

**ENRTP STRATEGIC COOPERATION AGREEMENTS BETWEEN
THE EUROPEAN COMMISSION AND
THE UNITED NATIONS ENVIRONMENT PROGRAMME (UNEP)**

**GOVERNANCE STRUCTURE
RULES AND PROCEDURES**

Draft 23/02/2013

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Preamble:

This document is aimed at supporting the establishment of ENRTP Strategic Cooperation Agreements governance structure (inception phase), as agreed in the Programme Steering Committee (PSC) of 14 December 2011.

This document is completing and further elaborating on the terms of reference of the Programme Steering Committee (PSC) and the Programme Management Unit (PMU) as well as the Strategic Cooperation Agreements (SCAs) signed in December 2011.

This document is a draft produced by the UNEP Brussels Office, for improvement both by UNEP/MEAs' Secretariats and the European Commission.

In the event of a conflict between this document "rules and procedures" and the provisions of the Special Conditions and any Annex of the SCA, the provisions of the SCA shall take precedence.

1. INTRODUCTION

The overall objectives of the Strategic Cooperation Agreements (SCAs) between the United Nations Environment Programme (UNEP) and the European Commission under the ENRTP are:

- To contribute to global environmental sustainability and in particular to achieving the Millennium Development Goals and to integrate environmental protection requirements and climate change action into the Community's development and other external policies as well as to help promote the Community's environmental, climate and energy policies abroad in the common interest of the Community's and partner countries and regions" as defined in the ENRTP regulation and reiterated in the 2011 – 2013 revised strategy;
- To facilitate the implementation of the Governing Council's and Conference of the Parties' approved mandates and programmes of UNEP and the Multilateral Environmental Agreements.

The European Commission-UNEP High-Level Meeting remains the strategic body for coordination in the field of environment between UNEP and the European Commission at policy level independently of the ENRTP funding instrument.

2. GOVERNANCE BODIES

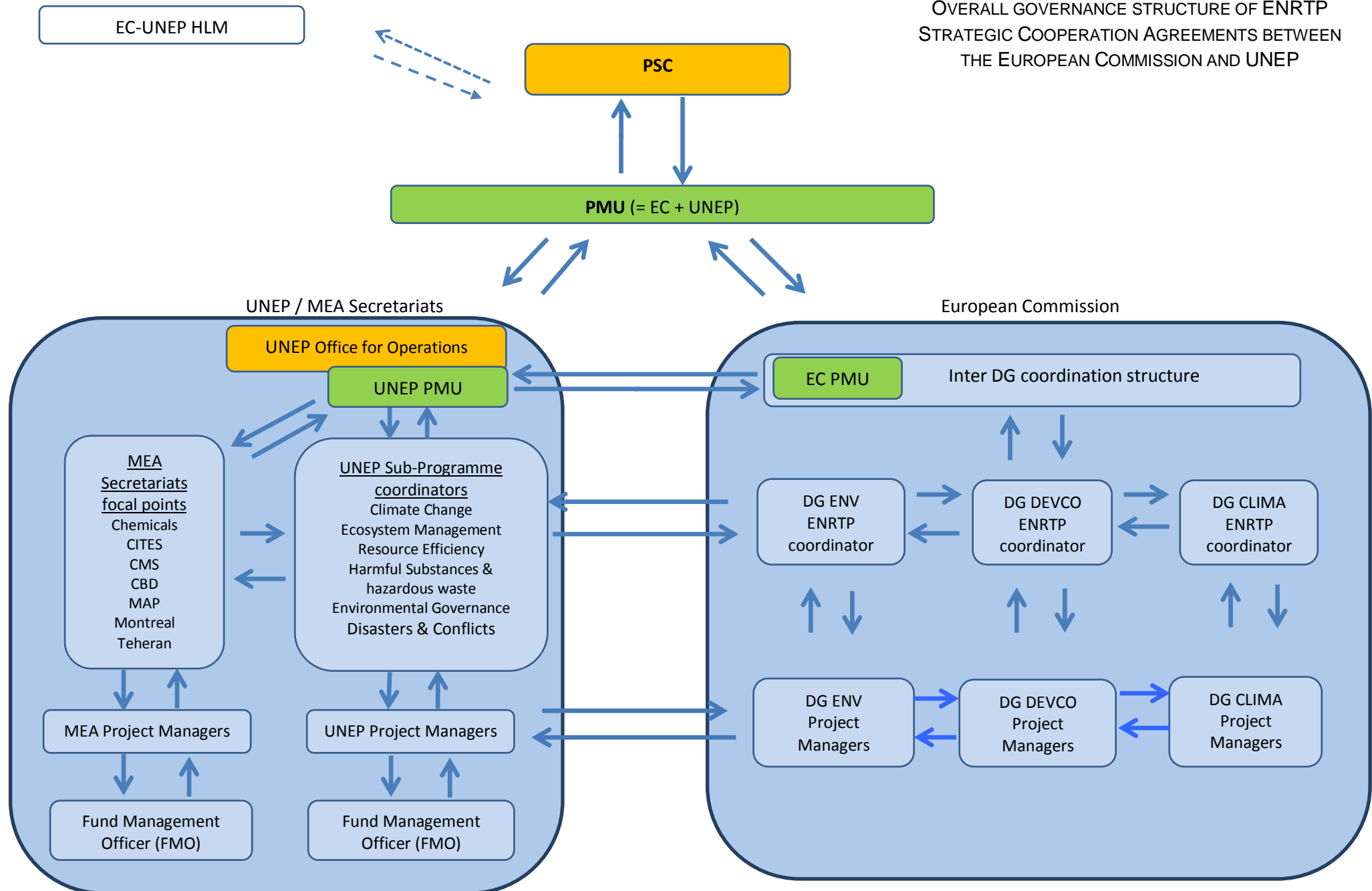
2.1. OVERALL GOVERNANCE

The European Commission and UNEP have agreed to set up a Programme Steering Committee (PSC) and a Programme Management Unit (PMU) common to both SCAs:

- The Programme Steering Committee (PSC) is the strategic and decision-making body of the ENRTP SCAs;
- The Programme Management Unit (PMU) supports the coordination between and within respective organizations, it is run by a PMU Coordinator recruited by UNEP and composed of focal points from UNEP and the European Commission.

These structures facilitate the actual implementation of the SCAs. However, **they are not meant to replace technical dialogue between the European Commission and UNEP or MEAs' Secretariats, which will continue to take place for the purpose of specific policy work and for project identification, formulation and implementation.** The outcomes of this dialogue shall be the basis for providing information to the PMU and the PSC.

OVERALL GOVERNANCE STRUCTURE OF ENRTP
STRATEGIC COOPERATION AGREEMENTS BETWEEN
THE EUROPEAN COMMISSION AND UNEP



2.2. PROGRAMME STEERING COMMITTEE (PSC)

2.2.1. Mandate of the PSC

The PSC is the governing body of the ENRTP SCAs between the European Commission on one hand and UNEP and the MEAs for which UNEP provides the Secretariat on the other hand. It is meant to provide strategic guidance and supervise the management of the SCAs. It is also the decision-making body for the SCAs and selection of projects funded under the ENRTP.

2.2.2. Composition of the PSC

▪ PSC Chairs

The European Commission and UNEP co-chair the PSC.

European Commission chair will be designated jointly between DG ENV, DG DEVCO and DG CLIMA.

▪ PSC Members

The PSC is composed of the following representatives, who will have the appropriate authority from their respective organizations to take decisions on their behalf:

- European Commission representatives;
- One UNEP representative;
- One Representative of the MEA for which UNEP provides the Secretariat that is involved in the project being discussed (multiple MEA representatives can thus participate in the PSC).

List of representatives

European Commission	DG ENV	E.2. Head of Unit MEAs, processes and trade issues
	DG DEVCO	C.2. Head of Unit Climate Change, Environment, Natural Resources, Water
	DG CLIMA	
UNEP	Office for Operations	Chief, Office for Operations
MEA		According to MEA

The PSC Members may delegate their authority to an appropriate representative of the organization. The individual representing each of the PSC Members may vary depending on the agenda of the sessions of the PSC meetings (dedicated sessions of the PSC may be convened for each SCA).

▪ PSC Observers

• *Type of Observers*

The European Commission and UNEP Members can be accompanied by as many Observers as deemed necessary.

There are 2 types of Observers:

- “Resource Persons” of UNEP (Sub-programme coordinators, Division directors, project managers, etc) and of MEAs Secretariats (project managers, etc), and of the European Commission (notably project managers);
- PSC Members who step back in the decision-making process:
 - On UNEP/MEA side: UNEP PSC Member for MEAs projects and MEAs PSC Member for UNEP projects – see details below.

• *Rules for participation of Observers*

The co-chairs shall decide on Observers’ participation to the PSC meetings on the basis of the agenda and tentative list of participants to be transmitted by the PMU to the PSC co-chairs before the PSC meeting.

At the request of the PSC Members only and on an ad-hoc basis, representatives of other organizations may participate in the PSC meetings, with the role of Observers.

- *Role of Observers*

PSC co-chairs will ensure that Observers participating to the PSC meetings are given appropriate time to speak.

2.2.3. Responsibilities of the PSC

In accordance with the terms of the SCAs, the specific responsibilities of the PSC are as follows:

- Overall governance and coordination of SCAs mechanisms.
- Strategic direction of the ENRTP SCAs:
 - Establishing priority areas for intervention;
 - Providing advice and guidance, and assisting in resolving operational issues;
 - Reviewing and recommending to the European Commission and UNEP management proposals for revision, renewal or extension of the SCAs, including the related budget.
- Project screening and selection:
 - Ensuring that project proposals are aligned with the SCAs objectives and provisions;
 - Deciding by consensus on a list of projects, submitted through the PMU in line with its terms of reference. This shall be the basis for ENRTP funding allocations.
- Monitoring and reporting:
 - Reviewing and approving the annual Strategic Performance and Overview Report of the SCAs (SPOR) including summaries of annual project progress reports by UNEP and the MEA Secretariats, and any recommendations on SCAs implementation contained therein;
 - Providing guidance to UNEP and MEAs Secretariats on project implementation so as to achieve agreed outputs and outcomes in a timely and cost-effective manner within the provisions of the SCAs;
 - Providing the European Commission-UNEP HLM with relevant information to support their consultations, including the annual Strategic Performance and Overview Report of the SCAs (SPOR), and informing the HLM of PSC's conclusions and action points.

The PSC will be supported by the PMU, acting as its secretariat.

2.2.4. Rules and procedures

For specific rules and procedures, please consult Chapter 3.

▪ Organization

Ordinary PSC meetings will be convened by the co-chairs with the support of the PMU at least once a year, whenever possible by videoconference. Face-to-face meetings of the PSC will usually be held in Brussels, Belgium.

Extraordinary PSC meetings may be convened at the initiative of one of the co-chairs. Annual progress reports for individual projects will be developed to the attention of the EC's project managers while the Strategic Performance and Overview Report of the SCAs (SPOR) report will be developed only for Ordinary PSC meetings unless the European Commission raises duly justified concerns about the use of ENRTP resources.

▪ Documents

Meeting documents will be prepared by the PMU and sent electronically to the PSC Members and Observers at least 2 weeks in advance of each PSC meeting, unless otherwise agreed by the PSC Members. Meeting documents will include the following:

- Provisional Agenda;
- PSC Consolidated Meeting Report of the previous PSC meeting;
- Working documents relating to the agenda items;
- Other relevant documents (including supporting documents for information, such as latest information on the funding situation and a list of all projects where implementation delays exceed 6 months);
- Provisional list of participants.

Following the PSC meeting, the PMU will prepare a *PSC Consolidated Meeting Report including conclusions and action points* for review and comments by the PSC Members for approval and signature by the co-chairs within three weeks of the PSC meeting. Following approval, the signed report will be disseminated to all PSC Members, Observers and other interested parties.

▪ Decision-making of PSC

The PSC is the decision-making body for the SCAs. Decisions are taken by consensus.

2.3. PROGRAMME MANAGEMENT UNIT (PMU)

2.3.1. Mandate of the PMU

The PMU coordinates the implementation of the ENRTP SCAs in accordance with the decisions taken by the PSC.

2.3.2. Composition of the PMU

The PMU is composed jointly of UNEP and European Commission members, as follows:

- UNEP Members:
 - o The PMU coordinator based in the UNEP Brussels Office
 - o A Senior Policy officer
 - o A Donor Consultations and Partnership's officer
 - o An authorized financial officer;
- European Commission Members:
 - o An EC focal point from DG ENV;
 - o An EC focal point from DG DEVCO;
 - o An EC focal point from DG CLIMA;

Annex 1. List of UNEP, MEA Secretariats and European Commission project managers (incl. fund management officers).

The PMU coordinator is under the responsibility of the UNEP's Office for Operations (OfO) which will assure overall quality, guidance and supervision. He/she will ensure the daily work related to the management of the SCAs. Support from UNEP's OfO will be provided for:

- Overall governance of the ENRTP SCAs, in order to be fully compliant with UNEP rules and regulations, and the Financial Regulations of the individual MEAs;
- Project review and prioritization, including consistency with UNEP's Programme of Work and overall quality assurance (for UNEP projects only);
- Reporting, both at the individual project and SCA levels (narrative and financial);
NB. Under the supervision of UNEP Sub-programme coordinators / MEAs' Secretariats, UNEP and MEAs' project managers will perform quality check of annual progress reports for individual projects prior to their submission to the EC.
- Administrative guidance and ensuring procedures are respected, including financial certification.

2.3.3. Responsibilities

▪ Responsibilities of the PMU

The PMU will perform the following functions:

- *Coordination of project submission*

Technical meetings will take place among UNEP or MEAs Secretariats' technical units and their European Commission counterparts for project identification, formulation and technical follow-up. The PMU will be kept informed of these meetings and their main outcomes.

Individual projects will be jointly developed by a European Commission project manager and either a UNEP project manager, in collaboration with the relevant UNEP Sub-programme coordinator, or an MEA Secretariat project manager.

The PMU will:

- Facilitate technical meetings to ensure that programmatic development ensures the coherence of implementation of SCAs;
- Screen projects to ensure that they are in line with the strategic priorities identified in the SCAs;
- Develop initial list of projects based on priorities jointly identified, accompanied with project concept notes for submission to their respective organizations, in preparation for the PSC meetings;
- Coordinate the development of full proposals for individual projects;
- Ensure follow up of the recommendations of the PSC.
- *Monitoring of ENRTP SCAs & reporting*
 - Keep track of projects proposals approved by the PSC under the SCAs, and monitor individual project reporting;
 - Ensure adequate follow-up on emerging issues/challenges impacting the implementation of the SCA funded projects and report to the PSC as needed;
 - Alert the PSC, and liaise accordingly, regarding upcoming needs to extend, revise, renegotiate the SCAs, and support the process of SCAs revision and approvals, ensuring timely and smooth processing with minimum disruption to ongoing project operations funded under the SCAs;
 - Review and edit the Annual Strategic and Performance Overview Report of the SCAs (SPOR) before submission to the PSC.
- *Visibility and communication*
 - Develop a joint Communication and Visibility Plan for the SCAs for approval by the PSC;
 - Support the implementation of the approved Communication and Visibility Plan for the SCAs through identification of relevant events/fora/meetings to ensure visibility of the SCAs and of the EU as its donor.
- Responsibilities of the UNEP PMU Coordinator
- *Secretariat of the PSC in coordination with the other PMU Members:*
 - Assist the PSC co-chairs to convene and arrange the PSC meetings;
 - Propose the agenda and list of participants for each PSC meeting, in consultation with the EC co-chairs, and as appropriate the MEAs Secretariats;
 - Compile all necessary documentation on time for review by the PSC meeting;
 - Prepare draft reports of the PSC meetings.
- *Support project screening in coordination with the other PMU Members:*
 - Follow-up on the outcomes of the technical meetings between the European Commission and UNEP Sub-programmes and MEAs Secretariats;
 - Screen project concept notes to ensure consistency with strategic priorities of the SCAs and, for funding to UNEP Secretariat executed projects ensure compliance with internal review, as required;
 - Compile Indicative lists of UNEP and MEAs Secretariats' projects and project concept notes, reflecting the prioritization provided by the respective Organizations;
 - Disseminate the *PSC Consolidated Meeting Report including conclusions and action points*.
- *Monitoring*
 - Keep track of projects approved by the PSC under the SCAs through a project database, to be developed by UNEP;
 - Provide information and guidance to UNEP and MEAs' Secretariats on FAFA and SCAs provisions as well as support the Office for Operations on FAFA follow-up (e.g. FAFA Working Group, Annual FAFA Review, etc.) in collaboration with UNEP Brussels Office.

Annex 6. Template of ENRTP SCAs Project Database.

- *Reporting*
 - Keep track of individual reporting by project managers to the European Commission;
 - Ensure that all relevant EC technical counterparts (from all EC services) are involved in the individual reporting as appropriate;

- Draft the Annual Strategic and Performance Overview Report of the SCAs (SPOR) in coordination with the OfO and the UNEP Evaluation Office for discussion within the PMU and approval by the PSC.

Annex 4. Template for annual individual project progress report (narrative and financial).

Annex 4 bis. Template for project summary

Annex 5. Template for Annual Strategic and Performance Overview Report to the SCAs (SPOR).

- *Visibility and communication*
- Draft the joint Communication and Visibility Plan for the SCAs for review by the PMU and approval by the PSC;
- Support the implementation of the approved Communication and Visibility Plan for the SCAs and support any other visibility activity as needed.

3. RULES & PROCEDURES UNDER ENRTP STRATEGIC COOPERATION AGREEMENTS (SCAs)

Preamble:

UNEP will define its priorities based on the UNEP biennial Programme of Work, in full compliance with internal rules and procedures.

The MEA's Secretariats will define their priorities based on their individual programmes of work (which are of variable duration) as adopted by the COPs.

3.1. IDENTIFICATION OF PRIORITIES FOR FUNDING UNDER ENRTP SCAs

Step 1: UNEP Sub-programme coordinators and MEA Secretariat focal points identify priorities for support under the ENRTP SCAs, within the scope of their respective Programmes of Work.

Step 2: UNEP Sub-programme coordinators and MEA Secretariat focal points, in consultations with relevant project managers, engage in policy and technical discussions with the relevant EC project managers designated by the EC in order to identify possible actions to be undertaken under identified priorities and agree on further development.

3.2. DEVELOPMENT OF PROJECT CONCEPT NOTES

Step 3: UNEP and MEA project managers, in consultations with relevant UNEP Sub-programme coordinators, and MEA Secretariat focal points develop project concept notes on identified priorities, in close collaboration with their respective EC project managers.

For UNEP concept notes only: When the joint development process is resulting in the final draft of the UNEP concept note, the UNEP Sub-programme coordinator will submit it to the OfO for consistency and quality check before submission to the EC project manager for approval.

Annex 2. Template of UNEP concept note.

3.3. PRIORITIZATION OF PROJECT CONCEPT NOTES

Step 4: UNEP Sub-Programmes coordinators and MEA Secretariat focal points compile their respective lists of projects, with proposed prioritization/ranking for submission to the UNEP PMU, together with the project concept notes.

Step 5: The UNEP PMU Coordinator reviews consistency/alignment of project concept notes with SCAs priorities and consolidates the lists received into an indicative list of UNEP and MEAs prioritized projects, for onward transmission to the OfO. In consultation with relevant UNEP senior managers, the OfO decides on the prioritization/ranking of UNEP projects only, identifying and addressing possible overlaps and synergies. It re-submits the complete list to the UNEP PMU Coordinator, for subsequent transmission to the PMU members before submission to the PSC.

3.4. PSC DECISION-MAKING

Step 6: The UNEP PMU submits the indicative list of prioritized UNEP and MEAs projects, with concept notes, to the PSC Members and relevant Observers at least 2 weeks before the PSC meeting, unless otherwise agreed by the PSC Members.

Step 7: PSC Members screen the indicative list and decide on related concept notes as follows (the PSC may take decisions that anticipate possible additional contributions to the SCAs):

Category A: Agreement by the PSC to allocate the funding

- **Group A.1:** Project concept note is approved and project is selected for immediate or provisional funding under the SCAs based on availability of EC funding → Agreement on the development of full-fledged proposal;
- **Group A.2:** Project is selected for funding provided certain conditions specified in the PSC decision are met (e.g. confirmation of the refinement of the concept note and/or of the availability of funds) → The PSC Members are notified when the conditions have been met and give final agreement for the development of the full-fledged proposal (PSC consultation can be done by written procedure).

Category B: No agreement by the PSC to allocate the funding (not even provisionally)

- **Group B.1:** Project is recognized of joint interest but the concept is not yet fully mature and the PSC cannot take a decision. The project is flagged for re-submission at a subsequent PSC meeting provided joint agreement is reached on a refined project concept note based on further in-depth discussions at appropriate level between the UNEP Sub-programme or relevant MEA Secretariat and the European Commission;
- **Group B.2:** Project is either not of joint interest or not a top priority as compared to other priorities (considering the scarcity of available funding) and is rejected → End of the process.

Step 8: Following the PSC meeting, the PMU produces the *PSC Consolidated Meeting Report including conclusions and action points*, providing notably the PSC decisions on UNEP and MEA projects according to the four above-mentioned groups. Within three weeks of the PSC meeting, the *PSC Consolidated Meeting Report* is reviewed by the PSC Members and Observers and signed off by the co-chairs as approved.

Step 9: Final *PSC Consolidated Meeting Report including conclusions and action points* is circulated to PSC Members and Observers as well as other interested parties. It will constitute the reference document for the PMU on selected UNEP and MEA Secretariats projects as well as for further discussions at joint technical level (EC-UNEP project managers and EC-MEAs managers).

3.5. DEVELOPMENT OF FULL-FLEDGED PROJECT PROPOSAL (CATEGORY A)

Category A - Group A.1: PSC approved project concept note → Development of full-fledged project proposal

Step 10: UNEP and MEA project managers, in collaboration respectively with the relevant UNEP Sub-programme coordinators, and MEA Secretariat focal points develop the full-fledged project proposals, jointly with the relevant EC project managers.

For UNEP projects only: When the joint development process is resulting in the final draft of the UNEP full-fledged proposal, the UNEP Sub-programme coordinator will submit it to the OfO for consistency and quality check before submission to the EC project manager for approval.

Annex 3. Template for project full-fledged proposal (narrative and budget).

Step 11: Jointly agreed EC-UNEP and EC-MEA Secretariat full-fledged project proposals are transmitted (electronically) to the UNEP PMU Coordinator by UNEP Sub-programme coordinators and MEA Secretariat focal points, copying the relevant EC project managers and EC PMU members.

Step 12: The EC confirms receipt of the final full-fledged project proposal and makes a formal commitment to fund the project through a standard statement: *"We acknowledge receipt of the final full-fledged project*

proposal entitled “...” to be funded under the ENRTP SCA between UNEP and DG ENV / DG DEVCO. This project proposal is approved and UNEP / the concerned MEA Secretariat is thus allowed to proceed with project implementation and charge agreed expenditure to the SCA as of [date] ()*

...

() Save in exceptional circumstances for which a prior approval of the PSC would be needed, an action cannot give rise to any expenditure before the approval of the full-fledged project proposal.*

Step 13: Following confirmation by the EC PMU members, UNEP proceeds in ensuring the availability of the approved funds to the respective MEAs Secretariats and UNEP Divisions in accordance with the provisions of the Section 3.9. Financial management of the Governance Structure.

Category A - Group A.2: PSC requested certain conditions to be met before final agreement to move to development of full-fledged project proposal → Refinement of project concept note or action as appropriate

Step 14: UNEP and MEA project managers in collaboration with the relevant UNEP Sub-programme coordinators, or MEA Secretariat focal points refine the project concept note, jointly with the relevant EC project managers.

For UNEP projects only: UNEP Sub-programme coordinator will submit the refined concept note to the OfO for consistency and quality check before submission to the EC project manager for approval, if major revision is required.

Step 15: Jointly agreed EC-UNEP or EC-MEAs Secretariat refined project concept note is subsequently transmitted (electronically) by UNEP Sub-programme coordinators / MEAs Secretariat focal points to the UNEP PMU Coordinator, copying the relevant EC project managers and the EC PMU members. The PSC Members are notified when the refined project concept note is received and give final agreement for the development of the full-fledged proposal (PSC consultation can be done by written procedure).

Annex 2. Template of UNEP concept note.

Annex 3. Template for project full-fledged proposal (narrative and budget).

3.6. FOLLOW UP CATEGORY B

Category B - Group B.1: PSC recognized joint interest on a project but the concept is not yet fully mature and the PSC cannot take a decision → Further joint discussions are needed to see if agreement can be reached on a refined concept note for submission to a subsequent PSC meeting

Step 10: UNEP and MEA project managers in collaboration with the relevant UNEP Sub-programme coordinators, or MEA Secretariat focal points discuss the project concept jointly with the relevant EC project managers to seek joint agreement on a refined project concept note.

Step 11: Two options:

1 – The joint discussions do not result in joint agreement on the project concept and related-refined project concept note → The project will not be re-submitted to a subsequent PSC meeting.

2 – The joint discussions result in joint agreement on the project concept and refined project concept note → The refined concept note will be re-submitted to a subsequent PSC meeting to decide on the next step.

For UNEP projects only: UNEP Sub-programme coordinator will submit the refined project concept note to the OfO for consistency and quality check before submission to the EC project manager for approval, if major revision is required.

Step 12: Jointly agreed EC-UNEP or EC-MEAs Secretariat refined project concept notes are subsequently transmitted (electronically) by UNEP Sub-programme coordinators / MEAs Secretariat focal points to the UNEP PMU Coordinator, copying the relevant EC project managers and the EC PMU members.

Annex 2. Template of UNEP concept note.

3.7. PROJECT IMPLEMENTATION AND REPORTING

▪ Project reporting

Objective: Submission to the EC project managers of the annual project progress reporting on implementation of UNEP and MEA Secretariats individual projects.

Frequency: Annual

Deadline for submission: By 31 March of each year

Reporting period: January - December of previous year

Content: UNEP and MEAs project managers will produce annual project progress reports made of:

- (1) A narrative progress report;
- (2) A financial progress report;
- (3) A summary of the narrative progress report

Process:

- (1) (2) and (3) will be sent electronically:
BY: UNEP Sub-programme coordinators, MEAs Secretariats focal points
TO: UNEP PMU coordinator
- (1) (2) and (3) will be sent electronically:
BY: UNEP PMU coordinator
TO: EC PMU focal points in the respective EC DG, who will ensure communication to the designated_EC project manager
COPY TO: OfO ASC, FMOs

Annex 4. Template for annual individual project progress report (narrative and financial)

Annex 4 bis. Template for project summary (narrative)

NB. In addition to the annual project progress report exercise, UNEP and MEAs Secretariats project managers will inform all relevant EC technical services (EC Project Managers) through regular exchanges (emails, phone calls, etc) on project progress on relevant key milestones, achievements, policy facts and results, as deemed necessary and reasonable. For the purpose of their policy work, project managers from the European Commission may request special reports from UNEP / MEA Secretariats. These special progress reports will focus on specific parts related to policy work and will have to be provided within 1 month upon receipt of the request from the EC project manager.

3.8. OVERALL PROGRAMME (SCAs) MONITORING AND REPORTING

▪ Monitoring of SCAs

The PMU is in charge of SCAs monitoring, including:

- Keeping track of project concept notes and full-fledged project proposal development;
- Tracking decision on project status, in line with the two categories and four groups set out in 3.4. PSC Decision-Making;
- Monitoring follow-up actions to PSC decisions;
- Keeping track of the utilization of funds, including decision on budget reallocation within individual projects if deemed necessary.

A project database will be established under the PMU to monitor UNEP and MEA projects funded under the ENRTP SCAs.

▪ Reporting on SCAs

Objective: Submission to the PSC Members and Observers of an annual Strategic and Performance Overview Report (SPOR) providing information on the implementation of the ENRTP SCAs.

Frequency: Annual

Deadline for submission: By 31 May of each year

Reporting period: January – December of previous year

Content: The Strategic and Performance Overview Report of the SCAs (SPOR) is composed of:

- (1) A narrative report
- (2) A financial report of the SCAs at trust fund level;
- (3) Summaries of UNEP and MEA Secretariats project progress reports

Process:

- The UNEP PMU prepares (1) and (3) with the support of UNEP Sub-programme coordinators, the OfO for corporate monitoring function and the UNEP Evaluation Office;
- The OfO ASC prepares (2) - financial overview of the SCAs at trust fund level;
- The UNEP PMU Coordinator submits the SPOR narrative and financial to the Chief OfO for approval;
- The UNEP PMU shares the SPOR with the EC PMU members for comments;
- The EC PMU shares the SPOR including EC PMU comments with the OfO for information;
- The UNEP PMU shares the SPOR with the PSC Members and Observers one month ahead of Ordinary PSC meetings.

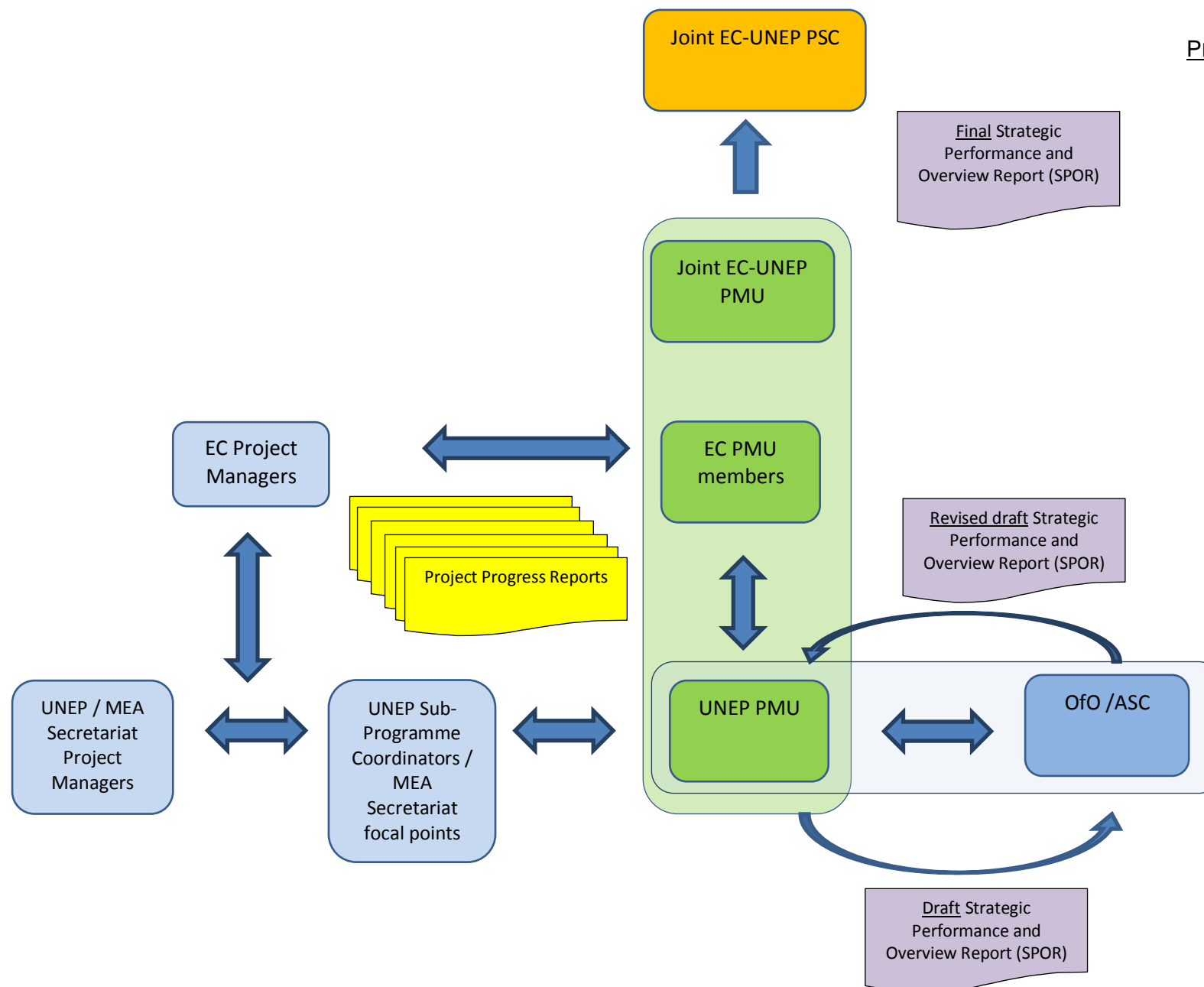
▪ Communication on SCAs

The Joint Communication and Visibility Plan will aim at reflecting on the objectives and dissemination of the results of the ENRTP SCAs.

The Joint Communication and Visibility Plan:

- Is developed as per the provisions of the FAFA and in line with the “Joint Visibility Guidelines for EU-UN Actions in the Field” endorsed by the institutions in 2008;
- Is developed by the PMU with the support of UNEP Division for Communication and Public Information (DCPI) and relevant Communication Officers from DG ENV and DG DEVCO for approval by the PSC;
- Has a focus on facts, results, efficiency and insists on the new innovative kind of partnership;
- Is shared with UNEP and MEA Secretariats for consideration in development of the communication aspect of their respective projects funded under the ENRTP SCAs.

PROCESS FOR REPORTING



3.9. ENRTP TRUST FUNDS – FINANCIAL MANAGEMENT

Since 2011 Financial management of the ENRTP funds deployed within UNEP is governed by two Strategic Cooperation Agreements (SCAs) concluded between DG Environment (DG ENV) and DG Development and Cooperation (DG DEVCO), respectively, on-one side and UNEP on the other.

Funds received by UNEP from DG ENV and DG DEVCO within the framework of ENRTP SCAs are deposited in two dedicated trust funds (ECL and EUL), prior to allocation to fund MEA Secretariats and UNEP Divisions approved projects. The funds might be transferred to MEA Secretariats trust funds to comply with procedures approved by their respective COPs.

Project budgets are recorded by the respective UNEP Division or MEA Secretariat in the UN Information Management System (IMIS) provided that: 1) funds are physically available in ECL or EUL UNEP trust funds, 2) respective EC Directorate General's approval is obtained on initial allocation and 3) project is internally reviewed/approved by UNEP (project review and approval process) when applicable. Then budgets are technically approved in IMIS by the UNEP OfO Administrative Services Center (ASC) and allocations become available for execution by respective UNEP Division or MEA Secretariat using the rate of exchange at which UNEP has recorded the EC deposits in UNEP's accounts in line with the FAFA General Conditions. Allotments and budgets in USD dollars are regularly checked against the EURO-USD exchange rate and re-valued periodically if necessary, which does not contradict the article 2.7.

In accordance with the UN standard policy, to mitigate the effect of exchange rate fluctuations, 85% of the annual project budget will be authorized by UNEP OfO and allocated in USD for recording in IMIS at the exchange rate at the time of the deposit of these resources to ensure protection against possible losses. Periodically, and at least every 6 months, UNEP will review the situation based on the current exchange rate and recommend revising the allocations in USD if appropriate, in line with the FAFA General Conditions.

UNEP Divisions and MEA Secretariats are fully responsible for sound and efficient financial management of their respective projects and for annual comprehensive financial and narrative reporting on them. UNEP is responsible, through the OfO Administrative Services Center and the Programme Management Unit (PMU), for consolidating financial reporting to the European Commission and monitoring compliance with the UN rules and regulations, the FAFA and PSC decisions including these between the UNEP and MEA Secretariats. UNEP-EC Project Management Unit will collect and aggregate narrative and financial data received from UNEP Divisions and MEA Secretariats for further submission to the respective EC Directorate Generals and preparation of the annual Strategic Performance Overview Report (SPOR) for ordinary Programme Steering Committee meetings.

The interest income earned on the overall contributions received under the ENRTP SCAs will be re-injected in the ECL and EUL trust funds. The interest calculations will be submitted to the UNEP PMU by UNEP for monies held in the EUL and ECL trust funds, and by the MEA Secretariats for monies held in the MEA's trust funds. All interests accrued on the ENRTP SCAs contributions will be credited to the ECL and EUL trust funds (including funds that have been transferred to the MEA Secretariats trust funds*). The PSC will decide on the allocation of such interests, giving priority to the re-injection of these funds to the corresponding UNEP and MEA Secretariat project that have shown a satisfactory level of delivery and, in the case of the MEA Secretariats, taking into account the procedures approved by their respective COPs.

* Note: As per the financial procedures of the Basel, Rotterdam and Stockholm conventions, the resulting interest should be credited to the relevant Convention trust funds, reference to rules 5, paragraph 8. In line with the above and taking into account inputs from the EC, UNEP will report on the interest accrued. The Secretariat of the Basel, Rotterdam and Stockholm Conventions will make any such accrued interest available for further use under the concerned Strategic Cooperation Agreement, with the agreement of the Programme Steering Committee.

4. ANNEXES

Annex 1. List of UNEP, MEA and European Commission project managers (incl. fund management officers) – UNEP Brussels Office

Annex 2. Template of UNEP project concept note - OfO

Annex 3. Template for project full-fledged proposal (= UNEP Project documents) – OfO

- Project proposal - Narrative template
- Project proposal - Budget template

Annex 4. Template for annual individual project progress report – OfO

- Project narrative progress template
- Project financial progress template

Annex 4 bis. Template for project summary – OfO/ASC

Annex 5. Template for Annual Strategic and Performance Overview Report to the SCAs (SPOR) – UNEP Brussels Office/ASC Geneva

- SPOR - Narrative template - UNEP Brussels Office/ASC
- SPOR - Financial template (Trust Fund) – ASC
- Annex - Summary template of Individual UNEP and MEA Secretariats project progress reports (narrative and financial information) - UNEP Brussels Office/ASC

Annex 6. Template for ENRTP SCAs Project Database – UNEP Brussels Office