



Evaluation of the Umbrella Terms and Conditions

Final Report

Audit and Evaluation Branch

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List of Key Acronyms

AEB	Audit and Evaluation Branch
DPR	Departmental Performance Report
ECCC	Environment and Climate Change Canada
Gs&Cs	Grants and Contributions
PAA	Program Alignment Architecture
RPP	Report on Plans and Priorities
TBS	Treasury Board Secretariat
Ts&Cs	Terms and Conditions
UTCs	Umbrella Terms and Conditions

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EXECUTIVE SUMMARY

Context

Environment and Climate Change Canada's (ECCC's) Umbrella Terms and Conditions are used to transfer monies from the federal government to individuals, organizations (e.g., academic institutions, community organizations, non-governmental organizations, international organizations) or other levels of government (e.g., provincial governments), with the purpose of advancing government policy and departmental objectives. While some grants and contributions (Gs&Cs) programs are developed to provide support in very specific program areas or initiatives, this "umbrella" approach supports a wide range of contribution funding programs/initiatives aligned to broad areas or themes within ECCC's Program Alignment Architecture (PAA) using a single common set of terms and conditions for each of six umbrella authorities. This is intended to simplify the management of contribution funding programs and provide the department with ongoing flexibility to respond in a timely manner to new opportunities by avoiding the need for separate terms and conditions to support each unique contribution funding program/initiative.

ECCC developed Umbrella Terms and Conditions (UTCs) to replace the old system that had four "Class" authorities. Six UTCs, which are contributions only, were approved by Treasury Board in June 2010 with the intent that all contribution programs would eventually use these umbrella authorities. They are as follows:

- Contributions in support of Biodiversity – Wildlife and Habitat
- Contributions in support of Water Resources
- Contributions in support of Sustainable Ecosystems
- Contributions in support of Weather and Environmental Services for Canadians
- Contributions in support of Substances and Waste Management
- Contributions in support of Climate Change and Clean Air

Over half of the department's contribution agreements are established under one or another of the six umbrella authorities. The UTCs encompass both application-based programs (which have requirements and processes for soliciting and assessing applications for funding) and non-application-based programs (which have no requirement to undergo an application process). The umbrella authorities are ongoing and do not require formal approval to continue.

The purpose of this evaluation was to assess the relevance and performance of the six Umbrella Terms and Conditions in facilitating the achievement of environmental outcomes over the five years from 2010–2011 to 2014–2015. The evaluation was conducted to meet a request of Treasury Board Secretariat and to supplement other evaluations of individual Gs&Cs programs, responding to the requirements of the *Financial Administration Act* to evaluate all ongoing Gs&Cs programs every five years. The evaluation primarily examined the relevance and performance of projects funded under the UTCs, and these findings were rolled up to draw conclusions about the UTCs overall. In addition, the evaluation incorporated an assessment of the UTC approach as an enabling mechanism for Gs&Cs funding.

Findings and Conclusions

Relevance

There is a demonstrated environmental need in each of the program areas covered by the six UTCs, and funded projects are aligned with federal priorities to protect the environment and with departmental strategic outcomes. In addition, the project activities funded under the UTCs are consistent with federal responsibilities specified in legislation such as the *Department of the Environment Act*. Each funded project is linked to the objectives of an ECCC program and to a departmental strategic outcome and, as such, is compatible with the department's responsibilities.

Performance – Efficiency and Economy

The UTCs are sensibly designed in that each UTC is aligned to a PAA program and associated ECCC strategic outcome, and specifies the expected results (see Annex C) to which it is intended to contribute. Also, the contribution agreement for each funded project specifies the applicable UTC expected result(s) the funded activities are intended to support. Additionally, in the view of most program managers interviewed, there is a need for the UTC mechanism as it provides consistency in the funding approach across program areas in the department and flexibility for a timely response to new project opportunities, and it reduces the number of Ts&Cs which management is required to maintain, update and report on. The UTCs appropriately leverage existing department-wide governance mechanisms through a formal ADM Committee on Grants and Contributions, as well as a structured Gs&Cs approvals process with clear roles and responsibilities for both program and Finance managers. The department has detailed guidelines and standardized materials, such as templates for the contribution agreement and final project report, to facilitate effective management of contributions funded under the UTCs. Funding recipients express high levels of satisfaction with key design features of the UTCs Gs&Cs application, funding and reporting processes.

A number of factors suggest that the UTCs support efficient management. For example, the UTC approach supports a wide range of funding programs/initiatives aligned to a PAA program using a single common set of Ts&Cs for each of the six umbrella authorities, resulting in fewer individual Ts&Cs to manage. Efficiency improvements to Gs&Cs in general were made in response to recommendations from a previous evaluation and internal audit, and as part of the department's earlier Gs&Cs reform process (e.g., development of standardized templates for agreements and project reports, measures to streamline the approvals process). In addition, the department has a systematic process for prioritizing the projects to be supported by Gs&Cs, including those under the UTCs, which should help to ensure that project funds and activities are well targeted. Most funded projects are delivered in collaboration and with leveraged resources from a range of partners. For the file review sample, considering both financial and in-kind contributions, projects were resourced at an average rate of 36% by ECCC and 64% by partners. Survey and file review findings indicate that funding recipients are highly satisfied with the delivery and efficiency of UTC contribution programs; however, the timeliness of the notification and receipt of funding is a concern for some.

Performance information is collected and provided in the department's standard final project reporting template for most, though not all, projects funded under the UTCs. Project reports focus primarily on the degree of completion of funded project activities and outputs, as opposed to achievement of environmental outcomes. The department's Corporate Services and Finance Branch maintains a Gs&Cs database which focuses on the financial aspects of funded projects,

but the department has no overall management system that consolidates project performance data. Each UTC specifies expected results and associated performance indicators, and each contribution agreement includes at least one of these expected results; however, the evaluation found no evidence of performance reporting against these UTC expected results and indicators.

Performance – Effectiveness

Projects funded under the UTCs appear to be making a contribution to environmental outcomes. The evaluation findings suggest that the planned activities and intended short-term outcomes of funded projects are for the most part being achieved, though evidence for the latter is limited to the views expressed in interviews with program managers and a survey of funding recipients. In addition, file review and survey evidence suggests that projects are making a contribution to the applicable UTC expected results; however, due to a lack of objective performance data it is not possible to draw definitive conclusions on this point. There have been no unintended outcomes of the UTC mechanism.

Recommendation

The evaluation found no evidence of performance reporting against the UTC expected results and indicators. To support current efforts in the department to develop or refine program performance indicators for Performance Information Profiles (PIPs),¹ the expected results and indicators in the UTCs should be reviewed and considered for inclusion as part of measurement strategies for Gs&Cs in the applicable program areas. This would help to improve the available performance information on the effectiveness of Gs&Cs under the umbrella authorities in contributing to program outcomes. In addition, the evaluation noted that for a significant number of the contribution projects and files examined, the recipients' final project reports were not available.

The following recommendation is based on the findings and conclusions of the evaluation. The recommendation is directed to the Assistant Deputy Minister of Corporate Services and Finance Branch, as the senior official functionally responsible for the Treasury Board *Policy on Results* and for Gs&Cs, including the UTCs.

In consultation with the ADMs responsible for the related programs, review the performance measurement and reporting process for Gs&Cs under the UTCs in order to help ensure that

- a) UTC expected results are considered as part of the development of the corresponding Performance Information Profiles under the new *TB Policy on Results*; and**
- b) UTC contribution project files are fully documented and include the funding recipients' final project or contribution reports.**

The ADM Corporate Services and Finance Branch agrees with the recommendation and has developed a management response that appropriately addresses it (see section 6 of the report).

¹ Under the new Treasury Board Policy on Results (July 2016), programs in the department's Program Inventory will be responsible for establishing and implementing a Performance Information Profile (PIP), which is to include information on each program's intended outputs, outcomes, and indicators. PIPs are to include Gs&Cs utilized by each program.

1. INTRODUCTION

This report presents the results of the Evaluation of the Umbrella Terms and Conditions (UTCs) conducted by Environment and Climate Change Canada's (ECCC) Audit and Evaluation Branch in 2014–2015 and 2015–2016. The evaluation was identified in the 2013 Departmental Risk-Based Audit and Evaluation Plan and conducted in order to meet a request of Treasury Board Secretariat (TBS) to assess the relevance and performance of the UTCs in facilitating the achievement of environmental outcomes. The evaluation also supplements other analyses of grants and contributions (Gs&Cs), conducted as part of evaluations of individual programs, to respond to the requirements of the *Financial Administration Act* to evaluate all ongoing programs of Gs&Cs at least once every five years.

2. BACKGROUND

2.1. Program Profile

ECCC's Umbrella Terms and Conditions are used to transfer monies from the federal government to individuals, organizations (e.g., academic institutions, community organizations, non-governmental organizations, international organizations) or other levels of government (e.g., provincial governments), with the purpose of advancing government policy and departmental objectives. While some Gs&Cs programs are developed to provide support in very specific program areas or initiatives, this "umbrella" approach supports a wide range of contribution funding programs/initiatives aligned to broad areas or themes within ECCC's Program Alignment Architecture (PAA) using a single common set of terms and conditions for each of six UTCs. This is intended to simplify the management of contribution funding programs and provide the department with ongoing flexibility to respond in a timely manner to new opportunities by avoiding the need for separate terms and conditions to support each unique contribution funding program/initiative.

ECCC developed Umbrella Terms and Conditions to replace the old system that had four "Class" authorities.² Six UTCs, which are contributions only, were approved in June 2010³ with the intent that all contribution programs would eventually use these umbrella authorities. They are as follows:

- Contributions in support of Biodiversity – Wildlife and Habitat
- Contributions in support of Water Resources
- Contributions in support of Sustainable Ecosystems
- Contributions in support of Weather and Environmental Services for Canadians
- Contributions in support of Substances and Waste Management
- Contributions in support of Climate Change and Clean Air

Over half of the department's contribution agreements are established under one or another of the six umbrella authorities. The UTCs encompass both application-based programs (which have requirements and processes for soliciting and assessing applications for funding) and non-

² The four **Class Grants and Contributions** supported projects to 1) ensure that a broad knowledge base exists to support the department's science and technology needs; 2) stimulate research and the development of mechanisms for coordinating and disseminating research-related information; 3) encourage environmental and sustainable development initiatives at the regional or ecosystem level; and 4) ensure that Canada's interests are represented at international fora.

³ The new Terms and Conditions to replace the Class Grants and Contributions also include Grants in support of Weather and Environmental Services for Canadians; and Assessed Contributions to the Convention on Wetlands of International Importance (Ramsar Convention), the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the World Meteorological Organization (WMO), and the Organization for Economic Cooperation and Development (OECD). The Terms and Conditions for these grants and assessed contributions are not within the scope of the present evaluation.

application-based programs (which have no requirement to undergo an application process). The umbrella authorities are ongoing and do not require formal approval to continue.

Umbrella Authorities

The six overarching umbrella authorities matched to the departmental PAA are described in this section. The overall objectives for the umbrella authorities are briefly outlined in the descriptions below and the specific PAA sub-programs served by each umbrella are presented in Table B.1 in Annex B.

1. **Contributions in support of Biodiversity – Wildlife and Habitat** are designed to encourage individuals and organizations to engage in activities to maintain or restore wildlife populations, in particular migratory birds and species at risk, to target levels. The terms and conditions (Ts&Cs) specify seven expected results (see Annex C). This umbrella is aligned to PAA program 1.1 (Biodiversity – Wildlife and Habitat) and the strategic outcome “Canada’s natural environment is conserved and restored for present and future generations.”
2. **Contributions in support of Water Resources** support individuals and organizations engaged in activities to minimize threats to, and maintain the sustainability of, Canada’s water resources and aquatic ecosystems. The Ts&Cs specify three expected results. This umbrella is aligned to PAA program 1.2 (Water Resources) and the strategic outcome “Canada’s natural environment is conserved and restored for present and future generations.”
3. **Contributions in support of Sustainable Ecosystems** were developed to promote engagement by individuals and organizations in activities to manage ecosystem resources in a manner consistent with ecosystem sustainability. The Ts&Cs indicate four expected results. This umbrella is aligned to PAA program 1.3 (Sustainable Ecosystems) and the strategic outcome “Canada’s natural environment is conserved and restored for present and future generations.”
4. **Contributions in support of Weather and Environmental Services for Canadians** support individuals and organizations in activities to enable Canadians to access, understand and use information on changing weather, water, climate and air quality conditions. This umbrella is aligned to PAA programs 2.1 and 2.2 (Weather and Environmental Services for Canadians and Targeted Users). The Ts&Cs specify six expected results, and the strategic outcome addressed by this umbrella is “Canadians are equipped to make informed decisions on changing weather, water and climate conditions.”
5. **Contributions in support of Substances and Waste Management** encourage individuals and organizations to engage in activities to reduce threats to Canadians and impacts on the environment posed by harmful substances and waste. The Ts&Cs indicate three expected results. Aligned with PAA program 3.1 (Substances and Waste Management), this umbrella supports the departmental strategic outcome “threats to Canadians and their environment from pollution are minimized.”
6. **Contributions in support of Climate Change and Clean Air** encourage and support international organizations and foreign states to pursue activities that advance international action, improve Canadian air quality, reduce global greenhouse gas emissions and promote change toward sustainable environmental development and

policies. This umbrella is aligned with PAA program 3.2 (Climate Change and Clean Air). The Ts&Cs specify eight expected results, and the strategic outcome supported by this umbrella is “threats to Canadians and their environment from pollution are minimized.”

2.2. Governance and Management

The Assistant Deputy Minister (ADM) Committee⁴ on Grants and Contributions was established in 2012 and currently comprises five ADMs. It is intended to address department-wide issues related to Gs&Cs, including the UTCs, and has a mandate to provide the Deputy Minister and Executive Management Committee (EMC) with advice, strategies, recommendations and decision support on horizontal issues to strengthen Gs&Cs management within ECCC. One of the committee’s key functions is to ensure appropriate program attention to priority setting and performance measurement for each umbrella authority. A Grants and Contributions Director General Committee supports the work of the ADM Committee.

In general, there is a formal annual process to prioritize, select and fund Gs&Cs projects. The coordination of the annual departmental Gs&Cs planning process is the responsibility of the Gs&Cs Centre of Expertise in Corporate Services and Finance Branch. Each branch submits, prioritizes and recommends projects for inclusion in the departmental Gs&Cs plan. Individual ADMs are responsible for recommending proposed projects for approval in the departmental Gs&Cs plan. In the timeframe for this evaluation (2010–2011 to 2014–2015), the Minister was consulted on the approval of all Gs&Cs projects.⁵ Following the approval of projects, project managers within each branch are responsible for the management of individual Gs&Cs agreements. The Gs&Cs Centre of Expertise in Corporate Services and Finance Branch provides coordination, review and assistance throughout the process.

Details on approvals processes for Gs&Cs agreements are presented in the Approvals Process Flow-Chart, which illustrates each key step in the internal agreement approval process for both application-based and non-application-based Gs&Cs programs (see Annex A).

2.3. Resource Allocation

Expenditures under each of the six UTCs for the five years from 2010–2011 to 2014–2015 are presented by PAA sub-program and ECCC branch in Annex B. The total expenditures for this period were \$263.1 million.

2.4. UTC Expected Results

The expected results of each of the six Umbrella Terms and Conditions are listed in Annex C.

3. EVALUATION DESIGN

3.1. Scope

The purpose of this evaluation was to assess the relevance and performance of the six Umbrella Terms and Conditions in facilitating the achievement of environmental outcomes over the five years from 2010–2011 to 2014–2015. An evaluation of the UTCs was part of Environment Canada’s 2013 Risk-based Audit and Evaluation Plan⁶ and was a specific TBS

⁴ Environment Canada (EC). 2012. ADM Committee on Grants and Contributions: Terms of Reference. These Terms of Reference were updated in 2016.

⁵ Although the Minister was consulted in the approval process for all Gs&Cs, the evaluation assessed only the process internal to the Department. Note that as of 2016–2017, the approvals process has changed such that the Minister is only consulted on the approval of projects valued at more than \$100,000. Projects valued at less than or equal to \$50,000 require ADM approval and those valued at \$50,001 to \$100,000 require DM approval.

⁶ The planning for this evaluation was undertaken in 2013–2014 but due to unanticipated budget pressures (staff attrition and larger investments in other projects), the evaluation was not conducted as quickly as originally planned.

request. The evaluation primarily examined the relevance and performance of projects funded under the UTCs, and these findings were rolled up to draw conclusions about the UTCs overall. In addition, the evaluation incorporated an assessment of the UTC approach as an enabling mechanism for Gs&Cs funding.

This evaluation supplements evaluations of the numerous individual Gs&Cs programs that use the six umbrella authorities, in order to respond to the requirements of the *Financial Administration Act* to evaluate all ongoing programs of Gs&Cs at least once every five years. Individual Gs&Cs programs are evaluated on an ongoing basis as part of evaluations of the associated PAA sub-programs and sub-sub-programs to which they are aligned. Evaluations of individual UTC Gs&Cs programs are listed in Annex D.

One key issue that was considered in the evaluation design is the fact that the UTCs do not constitute a typical single “program.” The UTCs are purposefully designed as an enabling mechanism⁷ for funding to support a very broad range of outcomes associated with different individual programs across the department. It was therefore difficult to link the large number of funded projects and associated programs to a shared set of measurable outcomes and to report on these outcomes in a coherent fashion. To address this issue, evidence of progress toward positive environmental outcomes was aggregated across UTCs and the contribution of funded projects to the UTCs’ expected results (see Annex C) was assessed.

3.2. Evaluation Approach and Methodology

The research activities that were undertaken are briefly described in this section, and further details on the methodological approach are available in Annex E.

Document Review Documents related to the relevance, design and efficiency of the UTCs were reviewed, for example, the Terms and Conditions for each umbrella authority, a 2013 internal audit of Gs&Cs and a 2009 evaluation of ECCC’s former class Gs&Cs.

Administrative Data and File Review: The Gs&Cs database kept by ECCC’s Corporate Services and Finance Branch was reviewed to provide descriptive information on projects funded under the UTCs, including expenditures by program and branch (see Annex B). The evaluation also examined a sample of 85 project files in order to assess the extent to which the projects funded under the UTCs met intended project goals within expected timelines, leveraged resources from partners, and contributed to the UTC expected results. The file review sample was selected from a total of 635 projects completed in the timeframe from 2010–2011 to 2014–2015.

Key Informant Interviews: In order to gather opinions and observations related to all of the evaluation questions, a total of 17 key informant interviews were conducted with ECCC program managers with experience using one or more of the UTCs (n=15) and representatives of Corporate Services and Finance Branch involved in coordinating the management of the umbrella authorities (n=2).

Recipient Survey: An online survey of funding recipients was conducted to assess views on ECCC’s delivery of Gs&Cs under the UTCs and the contribution of funded projects to environmental outcomes, both short-term project outcomes and UTC expected results. The survey focused on completed projects funded under the six UTCs from 2010–2011 to 2013–2014. Of 294 funding recipients invited to participate in the survey, responses were received

⁷ The UTCs provide the authority for ECCC to provide funding using the contribution agreement as a funding tool. In this sense the UTCs are an enabling mechanism.

from 57 recipients for a response rate of 19%.

3.3. Challenges and Limitations

Challenges encountered in the conduct of the evaluation, as well as associated limitations and mitigation strategies, are outlined below.

- As the UTCs support a broad range of program outcomes that span the department's entire PAA, it was difficult to organize the numerous contribution agreements into a limited set of clear environmental outcomes against which program performance could be assessed. To mitigate this challenge, evaluators designed the interviews and survey to capture standard ratings of progress toward intended short-term project outcomes, without reference to specific environmental outcomes. In this way, it was possible to aggregate evidence across all six umbrellas.
- There are limited performance data on UTC intended outcomes or expected results. Although performance information for PAA programs and sub-programs is collected as part of the department's Performance Measurement Framework, there are no performance data focused specifically on the UTCs' expected results (and associated performance indicators) and no departmental management information system that consolidates project-level performance data. Moreover, there is limited information on short-term project outcomes in project final reports, as these reports focus primarily on the degree of completion of funded project activities and outputs as specified in the contribution agreement. To address this challenge (as noted above), standard ratings of the degree of achievement of intended short-term project outcomes were obtained in the key informant interviews and recipient survey, and standard ratings to estimate projects' contribution to the applicable UTC expected results were obtained in the project file review and recipient survey.

4. FINDINGS

This section presents the findings of this evaluation by evaluation issue (relevance and performance) and by the related evaluation questions.

For each evaluation question, a rating is provided based on a judgment of the evaluation findings. The rating statements and their significance are outlined below in Table 1. A summary of ratings for the evaluation questions is presented in Annex F.

Table 1. Definitions of Standard Rating Statements

Statement	Definition
Acceptable	The program has demonstrated that it has met the expectations with respect to the issue area.
Opportunity for Improvement	The program has demonstrated that it has made adequate progress to meet the expectations with respect to the issue area, but continued improvement can still be made.
Attention Required	The program has not demonstrated that it has made adequate progress to meet the expectations with respect to the issue area, and attention is needed on a priority basis.
Not Applicable	There is no expectation that the program would have addressed the evaluation issue.
Unable to Assess	Insufficient evidence is available to support a rating.

4.1. Relevance

4.1.1 Continued Need for Program

Evaluation Issue: Relevance	Rating
1. Is there a continued need for ECCC's Umbrella Terms and Conditions?	Acceptable

There is a demonstrated environmental need in each of the program areas covered by the six UTCs. There is also a need for Gs&Cs in general to help ECCC deliver on its priorities.

- There is a continuing environmental need in each of the areas covered by the six UTCs, including the following:
 - *Biodiversity*: A global decline in biodiversity (i.e., the variety of plants, animals and other life) is recognized as a serious environmental issue in view of biodiversity's importance to human health, prosperity, security and well-being, and its contribution to essential goods and services that flow from healthy and diverse natural systems.
 - *Water resources*: Freshwater aquatic ecosystems are degraded and under pressure due to factors such as urban development and agricultural and industrial activities, eutrophication, degradation of wetlands, and lower-than-average water levels associated with climate change.
 - *Sustainable ecosystems*: Sustainable ecosystems serve to protect species and their habitats, preserve biodiversity and perform essential ecosystem services, which in turn have economic and health impacts, including agricultural productivity and improved air and water quality.
 - *Weather and environmental services*: Severe weather has significant human and economic consequences, therefore information regarding anticipated weather events is important for related planning, decision-making and mitigation of potential negative effects.
 - *Substances and waste management*: Chemical substances negatively impact human health⁸ and the environment and increase future costs associated with water treatment, clean-up of contaminated sites, and treatment of illnesses related to chemical exposure. In addition, risks to the environment and human health stem from myriad sources of human-generated waste, including water pollution from a range of sectors (e.g., forestry, mining and agriculture), wastewater effluent from wastewater systems, and hazardous solid wastes.
 - *Climate change and clean air*: Climate change related to the release of greenhouse gases (GHGs) is warming the atmosphere and oceans and has the potential to affect the natural functioning of ecosystems, as well as weather conditions, biodiversity, hydrological systems and coastal infrastructure. Air pollution has been linked to a variety of adverse health outcomes, is carcinogenic, costs the Canadian economy billions of

⁸ Prüss-Ustün, A., Vickers, C., Haefliger, P., and Bertollini, R. 2011. Knowns and unknowns on burden of disease due to chemicals: a systematic review. *Environmental Health*, 10(1), 9.

dollars each year due to premature deaths (approximately 21,000 Canadians annually), hospital admissions, emergency room visits and absenteeism⁹ and contributes to adverse environmental effects such as ecosystem degradation, impacts on wildlife habitat and food from pollutants such as mercury, and impacts on vegetation from air pollutants such as ground-level ozone and sulphur dioxide.

- Document review findings indicate that, in general, there is a need for Gs&Cs as an instrument for federal government departments to deliver on their priorities and responsibilities to Canadians, for instance, by enabling non-government actors to do what they can do best and utilizing the work and skills of these actors for public policy purposes.^{10,11}
- Almost all funding recipients surveyed (96%) agree (indicated 4 or 5 on a 5-point scale) that there is a continued need for federal contribution funding to support projects. Almost one-third (30%) indicated that without ECCC funding, their project would not have been carried out. This point was also reported by eight recipients in the project file review sample. A further 42% of survey respondents indicated that, in the absence of ECCC funding, their project would have been carried out but only if it were significantly reduced in size or scope.

4.1.2 Alignment with Federal Government Priorities

Evaluation Issue: Relevance	Rating
2. Are the Umbrella Terms and Conditions aligned with federal government priorities?	Acceptable

Projects funded under the UTCs are aligned with federal priorities to protect the environment and with departmental strategic outcomes.

- The work funded under the UTCs is consistent with the Government of Canada's expected outcome of "a clean and healthy environment."¹² Moreover, one of the key current priorities of the Government of Canada is "a clean environment and a strong economy," including issues targeted by the UTCs such as reducing carbon pollution, clean technology, and understanding and minimizing environmental impacts.¹³
- Each of the six umbrella authorities is aligned to a program in the departmental PAA and the associated ECCC strategic outcome. This linkage is specified in the Terms and Conditions for each umbrella.
- Most interviewees indicated that the objectives of the funded projects are aligned with federal and departmental priorities. Some key informants explained that the UTC project selection criteria, contribution agreement template, and explicit alignment of the UTCs with the department's PAA help to ensure this.

⁹ Canadian Medical Association. August 2008. No Breathing Room: National Illness Costs of Air Pollution.

¹⁰ Treasury Board of Canada Secretariat. December 2006. From Red Tape to Clear Results: The Report of the Independent Blue Ribbon Panel on Grant and Contribution Programs.

¹¹ Treasury Board of Canada Secretariat. 2008. The Government of Canada Action Plan to Reform the Administration of Grant and Contribution Programs.

¹² Treasury Board of Canada Secretariat. 2015. Descriptors for Government of Canada Outcome Areas.

¹³ GoC. December 2015. Making Real Change Happen: Speech from the Throne to Open the First Session of the Forty-second Parliament of Canada.

4.1.3 Alignment with Federal Roles and Responsibilities

Evaluation Issue: Relevance	Rating
3. Are the Umbrella Terms and Conditions consistent with federal roles and responsibilities?	Acceptable

The project activities funded under the UTCs are consistent with federal responsibilities specified in legislation such as the *Department of the Environment Act*. Each funded project is linked to the objectives of an ECCC program and to a departmental strategic outcome and, as such, is compatible with the department's responsibilities.

- ECCC's role in funding projects under the UTCs is compatible with the department's responsibilities under the *Department of the Environment Act*, which specifies that the powers, duties and functions of the Minister include the preservation and enhancement of the quality of the natural environment, including water, air and soil quality, as well as renewable resources, migratory birds and other non-domestic flora and fauna. The *Department of the Environment Act* is specified as one of the legal authorities for each of the six UTCs. In addition, other federal legislation is identified as an authority for specific UTCs, for example, the *Canada Wildlife Act* and *Species at Risk Act* for Contributions in support of Biodiversity – Wildlife and Habitat, and the *Canada Water Act* for Contributions in support of Weather and Environmental Services for Canadians.
- The section on "purpose and expected results" in each UTC contribution agreement specifies the ECCC program which the funded activity is intended to support. Consistent with this, key informants indicated that the UTCs are used to support agreements that are directly aligned with program activities and objectives. Projects supported under the UTCs are used to meet short-term needs, to fill gaps in the department's monitoring of environmental conditions or specific species, and to address knowledge gaps in environmental issues. These funded activities are consistent with departmental and federal responsibilities.
- Interviewees reported that it is appropriate for the federal government to provide project funding to facilitate the achievement of environmental outcomes because of the alignment of this work with ECCC's federal mandate and responsibilities, particularly for certain areas (e.g., migratory birds, GHG reduction projects in developing countries, funding for Indigenous communities to deal with environmental issues), and the national and international scope of some projects. It was also felt by some key informants to be appropriate for the federal government to engage academics/researchers in the early stages of program development, as they may be better positioned to conduct initial exploratory and foundational research.

4.2. Performance – Efficiency and Economy

4.2.1 Program Design

Evaluation Issue: Performance – Efficiency and Economy	Rating
4. Are the Umbrella Terms and Conditions an appropriate design for ECCC to achieve expected program results and related outcomes?	Acceptable

The UTCs are sensibly designed with clear expected results linked to PAA programs. They provide consistency in the funding approach across program areas in the

department, flexibility to respond to new project opportunities in a timely manner, and reduce the number of Ts&Cs on which management is required to report. In addition, the UTCs appropriately leverage existing departmental mechanisms such as a structured Gs&Cs approvals process.

- The design of the UTCs is sensible in that each UTC is aligned to a PAA program and an associated ECCC strategic outcome and specifies the expected results to which it is designed to contribute. For each project funded under each UTC, the contribution agreement specifies the activities being funded, the applicable UTC results these activities are intended to support, and requirements for project performance reporting.
- Results of the project file review demonstrate that almost all funded project activities (97%) were judged to be well linked to the applicable UTC expected results (rated 4 or 5 on the 5-point scale), suggesting that this aspect of the design is sound.
- A majority of key informants indicated that there is a continued need for the UTC approach or mechanism because it provides consistency in the funding approach across program areas and flexibility to respond to new project opportunities in a timely manner, and it reduces the number of Ts&Cs which program managers are required to maintain, update and report on. They also indicated that projects funded under the UTCs provide access to highly technical/expert resources not available within ECCC and leverage additional project funding from outside the department.
- Key informants identified some alternative ways of supporting individuals, organizations or other levels of government in contributing to environmental outcomes, including contracting, partnerships, leveraging through collaboration and engagement with stakeholders, in-kind contributions and provision of one large lump sum contribution to the provincial government to administer all the individual projects in that province. However, the majority expressed a preference for the use of contribution agreements under the UTCs, for example, because this approach allows for flexibility in the timelines, scope and deliverables, provides a secure funding arrangement for the recipient, and encourages the leveraging of resources from project partners.
- The UTC design also leverages existing departmental mechanisms and tools to deliver program activities and facilitate the consistent and effective management of Gs&Cs under the UTCs, including
 - an ADM Committee on Grants and Contributions,¹⁴ the roles and responsibilities of which are specified in the committee's terms of reference (see section 2.2);
 - a Gs&Cs approvals process, which outlines the roles, responsibilities and accountabilities of project managers and Finance representatives in the delivery of Gs&Cs funding using the UTCs (see Annex A); and
 - a departmental guide to Gs&Cs¹⁵ that includes principles, requirements, guidance, detailed procedures, standard templates,¹⁶ and step-by-step instructions for all stages of ECCC's Gs&Cs funding process, including the UTCs.

¹⁴ EC. 2012. ADM Committee on Grants and Contributions: Terms of Reference. These Terms of Reference were updated in 2016.

¹⁵ EC. 2014. Guide to Grants and Contributions at Environment Canada.

¹⁶ Standard templates are included for the expenditure initiation approval memo, contribution agreement, and project reports submitted by funding recipients.

- The vast majority (80% or more) of funding recipients who responded to the survey rated each of the various design features about which they were asked very highly (i.e., responded with a 4 or 5 on a 5-point scale), with the exception of the Recipient Guide to ECCC Contribution Agreements, which only 70% of respondents agreed was a useful reference tool (see Table 2). Corporate Services and Finance Branch is currently in the process of reviewing and updating this guide. Of the small proportion of respondents (11%) who disagreed that the conditions and requirements for funding were well suited to their project, most (60%) further reported that they were required to adjust their project approach to accommodate the conditions for funding to a large or great extent (indicated 4 or 5 on a 5-point scale). For example, some recipients needed to delay the purchase of lab equipment, delay the overall project, or find other means of paying researcher salaries.

Table 2. Funding Recipient Survey of Key Components of Program Design

Key Components	% Disagree (1 or 2)	% Neither (3)	% Agree (4 or 5)
Roles and responsibilities of my organization, as specified by the terms of the Contribution Agreement, are clear.	2%	2%	96%
Roles and responsibilities of ECCC in the delivery of this funding mechanism are clear.	2%	2%	96%
The level of detail required in reporting templates is reasonable.	2%	8%	90%
The payment request form was easy to use.	6%	10%	84%
The conditions and requirements for funding, outlined in the Contribution Agreement, were well suited to the project.	11%	5%	84%
The reporting templates were easy to use.	10%	10%	81%
The application form was easy to complete.	9%	11%	80%
The Recipient Guide to ECCC Contribution Agreements was a useful reference tool.	6%	23%	70%

Source: Survey of UTC Funding Recipients (n=57). Respondents rated their answer on a scale from 1 (Strongly Disagree) to 5 (Strongly Agree). Don't Know and Not Applicable responses were removed.

4.2.2 Program Efficiency and Alternatives

Evaluation Issue: Performance – Efficiency and Economy	Rating
5. Do the Umbrella Terms and Conditions allow ECCC to undertake activities, deliver products and achieve intended outcomes in an efficient manner?	Acceptable

A number of factors suggest that the UTCs support the efficient management of Gs&Cs, including the use of a single common set of Ts&Cs for a wide range of funding programs/initiatives aligned to different PAA programs, and the delivery of funded projects in collaboration and with leveraged resources from partners (i.e., 64% of project funding from partners). Funding recipients are highly satisfied with the delivery and efficiency of UTC funding; however, the timeliness of the notification and receipt of funding is a concern for some.

Efficiency of UTC Approach

- ECCC has made efficiency improvements related to the UTCs and Gs&Cs in general by implementing management actions in response to recommendations from a previous evaluation and internal audit:
 - The 2009 evaluation of the former class Gs&Cs¹⁷ made five recommendations, and all of the associated management actions have been completed. For example, Corporate Services and Finance Branch offered training and developed new guidelines, procedures and tools for managers and finance personnel,¹⁸ and the department implemented a new risk-based approach to Gs&Cs management, developed step-by-step guidelines for the approval of contribution agreements (see Annex A) and, as already noted, created standardized tools including a contribution agreement template.
 - The 2013 internal audit of Gs&Cs¹⁹ also made five recommendations, some of which resulted in the implementation of a phased approach, aligned with departmental budget allocation and planning processes, to support the timely execution of Gs&Cs approvals.
- Results of the survey of funding recipients on efficiency-related aspects of UTC contribution programs are presented in Table 3. The responses are very positive, with large majorities of survey respondents (75% to 100%) providing positive ratings for all program components about which they were asked.
- File review evidence (i.e., open-ended responses in the final project reporting template) yields insight into the reasons for the positive survey responses and found that of 36 responses related to interactions with staff, 34 were positive and noted a highly collaborative relationship between recipient organizations and ECCC staff.²⁰
- There is a systematic process in place for prioritizing the projects to be supported by Gs&Cs, including those under the UTCs, which should help to ensure that project funding and activities are well targeted. As described in Annex A, as part of annual Gs&Cs planning, Directors provide proposals for priority Gs&Cs by sub-program, which are reviewed by Executive Directors and/or ADMs. ADMs then recommend priorities for their branch in the annual Gs&Cs plan. Finally, the ADM Committee on Gs&Cs provides oversight and recommendations on Gs&Cs to the Deputy Minister.
- A majority of the interviewees who responded to the issue of efficiency and economy indicated that the expected results of projects supported by UTCs have been achieved at a reasonable program cost (e.g., due to the leveraging of additional resources such as funding and expertise from project partners).
- In terms of the UTC mechanism overall, the majority of interviewees who responded indicated that the UTC approach confers a number of advantages, including administrative

¹⁷ EC. July 2009. Evaluation of Environment Canada's Class Grants and Contributions.

¹⁸ EC. 2013. Guide to Grants and Contributions at Environment Canada.

¹⁹ EC. May 2013. Audit of Grants and Contributions.

²⁰ One recipient noted issues with data sharing between their organization and ECCC, while another noted some confusion regarding expense eligibility. Examples of how ECCC staff directly assisted recipient organizations include technical and logistical support, strategic advice and input, scientific and administrative support, and support in completing project performance reports and related documents. ECCC's involvement and funding were reported to have helped build capacity in recipient organizations, having a lasting effect extending beyond the project itself, and facilitated multi-disciplinary stakeholder involvement, additional partnerships and leveraging of funding from other sources.

savings because there are fewer Ts&Cs to manage; flexibility to respond quickly to new priorities and project opportunities (e.g., development of a pilot program); consistency and standardization of the approach across programs; and assurance of alignment of contributions with the PAA. The key disadvantage noted in interviews was the lack of alignment of some research opportunities with the UTCs.

Table 3. Funding Recipients Survey of Key Components of Program Delivery

Key Components	% Disagree (1 or 2)	% Neither (3)	% Agree (4 or 5)
Throughout the process, I was offered services in official language of choice (English or French).	0%	0%	100%
The level of service I received from ECCC personnel met my needs.	0%	2%	98%
Advance payments for upcoming project expenditures were received in a timely manner.	3%	6%	91%
Sufficient information was provided at the outset regarding how the funding process would work.	4%	5%	91%
The negotiation process was conducted in an efficient manner.	4%	6%	90%
Reimbursement for project expenditures incurred was received in a timely matter.	4%	7%	89%
The funding process unfolded as the information provided at the outset indicated that it would.	2%	11%	87%
The notice of funding was received in a timely manner.	13%	12%	75%

Source: Survey of UTC Funding Recipients (n=57). Respondents rated their answer on a scale from 1 (Strongly Disagree) to 5 (Strongly Agree). Don't Know and Not Applicable responses were removed.

Timeliness of Funding

- Despite mostly positive results, there is one area of program delivery in which evidence suggests there may be opportunity for improvement: timeliness of funding.
 - In the file review, of 25 final project reports that discussed inefficiencies related to the Gs&Cs process, 20 reports specifically mentioned inefficiencies related to funding timelines. In particular, these recipients highlighted that they experienced difficulties in leveraging additional funding due to delays in receiving notice of the acceptance of their proposal and that the receipt of funds often did not align with project timelines, having an adverse impact on the achievement of intended project objectives.
 - Approximately half of the key informants noted that delays may cause project timelines to be missed when projects are time-bound or seasonal, or proponents are no longer available.
 - Although the survey responses were very positive (see Table 3), funding recipients surveyed were somewhat less likely to agree that “the notice of funding was received in a timely manner” (75%), with a majority of those who disagreed (13%) indicating that this caused challenges such as delays in purchasing lab equipment or hiring staff and imposed financial risks. Recipients noted that the funding application timelines can be confusing and difficult to meet, as often there is a very short turnaround between the notification of funding and the deadline for use of funds.
- Recipient survey suggestions for improving efficiency include expediting the negotiation process and funding notification to allow sufficient time for meaningful use of funds prior to

the fiscal year-end deadline; using contributions that are multi-year and allowing carry-over funding from one year to the next; and reducing administrative burden by simplifying the annual activity and financial reporting process. Overall, however, funding recipients feel that the contribution funding process worked well and was essential to their project's success.

Project Partnerships and Leveraging of ECCC Funding

- Findings from the project file review indicate that for 62 of the 85 projects funded by ECCC, recipients were able to leverage additional funding (cash or in-kind) from 251 other contributors, for an average of three non-ECCC contributors per project. Overall, considering both financial and in-kind contributions, projects were resourced at an average rate of 36% by ECCC and 64% by partners, for a leveraging ratio of 1.79. Note that 16 of these projects were conducted with no additional funding partners, and information on partner contributions was incomplete for 7 projects. An assessment of leveraged funding by umbrella authority is presented in Table 4 below.
- The most common types of project partners identified by funding recipients in the survey are academic institutions (32%), other federal departments/agencies (25%), environmental non-governmental organizations (24%) and other types of partners, such as other levels of government (19%). The most frequently cited form of assistance received from these organizations was funding/financial support (67%), followed by in-kind support in the form of research/technical advice (47%) and volunteer or staff support (46%). A majority (65%) of respondents reported that the contribution funding received from ECCC assisted them in obtaining additional funding from other sources to a large or great extent (indicated 4 or 5 on a 5-point scale).
- In the project file review, responses were available from 20 funding recipients concerning the effectiveness of collaboration with project partners and stakeholders. Among these responses, 18 project reports cited effective collaboration between partners as a key means to achieving project objectives, particularly when the scope of the project was quite large.

Table 4. Leveraged Funding (in 000s) for Completed Projects in File Review

Umbrella Authority	ECCC (cash)	ECCC (in-kind)	Partner (cash)	Partner (in-kind)	Total	Ratio
Biodiversity – Wildlife and Habitat	\$2,436 (36%)	\$37 (1%)	\$2,963 (44%)	\$1,270 (19%)	\$6,706 (100%)	1.71
Water Resources	\$503 (49%)	\$140 (14%)	\$311 (30%)	\$69 (7%)	\$1,023 (100%)	0.59
Sustainable Ecosystems	\$414 (36%)	\$58 (5%)	\$338 (29%)	\$353 (30%)	\$1,162 (100%)	1.46
Weather and Environmental Services	\$7,515 (55%)	\$20 (0.1%)	\$5, 626 (40%)	\$634 (5%)	\$13,795 (100%)	0.82
Substances and Waste Management	\$865 (11%)	\$11 (0.1%)	\$7,109 (88%)	\$81 (1%)	\$8,071 (100%)	8.21
Climate Change and Clean Air	\$1,891 (22%)	\$150 (2%)	\$6,185 (73%)	\$199 (2%)	\$8,426 (100%)	3.12
TOTALS (000s)	\$13,624 (35%)	\$416 (1%)	\$22,478 (57%)	\$2,606 (7%)	\$39,183 (100%)	1.79

Note: The leveraging ratio was computed by dividing the total funding from partners by that from ECCC.
Source: Project file review (n=85).

4.2.3 Performance Measurement

Evaluation Issue: Performance – Efficiency and Economy	Rating
6. Is performance information being collected and reported for the Umbrella Terms and Conditions?	Opportunity for improvement

Available performance information is incomplete. Information at the project level is provided in the final project reporting template for most, though not all UTC projects. However, final reports focus primarily on project activities and outputs, as opposed to intended environmental outcomes or expected results. While each UTC specifies expected results and associated performance indicators, the evaluation found no evidence of performance reporting against these expected results and indicators. Also, ECCC has no consolidated management information on UTC project performance.

- For PAA programs and sub-programs, performance information is collected against expected results and performance indicators as part of the department's Performance Measurement Framework (PMF) and presented in Departmental Performance Reports.²¹ However, these are different from the UTC-specific results and indicators. Beyond the PMF, program performance data are also collected as part of program-level performance measurement strategies, though there are gaps in this regard for some program areas throughout the department.²²
- The Terms and Conditions for each umbrella authority specify expected results (listed in Annex C) and performance indicators, which are typically related to but distinct from the expected results and indicators in the department's PMF.²³ The Terms and Conditions note that these UTC-specific indicators will be used to monitor and report on the impact and effectiveness of contributions toward realizing program outcomes. Based on the evaluation evidence, this does not appear to be happening, as the UTC performance indicators are not identified in contribution agreements or final project report templates and most key informants appear to be unfamiliar with these indicators. The department's former Environmental Stewardship Branch did develop a proposed performance measurement framework²⁴ for the Biodiversity – Wildlife and Habitat authority using the expected results and indicators from the Ts&Cs, but there was no evidence that it was actually used. The evaluation did not identify any other similar performance measurement strategies utilizing the expected results and indicators for the other five UTCs.
- A majority of key informants and funding recipients in the survey (91%) indicated that performance indicators are developed for intended project deliverables and short-term outcomes, though a small number of informants observed that deliverables or outcomes are vaguely worded in some contribution agreements. In addition, 79% of funding recipients indicated that performance data are collected against project activities and intended short-term outcomes. Examples provided of types of project performance data include project

²¹ EC. 2015. Environment Canada Departmental Performance Report 2014–2015.

²² EC. 2015. Chief Audit and Evaluation Executive 2014–2015 Annual Report, Annex A: State of Performance Measurement.

²³ For example, for sub-program 1.3.4 Ecosystems Initiatives, the 2014–2015 PMF expected result was "EC and partners achieve near-term objectives for environmental improvements in ecosystems of national significance" and the performance indicator was "estimated progress achieved against near-term goals identified in federal–provincial agreements respecting ecosystem initiatives." The associated UTC expected result was "implementation of environmental remediation, protection and conservation projects required to meet the goals and objectives identified in ecosystem-based management plans or to achieve ecosystem objectives." The UTC indicators for this result included "percentage of environmental issues identified in approved ecosystem-based management plans or by ecosystem governance processes that are addressed by funded projects" and "percentage of actions identified in approved ecosystem-based management plans or ecosystem governance processes that have been completed."

²⁴ EC. May 2010. A Proposed Performance Measurement Framework in Support of the Biodiversity – Wildlife and Habitat Contribution Program. Internal document.

reach and participation levels; status of project activities/deliverables; population estimates and other data on migratory birds; and quantitative data on project results. As would be expected, funding recipients most commonly shared performance data with ECCC through the department's final project reporting templates (37%) and annual project reports (34%). Some other methods used for communicating data to the department include expert and technical reports, emails, phone/conference calls, meetings and workshops.

- For each funded project, the contribution agreement specifies the requirements for financial reporting (cash flow statement, financial forecast, annual and final report) and for project activity progress reporting (annual and final reports). To facilitate this reporting, Corporate Services and Finance Branch developed a final project reporting template (referred to above). Project managers are free to use this standard template, or with ECCC's approval, to adapt it or use another report format specific to their reporting requirements. The template for the final project report does not, however, specifically request information on any UTC expected results that are reflected in the contribution agreements.
- Based on the project file review, completed final financial and project activity reports could not be located for 21 projects (25% of the sample).²⁵ Although reporting templates were generally well completed for the remaining projects, open-ended questions relating to project results, lessons learned, project sustainability and feedback on interactions with ECCC staff were inconsistently answered. In most cases, the project's contribution to the applicable UTC expected result(s), included in the contribution agreement, was only indirectly addressed. In contrast with the survey and interview findings cited above, which suggested that performance indicators are developed for projects' short-term outcomes, the file review indicates that reports generally focused on project activities and outputs.²⁶
- The department currently has no consolidated information on project performance for Gs&Cs (i.e., data on status of project activities, outputs and outcomes). However, Corporate Services and Finance Branch maintains a Gs&Cs database. This database contains financial information for projects funded under each of the six UTCs and is used to track Gs&Cs expenditures and the advancement of G&G projects for payment purposes. However, this database includes no performance information on funded projects, nor was it designed to capture this type of information.²⁷ Moreover, although it includes the responsible ECCC program manager and the project proponent, it does not include contact information for project proponents – information which would be useful to support performance measurement and evaluation (e.g., for undertaking a recipient survey, as was conducted in the present evaluation).
- The noted lack of consolidated project performance information is consistent with the Commissioner of the Environment and Sustainable Development's (CESD's) 2013 assessment of ECCC's funding programs for Species at Risk. This audit found that although results from funded projects were tracked at the project level and sometimes compiled at a program level, no overall compilation and assessment of the cumulative contribution of funding programs to the achievement of higher-level outcomes was conducted. Such an

²⁵ An additional 4 projects in the file review sample were contributions to international organizations where a final report was not required.

²⁶ As the department's final project reporting template, reviewed in the project file review, focuses on the status of funded project activities (as identified in the contribution agreement), data on project outcome indicators referred to by key informants and survey respondents were not necessarily included in this project reporting template.

²⁷ The Gs&Cs database is intended to meet specific reporting needs that cannot be met by ECCC's financial system (e.g., federal government requirements related to the proactive disclosure of information on Gs&Cs and the *Access to Information Act*). It is not intended to be a full management information system capturing details such as performance data on funded Gs&Cs projects.

assessment would be particularly useful for informing future funding priorities.²⁸ Improvements to these funding programs were made in response to the 2013 CESD findings.²⁹

4.3. Performance – Effectiveness

Evaluation Issue: Performance – Effectiveness	Rating
7. To what extent have intended outcomes been achieved as a result of the Umbrella Terms and Conditions? <ul style="list-style-type: none"> Project activities and short-term outcomes. UTC expected results. 	Acceptable Unable to Assess

The evaluation found that projects' planned activities and intended short-term outcomes are for the most part being achieved, although evidence for the latter is limited to the views expressed by program managers and funding recipients. In addition, while the evidence would suggest that projects are contributing to UTC expected results, definitive conclusions cannot be effectively drawn due to the lack of objective performance information. Also, no unintended outcomes of the UTC mechanism have been identified.

Project Activities and Short-Term Outcomes

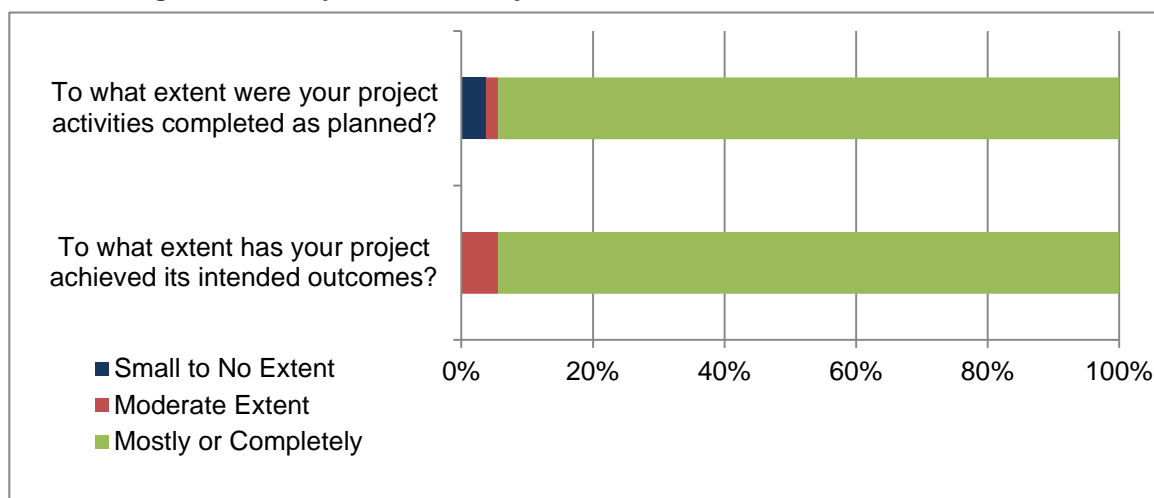
- All lines of evidence suggest that most funded project activities and short-term outcomes are being achieved:
 - Most key informants indicated that the intended outcomes of completed projects funded under the UTC in their program area have been achieved to a large extent (i.e., 4 or 5 on a 5-point scale).
 - A total of 318 activities were initiated across the entire file review sample (85 projects). However, activity completion status could not be assessed for 9 projects (10%) due to unavailable project documentation.
 - Of the remaining 282 activities assessed (representing 76 projects), 216 activities (77%) were completed as planned during the timeframe established in the contribution agreement, 38 activities (13%) were partially completed, and 11 activities (4%) were modified during the course of the project. Only 9 activities (3%) were not completed.
 - In the survey, nearly nine in ten funding recipients reported that their project activities were fully (63%) or mostly (31%) completed as planned (4 or 5 on the 5-point scale). The same proportion indicated that the intended outcomes of their project were completely (63%) or mostly achieved (31%). (See Figure 1).
- Interviewees nonetheless identified some challenges and factors which have negatively influenced the achievement of intended project outcomes, including late delivery of project reports or products and changes in the financial contribution of other involved parties. On the other hand, factors which have positively influenced the achievement of project

²⁸ CESD. 2013. 2013 Fall Report of the Commissioner of the Environment and Sustainable Development: Chapter 5 –Funding Programs for Species at Risk. http://www.oag-bvg.gc.ca/internet/English/parl_cesd_201311_05_e_38675.html#hd5c.

²⁹ The CESD audit recommended that ECCC should compile the results from its funding programs to determine their overall contribution to the implementation of actions identified in recovery documents for species at risk (SAR) and use this information to inform assessments of its funding priorities. To address this recommendation, the department updated the national priorities for 2016–2017 SAR funding programs and the 2016–2017 project reporting templates and continues to assess results against recovery actions annually to inform future program decisions.

outcomes include good coordination with respect to work being undertaken by the associated ECCC program and additional funding from another party.

Figure 1. Survey Results – Project Activities and Short-Term Outcomes



Source: Survey of UTC Funding Recipients (n=57); Don't Know and Not Applicable responses were removed.

- Fifty-one of 85 funding recipients whose files were reviewed³⁰ reported that their project would be sustained in whole or in part at the completion of ECCC funding, although 10 of these recipients reported doing so by applying for additional funding from the same or similar ECCC programs. Other means of sustaining projects specified by recipients include financial and in-kind contributions from provincial and territorial governments, other federal departments, international sources and NGOs.

UTC Expected Results

- Given the lack of results information, as part of the file review the evaluators rated the extent to which the projects' completed activities appeared to contribute to the UTC expected results³¹ specified in the contribution agreement (on a scale ranging from "not at all" (1) to "a great extent" (5)). This rating exercise suggested a strong contribution to the 87 expected results specified for all projects in the sample. The projects' contributions were judged to be large or great (4 or 5 on the scale) for 95% of expected results, and moderate (3 on the scale) for the remaining 5% of results. The average rating for each of the six UTCs ranged from 4.3 to 4.9 out of 5.
- Similarly, in the survey, funding recipients were asked to rate the extent to which their project contributed to the UTC expected result(s) specified in their contribution agreement (using the same 5-point scale as in the file review). Again, the findings suggest a contribution. Across a total of 206 responses on all applicable expected results combined,³² the majority of responses (75%) indicated that projects contributed to a large or great extent.

³⁰ For 32 funding recipients in the project file review, a response to the question (in the final project reporting template) about the sustainability of their project was not provided.

³¹ As noted in section 4.2.3, there is currently no performance reporting on the UTC expected results. In the project file review, evaluators reviewed the available documentation and made a judgement about the extent to which the project activities completed and any other results achieved appeared to contribute to the applicable UTC expected result(s).

³² Due to the fact that there were small numbers of survey respondents for four of the six UTCs and few survey responses for most expected results, it was not feasible to present these survey ratings separately for the six UTCs and 31 expected results. Therefore, the findings are presented for all applicable expected results combined.

The remaining responses indicated a moderate contribution (16%) or little or no contribution (9%). The average rating across all responses and expected results was 4.0 out of 5.

- However, due to limitations associated with the above lines of evidence (i.e., only partial and indirect evidence available in project files, and the possibility of bias among survey respondents asked to rate their own project's performance), as well as the lack of actual performance data, it is not possible to draw definitive and objective conclusions with respect to the achievement of UTC expected results.

Unintended Outcomes

No unintended outcomes of the UTC mechanism were identified by the evaluation.

5. CONCLUSIONS

Relevance

There is a demonstrated environmental need in each of the program areas covered by the six UTCs, and funded projects are aligned with federal priorities to protect the environment and with departmental strategic outcomes. In addition, funded project activities are consistent with federal responsibilities specified in legislation (e.g., the *Department of the Environment Act*) and are linked to the objectives of ECCC programs in the PAA.

Performance – Efficiency and Economy

The UTCs are sensibly designed in that each UTC is aligned to a PAA program and associated ECCC strategic outcome, and specifies the expected results to which it is intended to contribute. Also, the contribution agreement for each funded project specifies the applicable UTC expected result(s) the funded activities are intended to support. In addition, in the view of most program managers interviewed, there is a need for the UTC mechanism, as it provides consistency in the funding approach across program areas in the department and flexibility for a timely response to new project opportunities, and it reduces the number of Ts&Cs which management is required to maintain, update and report on. The UTCs appropriately leverage existing department-wide governance mechanisms through a formal ADM-level Committee, and a structured Gs&Cs approvals process with clear roles and responsibilities for program and Finance representatives. Efficiencies are supported through the use of detailed guidelines and standardized materials that facilitate effective management of contributions funded under the UTCs. Funding recipients express high levels of satisfaction with key design features of the Gs&Cs application, funding and reporting processes.

A number of factors suggest the UTCs support efficient management, including the use of a single common set of Ts&Cs for a wide range of funding programs/initiatives aligned to each PAA program, thereby avoiding a greater number of individual Ts&Cs, changes made in response to previous studies (e.g., standardized templates for agreements and project reports, streamlined approvals process), and the delivery of projects in collaboration and with leveraged resources from a range of partners (i.e., 64% of project funding is from partners). In addition, the department has a systematic process for prioritizing Gs&Cs projects to be supported under the UTCs, which should help to ensure that project funds and activities are well targeted. Survey and file review findings indicate that funding recipients are highly satisfied with the delivery and efficiency of UTC funding; however, the timeliness of the notification and receipt of funding is a concern for some.

Performance information is collected and provided in the department's standard final project reporting template for most, though not all, projects funded under the UTCs. Project reports focus primarily on the degree of completion of funded project activities and outputs as opposed to achievement of expected environmental outcomes and results. The department's Corporate Services and Finance Branch maintains a Gs&Cs database which focuses on the financial aspects of funded projects, but the department has no consolidated information on project performance. Each UTC specifies expected results and associated performance indicators, and each contribution agreement includes at least one of these expected results. However, the evaluation found no evidence of performance reporting against these UTC expected results and indicators.

Performance – Effectiveness

Projects funded under the UTCs appear to be facilitating the achievement of environmental outcomes. The evaluation findings suggest that projects funded under the UTCs are for the most part completing their planned activities and achieving their intended short-term outcomes, though evidence for the latter is limited to interview and survey findings. In addition, the available evidence suggests that projects are making a contribution to the applicable UTC expected results; however, due to a lack of objective performance data it is not possible to draw definitive conclusions on this point. There have been no unintended outcomes of the UTC mechanism.

6. RECOMMENDATIONS AND MANAGEMENT RESPONSES

The following recommendation is based on the findings and conclusions of the evaluation, and is directed to the Assistant Deputy Minister of Corporate Services and Finance Branch, as the senior official functionally responsible for the *Policy on Results* and for Gs&Cs, including the UTCs.

Recommendation

In consultation with the ADMs responsible for the related programs, review the performance measurement and reporting processes for Gs&Cs under the UTCs in order to help ensure that

- a) UTC expected results are considered as part of the development of the corresponding Performance Information Profiles under the new *TB Policy on Results*; and**
- b) UTC contribution project files are fully documented and include the funding recipients' final project or contribution reports.**

Even though each UTC specifies expected results and associated performance indicators, and each contribution agreement includes one or more of these expected results, the evaluation found no evidence of performance reporting against these UTC expected results and indicators. Moreover, there is limited information on project short-term outcomes in project final reports, which focus primarily on the degree of completion of funded project activities and outputs, and there is no departmental management information on consolidated project-level performance. To support current efforts in the department to develop or refine program performance

indicators for Performance Information Profiles (PIPs),³³ the expected results and indicators in the UTCs should be reviewed and considered for inclusion as part of a measurement strategy for Gs&Cs in the applicable program areas. In addition, it is suggested that the need for program officials to review the UTC expected results and indicators be included in the guidance document for the preparation of PIPs being developed by Corporate Management Directorate (CMD). These measures would help to improve the available performance information on the effectiveness of Gs&Cs under the umbrella authorities in contributing to program outcomes in order to support evidence-based decision making.

In addition, the evaluation noted that for a significant number of the contribution projects and files examined, the recipients' final project reports were not available.

Management Response

The ADM, Corporate Services and Finance Branch (CSFB) agrees with the recommendation.

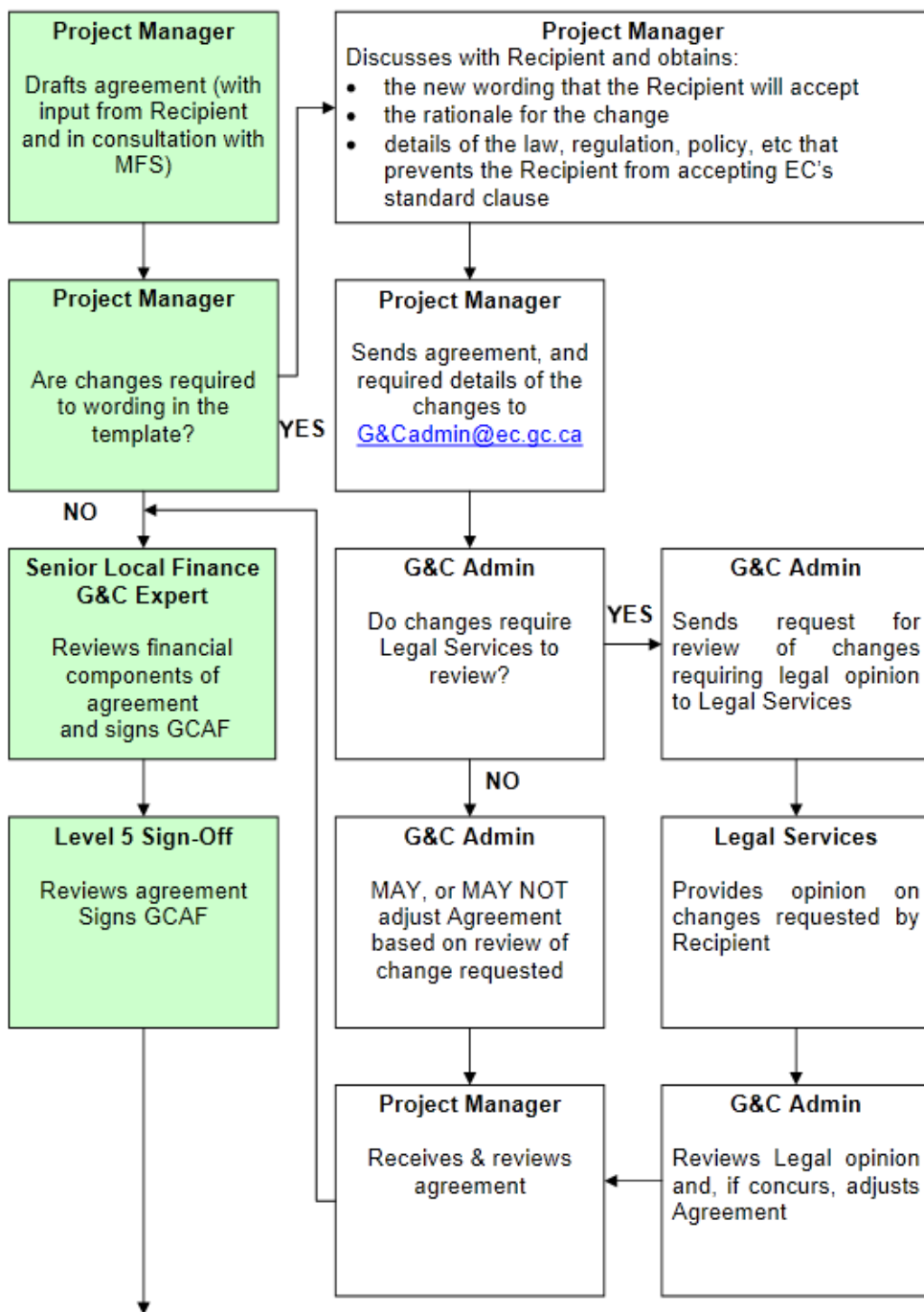
Management Action		
<p>a) ECCC is presently implementing the requirements of the TB <i>Policy on Results</i>, which includes the development of a Performance Information Profile (PIP) for each Program listed in the new Program Inventory. As part of this work, the Gs&Cs Centre of Expertise (Gs&Cs CoE) within CSFB will undertake consultations with representatives from Branches who have Gs&Cs responsibilities to ensure that UTC expected results and indicators will be considered for integration into the Program PIPs. This work will not entail the development of performance frameworks specific to the UTCs, although the UTCs will be referenced in the PIPs as required by TBS guidance. Completion of initial PIPs for all Programs is anticipated by the end of March 2017.</p> <p>b) The Gs&Cs Centre of Expertise (Gs&Cs CoE) within CSFB, in consultation with representatives from Branches who have Gs&Cs responsibilities, will undertake a review of the Final Project Reporting Template to ensure that it includes information related to program results and make any necessary changes to the template. The requirement to have a fully completed Final Project Report with other project documentation will be reinforced with Project Managers. The ADM (DG) Gs&Cs Committee will be engaged and provide oversight.</p>		
Timeline	Deliverable(s)	Responsible Party
a) March 2017	a) UTC expected results and indicators will be considered for integration into Program PIPs.	a) CMD and Branches
b) June 2017	b) The Manager's Gs&Cs Guide will be updated to reflect the new results reporting requirements in the final reports. Training sessions such as the annual "What's New in Gs&Cs" will outline the new requirements.	b) G&C CoE and Managers with Gs&Cs responsibilities

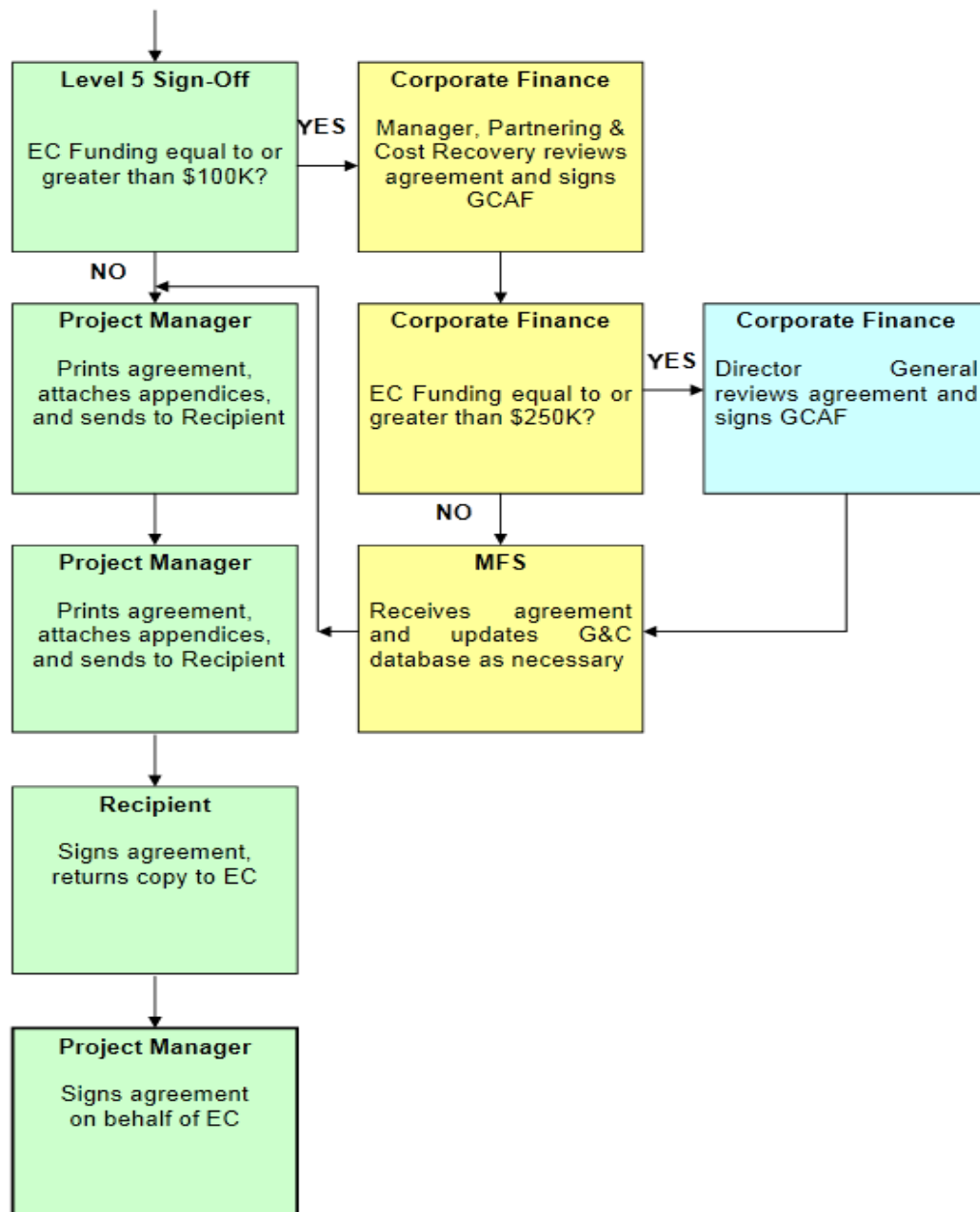
³³ Under the new Treasury Board Policy on Results (July 2016), programs in the department's Program Inventory will be responsible for establishing and implementing a Performance Information Profile (PIP), which is to include information on each program's intended outputs, outcomes and indicators. PIPs are to include Gs&Cs utilized by each program.

ANNEX A – Grants and Contributions Approvals Process Flow-Chart

(Source: Environment Canada. 2011–2012 Guide on Grants and Contributions)

Approvals Process Flow-Chart





The Gs&Cs approval process involves the following key steps:

- A call letter is issued to the Branch Planners and Financial Management Advisors to inform them of their notional branch Gs&Cs budgets and the net available budget (after taking into consideration existing multi-year commitments).
- Directors provide proposals for priority Gs&Cs in their organization, by sub-program.
- ADMs and/or Executive Directors review priorities across all sub-programs to come up with an 'A' list and a 'B' list:
 - 'A' list includes Gs&Cs critical for the business.
 - 'B' list includes other recommended Gs&Cs across all sub-program areas.
- ADMs recommend, within available funding levels, the branch priorities in the departmental Gs&Cs plan, and this is reviewed by Corporate Services and Finance Branch.
- The Minister is consulted and is responsible for approving Gs&Cs projects and the initiation of project expenditures.
- Branches undertake a mid-year review in September to see if contribution agreements have been signed. If not, funds may be reallocated within the branch (or department) for other priority projects.

ANNEX B – UTC Expenditures for 2010–2011 to 2014–2015**Table B.1. UTC Expenditures by PAA Element**

Umbrella Terms and Conditions	PAA Sub-Programs	2010–2011	2011–2012	2012–2013	2013–2014	2014–2015	Total
Biodiversity – Wildlife and Habitat	1.1.1 Biodiversity Policy and Priorities	638,739	537,049	564,003	714,297	841,944	3,296,032
	1.1.2 Species at Risk	5,516,492	5,572,697	5,246,815	5,382,288	8,187,345	29,905,637
	1.1.3 Migratory Birds	3,345,517	2,496,298	2,123,608	2,428,107	1,889,735	12,283,265
	1.1.4 Wildlife Habitat Conservation	8,083,722	7,122,136	5,040,056	5,063,105	10,836,893	36,145,912
Biodiversity – Wildlife and Habitat Total		17,584,470	15,728,180	12,974,482	13,587,797	21,755,917	81,630,846
Water Resources	1.2.1 Water Quality and Aquatic Ecosystems Health	1,408,660	933,000	1,013,400	1,044,500	879,500	5,279,060
	1.2.2 Water Resource Management and Use	520,000	355,000	414,698	520,000	110,000	1,919,698
Water Resources Total		1,928,660	1,288,000	1,428,098	1,564,500	989,500	7,198,758
Sustainable Ecosystems	1.3.1 Sustainability Reporting and Indicators	120,000	23,500	96,500	-	105,000	345,000
	1.3.2 Ecosystem Assessment and Approaches	495,000	565,502	500,000	695,000	510,000	2,765,502
	1.3.3 Community Engagement	87,000	51,713	53,855	-	-	192,568
	1.3.4 Ecosystems Initiatives	6,624,826	7,219,517	7,273,299	10,959,320	15,372,750	47,449,712
Sustainable Ecosystems Total		7,326,826	7,860,232	7,923,654	11,654,320	15,987,750	50,752,782
Weather and Environmental Services for Canadians	2.1.1 Weather Observations, Forecasts and Warnings	662,368	409,069	13,669,588	1,526,947	1,855,379	18,123,351
	2.1.2 Health-related Meteorological Information	31,455	119,994	337,089	405,943	218,535	1,113,016
	2.1.3 Climate Information, Predictions and Tools	1,032,000	666,857	661,954	660,822	429,975	3,451,608
	2.2.2 Meteorological and Ice Services in Support of Marine Navigation	1,466,902	981,029	240,191	55,515	134,000	2,877,637
Weather and Environmental Services Total		3,192,725	2,176,949	14,908,822	2,649,227	2,637,889	25,565,612
Substances and Waste Management	3.1.1 Substances Management	2,598,641	2,437,366	1,605,706	1,650,900	1,396,095	9,688,708
	3.1.2 Waste Management	-	-	50,000	-	-	50,000
	3.1.3 Marine Pollution	-	-	-	50,000	50,000	100,000
	3.1.4 Environmental Emergencies	-	-	25,000	25,000	25,000	75,000
	3.1.5 Contaminated Sites	-	-	10,000	20,000	10,000	40,000
Substances and Waste Management Total		2,598,641	2,437,366	1,690,706	1,745,900	1,481,095	9,953,708

Umbrella Terms and Conditions	PAA Sub-Programs	2010–2011	2011–2012	2012–2013	2013–2014	2014–2015	Total
Climate Change and Clean Air	3.2.1 Climate Change and Clean Air Regulatory Program	1,967,373	3,707,063	2,160,664	2,152,234	2,166,865	12,154,199
	3.2.2 Climate Change and Clean Air Partnerships	19,139,546	3,760,861	35,294,797	5,849,483	6,917,268	70,961,955
	3.2.3 Environmental Technology	1,475,000		1,575,000	1,500,000	375,000	4,925,000
Climate Change and Clean Air Total		22,581,919	7,467,924	39,030,461	9,501,717	9,459,134	88,041,155
Grand Total		55,213,241	36,958,651	77,956,223	40,703,461	52,311,285	263,142,861

Source: Figures on expenditures from ECCC's Gs&Cs database and financial system, as provided by Corporate Services and Finance Branch, Nov. 17, 2016. Annual UTC expenditures fluctuate somewhat from year to year as some programs sunset and ECCC receives funding for new initiatives.

Table B.2. UTC Expenditures by Branch

Branch	Umbrella Terms and Conditions	2010–2011	2011–2012	2012–2013	2013–2014	2014–2015	Total
Environmental Stewardship	Biodiversity – Wildlife and Habitat	15,536,470	14,235,668	11,694,482	12,442,797	20,845,917	74,755,334
	Climate Change and Clean Air	414,660	475,000	405,000	450,000	405,900	2,150,560
	Substances and Waste Management	454,800	713,991	471,337	393,900	364,095	2,398,123
	Sustainable Ecosystems	602,960	461,713	533,855	575,000	510,000	2,683,528
	Water Resources	20,000	-	10,000	-	-	30,000
ESB Total		17,028,890	15,886,372	13,114,674	13,861,697	22,125,912	82,017,545
International Affairs	Biodiversity – Wildlife and Habitat	300,000	10,012	-	-	-	310,012
	Climate Change and Clean Air	18,609,186	3,756,361	34,888,564	5,433,678	6,582,812	69,270,601
	Water Resources	500,000	355,000	404,698	500,000	-	1,759,698
IAB Total		19,409,186	4,121,373	35,293,262	5,933,678	6,582,812	71,340,311
Meteorological Service of Canada	Climate Change and Clean Air	35,000	89,856	89,759	-	-	214,615
	Water Resources	-	-	-	20,000	110,000	130,000
	Weather and Environmental Services for Canadians	1,466,902	981,029	13,890,058	1,668,284	1,961,379	19,967,652
MSC Total		1,501,902	1,070,885	13,979,817	1,688,284	2,071,379	20,312,267
Regional Director General Offices	Water Resources	20,000	-	-	-	-	20,000
	Climate Change and Clean Air	95,000	-	75,000	-	75,000	245,000
	Sustainable Ecosystems	6,643,866	7,235,517	7,273,299	10,944,320	15,312,750	47,409,752
RDGO Total		6,758,866	7,235,517	7,348,299	10,944,320	15,387,750	47,674,752
Science and Technology	Biodiversity – Wildlife and Habitat	1,748,000	1,482,500	1,272,500	1,145,000	910,000	6,558,000
	Climate Change and Clean Air	3,033,073	3,142,207	3,472,138	3,518,039	2,295,421	15,460,878
	Substances and Waste Management	853,841	963,375	719,369	752,000	587,000	3,875,585
	Sustainable Ecosystems	60,000	149,502	95,000	135,000	135,000	574,502
	Water Resources	1,388,660	933,000	1,013,400	1,044,500	879,500	5,259,060
	Weather and Environmental Services for Canadians	1,725,823	1,195,920	1,018,764	980,943	676,510	5,597,960

Branch	Umbrella Terms and Conditions	2010–2011	2011–2012	2012–2013	2013–2014	2014–2015	Total
STB Total		8,809,397	7,866,504	7,591,171	7,575,482	5,483,431	37,325,985
Strategic Policy	Biodiversity – Wildlife and Habitat	-	-	7,500	-	-	7,500
	Climate Change and Clean Air	395,000	4,500	100,000	100,000	100,000	699,500
	Sustainable Ecosystems	20,000	13,500	21,500	-	30,000	85,000
	Substances and Waste Management	1,290,000	760,000	500,000	600,000	530,000	3,680,000
SPB Total		1,705,000	778,000	629,000	700,000	660,000	4,472,000
Grand Total		55,213,241	36,958,651	77,956,223	40,703,461	52,311,285	263,142,861

Source: Figures on expenditures from ECCC's Gs&Cs database and financial system, as provided by Corporate Services and Finance Branch, Nov. 17, 2016.

ANNEX C – UTC Expected Results

1. Contributions in support of Biodiversity – Wildlife and Habitat

- Individuals and organizations are increasingly engaged in priority activities related to the conservation of wildlife, in particular migratory birds and species at risk.
- Increased Aboriginal participation in wildlife and habitat conservation.
- New knowledge and data produced by collaborating organizations contribute to the conservation of migratory birds, species at risk and their habitat.
- Priority habitats for migratory birds and species at risk are conserved by partners through stewardship and protection.
- Factors limiting priority species at risk and migratory bird populations are reduced by partners.
- Increased collaboration within Canadian and international research and policy communities related to Environment Canada's biodiversity priorities.
- Compliance with the requirements of the Agreement on International Humane Trapping Standards.

2. Contributions in support of Water Resources

- New knowledge and data produced by collaborating organizations contribute to the conservation and restoration of water resources and aquatic ecosystems.
- Increased public access to scientific information related to the conservation and restoration of water resources and aquatic ecosystems.
- Increased collaboration within research and policy communities related to the conservation and restoration of water resources and aquatic ecosystems.

3. Contributions in support of Sustainable Ecosystems

- Engagement of governments, citizens and stakeholders in the development and implementation of ecosystem-based management plans as well as in ecosystem governance processes.
- Implementation of environmental remediation, protection and conservation projects required to meet the goals and objectives identified in ecosystem-based management plans or to achieve ecosystem objectives.
- Participation of individuals and organizations in activities contributing to the achievement of goals and objectives identified in ecosystem-based management plans or to achieve ecosystem objectives.
- New knowledge and data produced by collaborating organizations contribute to the management and sustainability of Canadian ecosystems.

4. Contributions in support of Weather and Environmental Services for Canadians

- New knowledge and data produced by collaborating organizations contribute to improved accuracy and/or quality of weather, climate and air quality information available to Canadians.
- Increased awareness and use of meteorological information, products and services by the Canadian public and/or by specific target audiences.
- Increased access to learning materials and opportunities for the Canadian meteorological community.
- Maintained or increased collaboration within the meteorological community in Canada and internationally.

- Canada's interests and priorities with respect to atmospheric and oceanographic science are addressed by international institutions.
- Access to foreign meteorological observations and other related products and data.

5. Contributions in support of Substances and Waste Management

- New knowledge and data produced by collaborating organizations contribute to the management of harmful substances and waste.
- Increased participation of civil society in environmental public policy decision processes.
- Increased collaboration between federal, provincial and territorial governments to protect Canada's environment.

6. Contributions in support of Climate Change and Clean Air

- New knowledge and data produced by collaboration organizations contribute to improved air quality and/or reduced greenhouse gas emissions.
- Verification of environmental claims of Canadian technologies.
- Mentoring services are available to small and medium-sized enterprises producing environmental technologies.
- Engagement of international organizations that promote the reduction of emissions of air pollutants and/or greenhouse gases.
- Engagement of partners, in particular the Canadian private sector, in projects that advance the role of clean technology in addressing emissions of air pollutants and/or greenhouse gases.
- Canada's environmental interests and priorities are addressed by international institutions.
- New information and analysis supporting the development of policy on sustainable development and effective governance of environmental issues in Canada and internationally.
- Increased public access to information and research findings pertaining to sustainable development and environmental governance.

ANNEX D – Evaluations of Individual UTC Gs&Cs Programs by PAA Element

Umbrella Terms and Conditions	PAA Sub-Programs	2010–2011	2011–2012	2012–2013	2013–2014	2014–2015	2015–2016
Biodiversity – Wildlife and Habitat	1.1.1 Biodiversity Policy and Priorities			Evaluation of Biodiversity Policy and Priorities			
	1.1.2 Species at Risk			Evaluation of Programs and Activities in Support of the Species at Risk Act			
	1.1.3 Migratory Birds				Horizontal Evaluation of the Migratory Birds Federal Interlocutor's Contribution Program (led by Indigenous and Northern Affairs Canada)		
	1.1.4 Wildlife Habitat Conservation ³⁴	Evaluation of the Wildlife Habitat Canada Conservation Stamp Program				Evaluation of the Protected Areas Program	
Water Resources	1.2.1 Water Quality and Aquatic Ecosystems Health						
	1.2.2 Water Resource Management and Use					Evaluation of Water Resource Management and Use	
Sustainable Ecosystems	1.3.1 Sustainability Reporting and Indicators						
	1.3.2 Ecosystem Assessment and Approaches						
	1.3.3 Community Engagement					Evaluation of the EcoAction Community Funding Program	

³⁴ As of 2015–2016, this sub-program has been split into 1.1.4 Habitat Conservation Partnerships and 1.1.5 Protected Areas.

	1.3.4 Ecosystems Initiatives ³⁵	Evaluation of Freshwater Programs under the Action Plan for Clean Water					
Weather and Environmental Services for Canadians	2.1.1 Weather Observations, Forecasts and Warnings		Horizontal Summative Evaluation of GOC's Investment in the 2010 Olympic and Paralympic Winter Games (led by Canadian Heritage)				Evaluation of the Weather Observations, Forecasts and Warnings
	2.1.2 Health-related Meteorological Information	Evaluation of the National Air Quality Health Index Program					
	2.1.3 Climate Information, Predictions and Tools						Evaluation of Canada's Clean Air Regulatory Agenda
	2.2.2 Meteorological and Ice Services in Support of Marine Navigation					Evaluation of Canada's Provision of Meteorological Warning Services for Defined Regions of the Arctic Ocean	
Substances and Waste Management	3.1.1 Substances Management					Horizontal Evaluation of the Chemicals Management Plan (led by Health Canada)	
	3.1.2 Waste Management		Evaluation of Waste Reduction and Management				
	3.1.3 Marine Pollution		Evaluation of the Health of the Oceans Initiative (led by the Department of Fisheries and Oceans)				
	3.1.4 Environmental Emergencies						

³⁵ As of 2015–2016, this sub-program has been split into five other Sub-programs: 1.3.4 Great Lakes; 1.3.5 St. Lawrence; 1.3.6 Lake Simcoe/ SE Georgian Bay; 1.3.7 Lake Winnipeg; and 1.3.8 Ecosystems Partnerships.

	3.1.5 Contaminated Sites				Evaluation of the Northern Contaminants Program and Northern Scientific Training Program (led by Indigenous and Northern Affairs Canada)		
Climate Change and Clean Air	3.2.1 Climate Change and Clean Air Regulatory Program		Evaluation of the National Vehicle Scrappage Program Evaluation of the Security and Prosperity Partnership of North America Pilot Project on Reducing Emissions	Evaluation of the Transportation Sector Emissions Sub-sub-activity		Horizontal Evaluation of the Next General of Clean Transportation Initiatives (led by Transport Canada)	Evaluation of Canada's Clean Air Regulatory Agenda
	3.2.2 Climate Change and Clean Air Partnerships			Evaluation of Canada's participation in the Commission for Environmental Cooperation Evaluation of Environment Canada's Activities in Support of the Montreal Protocol and Multilateral Fund			Evaluation of the Clean Air Agenda's International Actions Theme
	3.2.3 Environmental Technology						Evaluation of Environmental Technology

ANNEX E – Details on Evaluation Methodology

The research methods³⁶ utilized to collect evidence for the evaluation are described below.

Document Review

Documentary evidence consisted primarily of documentation that spoke to the intent, design and policy rationale for the UTCs. The documents reviewed included departmental documents describing the UTCs (e.g., Terms and Conditions for each umbrella authority, Guide to Grants and Contributions at ECCC, ECCC Departmental Action Plan for Gs&Cs Reform), federal government documents (e.g., Action Plan to Reform the Administration of Grant and Contribution Programs), and previous audits and evaluations (i.e., a 2013 internal audit of Gs&Cs and a 2009 evaluation of ECCC's former class Gs&Cs). Findings from the documents were captured in a standard template. The document review provided insights regarding evaluation questions related to the relevance, design and efficiency of the UTCs.

Administrative Data and File Review

The Gs&Cs database developed and implemented by ECCC's Corporate Services and Finance Branch to monitor the distribution of funding agreements under the UTCs currently contains administrative data collected as part of the overall management of the UTCs. This data includes the date of project approval; the project's stated purpose at the time of funding; the name of the umbrella authority; the name of the responsible ECCC manager; the region; and the overall funding allocation. As such, the information was used to provide key descriptive information on the UTCs, including expenditures by program (see Annex B).

The Gs&Cs database is limited to the stated *intended* goals of the agreements.³⁷ In order to assess the degree to which intended project goals were achieved, the evaluation also examined a sample of 85 project files. The file review sample was selected from a total of 635 projects completed in the timeframe from 2010–2011 to 2014–2015. The sample was stratified by relevant factors such as fiscal year when funding began, dollar value of the contribution and type of funding recipient, and it included a larger number of projects for the most heavily used UTC on Biodiversity – Wildlife and Habitat.

The distribution of the 85 project files across the six UTCs is as follows:

- Biodiversity – Wildlife and Habitat (n=32)
- Water Resources (n=9)
- Sustainable Ecosystems (n=10)
- Weather and Environmental Services for Canadians (n=11)
- Substances and Waste Management (n=13)
- Climate Change and Clean Air (n=10)

Data from the files were collected using a standard file review template. Key documents reviewed were the contribution agreement and the final report for each project. The primary focus of the file review was to assess the extent to which the projects funded under the UTCs

³⁶ A Data Collection Instruments Technical Appendix, which contains the instruments used for each methodology, is available under separate cover.

³⁷ In addition, it was noted by program staff that although the project purpose/title is included in the database, descriptions sometimes only include a short project title that does not fully explain the project's activities or scope.

met intended project goals within expected timelines, were delivered efficiently (e.g., resources leveraged from project partners), and contributed to the UTC expected results.

Key Informant Interviews

Key informant interviews were used to gather in-depth information related to all of the evaluation questions. A total of 17 key informant interviews were conducted with representatives from the following two groups:

- **Departmental program managers** with experience using one or more of the UTCs (n=15). A representative sample of managers for these interviews was selected utilizing Corporate Services and Finance Branch's Gs&Cs database which contains managers' names. Efforts were made to interview managers who had experience with larger numbers of agreements and/or agreements of a higher dollar value. Of 19 managers invited, 15 were able to participate in an interview. All six UTCs were represented in these interviews.
- Representatives of **Corporate Services and Finance Branch** involved in coordinating the management of the umbrella contributions (n=2). Of three representatives invited, two were available for an interview.

Interviews were undertaken in person in the National Capital Region or over the telephone, depending on the availability and preference of the respondent, using open-ended interview guides (one for each of the above respondent groups). Interview findings were summarized by evaluation question in a template.

Recipient Survey

An online survey of funding recipients³⁸ was conducted to assess a number of evaluation questions related to performance. In particular, the survey assessed recipients' views on ECCC's delivery of the UTCs (e.g., the project application, funding and reporting processes) and the contribution of funded projects to environmental outcomes, both short-term project-level outcomes and UTC expected results.

A total of 493 projects were funded under all six UTCs over the four-year period from 2010–2011 to 2013–2014. For all of these projects, contact information for funding recipients was requested from the responsible ECCC program managers listed in the Gs&Cs database administered by Corporate Services and Finance Branch. Contact information was received for 294 (60%) of these projects. Of the 294 funding recipients invited to participate in the survey, responses were received from 57 recipients³⁹ for a response rate of 19%.

The distribution of the 57 survey respondents across the six UTCs is as follows:

- Biodiversity – Wildlife and Habitat (n=26)

³⁸ Given the targeted nature of many of the funding programs, there are relatively few unfunded applicants. For non-application-based programs, there is no open call for proposals. Rather, recipients with known qualifications are identified in advance and invited to submit requests.

³⁹ Responses were received from an additional 18 funding recipients, but they were determined to be invalid because the projects to which these recipients referred could not be confirmed in the Gs&Cs database as falling under one of the six UTCs. Due to limitations in the online survey programming, it was not possible to present the name of the project of interest to each funding recipient. Instead, each funding recipient in the survey was instructed to refer to their funded project in the timeframe from April 2010 to March 2014. If they received funding for more than one project in this timeframe, they were instructed to refer to their most recent completed project.

- Water Resources (n=5)
- Sustainable Ecosystems (n=2)
- Weather and Environmental Services for Canadians (n=14)
- Substances and Waste Management (n=4)
- Climate Change and Clean Air (n=6)

Due to the small number of respondents, it was not possible to compare the survey responses across the six UTCs. Therefore, the survey results are presented only in aggregate, for the overall sample of 57 funding recipients. Data analysis involved the computation of descriptive statistics for responses to each closed-ended question and a content analysis of responses to open-ended questions.

ANNEX F – Summary of Findings⁴⁰

Relevance

Evaluation Question	Acceptable	Opportunity for Improvement	Attention Required	Unable to Assess	Not Applicable
1. Is there a continued need for ECCC's Umbrella Terms and Conditions (UTCs)?	•				
2. Are the UTCs aligned with federal government priorities?	•				
3. Are the UTCs consistent with federal roles and responsibilities?	•				

Performance

Evaluation Question	Acceptable	Opportunity for Improvement	Attention Required	Unable to Assess	Not Applicable
4. Are the UTCs an appropriate design for ECCC to achieve expected program results and related outcomes?	•				
5. Do the UTCs allow ECCC to undertake activities, deliver products and achieve intended outcomes in an efficient manner?	•				
6. Is performance information being collected and reported for the		•			

⁴⁰ The ratings and their significance are outlined in Table 1 in Section 4.

UTCs?					
<p>7. To what extent have intended outcomes been achieved as a result of the UTCs?</p> <ul style="list-style-type: none"> • Project activities and outcomes • UTC expected results 	•			•	
<p>8. Have there been any unintended (positive or negative) outcomes resulting from the UTCs?</p>					•