the extent to which the project has met project objectives as stated in the project document and produced cost-effective deliverables. The consultant will also rate capacities developed under the project using the Capacity Development Scorecard.

The Terms of Reference for the International Evaluation Consultant will follow the UNDP/GEF policies and procedures, and together with the final agenda will be agreed upon by the UNDP/GEF RCU, UNDP Country Office and the Project Team. The final report will be cleared and accepted by UNDP (Country Office and Regional Coordination Unit) before being made public.

17. International Technical Specialist

An international technical specialist will be retained on a part-time basis to provide necessary technical advisory services on the implementation of key project activities, in particular the preparation of technical analyses and drafting of integrated Rio Convention/sectoral policies, programmes, plans and/or legislation, as appropriate. These services will be provided over the course of the three-year implementation period to provide technical backstopping to help ensure the timely and high quality project delivery.

18. Video Production Company

A video production company will be sub-contracted to produce a high-quality public service announcement (PSA) for both radio and television. This company will have had at least five (5) years' experience in video production and will advise the Project Manager and UNDP on the best strategy for airing the PSAs.

*Annex 8: Environmental and Social Review Criteria*

Attached as a separate file.

*Annex 9: Greening Economies in the Eastern Neighbourhood*



**EUROPEAN COMMISSION**

Directorate-General for Development and Cooperation — EuropeAid

Neighbourhood  
Regional Programmes Neighbourhood East

17 JAN. 2013

Brussels,

DEVCO F3/NDP/FN (2013)45342

**NOTE TO THE ATTENTION OF THE HEADS OF DELEGATION  
IN THE ENP EAST COUNTRIES**

**(ARMENIA, AZERBAIJAN, BELARUS, GEORGIA, MOLDOVA, AND UKRAINE)**

*Dear Colleagues,*

**Subject: Launch of the "Greening Economies in the Eastern Neighbourhood (GREEN-EaP)" regional programme – CRIS N° ENPI/2012/305-729**

I refer to earlier contacts established with your Delegation during the formulation phase of the "Greening Economies in the Eastern Neighbourhood (GREEN-EaP)" regional programme. Between December 2011 and October 2012, colleagues in charge of environmental matters in Delegations were consulted about the Description of the Action (DoA) for this programme and provided useful elements that helped improve its design. They also played a key role in facilitating contacts with the authorities of the Partner Countries in view of obtaining their comments and regularly communicated with the staff of my Unit throughout the entire formulation phase. The final version of the DoA is enclosed to this letter.

As the contract has been recently signed, I am writing to you in order to inform you about the programme start in your respective countries and to provide additional information that will help understand its objectives and the way it will be implemented.

The programme officially started on January 1<sup>st</sup>, 2013. This initiative is financed under the ENPI Regional Action Plan 2012 and has a total budget of EUR 10 million over a 48 months implementation period. On top of this amount, the implementing partners (OECD, UNEP, UNECE and UNIDO) will provide a EUR 2.5 million worth additional contribution.

The overall objective of the programme is for the EaP countries to move towards a green economy by decoupling economic growth from environmental degradation and resource depletion. More specifically the programme aims to: a) mainstream sustainable consumption and production (SCP) into national development plans, legislation and regulatory framework with a view to provide a sound legal basis for future policy development, b) promote the use of the environmental impact assessments as essential planning tools for an environmentally sustainable economic development, and c) achieve a shift to green economy through the adaptation and adoption of SCP practices in selected economic sectors.

Partner countries will be Armenia, Azerbaijan, Belarus, Georgia, Moldova, and Ukraine.

The programme is structured along three components: 1. Governance and financing tools for promoting SCP; 2. Strategic Environmental Assessment and Environmental Impact Assessment: accompanying SCP policy implementation; 3. Demonstration Projects.

The OECD is the leading organisation for this programme with direct responsibility and overall coordination functions for all components. The OECD will also directly implement Component 1. UNECE is proposed as implementing organisation for Component 2. UNIDO and UNEP are proposed as implementing organisations for Component 3.

The project team is currently being assembled by the implementing partners for each of the components they are in charge of respectively. The team will be instructed to arrange meetings with the relevant staff in each Delegation as soon as field operations will start in order to outline the project's activities, explain in more detail the work plan, and receive suggestions regarding implementation in your respective countries. Meanwhile, staff from OECD, UNECE, UNEP and UNIDO will centrally manage the project.

In order to achieve the programme objectives, it is of utmost importance that the project is well coordinated and that collaboration with all involved actors works smoothly. In this context, I hope I can count on your collaboration for the implementation of the programme and I would be grateful to you if you could facilitate the contacts of the team with the relevant national authorities.

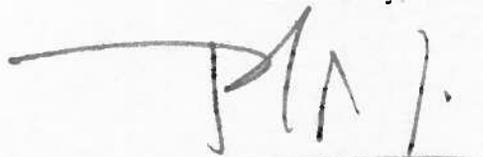
Government representatives were already informed about the programme during the consultation process which was facilitated by the Delegation colleagues in charge of environmental matters as well as by the Heads of Operations. At this point in time I would like to ask your Delegation to inform the relevant national authorities about the programme start through official channels.

Should you need any further information concerning this project, the project manager in charge in my Unit, Mr. Nicola Di Pietrantonio ([nicola.di-pietrantonio@ec.europa.eu](mailto:nicola.di-pietrantonio@ec.europa.eu)), is available to provide any assistance you may need.

Thank you in advance for your cooperation.

*Very regards*

Yours sincerely,



Philip MIKOS  
Head of Unit

c.c.: Andrea Fontana (Head of Unit, DEVCO F.1)

Encl: Description of the Action

*Annex 10: Background on Sustainable Development Strategies*

Preface extracted from Dalal-Clayton, B and S. Bass (2002), Sustainable Development Strategies: A Resource Book. Organisation for Economic Cooperation and Development, Paris and United Nations Development Programme, New York, 382 pp

In 1992, Agenda 21 called for all countries to develop national sustainable development strategies (NSDSs). These are intended to translate the ideas and commitments of the Earth Summit into concrete policies and actions. Agenda 21 recognized that key decisions are needed at the national level, and should be made by stakeholders together. It believed that the huge agenda inherent in sustainable development needed an orderly approach – a ‘strategy’. But Agenda 21 stopped short of defining such a strategy, or even of guidance on how to go about it.

The United Nations (UN) held a Special Session to review progress five years after the Earth Summit. Delegates were concerned about continued environmental deterioration, and social and economic marginalization. There have been success stories, but they are fragmented, or they have caused other problems. Sustainable development as a mainstream process of societal transformation still seems elusive. Strategic policy and institutional changes are still required. The Rio+5 assessment led governments to set a target of 2002 for introducing NSDSs. The Development Assistance Committee (DAC) of the OECD, in its 1996 *Shaping the 21st Century* publication, called for the formulation and implementation of an NSDS in every country by 2005 (as one of seven International Development Targets). It also committed DAC members to support developing countries’ NSDSs. But, again, no attempt was made to set out what a strategy would include or involve – in spite of growing experience with a number of international and local strategic models. ‘How would I know one if I saw one?’ one minister asked.

During 1999-2001, members of the OECD/DAC Working Party on Development Cooperation and Environment worked in partnership with eight developing countries to assess experience of country-level sustainable development strategies: Bolivia, Burkina Faso, Ghana, Namibia, Nepal, Pakistan, Tanzania and Thailand. Through dialogues involving stakeholders from government, the private sector and civil society, past and existing strategic planning experiences were analyzed, key issues and challenges identified, and principles for best practice developed. An iterative process involving in-country discussions and three international workshops in Tanzania, Thailand and Bolivia, led to consensus on the final text of the Policy Guidance (*Strategies for Sustainable Development: Guidance for Development Cooperation* (OECD DAC 2001)). This Resource Book is the companion to the Policy Guidance. Both publications draw from international experience of many strategic approaches to sustainable development over the past two decades.

The Policy Guidance sets out best practice in developing and operating strategic processes for sustainable development, and on how development cooperation agencies can best assist developing countries in such processes, and includes a set of principles which underpin the development of effective strategies in many developing countries. In November 2001, a UN International Forum on National Strategies for Sustainable Development (held in preparation for the 2002 World Summit on Sustainable Development, WSSD) agreed guidance on NSDSs which confirms almost identical ‘elements’ of successful strategies for both developed and developing countries alike.

This resource book provides in-depth information on processes and methodologies. It was prepared by the International Institute for Environment and Development (IIED), working in collaboration with members of the partner country teams (see above) and a number of other organizations and individuals. It will be of value to a wide range of organizations, institutions and individuals in both developed and developing countries aiming to bring about sustainable development.

*Annex 11: PDF/PPG Status Report*

**STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS**

**A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:**

The activities undertaken within the framework of PPG were directed towards the design and development of the medium size project "Integrating Rio Convention Provisions into Ukraine's National Policy Framework."

The Project Preparation Stage envisioned preparation of three strategies: on institutional capacities, organizational capacities and public awareness raising. These strategies comprise a targeted and in-depth analysis of the baseline situation and needs; assessment of international best practices and training needs for institutionalizing integration of Rio Conventions into sectoral policies; and design of strategies regarding institutional capacities, set up of a coordination mechanism and raising of public awareness. In addition, the preparation stage included development of monitoring and evaluation plan and project sustainability plan. These all feed in the draft project document and Request for CEO Endorsement, which came out as final products of the Project Preparation Stage.

At the time of the strategies preparation, consultative meetings were held with all relevant stakeholders. During this time, government commitment was received. Letters of co-financing were received from national partners and civil society organizations.

At a later stage, a validation workshop was organized to validate the findings of the preparatory findings and reaffirm the approach that the project will take upon its approval. The Finalized Project Document and GEF Request for CEO Endorsement are drafted and presented.

**A.1: DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:**

The findings obtained during the preparatory phase confirmed that the approach identified during the PIF stage remains valid. Moreover, during the project preparation stage national partners at the highest level confirmed their adherence to the principles of sustainable development, which makes the project even more topical and important.

PPG Grant approved at PIF:			
<i>Project Preparation Activities Implemented</i>	<i>GEF Amount (\$)</i>		
	<i>Budgeted Amount (\$)</i>	<i>Amount Spent to date(\$)</i>	<i>Amount Committed (\$)</i>
Strategy Development: institutional capacity	6,000	5,000	1,000
Strategy Development: organizational capacity	6,000	5,000	1,000
Strategy Development: public awareness raising	6,000	5,500	500
Secure Government Commitment	0	0	0
Secure Co-financing	0	0	0
Develop M&E Plan	0	0	0
Determine Sustainability Arrangement	0	0	0
Prepare MSP proposal, including sustainability plan, M&E plan, stakeholder plan	3,000	1,700	1,300
Validation Workshop	4,000	4,000	0
<b>Total</b>	<b>25,000</b>	<b>21,200</b>	<b>3,800</b>

Annex 12: Total Budget and Work Plan (GEF Input Budget)

Award ID: 00074532									
Award Title: Integrating Rio Convention Provisions into Ukraine's National Environmental Policy Framework									
Business Unit: GEF									
Project Title: Integrating Rio Convention Provisions into Ukraine's National Environmental Policy Framework									
PIMS No: 4478									
Implementing Partner (Executing Agency) Ministry of Environment and Natural Resources									
GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)
<b>COMPONENT 1:</b>  <b>Rio Convention principles and obligations mainstreamed into sectoral policies</b>	MENR	62000	GEF	71300	Environmental Sociologist	6,000	6,000	0	12,000
				71300	Agrarian Policy Specialist	10,000	2,500	0	12,500
				71300	Natural Resource Expert	10,000	2,500	0	12,500
				71300	Environmental Economist	10,000	2,500	0	12,500
				71300	Environmental Education Specialist 1	10,000	2,500	0	12,500
				71300	Energy Expert	10,000	2,500	0	12,500
				71300	Transportation Specialist	10,000	2,500	0	12,500
				71300	Urban Development Specialist	10,000	2,500	0	12,500
				71300	Social Welfare Specialist	10,000	2,500	0	12,500
				71300	Public Administration Expert (1)	0	7,500	0	7,500
				71300	Expert Review fees (1.1.1)	10,000	10,000	10,000	30,000
				71200	International Technical Specialist	2,500	2,500	2,000	7,000
				72100	Contractual services: WG consultations to draft Rio Convention analytical framework (1.1.2)	12,000	0	0	12,000
				72100	Contractual services: Working group consultations to analyze and draft sectoral analyses (1.1.3)	17,500	0	0	17,500
				72100	Contractual services: Conference services for four platform meetings (1.1.4 & 1.2.4)	20,000	17,500	0	37,500
				72100	Contractual services: Consultative meetings to draft SDS prior to expert workshops (1.2.1)	3,000	5,000	0	8,000
				72100	Contractual services: Expert workshops (2x) to integrate sectoral analyses into SDS (1.2.2)	0	5,000	2,500	7,500
72100	Contractual services: Working group meetings to assess best practice guidelines and resources (1.2.3)	3,000	7,000	0	10,000				
72100	Contractual services: High-level stakeholder consultations to champion SDS (1.2.5)	3,000	5,000	3,000	11,000				
	<b>Sub-total GEF</b>			<b>157,000</b>	<b>85,500</b>	<b>17,500</b>	<b>260,000</b>		
	<b>Total Outcome 1</b>			<b>157,000</b>	<b>85,500</b>	<b>17,500</b>	<b>260,000</b>		

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)
<b>COMPONENT 2:</b> <b>Strengthening institutional and individual capacities for SDS implementation</b>	<b>MENR</b>	<b>62000</b>	<b>GEF</b>	71300	Environmental Sociologist	8,000	15,000	0	23,000
				71300	Environmental Education Specialist 1	12,500	16,000	0	28,500
				71300	Environmental Education Specialist 2	0	30,000	0	30,000
				71300	Agrarian Policy Specialist	0	7,500	0	7,500
				71300	Natural Resource Expert	0	7,500	0	7,500
				71300	Environmental Economist	0	7,500	0	7,500
				71300	Energy Expert	0	7,500	0	7,500
				71300	Transportation Specialist	0	7,500	0	7,500
				71300	Urban Development Specialist	0	7,500	0	7,500
				71300	Social Welfare Specialist	0	7,500	0	7,500
				71300	Public Administration Expert (1)	0	22,500	0	22,500
				71200	International Technical Specialist	2,000	2,500	2,000	6,500
				72100	Contractual Services: Sub-contract NASU to implement survey (2.1.1)	13,000	0	0	13,000
				72100	Contractual Services: Meeting services for stakeholder focus group on training needs assessment (2.1.2)	15,000	0	0	15,000
				72100	Contractual Services: Regional stakeholder consultation meetings to negotiate mainstreaming exercise (2.1.3)	10,000	0	0	10,000
				72100	Contractual Services: Regional stakeholder working group meetings to design/draft training programme (2.1.4)	5,000	5,000	0	10,000
				72100	Contractual Services: Regional WG meetings to carry out mainstreaming exercise (2.1.5)	0	90,000	10,000	100,000
				72100	Contractual Services: Regional stakeholder consultations and focus groups on mainstreaming best practices and lessons learned (2.1.6)	0	10,000	0	10,000
				72100	Contractual Services: Meeting services for expert consultation on draft SDS Roadmap (2.2.1)	0	10,000	0	10,000
				72100	Contractual Services: Regional stakeholder consultative meetings on draft SDS Roadmap (2.2.2)	0	7,500	2,500	10,000
				72100	Contractual services: High-level stakeholder consultations to champion SDS Roadmap (2.2.3)	0	0	6,000	6,000
					<b>Sub-total GEF</b>			<b>65,500</b>	<b>261,000</b>
	<b>Total Outcome 2</b>			<b>65,500</b>	<b>261,000</b>	<b>20,500</b>	<b>347,000</b>		

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)
<b>COMPONENT 3:</b> Enhancing awareness and understanding of the environment's contribution to socio-economic development, with particular reference to the Rio Conventions	MENR	62000	GEF	71300	Environmental Sociologist	12,133	5,134	3,733	21,000
				71300	Environmental Education Specialist 1	14,750	10,000	7,250	32,000
				71300	Agrarian Policy Specialist	0	0	4,000	4,000
				71300	Natural Resource Expert	0	0	4,000	4,000
				71300	Environmental Economist	0	0	4,000	4,000
				71300	Energy Expert	0	0	4,000	4,000
				71300	Transportation Specialist	0	0	4,000	4,000
				71300	Urban Development Specialist	0	0	4,000	4,000
				71300	Social Welfare Specialist	0	0	4,000	4,000
				71300	Public Administration Expert (1)	5,134	5,133	11,733	22,000
				71300	Graduate Students	1,500	1,500	2,000	5,000
				71300	Website Designer	6,000	0	0	6,000
				71200	International Technical Specialist	2,000	2,000	2,500	6,500
				72100	Contractual services: Services for Kick-Off and Project Results Conferences (3.1.1 & 3.1.2)	6,000	0	6,000	12,000
				72100	Contractual Services: Sub-contract NGOs to implement survey (3.2.1)	4,000	0	0	4,000
				72100	Contractual Services: Meeting services for expert and stakeholder consultation (3.3.1)	4,500	0	0	4,500
				72100	Publication of articles (3.4.1)	4,000	4,000	4,000	12,000
				72100	Contractual Services: Meeting services for expert and stakeholder consultation (3.4.3)	1,000	1,000	1,000	3,000
				72100	Contractual Services: Video production and airtime on radio and TV (3.4.4)	2,000	1,000	1,000	4,000
				72100	Contractual Services: Workshop venue cost (3.5.1)	2,000	2,000	2,000	6,000
				72100	Contractual Services: Panel meeting cost (3.5.2)	1,500	1,500	1,500	4,500
				72100	Contractual Services: Workshop venue cost (3.5.3)	1,500	3,000	2,500	7,000
				72100	Contractual services: Conference services for four platform meetings (3.5.4)	0	0	20,000	20,000
72100	Contractual Services: Meeting services for expert and stakeholder consultation (3.6.1)	0	2,000	1,000	3,000				
72100	Contractual Services: Website and Facebook management and promotion fees (3.7.1 & 3.7.2)	1,000	1,000	500	2,500				
	<b>Sub-total GEF</b>			<b>69,017</b>	<b>39,267</b>	<b>94,716</b>	<b>203,000</b>		
	<b>Total Outcome 3</b>			<b>69,017</b>	<b>39,267</b>	<b>94,716</b>	<b>203,000</b>		

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)
Project Management	MENR	62000	GEF	71200	International Expert Final Evaluation (Fee only)	0	0	10,000	10,000
				71600	Travel for International Expert Final Evaluation	0	0	5,000	5,000
				71400	Locally recruited personnel: Project Assistant	20,000	20,051	20,000	60,051
				74599	Direct Project Costs	4,983	4,983	4,983	14,949
					Sub-total GEF	24,983	25,034	39,983	90,000
					Total Outcome 4	24,983	25,034	39,983	90,000

<b>Total Project</b>					<b>Total Project</b>	<b>316,500</b>	<b>410,801</b>	<b>172,699</b>	<b>900,000</b>
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**United Nations Development Programme**



*Empowered lives.  
Resilient nations.*

**STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND  
MINISTRY OF ECOLOGY AND NATURAL RESOURCES OF UKRAINE  
FOR THE PROVISION OF SUPPORT SERVICES**

***Under project "Integrating Rio Convention Provisions into Ukraine's National Policy Framework"***

1. Reference is made to consultations between officials of the Government of Ukraine (hereinafter referred to as "the Government") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the project:
  - (a) Identification and/or recruitment of project and programme personnel;
  - (b) Identification and facilitation of training activities;
  - (c) Procurement of goods and services;
  - (d) Financial support services
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a project, the annex to the project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the UNDP Standard Basic Assistance Agreement with the Government of Ukraine dated 1993 (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

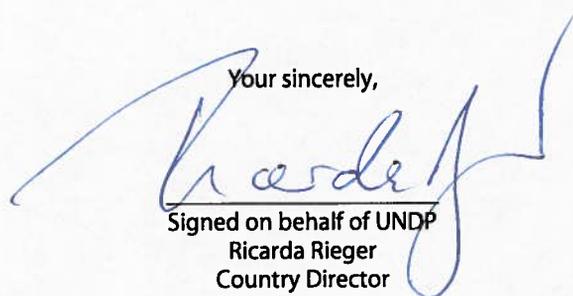
7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the project document.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Your sincerely,



Signed on behalf of UNDP  
Ricarda Rieger  
Country Director



For the National Implementing Agency:  
H.E. Mr. Oleg Proskuryakov  
Minister of Ecology and Natural Resources of Ukraine

## DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Ministry of Ecology and Natural Resources of Ukraine, the institution designated by the Government of Ukraine and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project "**Integrating Rio Convention Provisions into Ukraine's National Policy Framework.**"

2. In accordance with the provisions of the letter of agreement and the project document, the UNDP country office shall provide support services for the "**Integrating Rio Convention Provisions into Ukraine's National Policy Framework**" as described below.

3. Support services to be provided:

Support services (insert description)	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
<p>Services related to human resources (including but not limited to):</p> <p>1. Identification, selection and recruitment of project personnel (including advertising, short-listing and recruiting):</p> <ul style="list-style-type: none"> <li>○ Project Manager</li> <li>○ Project Assistant</li> </ul> <p>2. HR &amp; Benefits Administration &amp; Management:</p> <ul style="list-style-type: none"> <li>○ issuance of a contract;</li> <li>○ closing the contract</li> </ul> <p>3. Personnel management services: Payroll &amp; Banking Administration &amp; Management</p>	<p>December 2013 - January 2014 January-February 2014</p> <p>Ongoing throughout project implementation when applicable</p> <p>Ongoing throughout project implementation when applicable</p>	<p>As per the pro-forma costs:</p> <ul style="list-style-type: none"> <li>○ 13 days over 36 months of GS5 HR Assistant: \$ 1,739.99</li> <li>○ 5 days over 36 months of NOA HR Manager: \$1,114.79</li> </ul>	<p>UNDP will directly charge the project upon receipt of request of services from the Implementing Partner (IP)</p>
<p>Services related to procurement (including but not limited to):</p> <p>Procurement of goods</p> <p>Procurement of services</p> <ul style="list-style-type: none"> <li>○ Consultant recruitment</li> <li>○ Advertising</li> <li>○ Short-listing &amp; selection</li> </ul>	<p>Throughout project implementation when applicable</p>	<p>As per the pro-forma costs:</p> <ul style="list-style-type: none"> <li>○ 15 days over 36 months of GS6 Procurement Associate: \$2,389.14</li> <li>○ 5 days over 36 months of NOB Procurement</li> </ul>	<p>As above</p>

○ Contract issuance		Manager: \$1,371.19	
Services related to finance (including but not limited to): ○ Payments	Ongoing throughout implementation when applicable	As per the pro-forma costs: ○ 30 days over 36 months of GS6 Finance Associate: \$ 4,778.27 ○ 5 days over 36 months of NOB Finance Manager: \$ 1,371.19	As above
Services related administration (including but not limited to): ○ Travel authorization ○ Ticket requests (booking, purchasing, etc.) ○ F10 settlements ○ Asset management	Ongoing throughout implementation when applicable	As per the pro-forma costs: ○ 8 days over 36 months of GS5 Administration Assistant: \$1,070.76 ○ 2 days over 36 months of GS7 Administration Manager: \$385.44	As above
Services related to ICT (including but not limited to): ○ Email box maintenance ○ ICT and office equipment installation and maintenance ○ Internet channel use ○ Mobile telephony contracting and use	Ongoing throughout implementation when applicable	As per the pro-forma costs: ○ 4 days over 36 months of GS5 IT Assistant: \$ 535.38 ○ 1 day over 36 months of GS7 IT Manager: \$ 192.72	As above
<b>Total</b>		<b>\$ 14,948.89</b>	

4. Description of functions and responsibilities of the parties involved:

UNDP will conduct the full process while the role of the Implementing Partner (IP) will be as follows:

- The Implementing Partner will send a timetable for services requested annually/ updated quarterly
- The Implementing Partner will send the request to UNDP for the services enclosing the specifications or Terms of Reference required
- For the hiring staff process: the IP representatives will be on the interview panel,
- For Hiring CV: the IP representatives will be on the interview panel, or participate in CV review in case an interview is not scheduled

**PART III: GEF LETTERS OF ENDORSEMENT AND CO-FINANCING**

Letters are attached in a separate attachment.

**SIGNATURE PAGE**

**Country: Ukraine**

**UNDAF Outcome(s):** 4.1 – Government of Ukraine adopts policy frameworks and mechanisms to ensure reversal of environmental degradation, climate change mitigation and adaptation, prevention and response to natural and man-made disasters.

**Expected CP Outcome(s):** Policy frameworks and mechanisms adopted to ensure reversal of environmental degradation, climate change mitigation and adaptation, and prevention and response to natural and man-made disasters.

**Executing Entity/Implementing Partner:** Ministry of Ecology and Natural Resources of Ukraine

**Implementing Entity/Responsible Partners:** United Nations Development Programme.

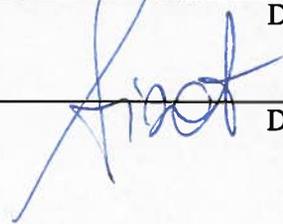
<b>Programme Period:</b> 2011-2015	<b>Total resources required</b> US\$ 1,930,000
<b>Atlas Award ID:</b> 00074532	<b>Total allocated resources:</b> US\$ 1,930,000
<b>Project ID:</b> 00086888	• UNDP US\$ 150,000
<b>PIMS #</b> 4478	• Other:
<b>Start date:</b> January 2014	◦ GEF US\$ 900,000
<b>End Date:</b> December 2016	◦ Government of Ukraine US\$ 700,000
<b>Management Arrangements:</b> NIM	◦ Government of Germany US\$ 50,000
<b>PAC Meeting Date:</b> 26 November 2013	◦ UN Global Compact US\$ 30,000
	◦ All-Ukrainian Environmental League US\$ 100,000

Agreed by (Government): 

Date/Month/Year

Agreed by (Executing Entity/Implementing Partner): 

Date/Month/Year

Agreed by (UNDP): 

Date/Month/Year

9/12/2013