MOPAN 2015-16 Assessments

United Nations Environment Programme (UNEP)

Institutional Assessment Report

MOPAN

Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of donor countries with a common interest in assessing the effectiveness of multilateral organisations. Today, MOPAN is made up of 18 donor countries: Australia, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Luxembourg, the Netherlands, Norway, Korea, Spain, Sweden, Switzerland, the United States of America and the United Kingdom. Together, they provide 95% of all development funding to multilateral organisations.

The mission of MOPAN is to support its members in assessing the effectiveness of the multilateral organisations that receive development and humanitarian funding. The Network's assessments are primarily intended to foster learning, and to identify strengths and areas for improvement in the multilateral organisations. Ultimately, the aim is to improve the organisations' contribution to overall greater development and humanitarian results. To that end, MOPAN generates, collects, analyses and presents relevant information on the organisational and development effectiveness of multilateral organisations. The purpose of this knowledge base is to contribute to organisational learning within and among multilateral organisations, their direct clients, partners, and other stakeholders. MOPAN members use the findings for discussions with the organisations and with their partners, and as ways to further build the organisations' capacity to be effective. Network members also use the findings of MOPAN assessments as an input for strategic decision-making about their ways of engaging with the organisations, and as an information source when undertaking individual reviews. One of MOPAN's goals is to reduce the need for bilateral assessments and lighten the burden for multilateral organisations. To that end, MOPAN members are closely involved in identifying which organisations to assess and in designing the scope and methodology of the assessments to ensure critical information needs are met.

MOPAN 3.0 — A reshaped assessment approach

MOPAN carries out assessments of multilateral organisations based on criteria agreed by MOPAN members. Its approach has evolved over the years. The 2015-16 cycle of assessments uses a new methodology, MOPAN 3.0. The assessments are based on a review of documents of multilateral organisations, a survey of clients and partners in-country, and interviews and consultations at organisation headquarters and in regional offices. The assessments provide a snapshot of four dimensions of organisational effectiveness (strategic management, operational management, relationship management and performance management), and also cover a fifth aspect, development effectiveness (results). Under MOPAN 3.0, the Network is assessing more organisations concurrently than previously, collecting data from more partner countries, and widening the range of organisations assessed. Due to the diversity of the organisations' mandates and structures, MOPAN does not compare or rank them.

MOPAN assessed 12 multilateral organisations in the 2015-16 cycle. They are the African Development Bank (AfDB); Gavi; the Global Fund to Fight Aids, Tuberculosis and Malaria (The Global Fund); the Inter-American Development Bank (IDB); the International Labour Organization (ILO); the Joint United Nations Programme on HIV/AIDS (UNAIDS); the United Nations Development Programme (UNDP): the United Nations Environment Programme UNEP); UN-Habitat; the United Nations Children's Fund (UNICEF); the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA); and the World Bank.

Acknowledgements

We would like to thank all participants in the MOPAN 2015-16 assessment of UNEP. UNEP's senior management and staff made valuable contributions throughout the assessment, in particular in relation to the document review and headquarters interview processes, and they provided lists of their direct partners and co-sponsors to be surveyed. Survey respondents contributed useful insights and time to respond to the survey. The MOPAN Institutional Leads, Finland and Sweden, represented MOPAN in this assessment, liaising with UNEP throughout the assessment and reporting process. MOPAN members provided the MOPAN Country Facilitators who oversaw the process in the partner countries where the survey took place.

Roles of authors and the MOPAN Secretariat

The MOPAN Secretariat, led by Björn Gillsäter (until early May 2016) and Chantal Verger (since then), worked in close co-operation with the MOPAN Technical Working Group and IOD PARC on all methodological aspects. Together they developed the Key Performance Indicators (KPIs) and micro-indicators (MIs), designed the survey and its methodology, and defined the approach to the document review. The MOPAN Secretariat drew up lists of survey respondents with the help of MOPAN members and the multilateral organisations being assessed, and approved the final survey questionnaire. IOD PARC carried out the survey in partnership with Ipsos mori. IOD PARC also analysed the survey, carried out the document reviews, conducted the interviews, analysed the data and drafted the reports. The MOPAN Secretariat oversaw the design, structure, tone and content of the reports, liaising with MOPAN's Institutional Leads and the focal points of the multilateral organisations. Jolanda Profos from the MOPAN Secretariat provided the oversight for this UNEP report.

IOD PARC is an independent consultancy company specialising in performance assessment and managing change in the field of international development. Through this blended expertise IOD PARC helps organisations, partnerships and networks identify the needs, chart the journey and deliver improved performance to achieve greater impact.

Website: **http://www.iodparc.com**

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Acronyms and abbreviations

CCA	Common Country Assessments
CPR	Committee of Permanent Representatives
DCPI	Division of Communications and Public Information
DELC	Division of Environmental Law and Conventions
DEPI	Division of Environmental Policy Implementation
DTIE	Division of Technology, Industry and Economics
DEWA	Division of Early Warning and Assessment
ECA	Economic Commission for Africa
GEF	Global Environment Facility
INGO	International nongovernmental organisation
IPSAS	International Public Sector Accounting Standards
KPI	Key Performance Indicator
MEA	Multilateral environmental agreement
MI	Micro-indicator
MOPAN	Multilateral Organisation Performance Assessment Network
MTS	Medium-term strategy
NGO	Nongovernmental organisation
OIOS	Office of Internal Oversight Services
PEI	Poverty-Environmental Initiative
QCPR	Quadrennial Comprehensive Policy Review
RBM	Results-based management
RCM	Regional Coordination Mechanism
SDG	Sustainable Development Goal
SGB	Secretariat of Governing Bodies
SWAP	System-wide action plan
UN	United Nations
UNCT	United Nations Country Team
UNDA	United Nations Development Account
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNEA	United Nations Environment Assembly
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Programme
UNON	United Nations Office at Nairobi
UNSAS	United Nations System Accounting Standards
VISC	Voluntary indicative scale of contributions

Executive summary

This institutional assessment of the United Nations Environment Programme (UNEP) covers the period from 2014 to mid-2016. Applying the MOPAN 3.0 methodology, the assessment considers organisational systems, practices and behaviours, as well as the results UNEP achieves. The assessment considers five performance areas: four relate to organisational effectiveness (strategic management, operational management, relationship management and performance management) and the fifth relates to development effectiveness (results). It assesses performance against a framework of key performance indicators and associated micro-indicators that comprise the standards that characterise an effective multilateral organisation. The assessment also provides an overview of its trajectory of performance improvement. UNEP was last assessed by MOPAN in 2011.

Context

UNEP

- Is mandated by the UN General Assembly to promote international co-operation in the field of the environment.

- Is governed by the UN Environment Assembly (UNEA) and its operations are led by its Executive Office at its headquarters in Nairobi, Kenya.

- Has a medium-term strategy (2014-17) set within a longer-term vision (Vision 2030) that speaks to its critical normative (growing in significance with the Sustainable Development Goals) and operational roles.

- Provides access to timely, substantiated knowledge about the environment and emerging issues for informed decision making in the focus areas of climate change; disasters and conflicts; ecosystem management; environmental governance; chemicals and waste; resource efficiency and environment under review.

- Is funded predominantly through earmarked contributions. Since Rio+20, there has been a commitment to increase UNEP's non-earmarked funding.

- Introduced a New Funding Strategy in 2014 to consolidate resource mobilisation and developed proposals on strengthening its regional presence.

Organisation at a glance

- Established 1972
- Expenditure: USD 796m (2015)
- Active globally
- Over 900 staff
- Operates through:
  - Nairobi headquarters
  - 7 regional offices
  - 5 sub-regional offices
  - 5 country offices
  - 3 liaison offices

Overall performance

The overall conclusion of the 2016 MOPAN assessment is that while there are some areas where performance can be improved, UNEP meets the requirements of an effective multilateral organisation. UNEP shows continued strength in terms of being a global authority on environmental issues and providing a robust evidence base for advocacy and policy dialogue. Its organisational architecture is aligned to the organisation's mandate and comparative advantages, especially in relation to global normative frameworks and leadership on environmental issues. It has a sound operational model and has in place the appropriate policies, processes and procedures that are expected of a well-functioning multilateral organisation, although greater use of performance data and lessons learned from past interventions would strengthen planning outcomes. It has improved the way it integrates cross-cutting issues into operations and project/ programme design processes, although further strengthening is needed.

UNEP is making a strong contribution to global advocacy on environmental issues including in advancing normative frameworks through the management and strategic integration of work on multilateral environmental agreements. Overall, UNEP has achieved a solid level of performance in achieving stated

programme objectives and obtaining expected outputs. However evidence of its results at the project level is somewhat mixed, and evidence of results on cross-cutting outcomes is limited.

On the whole, UNEP's interventions for countries and at the country level are assessed as generally positive, and they appear to be aligned with member needs and priorities. UNEP also leverages effective partnerships and catalyses resources to deliver results at the national level. However, alignment and integration of its interventions with the work of other UN agencies, to make best use of its comparative advantage, remains a work in progress. The organisation is strengthening its regional presence so it can better align its strategic planning and programme of work with member state needs and priorities.

Key strengths and areas for improvement

Key strengths

- **Long-term planning** horizons and results framework provide clear vision and strategic direction.

- **Organisational architecture well aligned** with mandate and comparative advantages, with matrix management system now well embedded.

- **Organisational systems and processes** mostly very good and fit for purpose.

- Good **compliance with audit findings**, and operates in accordance with UN financial regulations.

- Systems in place to integrate **analysis of cross-cutting issues** into operations and project/programme design processes.

- Forms **effective partnerships** that are central to its service delivery model and leverage considerable additional resources.

- **Results-based management** now embraced and being applied across organisation, with training and appropriate guidance manuals and tools in place.

- **Independent evaluation function and quality assurance systems** operate effectively and were well regarded in recent external assessments.

- **Substantial results at the international level;** contributions to advancing normative frameworks on global environment and well received knowledge products that drive global dialogue.

Areas for improvement

- Regional strengthening and changes to delegation of authority framework should further drive decentralisation, but they will need to be **monitored to ensure effectiveness**.

- **Strong gender policy/architecture** now in place, but unclear whether **gender results** are being delivered at the project level.

- Application of **results-based budgeting** still work in progress.

- **Analysis and integration** of broader governance and social justice issues need greater attention.

- **Alignment and integration** with other UN agencies need to be better demonstrated, especially where there is potential overlap at a national level.

- **Partner and capacity analysis** needs improvement at the national level.

- **More emphasis to the monitoring and reporting of project outcomes** to rebalance the current focus on project activities and outputs.

- Greater **use of performance data and lessons learned** from past interventions would strengthen planning outcomes.

- **Post-intervention monitoring and evaluatio**n would substantiate sustainability of outcomes, an aspect that currently lacks clarity.

- **Country-level relevance** of interventions and actual results/benefits delivered to target beneficiaries could be more clearly documented.
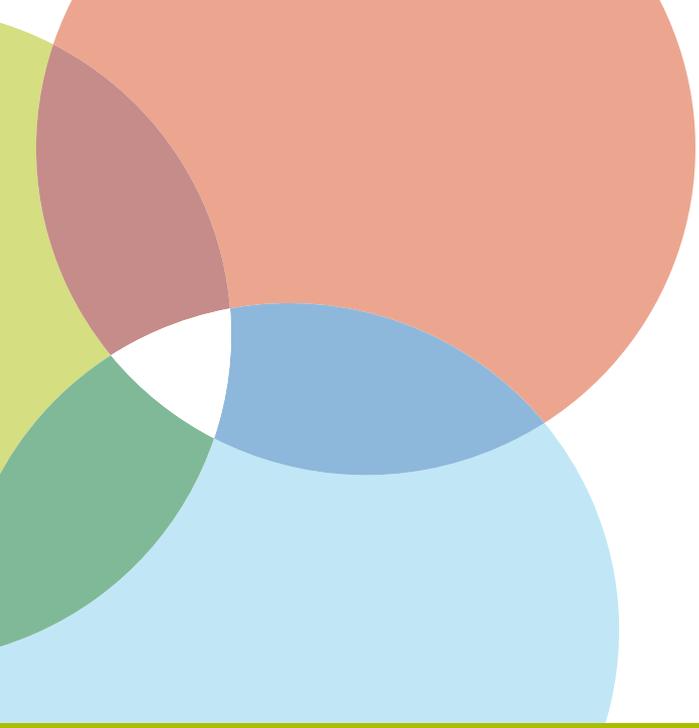
INTRODUCTION

1.1 THE UNITED NATIONS ENVIRONMENT PROGRAMME

Mission and mandate

The United Nations Environment Programme (UNEP) is the lead organisation with a mandate to promote international co-operation in the field of the environment. It co-ordinates environmental matters within the United Nations system. UNEP's mission is to provide leadership and encourage partnership in caring for the environment by inspiring, informing and enabling nations and their citizens to improve their quality of life without compromising that of future generations.

UNEP was established in 1972 by UN General Assembly Resolution 2997, following the UN Conference on the Human Environment in Sweden held that year, to promote the coherent implementation of the environmental dimension of sustainable development within the UN system and to serve as an authoritative advocate for the global environment.

At the 2012 UN Conference on Sustainable Development (Rio+20), world leaders committed to *"strengthening the role of UNEP as the leading global environmental authority that sets the global environmental agenda, that promotes the coherent implementation of the environmental dimension of sustainable development within the UN system and that serves as an authoritative advocate for the global environment".* This reaffirmed and expanded mandate is set out in the Rio+20 outcome document, *The Future We Want.* The UN General Assembly subsequently adopted resolution 67/213 to strengthen and upgrade UNEP including by establishing universal membership of UNEP's governing body.

Demands on UNEP, as the leading global environmental authority, are increasing. UNEP is leading on the environmental dimension of the 2030 Agenda for Sustainable Development. This includes collaborating with United Nations partners on efforts to deliver the environmental goals of the 2030 Agenda at the national, regional and global levels, and taking a secretariat role for a ten-year framework of programmes on sustainable consumption and production patterns.

In its role of promoting and facilitating sound environmental management for sustainable development, UNEP hosts the secretariats of a number of multilateral environmental agreements and inter-agency co-ordinating bodies, and is an implementing agency for the Global Environment Facility (GEF).

Governance

UNEP is governed by the UN Environment Assembly (UNEA), which formerly was the Governing Council of UNEP. The first UNEA meeting in 2014 formalised the transformation of the Governing Council into the Assembly. The UNEA meets every two years to make strategic decisions and provide political guidance on global environmental issues. At UNEA-2, its schedule was changed to every odd-numbered year to better balance with related UN processes for programme of work and budget approval. The next UNEA will be held in December 2017 and the following will be in 2019.

UNEP's open-ended Committee of Permanent Representatives (CPR) represents the UN Environment Assembly between the biennial meetings. The Secretariat of Governing Bodies (SGB) is responsible for supporting the UN Environment Assembly and the Committee of Permanent Representatives, which are UNEP's governing bodies. The Executive Office at its headquarters in Nairobi, Kenya, runs UNEP operations.

Organisational structure

UNEP works through five divisions, six regional offices and a regional support office at headquarters, five sub-regional offices, five country offices, and three liaison offices. It also has a network of collaborating

centres of excellence, and hosts various environmental conventions, secretariats and inter-agency co-ordinating bodies.

UNEP has a matrix structure, with seven cross-cutting sub-programmes that are led by its five technical divisions: Communications and Public Information (DCPI); Early Warning and Assessment (DEWA); Environmental Law and Conventions (DELC); Environmental Policy Implementation (DEPI); and Technology, Industry and Economics (DTIE).

UNEP's three liaison offices are located in Addis Ababa, Brussels and New York. These offices liaise with regional bodies such as the African Union, the UN Economic Commission for Africa (ECA) and the European Union, as well as with UN in New York office. UNEP also has a secretariat office in Vienna.

Strategy and services

UNEP has a medium-term strategy set within a longer-term vision (Vision 2030). Its current strategy is for the period 2014-17, and it recently approved a 2018-21 medium-term strategy. Its current biennial programme of work is for the years 2016 and 2017. UNEP has seven cross-cutting thematic priorities:

- *Climate change:* to strengthen the ability of countries to integrate climate change responses into national development processes.

- *Disasters and conflicts:* to minimise threats to human well-being from environmental causes and consequences of natural and man-made disasters.

- *Ecosystem management:* to ensure that countries use a holistic ecosystem approach to promote conservation and sustainable use of resources.

- *Environmental governance:* to ensure that environmental governance and interactions at the country, regional and global levels are strong enough to address environmental priorities.

- *Chemicals and waste:* to minimise the impact of harmful substances and hazardous waste on the environment and people.

- *Resource efficiency:* to encourage the transition to sustainable consumption and production by leading global efforts to ensure natural resources are produced, processed and consumed in a more sustainable way.

- *Environment under review:* to provide access to timely, substantiated knowledge about the environment and emerging issues for informed decision making.

Finances

The Environment Fund is UNEP's main source of funding for implementing its programme of work and medium-term strategy. It pools member states' non-earmarked contributions to UNEP, with a voluntary indicative scale of contributions (VISC) setting out the expected level of contribution from each member. In 2015, however, only 39% of the 193 member states made contributions. In the biennium 2014-15, the Environment Fund constituted just under 20% of UNEP's overall funding.

Contributions from the UN regular budget, including the UN Development Account (UNDA), finance UNEP's core services. UN General Assembly Resolution 2997 of 1972, under which UNEP was founded, committed the UN regular budget to funding the UN Environment Assembly (formerly the Governing Council) and the UNEP Secretariat. Following successive decreases in regular budget contributions to UNEP up until 2013, the organisation's budget was substantially increased for the biennium 2014-15, which meant that the UN regular budget constituted just under 5% of UNEP's overall funding.

Member states, UN bodies, other organisations, non-state actors and individuals provide earmarked contributions to UNEP to fund specific programme activities, services and facilities. This allows member states to target their priority issues by directly funding specific UNEP activities. In biennium 2014-15 these contributions constituted the majority of UNEP's funding. As a Global Environment Facility implementing agency, UNEP's earmarked funding includes that received for Facility projects. Since Rio+20 there has been a commitment to increase UNEP's non-earmarked funding in order to make efficiency gains.

Organisational change initiatives
UNEP's internal matrix delivery structure for the thematic sub-programmes was introduced in 2009. UNEP published a new funding strategy in 2014 to consolidate resource mobilisation, with a focus on partnerships, co-financing and strengthening the regionalised approach to resource mobilisation.

In 2015, UNEP published *Contributing to the Future We Want*, a paper that sets out how UNEP will become more relevant and influential in geographic regions. This has been followed in 2016 by a new delegation of authority policy and framework.

1.2 THE ASSESSMENT PROCESS

Assessment framework
This MOPAN 3.0 assessment covers the period from 2014 to mid-2016. It addresses organisational systems, practices and behaviours, as well as results achieved during the relevant period of the 2014-17 Strategic Plan. The assessment focuses on five performance areas. The first four performance areas - relating to organisational effectiveness – each have two Key Performance Indicators (KPIs). The fifth performance area (results) relates to development and humanitarian effectiveness and is comprised of four KPIs.

Each KPI is based on a set of micro-indicators (MIs) that, when combined, enable assessment against the relevant KPI. The full set of KPIs and MIs is available in Annex 1.

Table 1: Performance Areas and Key Performance Indicators

Performance Area	KPI	
Strategic Management	**KPI 1:**	Organisational architecture and financial framework enable mandate implementation and achievement of expected results
	KPI 2:	Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels
Operational Management	**KPI 3:**	Operating model and human/financial resources support relevance and agility
	KPI 4:	Organisational systems are cost- and value-conscious and enable financial transparency/accountability
Relationship Management	**KPI 5:**	Operational planning and intervention support tools support relevance and agility (within partnerships)
	KPI 6:	Working in coherent partnerships directed at leveraging/ ensuring relevance and catalytic use of resources
Performance Management	**KPI 7:**	Strong and transparent results focus, explicitly geared to function
	KPI 8:	Evidence based planning and programming applied
Results	**KPI 9:**	Achievement of development and humanitarian objectives and results - e.g. at the institutional/corporate-wide level and regional/country level, with results contributing to normative and cross-cutting goals
	KPI 10:	Relevance of interventions to the needs and priorities of partner countries and beneficiaries
	KPI 11:	Results delivered efficiently
	KPI 12:	Sustainability of results

Lines of evidence

Four lines of evidence have been used in the assessment: a document review, a survey, interviews and consultations. These evidence lines have been collected and analysed in a sequenced approach, with each layer of evidence generated through the sequential assessment process informed by, and building on, the previous one. See Annex 2 for a list of documents analysed as part of the UNEP assessment and Annex 3 for a process map of the assessment. The full methodology for the MOPAN 3.0 assessment process is available at http://www.mopanonline.org/ourwork/ourapproachmopan30/.

The following sequence was applied:

● The assessment began with the collection and analysis of 64 documents. These included 17 independent evaluations, the total available for UNEP. An interim version of the document review was shared with UNEP. It set out the data extracted against the indicator framework and recorded an assessment of confidence in the evidence for each of the MIs. UNEP provided feedback and further documentation to enable finalisation of the document review, which was completed in September 2016.

● An online survey was conducted to gather both perception data and an understanding of practice from a diverse set of well-informed partners of UNEP. The survey generated 124 responses drawn from 16 countries (Afghanistan, Brazil, Burkina Faso, Colombia, Haiti, India, Iraq, Liberia, Moldova, Mozambique, Nepal, Nigeria, Solomon Islands, Somalia, Tajikistan, Vietnam) including from donor and national government representatives, UN agencies and INGOs/NGOs. An analysis of both the quantitative and qualitative data has informed the assessment. See Annex 4 for results of the Partner Survey.

● Interviews and consultations were carried out at the UNEP headquarters in Nairobi with 38 UNEP staff members, ensuring coverage of all the main parts of the organisation. The interviews were carried out in a semi-structured way, guided by the findings and evidence confidence levels of the interim document review.

● Discussions were held with the Institutional Leads of the MOPAN 3.0 UNEP assessment, to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

Analysis took place against the MOPAN 3.0 scoring and rating system, which assessed data from all evidence lines combined. These scores and the evidence that underpins them form the basis for this report. Annex 1 presents the detailed scoring and rating system as applied to UNEP.

A limitation faced by the assessment was the limited evaluative evidence available to assess the changes underway in UNEPs institutional systems and processes. This assessment report itself therefore represents only a snapshot view of UNEP at a particular point in time.

1.3 STRUCTURE OF THE REPORT

This report has three sections. Section 1 introduces UNEP and the MOPAN 3.0 assessment process. Section 2 presents the main findings of the assessment in relation to each performance area. Section 3 presents the conclusions of the assessment.
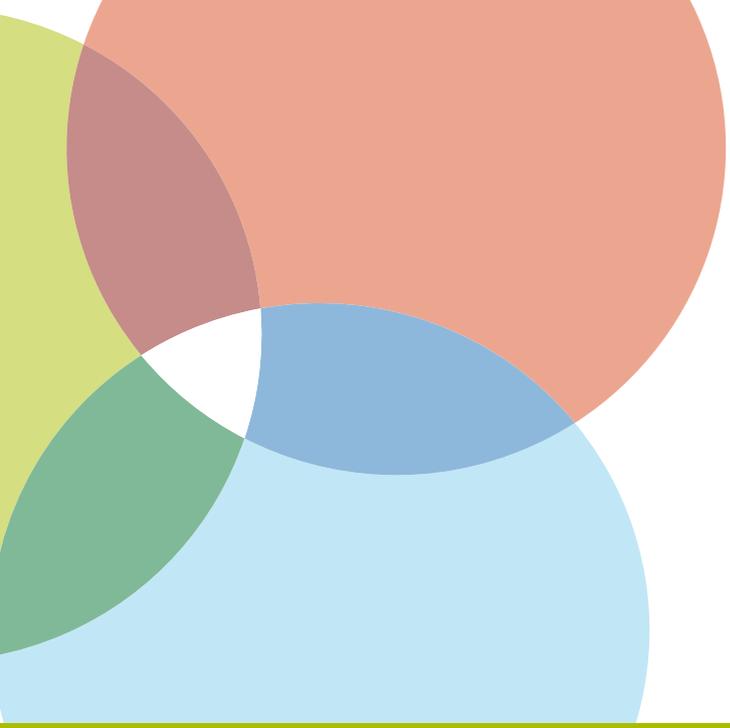
2. ASSESSMENT OF PERFORMANCE

2.1 Organisational effectiveness

PERFORMANCE AREA: STRATEGIC MANAGEMENT
Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

> **Strategic management:** UNEP has in place a long-term vision (Vision 2030) and results framework, which provide a clear strategic direction. Its organisational architecture is well aligned with its mandate and comparative advantage, and UNEP has made progress in terms of more strongly integrating cross-cutting issues into its work. UNEP has improved its financial framework but significant challenges remain, including the management of uncertain future budget scenarios and UNEP's dependency on voluntary contributions.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

KPI 1: Organisational architecture and financial framework enables mandate implementation and achievement of expected results

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels

KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results

UNEP's performance against this KPI is rated as **highly satisfactory**.

Strategy and results framework continue to sharpen to reflect the normative and programmatic elements embedded within a long-term vision: UNEP is the lead UN agency on environmental issues, with a clear mandate to lead and co-ordinate action on environmental matters including the normative frameworks established by multilateral environment agreements. UNEP co-ordinates and integrates the priorities of multilateral environmental agreements, and the work of multilateral environmental agreement Secretariats, with other parts of the UNEP organisation.

The new *Medium Term Strategy 2018-2021* sets out a long-term vision and results framework, targeting a 2030 outcomes horizon. This longer-term vision was less explicit in the current strategy (2014-17) and in previous strategies where the definition of results lacked clarity. UNEP's strategic plan supports the implementation of wider normative frameworks, primarily with regards to sustainable development (e.g. the SDGs and Rio+20 commitments) and the environment (e.g. the Bali Strategic Plan for Technology Support and Capacity Building, numerous multilateral environmental agreements, the UN Framework Convention on Climate Change (UNFCC) and the Sustainable Energy for All (SE4All) initiative. The Medium Term Strategy 2014-2017 integrated the multilateral environmental agreements with UNEP's longer-term vision and results delivery.

Organisational architecture strengthened through strategic regional and sub-regional presence: UNEP's organisational architecture is aligned to the organisation's mandate and comparative advantages, especially in relation to global normative frameworks and leadership on environmental issues. UNEP is enhancing its capacity through the strengthening of its strategic regional and sub-regional presence in order to better align its programme of work with the needs and priorities of member states. This should enhance UNEP's capacity to be a more active partner in country-level United Nations Development Assistance Frameworks (UNDAF), in line with the 'One UN' service delivery model. Working through partnerships is a strong focus of UNEP's operating model. At the country level there remains some risk of duplication and overlap with the work of other agencies especially in programming areas such as energy, climate change and disaster risk management. Complementary expertise with other agencies could be more clearly harnessed, and going forward it will be important to distinguish more clearly where UNEP's comparative advantage lies. The System-Wide Framework of Strategies on the Environment developed in 2016 should help to address such challenges, given UNEPs dependence on other UN organisations to co-operate and co-ordinate including at the country level.

UNEP's internal matrix management structure is allowing it to deliver more integrated and effective responses to environmental issues. While the operating structure is acknowledged to be transaction-intensive, senior management and programming staff view it as broadly positive and as enhancing UNEP's performance and effectiveness.

An improving financial framework: UNEP has improved its financial framework. The Environment Fund (non-earmarked funding) – together with the regular budget – support UNEP's core functions. Earmarked funding (typically for specific projects and programmes) is mainly provided through partnership agreements with major donors. A significant increase in the UN Secretariat's regular budget contribution (a quadrupling by 2018 compared to 2013 levels) is a positive development that will help to free up Environment Fund resources for expanding programme activities. Although some funding uncertainty remains, the overall trend in terms of total finance availability (both core and earmarked funding) has been upwards, enabling UNEP to expand its programme of work. This also indicates a measure of donor confidence in UNEP's ability to deliver meaningful results and make substantive progress on key environmental issues.

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels

UNEP's performance against this KPI is rated as **satisfactory**.

A strategic plan centred on environmental sustainability and climate change also includes clear commitment to gender equality: UNEP's strategies and policies reflect its specific environmental mandate. Both the 2014-17 and 2018-21 medium-term strategies show integration of gender considerations and recognition of the importance of addressing gender within UNEP's core mandate. In contrast, the cross-cutting area of good governance — interpreted by MOPAN 3.0 as "peaceful and inclusive societies for sustainable development, reduced inequality, access to justice for all, and effective, accountable and inclusive institutions at all levels" — is not given such explicit attention across UNEP's strategies.

Some aspects of operationalising this commitment are work in progress: UNEP's ability to operationalise its commitment to address these cross-cutting issues and deliver intended results is reflected in its mechanisms, structures, and operational and programming tools, although to varying degrees across the different thematic areas:

- **Environmental governance:** UNEP has a strong commitment to sound environmental governance and it is the key guiding principle underpinning the operational objective for the organisation. Its 2015 Environmental, Social and Economic Sustainability Framework specifically ensures its activities are aligned with UN system-wide environmental principles. UNEP is committed to following United Nations Development Group (UNDG) guidelines on mainstreaming environmental sustainability in country-level planning. Appropriate consideration is given to ensuring projects meet environmental governance best practice and address climate change-related matters. However, UNEP will need to ensure that its national- and regional-level programmatic work in areas such as climate change, energy and disaster risk management align closely with its comparative advantage and the work of other agencies.

- **Gender:** Structures, processes and mechanisms are in place to support the application of a clearly articulated policy and strategy on gender equality. UNEP has made efforts to address concerns regarding the integration of gender into its strategies and sub-programme planning. The new 2014-17 *Policy and Strategy for Gender Equality and the Environment* reflects these efforts. It sets out UNEP's strategic intent and ambition that the gender policy and strategy and the medium-term strategy be *"progressively integrated… during this and coming strategic planning periods until we have a single gender-responsive Medium Term Strategy and corresponding Programme of Work"*. UNEP senior management have made a strong commitment to implement and adhere to the gender policy and partners surveyed made a very positive endorsement of UNEP's performance on gender issues (see Figure 1).

  Adequate internal resources are being devoted to internal gender mainstreaming, with the majority of necessary staff trained. Gender training is also now a mandatory part of the UNEP staff induction programme. However, gender is not yet fully mainstreamed throughout the organisation: For example, there is limited documented evidence of the delivery of gender outcomes at the project level, and project-level resource allocations to support gender-related results remain low.

- **Good governance:** UNEP has a clear safeguards policy framework in place and adheres to UN-wide principles on human rights and the rights of indigenous people. However, a set of broader social governance and justice issues do not feature as prominently as other cross-cutting issues in UNEP strategy documents and in the project approval/evaluation processes. These issues also are rarely explicitly addressed. Documented evidence of implementation at the project level beyond environmental governance is lacking. UNEP's external partners were less aware of UNEP's governance-related policy guidance than they were of its policy and/or guidance regarding other cross-cutting issues (see Figure 1).

Figure 1: **Partner Survey Analysis – Strategic Management**

An illustration of aggregated partner views from across the countries

Quantitative analysis

It promotes gender equality in all areas of its work.

It promotes environmental sustainability and addresses climate change in all relevant areas of its work.

It promotes the principles of good governance in all relevant areas of its work (for example, reduced inequality, access to justice for all, impartial public administration and inclusive at all levels).

12	28	15
36	39	32
26	17	16
5	4	6
1	1	1
2		

Total response: **82**   Total response: **89**   Total response: **70**

■ Excellent ■ Very good ■ Fairly good ■ Fairly poor ■ Very poor ■ Extremely poor

Qualitative analysis – illustrative quotes

"UNEP's programmes in Haiti are well designed, well funded and well managed. Their solutions are targeted specifically for the communities they are meant to serve."

"It's clear UNEP includes gender equality and women's empowerment as an integral part of all its work."

PERFORMANCE AREA: OPERATIONAL MANAGEMENT
Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

Operational management: UNEP's operating model and human and financial resource systems adequately support relevance and agility. Policies and procedures guiding operations are geared towards supporting resource allocation that is in line with strategic priorities. UNEP's systems are reasonably robust and transparent, with clear lines of accountability, and its organisational systems and processes are on the whole very good and fit for purpose. UNEP can further strengthen its operational management by decentralising more decision-making power and delegating more authority. It can also usefully look at ways to increase the consistency and transparency of resource mobilisation efforts across the organisation.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

KPI 3: Operating model and human/financial resources support relevance and agility

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability

KPI 3: Operating model and human/financial resources support relevance and agility

UNEP's performance against this KPI is rated as **satisfactory**.

Action to operationalise a decentralised approach to programming and bring greater coherence to resource mobilisation and deployment: UNEP has made efforts to respond to prior concerns that the level of delegated authority was not in sync with decentralised decision making, decision-making roles were not clearly defined, and resource mobilisation efforts lacked in coherence. UNEP documents such as the 2014-17 medium-term strategy, and 2014-15 programme of work and the 2014 UNEP funding strategy show that particular efforts have been made since 2010. These include efforts to consolidate resource mobilisation; focus on partnerships and co-financing; consider in-kind contributions; and strengthen the regionalised approach to resource mobilisation. However, a clear and consistent approach to resource mobilisation, particularly through robust resource mobilisation strategies at the sub-programme level, is a work in progress.

UNEP has focused strongly in the current period on results-oriented allocation of human and financial resources and on aligning them with its decentralised approach for programming. In 2016 UNEP adopted three new frameworks to guide internal operational decision-making processes. These address its regional strategic presence, accountability and the delegation of authority. The frameworks aim to enhance operational efficiency, coherence and agility through clarifying the respective roles and responsibilities of staff across the organisation, and strengthening decentralised decision making and responsiveness. From the adoption of these measures, greater clarity in terms of respective roles and responsibilities has emerged across the organisation. It is a work in progress and not yet fully achieved.

Some flexibility in the system to respond to changing needs: Resource allocation processes across the organisation are considered reasonably flexible and effective in meeting the changing needs and priorities of the organisation. The system has sufficient flexibility to allow the Executive Director to respond to urgent requests from countries for UNEP services that are not necessarily covered by the medium-term strategy or programme of work. A recent example is how UNEP was able to respond to a need for work to assess the impact of oil spills in the Niger delta.

Investing in human resources: Since 2014 UNEP has allocated more human and financial resources to the evaluation function. It has done so to better measure project and programme results, and to strengthen gender as a thematic area. In combination with mandatory project-level budgeting for evaluations, this has increased the coverage and timeliness of evaluations. To implement the recent Policy and Strategy for Gender Equality and the Environment, UNEP introduced a continuous tailored capacity-development programme. It also made progress towards recruitment of staff with understanding of the gender dimensions of their respective technical areas and the commitment to apply them.

UNEP human resources systems and policies are performance-based and geared towards the achievement of programme results. However, the extent to which actual human resources practice supports organisational relevance, agility and results delivery is not clear. Recruitment processes are lengthy, which can reduce the speed and agility of the organisation. UNEP is part of the UN Secretariat, meaning it is required to adhere to UN recruitment rules and to use of the UN Office at Nairobi as the main service provider for staff recruitment. The pace of recruitment processes are therefore largely outside UNEP's direct control.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability

UNEP's performance against this KPI is rated as **highly satisfactory**.

Effective resource allocation processes: The policies and procedures UNEP has in place support resource allocation in line with strategic priorities. These are reasonably robust and transparent with clear lines of accountability. Processes for screening and approving projects are well established, and projects must have quality assurance clearance before resources are allocated. The survey results indicate a high level of stakeholder satisfaction with the way in which UNEP conducts resource allocation (see Figure 2).

There is some evidence of non-compliance with internal project approval processes, typically where resource allocations for specific projects were approved before mandatory evaluations of interventions were completed. But this was not found to be a common occurrence. Some internal concerns have also been raised about the transparency of Senior Management Team decision making on resource allocation and reallocation, particularly regarding the lack of any documentation outlining the reasoning underpinning resource allocation decisions. Also, UNEP's programme manual does not contain procedures for urgent project approval, which would enable increased transparency of resource allocation decisions.

Resources largely disbursed as planned, and new financial systems to clarify budgets and expenditures: Appropriate procedures and processes are in place to manage over- and under-expenditures. During the 2014-15 biennium there were no significant cases of expenditure variance or project pipeline delays, although there was a slight under-expenditure in the regular budget, and relatively low levels of expenditure for some trust funds. Overall expenditure in 2015 exceeded UNEP's budget, in line with it having higher-than-expected income levels.

UNEP's previous financial system, the United Nations System Accounting Standards (UNSAS), did not provide the clarity needed to see how income, budgets and expenditure were aligned across biennial programmes of work, and therefore to judge the efficiency and effectiveness of budgeting and resource disbursement. However, completion of the transition to a new International Public Sector Accounting Standards system should help to address this issue in the future. UNEP has also experienced some problems in the transition to Umoja, the UN's new administrative system. The Senior Management Team and donors share the view that Umoja will improve the efficiency and transparency of internal budgeting and financial monitoring.

Results-based budgeting is a work in progress: UNEP has introduced a stronger focus on results-based budgeting. The transition remains a work in progress and is likely to take several more years before it is fully embedded. The use of a results-based management approach in the design of the 2018-19 programme of work is an early but significant step. UNEP needs to draw a clearer link between expenditure and actual results achieved, as this is not well documented.

International standards of audit practice: External audit reports certify that UNEP is compliant with International Public Sector Accounting Standards and the financial regulations of the UN, and that audit recommendations have been - or are in the process of being - implemented (high compliance). Appropriate procedures are in place to detect and manage fraud, and issues and concerns raised by both internal and external audits are addressed in an adequate and timely manner.

Figure 2: **Partner Survey Analysis – Operational Management**

An illustration of aggregated partner views from across the countries

Quantitative analysis

| It has sufficient staffing in the sub-region to deliver the results it intends. | Its staff are sufficiently senior/ experienced to work successfully in the sub-region. | Its staff in the sub-region can make the critical strategic or programming decisions which relate to the needs of countries in the sub-region. | It provides reliable information on how much and when financial allocations and disbursement will happen (predictability). | It co-operates with development or humanitarian partners in the sub-region to make sure that financial co-operation is coherent and not fragmented. | It has enough flexible financial resources to enable it to meet the needs it targets through its sub-programmes in the sub-region. |

3		11	12	11	6
26	15	33		27	20
37	37	30	39	22	34
	6		32		
14		10	15	7	9
7	27	4	5	1 1	2
2			3		2
	5				

| Total response: **88** | Total response: **90** | Total response: **88** | Total response: **106** | Total response: **69** | Total response: **73** |

Legend: ● Excellent ● Very good ● Fairly good ● Fairly poor ● Very poor ● Extremely poor

Qualitative quotes

"UNEP staff are making a great effort to establish and build relationships between countries within our region."

"The sub-regional offices don't have sufficient permanent and professional staff to provide support to the member countries if needed."

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT
Engages in inclusive partnerships to support relevance, leverage effective solutions and maximise results in line with Busan Partnership commitments

Relationship management: Partnerships are central to UNEP's intent and practice of service delivery. Partnerships are listed as one of UNEP's core operational principles in its medium-term strategies, and UNEP has a significant number of partnerships operating at the global, regional and national level. Policies, procedures and guidance covering partnerships (and enabling relevance and agility within UNEP's partnering) are in place. Relationship management could be further strengthened by increasing consistency in the effective alignment, engagement and partnering with other UN agencies and multilateral organisations working at the country level; increasing post-project evaluation to enable the sustainability of interventions to be more critically assessed; and, where resources permit, engaging more intensively with partners and target beneficiaries at the design, implementation and evaluation stages of interventions.

--- SCORING COLOUR CODES ---

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

UNEP's performance against this KPI is rated as **satisfactory**.

Clear actions undertaken and/or underway to improve fit with partner country needs: During 2014-15, UNEP established measures to better align its strategic planning and programme of work to the needs and priorities of partner countries. As a result, it has strengthened its regional presence. The increased focus on broadening its geographic representation is a direct response to partner country requests. But as its staff resources are modest, UNEP must manage this process carefully to ensure efficient service delivery at the national level. Working through partnerships, especially with other UN agencies, will continue to be central to these efforts. While UNEP works in partnership with other agencies at the national and sub-regional level, several evaluations have found instances where UNEP works in isolation. Survey results support this finding, as partner responses were somewhat less positive on these aspects (see Figure 3).

Institutional procedures generally support the speed of implementation including measures to streamline financial resource deployment for specific funding types. External stakeholders are very positive about UNEP's agility and flexibility. Internal reporting assessed project implementation and management as criteria showing most improvement in the 2014-15 biennial programme of work.

At the global level, contextual analysis is used to guide programming but it is unclear to what degree country-level contextual analysis is effectively applied in the project design process. There is only limited

documentary evidence of effective partner consultation and of capacity analysis for some projects, in either the design phase and during project implementation, although the programming manual specifically requires these. However, external partners were highly positive about the extent to which UNEP interventions were designed and implemented in alignment with national and regional needs and priorities (see Figure 3).

Appropriate screening and due diligence processes to promote sustainability at the project concept and design stage are in place, and the proportion of UNEP projects that evaluations rated as "sustainable" has improved since 2013. However, there is little evidence on the extent to which interventions actually do deliver sustainable outcomes. As UNEP does not routinely undertake post-project evaluations several years after project completion, there is little evidence against which to determine the long-term sustainability of interventions.

Positive moves on risk management: UNEP has in place strategies, processes and tools to manage risk. For example, UNEP has adopted the UN Enterprise Risk Management and Internal Control Policy. The approach to risk management has been improved under the 2014-17 medium-term strategy (MTS) and 2014-15 programme of work. This includes commitment to approaches at the corporate level, and new procedures and systems for risk management at the project level. The 2014-17 MTS specifically sets out a new project-at-risk system that was launched as an integral element of the Programme Information Management System. Despite these recent efforts to improve risk management, UNEP could make further improvements. Several external assessments have rated UNEP risk management approaches as only partially satisfactory.

Attention to cross-cutting issues in intervention designs: During the past three years UNEP has improved the integration of cross-cutting issues in its intervention designs, particularly gender and environmental sustainability. Its integration of gender into evaluation processes and through the new strategy should foster further improvements. Analysis of governance and social safeguards requires further strengthening. Despite the notable improvement in integrating cross-cutting issues in project design processes, UNEP could demonstrate ongoing monitoring of cross-cutting issues at the implementation level or the delivery of substantive outcomes on these issues.

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

UNEP's performance against this KPI is rated as **highly satisfactory**.

Partnerships are key: Policies, procedures and guidance covering partnerships, and enabling agility within partnerships, are in place, although it is unclear how their effectiveness is measured. Partnerships are central to UNEP's intent, practice of service delivery and normative work. UNEP sees its comparative advantage in its ability to form partnerships. Partnerships are one of UNEP's core operational principles within its medium-term strategies, and the organisation has a significant number of partnerships operating at the global, regional and national levels. Survey respondents considered that UNEP works in ways that are strongly supportive of a partnership approach (see Figure 3).

Partnerships are established on the basis of comparative advantage, and the 2014-17 and 2018-21 medium-term strategies express this clearly. UNEP's own comparative advantages in the relatively crowded space of climate change and energy lack the required sharpness. This risks missed opportunities in terms of not maximising the value that UNEP can bring to selective points of engagement in these areas as well as

the risks of UNEP duplicating and/or overlapping with the work of other agencies. For example, UNEPs ecosystem based adaptation work clearly aligns with UNEPs comparative advantage offering many entry points for UNEPs natural ecosystem and resource management expertise/ knowledge to be applied.

UNEP clearly identifies synergies and leverages resources across partnerships. The matrix management system, and recent efforts to better integrate the work of multilateral environmental agreements with UNEP's strategies and work programmes, have contributed to improved performance in this area, although there are concerns that synergies could be promoted or maximised more.

UNEP does not have an explicit written commitment to the Busan Partnership but it is clear that UNEP does align with the Busan principles, as it uses country systems wherever possible and also provides technical assistance to strengthen the capacity of country systems.

Working with other UN agencies: Since the UN commitment to Delivering as One in 2006, UNEP has engaged with other UN agencies. While there are positive examples of this, the evidence of a broader level of organisational engagement at the country level (as part of its selective role in UNDAFs and other co-ordination frameworks) is limited. This indicates that UNEP, given its mandate and in particular its central role in the climate change and energy areas, could use strategic partnerships with UN agencies to greater effect through its programming and as a producer of policy relevant information for decision makers. UNEP's initiative to increase its regional presence should enhance its ability to better integrate its operations under the One UN umbrella.

Information sharing: UNEP has in place processes and procedures to promote information sharing with partners and to ensure accountability to beneficiaries. Some documents have raised concerns that the level of information sharing is limited in some projects and that insufficient attention is devoted to stakeholder/beneficiary consultation to ensure accountability. Although there is insufficient evidence available to ascertain whether or not these concerns are valid at a broader organisational level, it is safe to say that UNEP can improve its consultation practice in at least some of its partner countries.

Sharing knowledge: Knowledge generation is an strong established feature of UNEP's approach, especially at the global level. UNEP has had a dedicated knowledge management strategy since 2014 and the 2018-20 mid-term strategy advances this with a strong focus on knowledge generation and clear intentions of how knowledge will be shared with the aim of influencing policy making. Organisational performance on knowledge base deployment has been assessed as highly satisfactory. This knowledge capability supports policy dialogue and advocacy, and enhances organisational relevance.

Figure 3: **Partner Survey Analysis – Relationship Management**

An illustration of aggregated partner views from across the countries

Quantitative analysis

It adapts or amends interventions swiftly as the context changes.	Its interventions in the sub-region are based on realistic assessments of national / regional capacities, including government, civil society and other actions.	It prioritises working in synergy / partnerships as part of its business practice.	It shares key information (analysis, budgeting, management, results) with partners on an ongoing basis.	It ensures that its bureaucratic procedures (planning, programming, administrative, monitoring and reporting) are synergised with those of its partners (for example, donors, UN agencies).	It conducts mutual assessments of progress in the country with national/regional partners.

	It adapts or amends	Its interventions	It prioritises	It shares key	It ensures	It conducts mutual
Excellent	4	8	27	16	9	10
Very good	31	38	48	44	38	38
Fairly good	38	30	32	29	38	24
Fairly poor	3	11	6	14	11	5
Very poor	2		1	4	6	2
Extremely poor	1	2	2	3	3	1
Total response:	85	89	116	110	105	80

Legend: ■ Excellent ■ Very good ■ Fairly good ■ Fairly poor ■ Very poor ■ Extremely poor

Qualitative analysis – illustrative quotes

"My sense is UNEP continues to strive to broaden and leverage partnerships, as many offer additional resources and technical capacity for the organisation in achieving its goals and mandate. It has been a rough year, though, with IPSAS and Umoja implementation causing disruptions in the organisation's typical cooperation with partners. I think this will gradually improve. "

"On some projects I am aware of UNEP's bureaucratic precesses have been slow, causing delays in implementation. However, it is unclear at times how much of this is due to overall UN procedures and how much is within UNEP's control."

PERFORMANCE AREA: PERFORMANCE MANAGEMENT
Systems geared to managing and accounting for development and humanitarian results, as well as the use of performance information including evaluation and lesson learning

Performance management: UNEP is clearly embracing results-based management and planning, with strong support and commitment from senior management. Significant progress has been made in embedding an evidenced and results-based management approach, and a systematic approach to use of performance data in programming, supported by appropriate training and guidance manuals/tools. However, current practice has a number of limitations. UNEP has made a substantive improvement in compliance rates in terms of implementing evaluation recommendations, and much clearer levels of accountability for following up and implementing recommended changes.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

KPI 7: Strong and transparent results focus, explicitly geared to function

KPI 8: Evidence-based planning and programming applied

KPI 7: Strong and transparent results focus, explicitly geared to function

UNEP's performance against this KPI is rated as **highly satisfactory**.

Full effects of investments made in results-based management still to be realised: Corporate and programme strategies have a clear results-based logic and focus, and these are linked effectively to UNEP's longer-term vision and target outcomes. While it is recognised (internally and externally) that the full transition to results-based management (RBM) remains a work in progress, substantive progress has been achieved in recent years. Nearly all staff have received RBM training and capacity is being built to move the organisation towards a solid RBM structure and focus, although there are concerns that this training could be better targeted to the most relevant staff. Survey results indicate a strong level of partner satisfaction with UNEP's performance in terms of the organisation's results focus.

UNEP makes efforts to ensure that intended results and targets are evidence-based and logical, yet some independent assessments have indicated room for further improvement. The monitoring and information management systems in place produce useful data about UNEP's performance. The increasing use of causal pathways and outcome maps, and a clear articulation of project-level theories of change, have created a stronger results-based focus in recent years. However, UNEP's reporting on achievements looks mostly at the outputs of its projects, rather than their outcomes. The organisation recognises that it needs to improve this. Since 2010, corporate strategies have been applying an RBM focus, including organisation-wide medium-term strategies and utilising UNEP's programme performance reporting for cross-cutting areas such as gender.

Systems to promote transparent application of performance data in planning and decision making: Performance data has been used in programming decisions. However some concerns were also identified that the absence of end-to-end coverage of project performance may undermine the quality of decision

making, indicating that performance data is not consistently being used as effectively as it could be. UNEP has put in place monitoring systems to try to facilitate the production of useful performance data, although it recognises that improvements in monitoring systems are required and is devoting more attention to improving organisational performance in this area.

KPI 8: Evidence-based planning and programming applied

UNEP's performance against this KPI is rated as **highly satisfactory**.

Independent corporate evaluation function exists and operates effectively: Recent external assessments have rated the quality of independent evaluations conducted by UNEP's Evaluation Office as good to very good. Appropriate evaluation quality assurance systems are in place and operate effectively, although the independence of the Evaluation Office could be further improved by more regular and systemic reporting to governing bodies. While the Evaluation Office has effective autonomy and is delivering quality evaluations, UNEP has not yet created a separate budget line for it, in line with United Nations Evaluation Group (UNEG) guidelines and recommendations. This could also affect its independence.

There is room for improvement in terms of achieving organisational evaluation coverage targets and in reducing the time lags for completing evaluations. During 2014-15, a greater upstream evaluation focus was adopted. Good coverage of corporate and sub-programme strategies was delivered, as were evaluations of cross-cutting issues such as gender. UNEP recognises that the Evaluation Office has had insufficient resources to effectively perform the required evaluation functions, as external assessments have highlighted. Measures have been taken, including additional staff and direct project contributions to evaluations, to increase the resources available for supporting effective and timely evaluations. The recently adopted 2016 evaluation policy supports more selective coverage of evaluations, based on accountability risks and potential learning benefits.

Accountability systems for responses to and use of evaluation recommendations: Systems to track compliance with requirements for evaluation activity are in place. While reported compliance rates suggest there has been some improvement over time, there appears to be room for continued improvement. UNEP programme staff raised concerns that information systems were not adequately user-friendly, and noted the difficulty of accessing information on lessons learned during programme design. All projects must now demonstrate a clear evidence base for proposed interventions, where previously, this was required only for UNEP's Global Environment Facility projects. The majority of partners surveyed were positive on UNEP's ability to use evidence-based planning (see Figure 4).

Systems and processes to address poorly performing projects: The 2014-17 medium-term strategy introduced a project-at-risk system to identify, track and address projects that are not meeting specific dimensions of project performance. Project management procedures around performance tracking are outlined in the programme manual. Measures to address poorly performing projects include higher prioritisation for mid-term evaluation. Progress at a sub-programme level is measured and reported against targets every six months, and progress is presented in the programme performance report.

UNEP could further strengthen its performance management by devoting greater attention to building a more robust data monitoring and analysis system that clearly links and documents interventions to results and contribution to outcomes. UNEP has an opportunity to make more effective use of performance data, placing and achieving a greater emphasis on ensuring that lessons learned are fully incorporated into programming. Strengthening UNEP's knowledge management systems and processes would be important enablers for this progression, as would creating a separate budget line for the Evaluation Office.

Figure 4: **Partner Survey Analysis – Performance Management**

An illustration of aggregated partner views from across the countries

Quantitative analysis

It prioritises a results-based approach – for example when engaging in policy dialogue, or planning and implementing interventions.	It insists on the use of robust performance data when designing or implementing interventions.	Where interventions in the sub-region are required to be evaluated, it follows through to ensure evaluations are carried out.	All new intervention designs of UNEP include a statement of the evidence base (what has been learned from past interventions).	It consistently identifies which interventions are under-performing.	It follows up any evaluation recommendations systematically for national or other partners.
19	13	17	15	11	14
62	57	41	40	42	48
24	31	32	32	32	19
2 2	7	5	5	10	10
	2	1 1	1	2	2

| Total response: **109** | Total response: **110** | Total response: **97** | Total response: **93** | Total response: **97** | Total response: **93** |

■ Excellent   ■ Very good   ■ Fairly good   ■ Fairly poor   ■ Very poor   ■ Extremely poor

Qualitative analysis – illustrative quotes

"For the programmes where I know UNEP is involved, it has followed up well on evaluations and tries to learn from other UNEP programmes that have a similar set up."

"One gets the sense that UNEP is not nimble enough to quickly shut down programmes that are not delivering results and move resources to other programmes that are. The problem seems to be less about knowing which activities are productive and which aren't and more about the rigidity in its UN bureaucratic structures and rules that prevent it from shedding or shifting staff and quickly hiring new ones."

Organisational Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

PERFORMANCE AREA: STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.

KPI 1: Organisational architecture and financial framework	MI 1.1	MI 1.2	MI 1.3	MI 1.4
KPI 2: Implementation of cross-cutting issues	MI 2.1	MI 2.2	MI 2.3	

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability.

KPI 3: Operating model and human/financial resources	MI 3.1	MI 3.2	MI 3.3	MI 3.4		
KPI 4: Financial transparency/ accountability	MI 4.1	MI 4.2	MI 4.3	MI 4.4	MI 4.5	MI 4.6

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, leverage effective solutions and maximise results (in line with the Busan Partnership commitments).

KPI 5: Planning and tools support relevance and agility	MI 5.1	MI 5.2	MI 5.3	MI 5.4	MI 5.5	MI 5.6	MI 5.7		
KPI 6: Leveraging/ensuring catalytic use of resources	MI 6.1	MI 6.2	MI 6.3	MI 6.4	MI 6.5	MI 6.6	MI 6.7	MI 6.8	MI 6.9

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results, and the use of performance information, including evaluation and lesson learning.

KPI 7: Strong and transparent results focus	MI 7.1	MI 7.2	MI 7.3	MI 7.4	MI 7.5		
KPI 8: Evidence-based planning and programming	MI 8.1	MI 8.2	MI 8.3	MI 8.4	MI 8.5	MI 8.6	MI 8.7

2.2 Development effectiveness

PERFORMANCE AREA: RESULTS
Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

Results: Internal performance reviews that focus on UNEPs programme operations, as opposed to results from UNEP's normative role, indicate a solid level of performance in relation to achieving stated objectives and attaining expected results at the corporate, sub-programme and project level. UNEP is making a contribution to the setting of normative frameworks for environmental management at a global level. Evidence is less compelling of impact and results that can be associated with the influence of UNEP interventions at the national and sub-regional level. Overall, UNEP delivers results in a reasonably efficient and cost-effective manner, although there are areas where administrative efficiency could be improved. Its interventions on the whole are aligned with members' needs and priorities, make a contribution to improved development outcomes, and are reasonably well integrated with the work of other agencies. However this aspect of integration could be strengthened. There are clear instances where UNEP has met the needs of target beneficiaries, although target beneficiary analysis and monitoring are often weak. Further improvements can also be made in the area of sustainability of results. UNEP needs to adopt more realistic time frames for building national capacity, and more clearly identify appropriate exit strategies.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

KPI 9: Achievement of development and humanitarian objectives and results

KPI 10: Relevance of interventions to needs and priorities of partner countries and beneficiaries

KPI 11: Results delivered efficiently

KPI 12: Sustainability of results

KPI 9: Achievement of development and humanitarian objectives and results

UNEP's performance against this KPI is rated as **satisfactory**.

Advances climate change agenda: UNEP has made – and continues to make – a substantive contribution in moving the climate change agenda forward at the global level, and clearly contributes to improved environmental governance at the global and national levels, particularly with regards to increasing awareness and knowledge. Evidence of successful initiatives includes the Climate and Clean Air Coalition and the Portfolio Decarbonization Coalition; examples of increasing the information base include the emissions gap reports and the Climate Technology Centre and Network. There is evidence of building country capacity at the policy and planning levels, especially in relation to ecosystem-based management.

However, country-level evidence of UNEP's contribution to actual results and impacts in the climate change area is often weak or vague. Adopting better targeted indicators and improved project reporting on actual impacts achieved may help to develop a stronger evidence base against which performance can be assessed.

Contributions to environmental governance: At the global level UNEP has directly contributed to improved governance in relation to issues such as mercury and chemicals management, biodiversity and ecosystem management. The evidence base for broader governance matters (social inclusion/justice/indigenous people) is less well documented. However, UNEP generally takes an inclusive approach to its work, using principles of good governance across its functions, and adheres to UN best practice guidelines.

Better assessment needed of country and sub-regional impacts: The evidence of impact and results that can be associated with the influence of UNEP interventions at the country and sub-regional levels is less compelling. This may partly be due to UNEP's very limited country-level presence, but may also relate to the type of indicators used to assess performance, which are often more related to output/process than to actual outcome/impact. UNEP should pay greater attention to monitoring and reporting actual outcomes and impacts of its interventions, as this would assist in substantiating actual achievements.

UNEP aims to demonstrate that strategically positioned, well-engineered and well-executed programmatic approaches can contribute to national policy and programming changes or systemic reforms. Project documentation however does not always communicate quantifiable evidence of actual outcomes and impacts, the causal pathways of change, or whether the policies and strategies that UNEP has helped to deliver are sustained. These aspects of UNEP's intervention documentation need to be strengthened.

Gender results positive at operational level, but measurement and reporting warrants attention: UNEP has made positive performance on gender results at the corporate systems, design and operations level, but the evidence is less compelling at the project/programme implementation level. Specific examples of positive gender outcomes from projects exist, but a focus on monitoring and reporting on gender does not appear to be systematically embedded across the organisation. UNEP is underperforming in terms of delivering and documenting actual gender outcomes at the intervention level; this is an area that warrants increased attention. Much more attention also needs to be devoted to documenting performance and impacts related to broader social governance and justice outcomes.

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries

UNEP's performance against this KPI is rated as **satisfactory**.

Projects and programmes are relevant, although targeting of resources can be sharpened: UNEP makes a positive contribution to meeting the needs and priorities of target groups. UNEP delivers results, and its projects and programmes are rated as relevant. However, results delivered for target beneficiaries are not always effectively tracked and assessed. UNEP needs to establish a stronger evidence base and ensure it documents the benefits to targeted beneficiaries.

UNEP interventions have not always been sufficiently flexible in terms of responding to changing needs and priorities. An example of this is UNEP's ongoing engagement as secretariat for the somewhat problematic and slow moving UN Reducing Emissions from Deforestation and Forest Degradation (REDD+) initiative. While this is not considered a common or systemic problem, UNEP needs to continue

to ensure that its resources are directed to areas and in ways where it can achieve maximum impact and deliver results. The process of embedding results-based budgeting should help to ensure that resources are allocated according to impact and results.

Supports national development goals: UNEP has supported country efforts to meet national development goals aligned to the sustainable development goals, especially in terms of environmental governance and better management of natural resources. UNEP's limited country-level presence constrains its ability to contribute directly to the delivery of national development goals, and it is largely dependent on strong partnerships to deliver results. The current process of strengthening its regional and sub-regional presence should help to ensure that UNEP's interventions continue to be aligned with country needs and priorities, increase collaboration with other agencies and leverage greater development outcomes.

Interventions based on clear analysis but stronger engagement with other agencies would maximise impact: Most UNEP project designs are based on sound problem analysis and provide a clear rationale for proposed interventions. Efforts are also made to integrate the work of other UNEP sub-programmes, and align with the broader national, regional and global work of other agencies. Some evaluations provide evidence of a lack of coherence among different UNEP activities, but the improved work planning processes are likely to lead to continued improvements in this regard. UNEP has been central to the delivery of results on a range of major global environmental issues, especially through multilateral environmental agreements. UNEP's interventions at the country level have also delivered results as part of broader co-ordinated national response in partnership with other agencies, although some documents note that UNEP needs to devote increased attention to strengthening engagement and alignment with the work of other agencies (especially with other UN agencies) in order to maximise development impact.

KPI 11: Results delivered efficiently

UNEP's performance against this KPI is rated as **satisfactory**.

Positive results performance with efficient internal processes: UNEP has performed well in terms of achieving its targets relative to allocated budgets. Its programme performance reporting is rated positively in terms of efficiency in translating available resources into results for the 2014-15 biennium.

UNEP builds on existing resources and complementarities with other initiatives and has made cost-saving efforts within projects, including through use of existing systems and through strategic partnerships that leverage the work of other agencies. Some concerns have been raised about the cost effectiveness of specific project-level activities, and about the overall administrative efficiency of internal project screening and approval processes. Continued efforts to streamline internal processes could potentially deliver further efficiency improvements. However this MOPAN assessment finds that these UNEP processes are reasonably efficient and effective in terms of results delivery given the limitations arising from UNEP being part of the UN Secretariat and the immediate challenges associated with the introduction of Umoja. Evaluation documents frequently raise the issues of implementation delays due to lack of timely disbursement of funding, administrative approval delays and delays associated with staff recruitment. Concerns have also been raised that project time lines are often unrealistic and too ambitious in terms of delivering sustainable results. UNEP has put in place measures to address these issues, although it is clear that these are areas for further improvement.

KPI 12: Sustainability of results

UNEP's performance against this KPI is rated as **satisfactory**.

Improved programme sustainability reporting, but better post-project evaluation needed: UNEP has achieved some success with regards to the longer-term sustainability of results. For the 2014-15 work programme UNEP received a higher rating than the previous biennium in terms of project sustainability in its programme performance reporting. Nonetheless, the evidence is mixed at the project level. Evaluation documentation suggests that few projects articulate a clear sustainability/exit strategy, and that the actual sustainability of results is at times overestimated.

The lack of post-project evaluation, which most other UN agencies undertake, makes it difficult to assess the real level of sustainability achieved. UNEP should consider assessing and evaluating its interventions several years after the completion of project/programme activities to build a stronger evidence base on the sustainability of results. UNEP needs to adopt more realistic time frames for building national capacity and to more clearly identify appropriate exit strategies.

Country ownership, but target community should be broadened: The level of country ownership is considered good for most project interventions. However some evaluations raised concerns about the real extent of country ownership. It is clear that where country-level champions exist, the degree of ownership tends to be higher than where they are absent. Some documents also suggest that UNEP needs to broaden its focus beyond its routine target community (particularly environmental ministries) and build greater cross-sectoral buy-in, especially among economy-related ministries. However given its limited country-level presence, UNEP does appear to strike a reasonable balance between building national ownership/buy-in and administrative cost efficiency.

Interventions contribute to the enabling environment for development: UNEP has contributed to a strengthened enabling environment for development, especially at the global level. Assessing progress at the country level is more difficult given the limited evidence base available. But where available, the evidence suggests that UNEP's interventions are mostly rated highly in terms of their contributions to an enabling environment for development. This includes by providing increased confidence to future donors, contributing to behaviour changes, increasing national institutional capacity and demonstrating viable approaches for future replication.

Development Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

PERFORMANCE AREA: RESULTS
Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.

KPI 9: Achievement of results	MI 9.1	MI 9.2	MI 9.3	MI 9.4	MI 9.5	MI 9.6
KPI 10: Relevance of interventions	MI 10.1	MI 10.2	MI 10.3			
KPI 11: Results delivered efficiently	MI 11.1	MI 11.2				
KPI 12: Sustainability of results	MI 12.1	MI 12.2	MI 12.3			
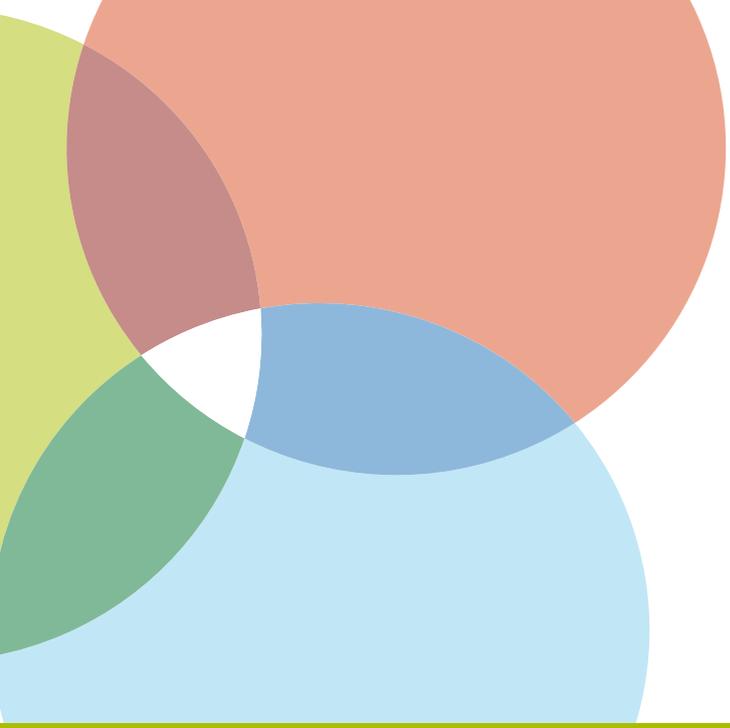
3. CONCLUSIONS

3.1 Current standing of the organisation against requirements of an effective multilateral organisation

This section brings together the findings of the analysis against the micro-indicators (MIs) and Key Performance Indicators (KPIs) of the MOPAN assessment methodology to present MOPAN's understanding of the current requirements of an effective multilateral organisation. These are reflected in four framing questions corresponding to relevance, efficiency, effectiveness and impact/ sustainability.

Illustrative quotes from Partner Survey on overall performance

"UNEP is highly respected in the sub-region, which together with local knowledge allows them to act as a facilitator and has helped solve conflict situations."

"UNEP's greatest strength is its personnel and their enthusiasm for the projects they work with."

"UNEP has limited number of staff working in the field; however, the level of in-depth discussion and understanding of the situation and responsive feedback are highly appreciated."

"It still needs to improve mainstreaming of environment in UN agencies working at the sub-regional level and its collaboration with regional banks."

RELEVANCE

Does UNEP have sufficient understanding of the needs and demands it faces in the present, and may face in the future?

UNEP's long-term vision, strategy and results framework to 2030 conveys how it reads the future and positions itself. Its 2014-17 and 2018-21 medium-term strategies provide effective, forward-looking frameworks for ensuring that future interventions continue to be relevant and are linked to higher-level outcomes.

UNEP's demonstration of its relevance is assessed as positive, particularly at the global level. UNEP is clearly making a contribution to global advocacy on environmental issues including in advancing normative frameworks through the management and strategic integration of work on multilateral environmental agreements. UNEP's knowledge products (e.g. the Emissions Gap Report and the Global Environment Outlook) are well received by partners and continue to contribute to, and often drive, global dialogue on important environmental issues, particularly in relation to climate change, chemicals and waste.

On the whole, UNEP's interventions for and at the country level are assessed as generally positive and appear to be aligned with member needs and priorities. Key partners strongly endorse UNEP's relevance. However, UNEP could more clearly document the relevance of its interventions at the national level and the actual results/benefits delivered to target beneficiaries. In general, UNEP reporting tends to focus more on activities and outputs than on outcomes and impact.

UNEP leverages effective partnerships and catalyses resources to deliver results at the national level. However, it needs to better align and integrate its interventions with the work of other UN agencies to make full use of its comparative advantage. This would make UNEP more relevant to member countries. To this end, during 2014-15 UNEP began to strengthen its regional presence so it can better align its strategic planning and programme of work with member state needs and priorities.

EFFICIENCY

Is UNEP using its assets and comparative advantages to maximum effect in the present, and is it prepared for the future?

UNEP's organisational architecture is aligned to its mandate and comparative advantage. The planning and design of sub-programme interventions are targeted at areas where UNEP can have maximum impact, are evidence-based and are linked to the longer-term results framework.

The matrix management system is now well embedded, and UNEP's increasingly efficient identification and use of assets across the organisation ensure that it provides integrated responses to environmental issues. On the whole, UNEP is assessed as using its assets and comparative advantage to its benefit, and has the demonstrated capacity to respond to changing needs and priorities.

Within UNEP, human and financial resources are allocated according to strategic priorities and are generally results-oriented. The application of results-based budgeting is still a work in progress. Financial resource allocation processes across the organisation are reasonably efficient, flexible and responsive to the changing needs and priorities of the organisation and member states. Resources are generally disbursed as planned. Despite some concerns regarding the transparency of resource allocation, decision making appears fair, evidence-based and in line with organisational priorities. UNEP could facilitate greater internal transparency and awareness by better documenting the rationale for resource allocation decisions.

The formation of effective partnerships is the cornerstone of UNEP's service delivery model and the organisation is assessed as performing well in this regard. UNEP has leveraged considerable additional resources through developing effective partnerships, especially at the international level, and these partnerships are based on respective comparative advantages. UNEP has been able to apply its assets relatively efficiently and effectively, and to maximum advantage in many instances. UNEP has effectively partnered with other UN organisations in some areas (e.g. the Poverty Environment Initiative), but the evidence is less compelling that it effectively collaborates under the One UN umbrella at the national level. This is an area for improvement so as to ensure that UNEP interventions have clear added value and that its comparative advantages are maximised. The recently established regional strengthening initiative should assist UNEP to identify areas for improved integration including opportunities where UNEP can add value to the work of others.

UNEP remains a relatively centralised organisation and at times this can reduce operational efficiency, particularly at the regional and national level. To address this, UNEP has made recent changes to the delegation of authority, including improved clarity on lines of accountability and decision-making responsibilities between headquarters and regional and country offices. However, it is too early to assess the effect of these changes on organisational efficiency.

EFFECTIVENESS

Are UNEP's systems, planning and operations fit for purpose? Are they geared in terms of operations to deliver on their mandate?

UNEP is assessed as having a sound operational model, and has in place the appropriate policies, processes and procedures that are expected of a well-functioning multilateral organisation. UNEP has strengthened its operational performance and systems over recent years. The strategic planning approach has been

strengthened through the adoption of a longer-term planning horizon, a better articulation of change pathways (through the adoption of theories of change), and a clear long-term results framework linked to successive medium-term strategies. These changes have all contributed to building a more robust and relevant operational model.

UNEP has embraced results-based management and this is being applied across the organisation; it is well embedded in the management approach, and there has been noticeable progress since the last MOPAN assessment. UNEP has achieved some progress in terms of results-based budgeting, but this is not yet embedded and will take some time to fully achieve.

UNEP has improved the way it integrates cross-cutting issues into operations and project/programme design processes. Gender has received greater focus in strategic planning and project design, with good progress achieved on gender mainstreaming. For example internal capacity for supporting gender-related matters has increased, and UNEP has a high level of organisational awareness on gender. However, there is less compelling evidence of gender results being delivered or effectively monitored at the project level. UNEP's performance in integrating climate change and environmental sustainability across all its work is, not surprisingly, very positive. But there are weaknesses when it comes to the analysis and integration of broader governance and social justice issues, and UNEP needs to devote greater attention to this area.

Systems are in place to support evidence-based planning and programming, but greater use of performance data and lessons learned from past interventions would strengthen planning outcomes. Project screening and approval processes are reasonably efficient and robust, and have also been strengthened in recent years to focus greater attention on contextual analysis and relevance although UNEP needs to undertake better partner and capacity analysis at the national level.

Internal financial systems operate effectively, with sound risk management, accountability and fraud detection guidelines/processes in place. UNEP has a good compliance record in terms of audit findings and operates in accordance with UN financial regulations. While still a work in progress, completing the transition to the new Umoja accounting/enterprise resource planning system should improve financial system efficiency and transparency.

UNEP has a reasonably independent Evaluation Office, which works effectively and efficiently. External reviewers have given the quality of evaluations a high rating, and UNEP has achieved a high compliance rating in terms of the implementation of evaluation recommendations. Nonetheless, despite measures being implemented to augment Evaluation Office resources, the evaluation team is stretched and under-resourced compared to the evaluation tasks at hand. The Evaluation Office also does not have an independently approved budget line, as recommended by United Nations Evaluation Group guidelines.

While there are areas where UNEP needs to continue to strengthen its effectiveness, on the whole it is assessed as fit for purpose in terms of the internal policies and systems needed to operate efficiently and effectively as a multilateral organisation.

IMPACT/SUSTAINABILITY

Is UNEP delivering and demonstrating relevant and sustainable results in a cost-efficient way?

Overall, UNEP has achieved a solid level of performance in relation to achieving stated programme objectives and obtaining expected outputs. UNEP has also improved performance in regard to project sustainability,

with a higher performance rating for the 2014-15 work programme when compared to the previous biennium. UNEP has achieved substantial results at the international level, advancing international normative frameworks, improving the science-policy interface and achieving corporate targets on international/global interventions. However, evidence of results at the project level is somewhat mixed.

Although UNEP has been assessed as performing well in terms of the delivery of target outputs covered by performance reports, it is more difficult to determine the actual impact and results associated with specific interventions. Reporting is generally focused on activities and outputs, rather than actual outcomes and impact. Many project and programme targets and results indicators are also output-focused; outcome indicators are often vague and, at times, not particularly meaningful. Overall there is limited documented and quantifiable evidence on the contribution to outcomes and impact achieved at the project level, limited target beneficiary monitoring, and a lack of post-intervention monitoring and assessment to determine the actual sustainability of results.

Evidence of outcomes on cross-cutting issues is limited. As such, it is difficult to make a definitive assessment of the impact and sustainability of UNEP interventions at the national level. More attention needs to be devoted to building a stronger project evidence base on outcomes and impact and to increasing post-intervention monitoring and evaluation in order to substantiate the sustainability of outcomes. UNEP may well be contributing significantly to the delivery of substantive outcomes at the project and/or country levels, but these are not adequately documented.

Evaluation documentation also suggests that few projects articulate a clear sustainability/exit strategy, that the actual sustainability of results is at times overestimated, and that project time frames are often insufficient to build sustainable institutional capacity.

3.2 The performance journey

The MOPAN 3.0 methodology has significantly evolved since UNEP's last MOPAN assessment in 2011. It is not therefore feasible to provide a direct comparison. Nonetheless, it is possible, on the basis on the analysis presented here, to identify some areas of progression since 2011. Table 2 summarises strengths and areas for improvement identified by the MOPAN assessment in 2011.

Table 2: Summary of strengths and areas for improvement from the MOPAN 2011 assessment

Strengths in 2011
● Provides regional and global perspectives on critical environmental issues
● Has demonstrated commitment to managing for results
● Stakeholders value its contributions to policy dialogue and its respect for the views of its stakeholders

Areas for improvement in 2011
● Human well-being is not consistently reflected in strategy and programmes
● Criteria for programme resource allocation are not transparent
● Transformation into a fully results-based entity is an ongoing process that will be achieved over several programming cycles

It is clear that UNEP has evolved and matured in a positive direction as a multilateral organisation. Over the past five years UNEP has – with some success – implemented a broad range of measures to improve its capabilities and consolidate its position within the global architecture.

UNEP shows continued strength in terms of being a global authority on environmental issues and providing a robust evidence base for advocacy and policy dialogue. The commitment of UNEP's leadership to results-based management is paying off, and the agency is now focusing on developing capacity to undertake results-based budgeting. Concerns remain regarding the transparency of UNEP's resource allocations. However, decision-making appears fair, evidence-based and in line with organisational priorities. UNEP's performance has improved in terms of addressing cross-cutting issues in operations and project/programme design processes, but weaknesses remain in the analysis and integration of broader governance and social justice issues.

The organisation provides strong leadership on global environmental issues, has an organisational architecture aligned with its mandate, and its programmes and interventions deliver substantive results. It has responded to a majority of the recommendations from past assessments and evaluations; this has contributed to improved organisational performance. UNEP is responsive to the needs and priorities of member states.

Constant change can be disruptive to organisational functioning but UNEP seems to have managed change in an ordered and timely way. Many of the changes remain a work in progress but overall, UNEP is travelling in the right direction. This is especially the case in terms of embedding results-based management and establishing reasonably fluid and flexible resource allocation mechanisms to meet changing demands. UNEP has made a notable improvement in the integration and mainstreaming of gender across the organisation. UNEP also exhibits a high level of professionalism, is generally well managed, and has competent and committed staff. Overall UNEP has made a noticeable improvement in organisational efficiency and effectiveness and capacity to deliver results.

Against the 12 MOPAN Key Performance Indicators (KPIs) assessed by MOPAN, UNEP has achieved either a highly satisfactory rating (5 KPIs) or a satisfactory rating (7 KPIs). KPIs given a satisfactory rating were generally at the upper end of the satisfactory rating scale, indicating a strong performance overall and no major issues or deficiencies. The survey results indicate a very high level of partner satisfaction with UNEP's performance, with most areas rated by the majority of respondents very positively.

Future challenges and opportunities
UNEP is a relatively small organisation with limited staff resources, and its capacity to engage in substantive programme delivery at the national level is constrained. It will always face greater demands from member states than it is able to effectively service. The recent strengthening of UNEP's regional presence and adoption of a decentralised decision-making structure could deliver operational efficiency dividends; improve alignment with member needs and priorities; and allow UNEP to better integrate its work with that of other agencies. However, these developments may also increase the risk that UNEP's commitments will exceed its capacity to deliver: the organisation is at risk of being overstretched. UNEP is clearly an important and influential organisation that is making a major contribution to advancing the global environmental agenda and associated normative frameworks, but it will need to carefully manage its engagement at the national and sub-regional level. Interventions must continue to target areas where UNEP has a clear comparative advantage, where it can add value, and where it can deliver a meaningful and sustainable impact.

UNEP faces continued uncertainty in relation to the magnitude and timing of future funding streams. In recent years, UNEP has experienced a positive upward funding trend including a significantly increased regular budget. However, funding is likely to be subject to volatility, which will clearly require careful management. UNEP is able to allocate resources effectively and flexibly as circumstances and priorities change, and it has an organisational structure capable of managing changing financial flows. Nonetheless, balancing member demands on the global, regional and national scale with available resources will remain a challenge.

The UN Environment Assembly (UNEA) is taking a leadership role in setting the global environmental agenda, thus delivering leadership on the environmental dimension of the 2030 Agenda for Sustainable Development. UNEP, as the leading global environmental authority, faces growing expectations. UNEP, in collaboration with UN partners, is expected to lead efforts to deliver the Agenda's environmental goals at the national, regional and global levels. It is also taking on the secretariat role for a ten-year framework of programmes on sustainable consumption and production patterns.

UNEP is also charged with promoting the integration of the environmental dimension into UN Development Assistance Frameworks at the country level and initiating new multi-faceted partnerships. The organisation is also charged with building on its inquiry, *The Financial System We Need: Aligning the Financial System with Sustainable Development*, which examined the intersection of finance and the environment, in support of the 2030 Agenda. Additionally, it will need to develop new partnerships with the financial sector. All these place new demands on UNEP's partnering capabilities as it looks to exert influence by working with others within and outside the UN system. It will be challenging for UNEP to deliver against these expanding expectations within its existing mandate, work programme and budget. Table 3 summarises strengths identified in this 2016 MOPAN assessment; Table 4 summarises areas for improvement and attention.

Table 3: Strengths identified in 2016

Strengths
● **A sound operational model** with appropriate policies, processes and procedures, and which is supported by an organisational architecture that is well aligned with UNEP's mandate and comparative advantages, especially in relation to global normative frameworks and leadership on environmental issues.
● **A strategic planning approach that has been strengthened** by adoption of a longer-term planning horizon better articulation of change pathways (through the adoption of theories of change), and a clear long-term results framework linked to successive medium-term strategies.
● **A strong focus on results-oriented allocation of human and financial resources** in the current strategic period and on aligning them with its decentralised approach for programming. Resource allocation processes across the organisation are considered reasonably flexible and effective in meeting the changing needs and priorities; resources are largely disbursed as planned; and appropriate procedures and processes are in place to manage over- and under-expenditures.
● **Good compliance with audit findings.** It operates in accordance with UN financial regulations and a high level of compliance for the implementation of audit recommendations. Appropriate procedures are in place to detect and manage fraud, and issues and concerns raised by internal and external audits are addressed in an adequate and timely manner.
● **Substantial results at international level.** It contributes to advancing normative frameworks on global environment issues and clearly contributes to improved environmental governance at the global, regional and national levels, particularly in terms of increasing awareness and knowledge. It has performed positively in terms of gender results at the corporate systems, design and operations levels.
● **Forms effective partnerships** that are central to UNEP's service delivery model and supported by relevant policies, procedures and guidance. Effective partnerships are established on the basis of comparative advantage and are used to leverage resources and identify synergies.
Results-based management now embraced and being applied across the organisation, with training and appropriate guidance manuals/tools in place. Independent evaluation function and quality assurance systems operate effectively and were well regarded in recent external assessments.

Table 4: Areas identified for improvement and/or attention in 2016

Areas for improvement
● **Application of results-based budgeting** is still in a nascent stage and not yet fully embedded in organisational approaches. A clearer link is needed between expenditure and actual results achieved, as this is not currently well documented. The process of embedding results-based budgeting should help to ensure that resources are allocated according to where UNEPs results contribute most effectively to outcomes and impacts.
● **Remains a relatively centralised organisation,** which can reduce its operational efficiency. Regional strengthening and changes to delegation of authority framework should further drive decentralisation, but this needs to be monitored to ensure effectiveness.
● **Alignment and integration** with other UN agencies need to be better demonstrated to distinguish UNEP's comparative advantage, especially where there is a potential risk of duplication and overlap with the work of other agencies at the country level, especially in programming.
● **Greater attention to analysis and integration** of the cross-cutting issue of broader governance and social justice issues is needed in UNEP strategy documents and project approval/evaluation processes. More documentary evidence on the delivery of gender outcomes at the project level, and project-level resource allocations to support gender-related results, is needed.
● **Project targets and reporting** should re-balance to focus more on outcomes and impact than, as currently, on activities and outputs. Performance data and lessons learned from past interventions need to be used to strengthen planning for outcomes. Post-intervention monitoring and evaluation would substantiate sustainability of outcomes, an aspect that currently lacks clarity.
● **Country-level relevance** of UNEP interventions and actual results/benefits delivered to target beneficiaries could be more clearly documented. Target beneficiary analysis and monitoring need to be strengthened. In terms of the sustainability of results, UNEP needs to adopt more realistic time frames for building national capacity, and more clearly identify appropriate exit strategies.

4. ANNEXES

Annex 1: Detailed scoring and rating on KPIs and MIs for UNEP

The Scoring and Rating was agreed by MOPAN members in May 2016.

Scoring

For KPIs 1-8: The approach **scores** each Micro Indicator per element, on the basis of the extent to which an organisation implements the element, on a range of 1-4. Thus:

Score per element	Descriptor
0	Element is not present
1	Element is present, but not implemented/implemented in zero cases
2	Element is partially implemented/implemented in some cases
3	Element is substantially implemented/implemented in majority of cases
4	Element is fully implemented/implemented in all cases

For KPIs 9-12: An adapted version of the scoring system for the OECD DAC's Development Effectiveness Review is applied. This also **scores** each Micro Indicator on a range of 0-4. Specific descriptors are applied per score.

Score per element	Descriptor
0	Not addressed
1	Highly unsatisfactory
2	Unsatisfactory
3	Satisfactory
4	Highly satisfactory

Rating

Taking the average of the constituent scores per element, an overall **rating** is then calculated per MI/KPI. The ratings scale applied is as follows:

Rating	Descriptor
3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0-1	Highly unsatisfactory

MOPAN scoring summary

PERFORMANCE AREA: STRATEGIC MANAGEMENT

KPI 1 Overall — Organisational and financial framework

- MI 1.1 — Long-term vision
- MI 1.2 — Organisational architecture
- MI 1.3 — Support to normative frameworks
- MI 1.4 — Financial framework

KPI 2 Overall — Structures for cross-cutting issues

- MI 2.1a — Gender equality
- MI 2.1b — Environment
- MI 2.1c — Governance

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

KPI 3 Overall — Relevance and agility

- MI 3.1 — Resources aligned to functions
- MI 3.2 — Resource mobilisation
- MI 3.3 — Decentralised decision-making
- MI 3.4 — Performance-based HR

KPI 4 Overall — Cost effective and transparent systems

- MI 4.1 — Decision-making
- MI 4.2 — Disbursement
- MI 4.3 — Results-based budgeting
- MI 4.4 — International audit standards
- MI 4.5 — Control mechanisms
- MI 4.6 — Anti-fraud procedures

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

KPI 5 Overall — Relevance and agility in partnership

- MI 5.1 — Alignment
- MI 5.2 — Context analysis
- MI 5.3 — Capacity analysis
- MI 5.4 — Risk management
- MI 5.5 — Design includes cross-cutting
- MI 5.6 — Design includes sustainability
- MI 5.7 — Implementation speed

KPI 6 Overall — Partnerships and resources

- MI 6.1 — Agility
- MI 6.2 — Comparative advantage
- MI 6.3 — Country systems
- MI 6.4 — Synergies
- MI 6.5 — Partner coordination
- MI 6.6 — Information sharing
- MI 6.7 — Accountability to beneficiaries
- MI 6.8 — Joint assessments
- MI 6.9 — Knowledge deployment

MOPAN scoring summary

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

KPI 7 Overall — Results Focus

MI	
MI 7.1	RBM applied
MI 7.2	RBM in strategies
MI 7.3	Evidence-based targets
MI 7.4	Effective monitoring systems
MI 7.5	Performance data applied

KPI 8 Overall — Evidence-based planning

MI	
MI 8.1	Evaluation function
MI 8.2	Evaluation coverage
MI 8.3	Evaluation quality
MI 8.4	Evidence-based design
MI 8.5	Poor performance tracked
MI 8.6	Follow-up systems
MI 8.7	Uptake of lessons

PERFORMANCE AREA: RESULTS

KPI 9 Overall — Achievement of results

MI	
MI 9.1	Results deemed attained
MI 9.2	Benefits for target groups
MI 9.3	Policy / capacity impact
MI 9.4	Gender equality results
MI 9.5	Environment results
MI 9.6	Governance results

KPI 10 Overall — Relevance to partners

MI	
MI 10.1	Target groups
MI 10.2	National objectives
MI 10.3	Coherence

KPI 11 Overall — Results delivered efficiently

MI	
MI 11.1	Cost efficiency
MI 11.2	Timeliness

KPI 12 Overall — Sustainability of results

MI	
MI 12.1	Sustainable benefits
MI 12.2	Sustainable capacity
MI 12.3	Enabling environment

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)

Performance Area: Strategic Management

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

KPI 1: Organisational architecture and financial framework enables mandate implementation and achievement of expected results			
Overall KPI Score	**3.08**	**Overall KPI Rating**	**Highly satisfactory**

MI 1.1: Strategic plan and intended results based on a clear long term vision and analysis of comparative advantage

Element	Score	Narrative	Source Documents
Element 1: The Strategic Plan (or equivalent) contains a long term vision	4	UNEP's Mid Term Strategy (MTS) for 2014-17 establishes a long term vision for the organisation, based on a clear description and analysis of its comparative advantages.	3, 12, 26, 38, 39, 40, 42, 50, 51, 53, 54, 62
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	3	The new MTS 2018-21 provides a more explicit indication of the future environment and society that UNEP is working towards through its 'Vision 2030', thus providing a longer term vision which was missing from previous MTSs. There are, however, some thematic areas where UNEP's comparative advantages relative to other agencies could be more clearly distinguished.	
Element 3: A strategic plan operationalises the vision, including defining intended results	3		
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	4	The MTS better integrates the work of the Multilateral Environmental Agreements (MEAs), which UNEP has a mandate to lead and co-ordinate, with UNEP's longer term vision and results delivery. Results definition could be clearer, but this is being addressed through improved outcome mapping in the MTS 2018-21.	
Overall Score:	3.5		
Overall Rating:	Highly satisfactory	The strategies are reviewed regularly, including through the use of annual performance reports. Successive MTSs until 'Vision 2030' should help ensure that the organisation remains on track to achieve its longer term goals and objectives.	High confidence

MI 1.2: Organisational architecture congruent with a clear long term vision and associated operating model

Element	Score	Narrative	Source Documents
Element 1: The organisational architecture is congruent with the strategic plan	3	Overall, UNEP's organisational architecture and governance arrangements provide an operating model consistent with its mandate and long term vision, especially in relation to global normative frameworks and leadership on environmental issues. Since 2009, the work of UNEP's existing divisional and regional structures has been aligned through common thematic objectives that cuts across the organisation, introducing theme-specific sub-programmes that are coherent with UNEP's strategic plan.	2, 11, 12, 19, 25, 35, 38, 39, 50, 51, 54, 55, 62
Element 2: The operating model supports implementation of the strategic plan	3		
Element 3: The operating model is reviewed regularly to ensure continued relevance	3	This matrix approach is developing well, and appears to enable more effective and integrated responses to environmental issues, improving cooperation across UNEP's technical divisions. Although UNEP recognises that the matrix management approach is transaction intensive, it is, on the whole, viewed positively by Senior Management, Sub-Programme Coordinators and Managers.	
Element 4: The operating model allows for strong cooperation across the organisation and with other agencies	3	UNEP is enhancing its capacity through the strengthening of its strategic regional and sub-regional presence. This should enhance UNEP's capacity to be a more active partner in country-level UNDAFs, in line with the 'One UN' service delivery model. Working through partnerships is a strong focus of UNEP's operating model, although there are some thematic areas where complementary expertise with other agencies could be more clearly harnessed.	
Element 5: The operating model clearly delineates responsibilities for results	2		
Overall Score:	2.8		
Overall Rating	Satisfactory	Divisional Directors and Sub-Programme Coordinators work closely with Regional Directors and Regional Sub-Programme Coordinators to plan and deliver integrated work programmes aligned to the MTS. A new Delegation of Authority policy and framework should increase clarity on responsibilities, including for results.	High confidence

MI 1.3: Strategic plan supports the implementation of wider normative frameworks and associated results (i.e. the quadrennial comprehensive policy review (QCPR), replenishment commitments, or other resource and results reviews)

Element	Score	Narrative	Source Documents
Element 1: The strategic plan is aligned to wider normative frameworks and associated results	4	UNEP's strategic plan and results framework are well aligned to, and thus support, the implementation of wider normative frameworks, primarily with regard to sustainable development (e.g. the SDGs and Rio+20 commitments) and the environment (e.g. the Bali Strategic Plan for Technology Support and Capacity Building, numerous multilateral environmental agreements, the UNFCC, and the SE4All initiative.)	2, 4, 5, 7, 14, 17, 25, 26, 27, 31, 35, 38, 39, 40, 50, 51, 52, 53, 54, 61
Element 2: The strategic plan includes clear results for normative frameworks	3		
Element 3: A system to track results is in place and being applied	3	UNEP's 'Vision 2030', as set out in the MTS 2018-2021, is well aligned with the 2030 Agenda. Its strategic plan integrates the priorities of the MEAs that it co-ordinates, and the work of MEA Secretariats, with other parts of the UNEP organisation.	
Element 4: Clear accountability is established for achievement of normative results	2		
Element 5: Progress on implementation on an aggregated level is published at least annually	4	UNEP's planning cycle, emphasis on results based management, and action on gender equality and women's empowerment are all aligned with Quadrennial Comprehensive Policy Review (QCPR) guidance and recommendations, and its programming forms part of the UN Strategic Framework.	
Overall Score:	3.2		
Overall Rating:	Highly satisfactory	The annual programme performance reports provide regular, relatively detailed, updates on progress towards results associated with normative frameworks. As is the case more widely across UNEP, accountability for results could be more clearly delineated, though this appears to be being strengthened.	High confidence

MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation

Element	Score	Narrative	Source Documents
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	3	Overall there is evidence of positive trends in UNEP's underlying financial frameworks to support mandate implementation, including the potential offered by extra-budgetary resources and increases to Environment Fund allocations to activities and operations. The Environment Fund (non-earmarked funding) – together with the Regular Budget (RB) – support UNEP's core secretariat functions; earmarked funding (typically for specific projects and programmes) is mainly provided through Partnership Agreements with major donors.	2, 4, 5, 10, 12, 26, 31, 33, 35, 38, 39, 53, 62
Element 2: A single integrated budgetary framework ensures transparency	3	A significant increase in the UN Secretariat's RB contribution (a quadrupling by 2018 compared to 2013 levels) is a positive development, helping to free up Environment Fund resources for programme activities. RB funds historically provided less that than 5% of UNEP's budget, whereas this increased to 9% in the 2014-15 biennium. UNEP remains heavily dependent on voluntary contributions, however, which is subject to some uncertainty in terms of magnitude and timing.	
Element 3: The financial framework is reviewed regularly by the governing bodies	3		
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	2	Donors are being encouraged to shift towards un-earmarked funding, but the ratio between core and earmarked funding remains uneven and has contributed to some areas being inadequately funded. Since 2014-15, GEF projects have been included in UNEPs programme of work (PoW) and reflected in the budget (GEF funding accounted for 31% of UNEPs total 2014-15 biennium budget). Several sub-programme areas (especially climate change and ecosystem management) are heavily dependent on GEF funding.	
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	3		
Overall Score:	2.8	The overall trend in terms of total finance availability (both core and earmarked funding) has been upward, enabling UNEP to expand its PoW. However, there remains uncertainty over future funding.	
Overall Rating:	Satisfactory		High confidence

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels			
Overall KPI Rating	**2.67**	**Overall KPI**	**Satisfactory**

MI 2.1: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for cross-cutting issues

   a) *Gender equality and the empowerment of women*

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	3	Evidence exists that specific structures, processes and mechanisms are in place to support the application of a clearly articulated policy and strategy on gender equality. The UNEP Policy and Strategy for Gender Equality and the Environment 2014-17, introduced in 2014, sets out UNEP's strategic intent and ambition to progressively integrate gender into the MTS and PoW. UNEP's gender policy and strategy has been externally assessed as being aligned with the UN System Wide Action Plan (SWAP) for Gender Equality and the Empowerment of Women. Survey results show that external stakeholders have a positive perspective of UNEP's approach to gender.	4, 12, 15, 16, 17, 18, 19, 23, 32, 34, 35, 36, 38, 40, 54, 62
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	2	While mainstreaming gender across the organisation is not yet fully achieved, substantive progress has been made in recent years, including through staff training and integration of gender within key policy and strategy documents. There is evidence of a strong commitment amongst Senior Management to implement and adhere to the gender policy. Gender can also be seen to feature more prominently in the new 2018-21 MTS compared to previous strategies.	
Element 4: Gender screening checklists or similar tools used for all new interventions	3	UNEP's Environmental, Social and Economic Sustainability Framework sets minimum standards on gender equality for UNEP and its implementing/executing partners' activities. The Annual Programme	

Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	2	Performance Reports provide some gender-related indicators, targets and reporting, although these are limited in scope and do not provide aggregate reporting on gender outcomes. While policy and procedures are clearly in place, there is little documented evidence of the project-level integration of gender and whether/how gender outcomes are being delivered at the project level. Project-level resource allocations to support gender-related results also remain low. There is therefore a need to focus more on (and strengthen) gender outcomes at the project level.	
Element 6: Capacity development of staff on gender is underway or has been conducted	3		
Overall Score	2.67	Adequate internal resources appear to be devoted to internal gender mainstreaming. Appropriate gender architecture to support application of the gender strategy is in place, the majority of incumbent staff have been trained, and gender training is now a mandatory part of the UNEP staff induction programme. The Social Safeguards Unit is responsible for overseeing the implementation of the gender strategy and is supported by an organisation-wide gender focal team consisting of 70 staff. Policy governance is through the Gender Steering Board, chaired by the Executive Director.	
Overall Rating:	Satisfactory		High confidence

b) Environmental Sustainability and Climate Change

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	4	With a specific environmental mandate, UNEP's integration of the cross-cutting issues of environmental sustainability and climate change is highly developed. UNEP has a strong commitment to sound environmental governance and it is the key guiding principle underpinning the operational objective for the organisation. UNEP's strategies and policies are aligned with normative frameworks on the environment, climate change and sustainable development more broadly. UNEP also has a specific environmental policy framework to ensure that its activities are aligned with UN system wide environmental principles. UNEP is committed to following the UNDG Guidelines on Mainstreaming Environmental Sustainability in Country-Level Planning. There is evidence that appropriate consideration is given to ensuring projects meet environmental governance best practice and address climate change related matters. UNEP's Environmental, Social and Economic Sustainability Framework sets minimum standards for biodiversity conservation, resource efficiency and pollution prevention for UNEP and its implementing/executing partners' activities. Survey results show that external stakeholders have a very positive perspective of UNEP's approach to environmental issues. The annual programme performance reports provide environment related indicators, targets and reporting, generally through inherently being part of UNEP's programme activities.	2, 4, 5, 7, 12, 14, 17, 18, 19, 25, 26, 27, 31, 32, 35, 38, 39, 40, 51, 52, 54, 57, 62
Element 2: Environmental sustainability and climate change indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	3		
Element 4: Environmental screening checklists or similar tools used for all new intervention	4		
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	4		
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has been conducted	3		
Overall Score:	3.5		
Overall Rating:	Highly Satisfactory		High confidence

c) *Good governance (peaceful and inclusive societies for sustainable development, reduced inequality, provide access to justice for all and build effective, accountable and inclusive institutions at all levels)*

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on good governance available and showing evidence of use	1	There is some evidence of the consideration of normative frameworks for good governance in UNEP's strategies.	3, 9, 19, 26, 31, 40, 54, 62
Element 2: Good governance indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2	UNEP adheres to UN-wide principles on human rights and the rights of indigenous people and UNEP's Environmental, Social and Economic Sustainability Framework sets related standards for UNEP's and its implementing/executing partners' activities (including for involuntary resettlement; indigenous peoples; labour and working conditions).	
Element 3: Accountability systems (including corporate reporting and evaluation) reflect good governance indicators and targets	3	Survey results show that external stakeholders positively rate UNEP's promotion of the principles of good governance across its work. However, compared to other cross-cutting themes, good governance does not appear to be given such explicit attention across UNEP's strategies and project approval/evaluation processes.	
Element 4: Good governance screening checklists or similar tools used for all new intervention	2	There is a lack of documented evidence of implementation in practice at the project level. Moreover, survey results show that external stakeholders are markedly less aware of UNEP's governance-related policy guidance than they are of policy/guidance relating to the other cross-cutting issues. As such, the cross-cutting issue of governance is an area that may warrant increased attention. Beyond the environmental governance sub-programme, there is limited evidence of specific human and financial resources specifically dedicated to addressing governance as a cross-cutting theme or related capacity development of staff.	
Element 5: Human and financial resources (exceeding benchmarks) are available to address good governance issues	2		
Element 6: Capacity development of staff on good governance is underway or has been conducted	1		
Overall Score:	1.83		
Overall Rating:	Unsatisfactory		Medium confidence

Performance Area: Operational Management

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

KPI 3: Operating model and human/financial resources support relevance and agility			
Overall KPI Rating	**2.89**	**Overall KPI**	**Satisfactory**

MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions

Element	Score	Narrative	Source Documents
Element 1: Organisational structure is aligned with, or being reorganised to fit the requirements of, the current Strategic Plan	3	There is clear evidence of a strong corporate intent for results-oriented allocation of human and financial resources, aligned with decentralised programming needs and structures.

Human and financial resources have been brought under one umbrella entity for operations (the Office of Operations) specifically to align resources with programmatic needs. UNEP is currently evaluating processes and mechanisms to improve the connectivity between resource allocations and sub-programme/PoW needs. | 2, 3, 4, 5, 12, 15, 17, 19, 22, 23, 25, 26, 31, 32, 34, 35, 36, 38, 39, 40, 42, 50, 51, 53, 54, 62 |
| Element 2: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan | 3 | There are some indications that full alignment between resourcing and the strategic plan is still a work in progress. UNEP mainly delivered its 2014-15 PoW with the human resources already available, and there has been an apparent disconnect between actual resource allocations and the resource requirements proposals made for all sub-programmes by SPCs (through negotiations within the Senior Management Team (SMT) and with sub-programme coordinators | |

Element 3: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	3	(SPCs) were not able to be considered). The MTS 2014-17 and PoW 2014-15 did not identify resource allocation principles, including for extra budgetary funding. However, the MTS 2018-21 indicates UNEP's intention to continue moving towards results-based budgeting.

Resource allocation processes across the organisation are considered reasonably flexible and effective in meeting the changing needs and priorities of the organisation, though there have been some concerns that Senior Management Team (SMT) decisions are not always transparent or well documented. |
Element 4: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	4	UNEP has allocated increased human and financial resources to implementation of the gender policy and strategy and the evaluation function. In combination with mandatory project-level budgeting for evaluation, it has resulted in the coverage and timeliness of evaluations being increased. Survey results show that external stakeholders rate UNEP's staffing at sub-regional level very positively. Recruitment processes are lengthy, which can reduce the speed and agility of UNEP aligning human resources to key functions. It is noted, however, that UNEP is required to adhere to UN recruitment rules and thus to use the UN Office in Nairobi as the main service provider for staff recruitment, so that recruitment processes are not always within UNEP's direct control.
Overall Score:	3.25	
Overall Rating:	Highly satisfactory	High confidence

MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities

Element	Score	Narrative	Source Documents
Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan	3	UNEP's approach to resource mobilisation seems reasonably well coordinated and in line with the organisational strategy (each sub-programme is required to outline a robust resource mobilisation strategy).

UNEP has made particular efforts since 2010 to consolidate resource mobilisation, focus on partnerships and co-financing, include consideration of in-kind contributions, and strengthen the regionalised approach to resource mobilisation.

There is evidence of prioritising donations to the Environment Fund in recognition of the benefits of un-earmarked funding. The UNEP guidance note on strengthening the organisation's regional strategic presence clarifies the respective roles and responsibilities of the divisions, regional officers and sub-programmes and is directed at increasing coherence and alignment of resource mobilisation efforts. Survey results indicate that external stakeholders are very positive about UNEP's financial situation.

Recent internal policy and guidance documents indicate a greater clarity in terms of respective roles and responsibilities across the organisation. However, several documents raise concerns around 'individualised' fundraising efforts at the project level, although evidence from interviews suggested that this is not a significant problem. | 2, 3, 4, 5, 9, 10, 12, 14, 21, 25, 26, 30, 31, 38, 39, 52, 53, 54, 55, 62 |
Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	3		
Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities	3		
Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/relevant country plan	3		
Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	2		
Overall Score:	2.8		
Overall Rating:	Satisfactory		High confidence

MI 3.3: Aid reallocation/programming decisions responsive to need and can be made at a decentralised level

Element	Score	Narrative	Source Documents
Element 1: An organisation-wide policy or guidelines exist which describes the delegation of decision-making authorities at different levels within the organisation	2	The level of delegated authority has been relatively concentrated at Senior Management levels with limited decision-making powers on budgets and resource allocations at Mid and Lower management levels. This has been seen to constrain decentralised decision making and organisational agility, thus falling short of UNEP's desired decentralised approach. Concerns were raised in past evaluation documents that delegated authority levels were not well aligned with decentralised decision-making, decision-making roles and responsibilities were not clearly defined, and that there was an apparent lack of coordination and coherence in resource mobilisation efforts.	8, 12, 25, 30, 40, 43, 58, 62
Element 2: *(If the first criterion is met)* The policy/guidelines or other documents provide evidence of a sufficient level of decision making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	NE	UNEP has recognised and acted on these concerns, and in 2016 adopted three new frameworks to guide internal operational decision-making processes (covering strengthening regional strategic presence, accountability, and delegation of authority). The intent of these frameworks is to enhance operational efficiency, coherence and agility through clarifying the respective roles and responsibilities of staff across the organisation, strengthening decentralised decision-making and responsiveness, and thus increase alignment with the principles of results based management. The Delegation of Authority Policy and Framework (DAPF) aligns with best practices recommended by the UN Joint Inspection Unit (JIU). It is too early to assess its effectiveness in supporting decentralised decision making, but survey results show that external stakeholders are very positive about UNEP's capacity for decentralised decision-making.	
Element 3: Evaluations or other reports contain evidence that reallocation / programming decisions have been made to positive effect at country or other local level, as appropriate	NE		
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	4	There is evidence of sufficient flexibility in the system to allow management (the Executive Director) to respond to urgent requests from countries for UNEP services that are not necessarily covered by the MTS or PoW (e.g. the Nigeria Delta oil spill impact assessment work), and this allows for a degree of organisational agility.	
Overall Score:	3		
Overall Rating:	Satisfactory		Medium confidence

51

MI 3.4: HR systems and policies performance based and geared to the achievement of results

Element	Score	Narrative	Source Documents
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	4	There is evidence that UNEP has designed comprehensive HR systems and policies that are performance-based and geared to the achievement of programme results, including with regard to gender and evaluation. UNEP applies the UN Performance Management and Development System and the UN Performance Appraisal System, and has systems and guidance in place to incorporate these into its operating model. UN SWAP assessments suggest that this is starting to have the desired effect on practice within UNEP. However, the extent to which actual practice supports organisational relevance, agility and results delivery is not clear. Evidence from interviews suggested that HR systems are not applied rigorously or consistently, particularly during staff performance appraisals. As such, performance appraisal is not necessarily performance-based or well linked to organisational results.	12, 17, 23, 24, 32, 35, 64
Element 2: There is evidence that the performance assessment system is systematically implemented by the organisation across all staff, and to the required frequency	2		
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	1		
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions etc.	NE		
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	3		
Overall Score:	2.5		
Overall Rating:	Satisfactory		Medium confidence

KPI 4: Organisational systems are cost and value conscious and enable financial transparency/accountability			
Overall KPI Rating	**3.2**	**Overall KPI**	**Highly Satisfactory**

MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities

Element	Score	Narrative	Source Documents
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	4	Policies and procedures are in place and geared towards supporting resource allocation in line with strategic priorities. These have been assessed as reasonably robust and transparent, with clear lines of accountability.

There are clear procedures for approving projects within a Programme Framework for each sub-programme and projects must have quality assurance clearance before resources are allocated. The PPR 2014-15 found that 96% of unearmarked extra budgetary resources were allocated based on the use of performance information. The consensus among staff is that allocation decisions are generally fair and reflect organisational needs and priorities, and external stakeholders were very positive about the transparency of resource allocation criteria.

There is some evidence of non-compliance with the internal project approval processes (typically where resource allocations for specific projects were approved prior to completion of mandatory evaluations, for expediency reasons) although this was not a common occurrence. Some internal concerns have also been raised about the transparency of SMT decision-making on resource allocation/reallocation, particularly regarding the lack of any formal documentation being made available to staff outlining the basis and reasoning on which resource allocation decisions are made. Increased internal documentation of the reasoning underpinning resource allocation decisions would contribute to enhanced transparency across the organisation. | 7, 30 |
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan	2		
Element 3: The organisational policy or statement is regularly reviewed and updated	2		
Element 4: The organisational statement or policy is publicly available	4		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 4.2: Allocated resources disbursed as planned

Element	Score	Narrative	Source Documents
Element 1: The institution sets clear targets for disbursement to partners	3	Evidence suggests that resources are largely disbursed as planned. During the 2014-15 biennium there were no significant cases of expenditure variance or project pipeline delays, although there was a slight under expenditure in the Regular Budget, and relatively low levels of expenditure for some trust funds. Overall expenditure in 2015 exceeded UNEP's budget, in line with the higher than expected income levels.	1, 2, 7, 10, 11, 14, 53
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	3		
Element 3 Clear explanations are available in relation to any variances	3	There is evidence that policies are in place to minimise under or over expenditure, such as UNEP's Partnership Policy and Procedures. Summary information on expenditure against budget is provided in UNEP's Programme Performance Reports (PPR). External stakeholders were positive about the predictability of disbursements from UNEP.	
Element 4: Variances relate to external factors rather than internal procedural blockages	2		
Overall Score:	2.75	Uncertainty in the magnitude and timing of income receipts to the Environment Fund and Extra Budget (where funding often extends over more than one biennium) presents a challenge for UNEP in terms of balancing programme expenditure with income. The apparent lack of clarity between reported income, budget allocations and expenditure makes it difficult to assess the efficiency of resource disbursement in each biennium. UNEP is in the process of transitioning from the UN System of Accounting Standards (UNSAS) to the International Public Sector Accounting Standards (IPSAS), using the Umoja resource planning system. This has presented some internal challenges in terms of implementation but should provide greater clarity and transparency in terms of tracking biennial income and expenditure data.	
Overall Rating:	Satisfactory		High confidence

MI 4.3: Principles of results based budgeting applied

Element	Score	Narrative	Source Documents
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	3	It is clear that UNEP has embraced, and is applying the principles of results-based budgeting. UNEP has been providing related training and manuals for its fund and project managers since 2014, and project budgets are linked to results. The organisation is in a process of transitioning to full results based budgeting (RBB), however, it remains a work in progress and is likely to take several more years to fully embed in practice. An RBB approach has been used for the 2018-2019 PoW to continue the transition. The Umoja resource planning system will improve UNEP's ability to track costs from activity through to outcomes.	3, 4, 12, 53
Element 2: A budget document is available which provides clear costings for the achievement of each management result	2		
Element 3: Systems are available and used to track costs from activity through to result (outcome)	3		
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time and evidence of building a better system	3		
Overall Score:	2.75		
Overall Rating:	Satisfactory		High confidence

MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit

Element	Score	Narrative	Source Documents
Element 1: External audit conducted which complies with international standards	4	UNEP is reviewed by the UN Office of Internal Oversight Services (OIOS) and the UN Board of Auditors, as well as during external evaluations.	2, 3, 7, 40
Element 2: Most recent external audit confirms compliance with international standards across functions	4	External audits confirm UNEP's compliance with IPSAS and the financial regulations of the UN, and confirm that audit recommendations have or are in the process of being implemented (high compliance).	
Element 3: Management response is available to external audit	4	UNEP's PPR 2014 reports successive performance improvements in audits since 2010.	
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	4		
Element 5: Internal audit functions meet international standards, including for independence	4		
Element 6: Internal audit reports are publicly available	4		
Overall Score:	4		
Overall Rating:	Highly satisfactory		High confidence

MI 4.5: Issues or concerns raised by internal audit mechanisms (operational and financial risk management, internal audit, safeguards etc) adequately addressed

Element	Score	Narrative	Source Documents
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	3	There is evidence that issues or concerns raised during audit are addressed, and that this has been an improving trend and related targets have been met for 2015. UNEP achieved its performance target of implementing at least 85% of audit evaluation recommendations in the 2014-15 biennium (86% of recommendations were acted on).	4, 7, 21, 53
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	3		
Element 3: Clear guidelines are available for staff on reporting any issues identified	NE		
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	3		
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	4		
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting.	3		
Overall Score:	3.2		
Overall Rating:	Highly satisfactory		Medium confidence

MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities

Element	Score	Narrative	Source Documents
Element 1 : A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	3	There is evidence that there are policies and procedures in place to prevent and detect fraud (e.g. in UNEP's Programme Manual and in its Partnership Policy and Procedures) and of adherence to international accounting standards (IPSAS). No identification of fraud was reported by the Board of Auditors in 2014. Concerns raised by the Board of Auditors in 2014, however, indicate that there may be possible loopholes in UNEP procedures that could allow fraud to occur and/or remain undetected. For example, the lack of clear separation of strategic from operational decisions that could allow the cancellation of projects to go undetected by the approving authority, and the failure to perform post-project evaluations or to close administrative and financial procedures relating to the projects without delay that could potentially expose UNEP to misuse of unspent funds.	4, 7, 10, 14, 22
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	NE		
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	NE		
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	4		
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and "whistle-blower" protection policy	NE		
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	NE		
Overall Score:	3.5		
Overall Rating:	Highly satisfactory		Medium confidence

Performance Area: Relationship Management

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)			
Overall KPI Rating	2.77	**Overall KPI**	**Satisfactory**

MI 5.1: Interventions aligned with national /regional priorities and intended national/regional results

Element	Score	Narrative	Source Documents
Element 1 : Reviewed country or regional strategies make reference to national/regional strategies or objectives	3	Following concerns raised with regards to the sub-programme level, the MTS 2014-17 is seeking 'improved coherence and coordination of regional and national delivery'.	4, 12, 19, 25, 26, 31, 46, 51, 52, 54, 55, 62
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	2	UNEP's current focus on strengthening its regional presence is intended to increase the knowledge base and programme alignment with country and regional priorities. In a change from the MTS 2014-17, the MTS 2018-21 presents, and draws on, visioning exercises conducted by UNEP's regional offices to identify regional priorities; these have informed the sub-programme workplans.	
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	3		
Overall Score:	2.67	UNEP's overall approach to programming therefore considers national/regional priorities and this has led to some alignment with national/regional priorities in its overarching strategy (MTS) and at the programme/ project level. External stakeholders in particular were very positive about UNEP's alignment with national and regional programmes and results.	
Overall Rating:	Satisfactory		High confidence

MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs contain a clear statement that positions the intervention within the operating context	3	At the global level there is considerable evidence of the use of contextual analysis to guide programming. UNEP policies promote the use of contextual analysis tools, such as stakeholder analysis and UN Common Country Assessments (CCAs), during project design. Contextual analysis is a specific requirement in the programming manual. While there is some evidence of contextual analysis being applied in the project design process, there is only limited evidence of effective stakeholder consultation and contextual analysis for some projects. Despite this lack of documented evidence, however, external stakeholders were highly positive about the extent to which UNEP interventions were tailored to local needs. The concerns raised regarding the level of stakeholder analysis is to some extent recognised by UNEP, and measures to increase stakeholder engagement to provide context and guide programming are being implemented (for example, grants are now available to support increased stakeholder engagement and analysis). Information from the Evaluation Office indicates that there has been a noticeable improvement in performance in terms of the quality of contextual and stakeholder analysis in project designs, but that further strengthening is required.	3, 4, 12, 16, 39, 43, 44, 50
Element 2: Context statement has been developed jointly with partners	3		
Element 3: Context analysis contains reference to gender issues, where relevant	3		
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	4		
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	2		
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	NE		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weaknesses are employed

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs contain a clear statement of capacities of key national implementing partners	2	There is evidence of UNEP's intent to integrate capacity building into programme design and indications that this has been done successfully in some sub-programmes and projects, with building institutional capacity being a core emphasis of UNEP's approach in several sub-programmes.	2, 4, 5, 7, 12, 26, 31, 45, 47, 50, 51, 52, 62
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	3	There are examples where capacity analysis has been absent or inadequate for project design and implementation, particularly through not sufficiently factoring capacity building needs in when designing and executing implementation approaches with partners. There were also some suggestions that capacity assessment is often generic, with local capacity at times overstated. External perspectives on partner capacity assessment were, however, very positive.	
Element 3: Capacity analysis statement has been developed jointly where feasible	2		
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	2		
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	NE	While capacity building features strongly in the MTS documents, it is evident that there is room for improvement in the quality of capacity analysis at the project design stage, and a need for greater emphasis on capacity building at the implementation stage.	
Overall Score:	2.25		
Overall Rating:	Satisfactory		High confidence

MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs include detailed analysis of, and mitigation strategies for, operational risk	3	There is some evidence of positive performance in terms of risk management and UNEP has in place strategies, processes and tools to manage risk. UNEP has adopted the UN Enterprise Risk Management and Internal Control Policy. There is evidence of recent efforts to improve risk management under the 2014-17 MTS, including commitment to approaches at the corporate level, and new procedures and systems for risk management at the project level. External stakeholders were very positive about risk management at the sub-regional level. Although there have been recent efforts to improve risk management, there appears to be room for some improvement as several external assessments have rated UNEP risk management approaches as only partially satisfactory. The 2014-15 PPR states that data on UNEP's 2015 performance against its risk identification target is not available.	3, 4, 9, 10, 11, 12, 14, 15, 16, 17, 18, 22, 26, 30, 35, 39, 53
Element 2: Intervention designs include detailed analysis of, and mitigation strategies for, strategic risk	3		
Element 3: Intervention designs include detailed analysis of, and mitigation strategies for, political risk	2		
Element 4: Intervention designs include detailed analysis of, and mitigation strategies for, reputational risk	2		
Element 5: Risks are routinely monitored and reflected upon by the partnership	NE		
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	NE		
Overall Score:	2.5		
Overall Rating:	Satisfactory		High confidence

MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)

Element	Score	Narrative	Source Documents
Element 1 : Intervention design documentation includes the requirement to analyse cross cutting issues	3	UNEP has processes and procedures in place to support the integration of cross-cutting issues. During the past three years there has been a noticeable improvement in the integration of cross-cutting issues in intervention design, particularly gender and environmental sustainability. Screening for cross-cutting issues is given considerable emphasis in the project review and approvals processes. UNEP provides training and technical assistance to support gender analysis at project and sub-programme levels. There is still evidence of weaknesses in gender consideration at project-level design, but targets on project-level gender integration were met in 2015. The Gender Policy and Strategy outlines that there will be a gender analysis of each sub-programme's thematic priorities, though no evidence could be found of whether this commitment has been carried out. There is also evidence that climate change and environmental sustainability are addressed in the project design processes. However, there is limited evidence on the extent to which the cross-cutting issue of governance is adequately dealt with and there appears to be room for improving and strengthening analysis in the project design stage with regards to good governance. Despite improvements in project design, at the implementation level there is little evidence of ongoing monitoring of cross-cutting issues or the delivery of substantive outcomes on these issues. It is a formal requirement for internal evaluations to assess how well projects handle cross-cutting issues and UNEP's gender policy and strategy specifically commits to the integration of gender into evaluation processes.	12, 17, 18, 26, 30, 32, 36, 42, 48, 51, 53, 54, 57, 62
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	3		
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	4		
Element 4: Intervention designs include the analysis of gender issues	3		
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	4		
Element 6: Intervention designs include the analysis of good governance issues	2		
Element 7: Plans for intervention monitoring and evaluation include attention to cross cutting issues	2		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability as defined in KPI 12)

Element	Score	Narrative	Source Documents
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	3	Appropriate screening and due diligence processes to promote sustainability at the project concept and design stage are in place. The integration of sustainability measures is a requirement for UNEP and GEF project designs and project approval is dependent on this being evident. The proportion of UNEP projects that evaluations rated as sustainable has improved since 2013. However, there is little evidence on the extent to which interventions do actually deliver sustainable outcomes. Evaluation at the end of the project cycle is routine for most projects, but there is limited post-project sustainability assessment (several years after project completion) and, as a result, limited data on which to assess the long term sustainability of interventions.	12, 16, 17, 19, 30, 37, 53
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	3		
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	2		
Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner	4		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation

Element	Score	Narrative	Source Documents
Element 1: Internal standards are set to track the speed of implementation	4	The expected/targeted speed of implementation appears to depend on project type (size, scope, funding etc.). There is evidence of measures being introduced to streamline financial resource deployment for specific funding types to support the speed of implementation. Project implementation and management was assessed as one of the criteria showing most improvement in the biennium 2014-15, but there is no evidence of whether speed of implementation 'standards' are being met/improving. Institutional procedures generally support speed of implementation and external stakeholders are very positive about UNEP's agility and flexibility

Some key recruitment and logistics-related procedures are outsourced to the UN Office in Nairobi (UNON) and are consequently outside the direct control of UNEP. Delays encountered with these procedures cause considerable frustration to UNEP staff. Human resource deployment in particular can be a constraint if new staff need to be in place for project implementation. UNEP provides guidance on how to reduce the likelihood of delay but targets on recruitment timelines continue to be exceeded. | 8, 12, 53, 62 |
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	3		
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	3		
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	2		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

KPI 6: Working in coherent partnerships directed at leveraging / ensuring relevance and catalytic use of resources			
Overall KPI Rating	**3.13**	**Overall KPI**	**Highly Satisfactory**

MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change

Element	Score	Narrative	Source Documents
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	3	Policies, procedures and guidance covering partnerships (and agility within partnerships) are in place and described within UNEP's Partnership Policy document. Procedures indicated appear to depend on the type of partnership and funding size/arrangements. Despite a general feeling amongst UNEP staff that the partnership policy and approach was strong, limited evidence was found to validate partnership effectiveness, or the extent to which existing procedures enable agility within UNEP's partnerships.	14
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	3		
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	3		
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	2		
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	NE		
Overall Score:	2.75		
Overall Rating:	Satisfactory		Medium confidence

MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy

Element	Score	Narrative	Source Documents
Element 1 : Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	3	UNEP notes the comparative advantage of forming partnerships and the respective advantages of its own role, and partners' roles, in those partnerships. While the importance of comparative advantage is noted in UNEP's high-level documentation, there is an absence of documented analysis of comparative advantage at the individual partner / project level.	2, 3, 12, 14, 19, 26, 39, 40, 50, 51, 53, 56
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	3	Evidence suggests that partnerships are established on the basis of comparative advantage, and that comparative analysis is undertaken when choosing partners. The 2014–17 and 2018–21 MTSs also identify synergistic partnerships based on respective comparative advantage as a guiding principle underpinning UNEP's operations.	
Element 3: Evidence that resources/ competencies needed for intervention area(s) are aligned to the perceived comparative advantage	NE	The sharpness of the comparative advantage of UNEP in the relatively crowded space of the climate change and energy areas where others clearly lead (e.g. UNFCCC and IEA) is less clear and there is a potential risk of duplication/overlap with the work of other agencies. This is in contrast to other areas such as ecosystem based adaptation.	
Element 4: Comparative advantage is reflected in the resources (people, information, knowledge, physical resources, networks) that each partner is able (and willing) to bring to the partnership	3	There is some evidence of UNEP working in effective partnership with other UN agencies (for example, the Poverty Environment Initiative) but limited evidence of a broader level of organisational engagement with other UN agencies at the country level (e.g. as part of UNDAFs and other coordination frameworks). The extent to which there has been an increase in UNEP's synergistic partnering with other UN agencies is not clear. However, UNEP's initiative to increase its regional presence may enhance its ability to better integrate its operations under the 'One UN' umbrella. Anecdotal evidence suggests that this is happening but no documented evidence was found to verify whether or not this process has delivered results in this regard.	
Overall Score:	3		
Overall Rating:	Satisfactory		Medium confidence

MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on the use of country systems

Element	Score	Narrative	Source Documents
Element 1 : Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	NE	No explicit evidence was identified of UNEP's commitment to the Busan Partnership, but several documents indicate that UNEP does consider using and/or building the capacity of country systems. Despite the apparent lack of explicit written commitment to the Busan Partnership, it is clear that UNEP does align with the Busan principles, as it uses country systems wherever possible and also provides technical assistance to strengthen the capacity of country systems. Perspectives from external stakeholders gathered through the survey also suggest that UNEP does adhere to Busan Partnership principles, with the majority finding UNEP 'fairly good' at channelling financial resources through country systems (both financial and non-financial) in the country as the default option.	18, 34
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	3		
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	3		
Element 4: Reasons for non-use of country systems clearly and transparently communicated	NE		
Element 5: Internal structures and incentives supportive of greater use of country systems	3		
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	2		
Overall Score:	2.75		
Overall Rating:	Satisfactory		Medium confidence

MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation

Element	Score	Narrative	Source Documents
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	4	There is clear evidence that partnerships are central to UNEP's service delivery. Partnerships are listed as one of UNEP's core operational principles within its MTSs, and UNEP has a significant number of partnerships operating at the global, regional and national level.	2, 4, 5, 12, 14, 21, 25, 26, 38, 40, 51, 53, 54, 56
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	3	It is clear that UNEP recognises the critical importance of increasingly drawing on synergies across partners and promotes partnerships for the purpose of leveraging resources and results, particularly to increase UNEP's country reach. The current strengthening of UNEP's regional presence appears to be partly for this purpose. The Project Review Committee explicitly evaluates the extent to which a project utilises partnerships, both externally and internally (across Divisions), to leverage resources and deliver results. External stakeholder perspectives relating to this MI were very positive.	
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	3		
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	3	Some documents indicate concerns about the extent to which UNEP integrate MEA Secretariats to promote consistency and coordination. UNEP does appear to be devoting greater attention to the integration of normative frameworks and the work of the MEA Secretariats since 2014, and these concerns appear to have been partially addressed. The 2018-2021 MTS explicitly identifies the integration of MEAs as a key operating principle guiding the organisation's operations. The matrix management system also enables UNEP to coordinate programme activities and identify synergies across the organisation, and evidence suggests that it performs well in this regard.	
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	3		
Overall Score:	3.2		
Overall Rating:	Highly satisfactory	One area of concern is with regard to synergies not being promoted or maximised in some areas (e.g. harmonising efforts under the climate change components to look for efforts and reduce duplication of efforts), including internally across UNEP's divisions.	High confidence

MI 6.5 Key business practices (planning, design, implementation, monitoring and reporting) coordinated with other relevant partners (donors, UN agencies, etc.) as appropriate.

Element	Score	Narrative	Source Documents
Element 1 : Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3	Since the UN commitment to Delivering as One in 2006, UNEP has increased its commitment to co-ordination with other UN agencies, and this is also a requirement of GEF projects which often involve multiple implementation agencies. UNEP's regional offices are stated as key in the coordination efforts (regional, sub-regional, country level) through relevant mechanisms such as regional UNDGs, regional coordination mechanisms (RCMs), UNCTs and relevant country programming processes. At the global level, UNEP co-chairs Programme Working Groups dealing with environmental issues and inputs to UNDG task teams. While there is clear evidence that UNEP actively contributes to coordination and joint implementation efforts at the global, regional and country levels, in practice coordination with partners is often challenging. There is evidence of concerns over limited coordination at the country level and also at the project level, which has been attributed to each agency requiring delivery through its own policies, procedures and rules. The limited UNEP staff presence at the country level, and variations in administrative rules and procedures, may partly contribute to this perception. Recent evaluations suggest improvements but that harmonisation of reporting mechanisms and financing systems could be further improved. The concerns over coordination at the country level are also reflected in survey results, with external stakeholders rating performance against this MI as relatively less strong compared to other MIs, although performance was still positive in absolute terms.	3, 4, 9, 10, 12, 14, 15, 21, 25, 26, 34, 35, 37, 38, 51, 56, 62, 63
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	2		
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	3		
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN etc.)	3		
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	2		
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	3		
Overall Score:	2.67		
Overall Rating:	Satisfactory		High confidence

MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis

Element	Score	Narrative	Source Documents
Element 1 : Clear corporate statement on transparency of information	4	UNEP has in place processes and procedures to promote the sharing of information with partners and to ensure accountability to beneficiaries. UNEP also releases audited financial statements, and has a clear access to information policy.	9, 12, 16, 18, 25
Element 2: The organisation has signed up to the International Aid Transparency Initiative	4		
Element 3: Information is available on analysis, budgeting, management in line with the guidance provided by the International Aid Transparency Initiative	3	UNEP signed up to IATI in March 2016 and is in the process of ensuring that other information is available in line with IATI guidance. Some documents have raised concerns that the level of information sharing is often limited in some projects and that there is insufficient attention devoted to stakeholder/beneficiary consultation to ensure accountability. There is insufficient evidence available to ascertain whether or not these concerns are valid at a broader organisational level, but evidence from the survey shows that external stakeholders are generally positive about UNEP's level of information sharing with partners.	
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	2		
Element 5: Evidence that information shared is accurate and of good quality.	3		
Overall Score:	3.2		
Overall Rating:	Highly satisfactory		High confidence

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented

Element	Score	Narrative	Source Documents
Element 1 : Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	4	The evidence suggests that there are guidelines for ensuring accountability to beneficiaries. Accountability is broadly covered by UNEP's environmental social and economic sustainability (ESES) framework as well as its policy on indigenous people, which means that the basis for accountability is found across various documents rather than one specific policy. Independent evaluations suggest that implementing these guidelines can be fraught and that key long-term regional partners, critical to the achievement of specific components at the regional level, are often missing as are clear institutional structures which are central to ensuring that beneficiaries are accounted to. There is evidence that regular stakeholder meetings (including with indigenous people and marginalised groups) do often form a component in UNEP project implementation approaches, but there is little evidence to verify the application of social safeguards policies during project implementation. The 2014-15 synthesis of evaluation findings showed that stakeholder participation and public awareness is a well performing criteria in comparison to other factors affecting project performance, but that there has been a slight decline in performance on this criterion since the 2010-11 biennium.	5, 12, 15, 50, 51, 56
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	NE		
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	NE		
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	4		
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	NE		
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	3		
Overall Score:	3.67		
Overall Rating:	Highly satisfactory		Medium confidence

MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments

Element	Score	Narrative	Source Documents
Element 1 : Evidence of participation in joint performance reviews of interventions e.g. joint assessments	3	UNEP policies set out measures for promoting synergies with partners and external assessment of UNEP's evaluation function confirms that the unit conducts joint evaluations with other UN organisations. The UN REDD partnership and the Poverty Environment Initiative (PEI) provide examples of the processes and practice of UNEP engaging in mutual assessment (with regional & national partners, with UN system partners) of progress in implementing agreed commitments. External stakeholders were highly positive about UNEP's involvement in – and contribution to – mutual assessments, policy dialogues, and regional forums. Guidelines are not always designed to support jointly implemented programmes. For example, GEF evaluation guidelines do not provide detail on how evaluation processes are to be handled when projects are implemented jointly by one or more GEF Agencies. UNEP's Evaluation Manual does stipulate that evaluations should be jointly planned, managed and reviewed by all GEF agencies involved in a project, but no evidence was found of explicit guidelines designed to cover joint implementation arrangements and assessments.	5, 12, 15, 50, 51, 56
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	4		
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	3		
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	3		
Element 5: Surveys or other methods applied to assess partner perception of progress	NE		
Overall Score:	3.25		
Overall Rating:	Highly satisfactory		Medium confidence

MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy

Element	Score	Narrative	Source Documents
Element 1 : Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4	Knowledge generation is an established strong feature of UNEP's approach, especially at the global level. This knowledge capability supports policy dialogue and advocacy. UNEP's strong focus on knowledge production and dissemination is indicated by a clear intent to integrate these activities into its strategies, programmes and projects and specific knowledge dissemination platforms.	1, 2, 3, 4, 10, 12, 17, 19, 20, 21, 25, 26, 31, 32, 35, 43, 45, 52, 53, 54, 62
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3		
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	4	UNEP has had a dedicated knowledge management strategy since 2014, developed in response to recognised limited capacity in the management and sharing of knowledge across the UNEP and with its external partners. Evaluations generally assess the knowledge dissemination aspects of projects and programmes positively. However, there is no evidence of a specific assessment of UNEP's knowledge dissemination approaches or their effectiveness.	
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	4		
Element 5: Evidence that knowledge products are perceived as high quality by partners	4		
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	3	Overall there is evidence of positive performance under this MI; the MTS 2018-21 continues with a strong focus on knowledge generation and clear intentions of how knowledge will be shared with the aim of influencing policy making.	
Overall Score:	3.67		
Overall Rating:	Highly satisfactory		High confidence

Performance Area: Performance Management

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning

KPI 7: Strong and transparent results focus, explicitly geared to function			
Overall KPI Rating	**3.07**	**Overall KPI**	**Highly Satisfactory**

MI 7.1: Leadership ensures application of an organisation-wide RBM approach

Element	Score	Narrative	Source Documents
Element 1 : Corporate commitment to a result culture is made clear in strategic planning documents	4	UNEP's organisation-wide focus on RBM has been growing since 2006, with clear evidence of strong support and commitment from Senior Management.	2, 3, 4, 5, 12, 22, 31, 34, 38, 50, 53, 54
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	3	There is evidence that significant progress has been made in embedding an evidenced-based RBM approach to programming, and that this is supported by training and appropriate guidance manuals/tools. Nearly all staff have received RBM training (supported by programming manuals, guidance documents and customised training at the subprogram/divisional level) and there is evidence that capacity is being built and that documents, processes and procedures are regularly being updated and refined to move the organisation towards a solid RBM structure and focus. The survey showed that external stakeholders were very positive when assessing UNEP's approach to RBM.	
Element 3: Guidance for setting results targets and develop indicators is clear and accessible to all staff	3		
Element 4: Tools and methods for measuring and managing results are available	2		
Element 5: Adequate resources are allocated to the RBM system	3	It is recognised by UNEP Senior Management and broader programme/project staff that RBM is still in the process of being fully embedded in the organisational culture. There is broad agreement within UNEP that the move to a longer-term strategic timeframe (embodied in the 2018-2021 MTS) has provided a clearer framework for RBM at the sub-programme level, and enables sufficient time to demonstrate substantive results. Concerns about the quality and effectiveness of RBM training/capacity building raised in some earlier assessment documents appear to have been largely addressed, though some programme staff have indicated that better targeted RBM training at the Divisional/sub-programme level would enhance RBM related performance.	
Element 6: All relevant staff are trained in RBM approaches and method	3		
Overall Score:	3		
Overall Rating:	Satisfactory	While positive progress has been made towards a greater RBM focus, it remains a work in progress and it is likely that full achievement will take several more years. Elements of an output-based focus remain (current monitoring and reporting systems are still based more on outputs than outcomes) though this may improve with recent changes introduced as part of the 2018-21 MTS.	High confidence

MI 7.2. Corporate strategies, including country strategies, based on a sound RBM focus and logic

Element	Score	Narrative	Source Documents
Element 1 : Organisation-wide plans and strategies include results frameworks	4	Corporate and programme strategies have a clear results-based logic and focus, and these are well linked to UNEP's longer-term vision and intended outcomes.	3, 4, 5, 9. 12, 15, 16, 17, 22, 26, 32, 35, 38, 39, 40, 50, 51, 53, 54, 62
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	2	The application of a RBM focus and logic within UNEP strategies has clearly improved, evidenced in particular through the mid-term strategies, programmes of work, and annual programme performance reports. There is evidence that since 2010, corporate strategies have been applying an RBM focus, including organisation-wide strategies (MTS) and for cross-cutting areas (e.g. gender), utilising UNEP's Programme Performance Reporting. Strategies also show that the organisation is continuing to assess the use of RBM logic at the project level. There is evidence of concerns that sub-programme strategies have not always been successful in demonstrating RBM logic, and that monitoring and evaluation systems need further strengthening to support RBM effectively at all levels.	
Element 3: An annual report on performance is discussed with the governing bodies	4		
Element 4: Corporate strategies are updated regularly	4		
Element 5: The annual corporate reports show progress over time and notes areas of strong performance as well as deviations between planned and actual results	4		
Overall Score:	3.6	However, there is evidence that this is being addressed, with much clearer application of RBM focus and logic in the MTS 2018-21. Commencing with the 2018-19 PoW, all sub-programmes are required to clearly demonstrate a theory of change underpinning the proposed work, indicating specific results and causal pathways. UNEP has also been implementing measures to improve its programme management systems and strengthen UNEP's RBM and project delivery mechanisms. Overall there has been a noticeable increase in the RBM focus and logic in recent years but is still a work in progress.	
Overall Rating:	Highly satisfactory		High confidence

MI 7.3: Results targets based on a sound evidence base and logic

Element	Score	Narrative	Source Documents
Element 1 : Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	3	There is evidence of efforts being made to ensure that results targets (particularly at the project level) are evidence based and logical, and some indications of success in this regard. However, some independent assessments have indicated room for further improvement. This appears to be recognised and addressed in more recent UNEP documents, particularly the MTS 2018-21 which establishes clearer causal pathways between UNEP's action and achieving the outcomes that contribute to the higher order objectives of each sub-programme. Overall, the application of results-based targets and indicators has improved, including an increased focus on applying causal pathways and theories of change. However – as with the other dimensions of RBM – this element remains a work in progress.	2, 3, 4, 11, 12, 16, 36, 41, 46, 49, 52, 53, 54, 62
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	3		
Element 3: Development of baselines are mandatory for new Interventions	4		
Element 4: Results targets are regularly reviewed and adjusted when needed	3		
Overall Score:	3.25		
Overall Rating:	Highly satisfactory		High confidence

MI 7.4: Monitoring systems generate high quality and useful performance data

Element	Score	Narrative	Source Documents
Element 1: The corporate monitoring system is adequately resourced	2	There is ample evidence that monitoring systems have been put in place to facilitate the production of useful performance data. There is some evidence that these are sufficient, particularly with regards to output-level data (both project and sub-programme level) but the organisation recognises that improvements in these systems are required, particularly with regards to outcome level monitoring / data.

Project reporting on achievements is often more outputs than outcomes based, and there are also concerns around poor or non-existent quantitative baselines at the outcome level. The organisation recognises that improvements in monitoring systems are required and is devoting more attention to improving organisational performance in this area. UNEP is increasing the use of causal pathways, outcome maps and clear articulation of project-level theories of change in order to support a stronger results-based focus.

Other concerns are with regards to quality assurance and monitoring budgets. Overall, there is some evidence that these issues are starting to be addressed and there has been a positive trend in the quality of project performance monitoring and data, but it is evident further work is needed. | 2, 3, 5, 7, 9, 12, 13, 16, 26, 36, 38, 39, 40, 42, 46, 47, 50, 52, 53, 54, 62 |
Element 2: Monitoring systems generate data at output and outcome level of the results chain	2		
Element 3: Reporting structures are clear	3		
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	3		
Element 5: A system for ensuring data quality exists	3		
Element 6: Data adequately captures key corporate results	2		
Overall Score:	2.5		
Overall Rating:	Satisfactory		High confidence

MI 7.5: Performance data transparently applied in planning and decision-making

Element	Score	Narrative	Source Documents
Element 1 : Planning documents are clearly based on performance data	3	There is clear evidence of systems in place to promote the transparent application of performance data in planning and decision-making, and some evidence that this has occurred in programming decisions.	2, 4, 7, 12, 13, 35, 42, 50, 51, 53, 62
Element 2: Proposed adjustments to interventions are clearly informed by performance data	3	In 2015 UNEP exceeded its target on the percentage of unearmarked resources being allocated based on performance information, but not its target on management action in response to performance information.	
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3	The establishment and development of the Quality Assurance section and the introduction of annual programme performance reports are indicative of organisational efforts to improve the identification and application of performance data. External stakeholders were very positive about UNEP's application of performance data.	
Element 4: Performance data support dialogue in partnerships at global, regional and country level	3		
Overall Score:	3	However, some concerns were also identified that a lack of end-to-end coverage of project performance restricts transparent decision making and in some cases performance data at the sub-programme level is not being used effectively.	
Overall Rating:	Satisfactory		High confidence

KPI 8: Evidence based planning and programming applied			
Overall KPI Rating	**3.13**	**Overall KPI**	**Highly Satisfactory**

MI 8.1: A corporate independent evaluation function exists

Element	Score	Narrative	Source Documents
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance *(operational independence)*	4	An independent corporate evaluation function (the Evaluation Office) exists and is operating effectively and there is evidence that strong safeguards are in place to ensure ongoing independence. Recent external assessments of the quality of UNEP independent evaluations have been rated as good to very good. Evidence points to UNEP's efforts to improve the independence and functioning of its evaluation system since 2010. The UNEG Peer Review of UNEP's evaluation function in 2012 concluded that "UNEP follows the UNEG Norms and Standards in evaluation. The evaluation function is independent, well established."	3, 4, 7, 12, 15, 16, 27, 33, 34, 35, 36, 38, 40
Element 2: The Head of Evaluation reports directly to the Governing Body of the organisation *(Structural independence)*	2		
Element 3: The evaluation office has full discretion in deciding the evaluation programme	4	The Evaluation Office reports to the Executive Director and its work programme is decided independently and not influenced by division/programme managers.	
Element 4: A separate budget line (approved by the Governing Body) ensures *budgetary independence*	1		
Element 5: The central evaluation programme is fully funded by core funds	2	While the Evaluation function is strong, improving and has been well-rated by the UNEG Peer Review and the UN Joint Inspection Unit, these documents noted that greater independence could be achieved through a dedicated budget, and through more regular and systematic reporting to governing bodies, for example with a reporting line leading directly to the Governing Body. These issues do not represent significant causes for concern with regards to independence but are possible areas for improvement.	
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	4		
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by	4		

those involved in implementing the unit of analysis being evaluated. *(Behavioural independence)*			
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 8.2: Consistent, independent evaluation of results (coverage)

Element	Score	Narrative	Source Documents
Element 1 : An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	4	Despite resource constraints, evaluation coverage is adequate. External stakeholders in particular were highly positive about the consistency and transparency of UNEP's approach to evaluation. Evaluation targets are set out in the recently adopted (2016) Evaluation Policy.	2, 3, 4, 7, 9, 12, 15, 34, 35, 36, 39, 50, 51, 52, 53
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	3	Evaluation coverage is to some extent constrained by the level of resources available to the Evaluation Office. Since 2010, UNEP has adjusted the project size criteria for evaluations (mandatory evaluations are only required for projects exceeding $ 1 million) and adopted a mechanism for prioritising evaluations, although this led to coverage skewed towards GEF projects. The 2014 JIU assessment of UNEP evaluation coverage concluded that 'evaluations are planned and prioritised according to clear and strategic selection criteria which allow for flexibility and maximum coverage'. While evidence indicates that coverage for project evaluations appears adequate, there is room for further improvement. In the 2014-15 biennium UNEP was only able to independently evaluate 65% of projects over $1 million, compared to the organisational target of 100%.	
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	3		
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisations' Interventions, reflecting key priorities	3		
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	3	The provision of additional staff and dedicated budget allocations from projects (as mentioned under MI 8.1) should help increase coverage and reduce time lags for completing evaluations. During the 2014-15 biennium the Evaluation Office increased its upstream evaluation focus and expanded its evaluation coverage of corporate and sub-programme strategies/performance. Evaluations of key cross cutting issues (for example, gender) were also undertaken. The evidence suggests that there is still room for further strategic and thematic evaluations which would include evaluations of the linkages between UNEP's normative work and its link to technical cooperation.	
Overall Score:	3.2		
Overall Rating:	Highly satisfactory	External stakeholders were very positive about the consistency and transparency of UNEP's approach to evaluation.	High confidence

MI 8.3: Systems applied to ensure the quality of evaluations

Element	Score	Narrative	Source Documents
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	4	There is internal and external evidence of quality systems for evaluations being in place and working effectively. Project evaluations have consistently received sufficient or good quality requirement ratings, including those quality assessed by the Independent Evaluation Office of the GEF.	2, 4, 12, 15, 16, 33, 34, 35, 37
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	4	Some concerns were raised in the UNEG (2012) Peer Review of the UNEP evaluation function on the robustness of project evaluations, due to the relatively small budgets available for project evaluations, a limited involvement of partner governments and a restricted call on national consultants. The report also provides indications of how systems to ensure quality could be further improved (e.g. external evaluation reference groups for larger evaluations).	
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	4		
Element 4: The methodology presented incudes the methodological limitations and concerns	4		
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	3		
Overall Score:	3.8		
Overall Rating:	Highly satisfactory		High confidence

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MI 8.4: Mandatory demonstration of the evidence base to design new interventions

Element	Score	Narrative	Source Documents
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	4	UNEP has in place systems and processes to ensure that evidence-based planning and programming is applied. While the need to demonstrate a clear evidence base was previously only mandatory for UNEP GEF projects, UNEP now requires all projects to demonstrate a clear evidence base for proposed interventions. External stakeholders were very positive about this MI, with nearly all stating that UNEP is at least 'fairly good' at ensuring that all new intervention designs include a statement of the evidence base. It is not always clear, however, how and where lessons have been applied. Furthermore, the UNEG Peer Review identified some reports of new project phases or follow-up projects starting before the previous one had been evaluated. More recent evidence around whether this has since been addressed has not been identified.	12, 35, 36
Element 2: Clear feedback loops exist to feed lessons into new interventions design	3		
Element 3: There is evidence that lessons from past interventions have informed new interventions	3		
Element 4: Incentives exist to apply lessons learnt to new interventions	2		
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	1		
Overall Score:	2.6		
Overall Rating:	Satisfactory		High confidence

MI 8.5: Poorly performing interventions proactively identified, tracked and addressed

Element	Score	Narrative	Source Documents
Element 1: A system exists to identify poorly performing interventions	4	Project management procedures around performance tracking are outlined in the Programme Manual. UNEP's MTS 2014-17 introduced a new project-at-risk system as an integral component of PIMS, to identify, track and address projects which are not meeting specific dimensions of project performance. Senior management meets monthly to review projects at risk and advise on necessary remedial action. Measures to address poorly performing projects include higher prioritisation for mid-term evaluation. Progress at a sub-programme level is measured and reported against targets on a 6 monthly basis and progress is presented in the programme performance report. The Evaluation Office advised that there has been an observable improvement in project performance and results delivery relative to the last biennium. External stakeholders – including those partners actually implementing UNEP projects – were highly positive about performance against this MI.	3, 12, 35, 36, 53
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	4		
Element 3: A process for addressing the poor performance exists, with evidence of its use	2		
Element 4: The process clearly delineates the responsibility to take action	3		
Overall Score:	3.25		
Overall Rating:	Highly satisfactory		High confidence

MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations

Element	Score	Narrative	Source Documents
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	4	Evaluation reports include management responses and timed action plans. There is clear evidence of accountability systems for responses to and use of evaluation recommendations. Systems are also in place to track compliance with requirements. There is clear evidence of a substantive improvement in compliance rates in terms of implementing evaluation recommendations but there appears to be room for continued improvement. For example, the PPR 2014-15 indicates that the target for implementation of recommendations for 2015 was 80% but only 66% was reported. There appear to be weaknesses in UNEP's knowledge management systems and processes, particularly with regards to ensuring that lessons learnt are fully incorporated into programming. The UNEG Peer Review identified concerns over a lack of ownership of recommendations by the technical entities responsible for evaluated activities; UNEP's management response to this evaluation suggested that this concern is being addressed. The SMT has overall responsibility for overseeing the management response to implementation of evaluation recommendations and that lessons learnt identified through evaluations are incorporated into future programming. There has been an increasing trend towards greater devolution of responsibility to project/programme managers for follow-up and implementation of evaluation recommendations, which could help address the concerns raised in the UNEG Peer Review about the level of ownership and accountability at the technical programme level. There was a positive external perception against this MI, with 84% of respondents rating the statement "[UNEP] follows up any evaluation recommendations systematically" as at least "fairly good."	3, 4, 12, 15, 16, 34, 35, 36, 37, 40, 53
Element 2: Management responses include an action plan and /or agreement clearly stating responsibilities and accountabilities	3		
Element 3: A timeline for implementation of key recommendations is proposed	3		
Element 4: A system exists to regularly track status of implementation	4		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	2		
Overall Score:	3.2		
Overall Rating:	Highly satisfactory		High confidence

MI 8.7: Uptake of lessons learned and best practices from evaluations

Element	Score	Narrative	Source Documents
Element 1: A complete and current repository of evaluations and their recommendations is available for use	3	There is evidence of UNEP having intent and systems in place to support the uptake of lessons, and some direct evidence of lessons having been applied. External stakeholders were very positive about UNEP's approach to lesson learning. However, the approach does not appear to be systematic. This is attributed in part to the inadequacy in the systems provided, including an underdeveloped knowledge management strategy. UNEP's move towards higher level evaluations does show that concerns of limited uptake of lessons at the policy level are being addressed, but evidence suggests that an effective prior system for lesson learning (annual reporting on lessons learned from evaluations) has been discontinued. Evaluation synthesis reports for 2012-13 and 2014-15 have been produced to facilitate lesson learning. While there is evidence that UNEP has significantly increased the amount of historical project information that is available to project/programme managers to inform design, the systems in place to access and use this information is viewed as cumbersome and time consuming by UNEP staff. The knowledge management system also appears to be more outputs rather than outcomes/results focused and the results of evaluations do not appear well integrated into UNEP's knowledge management and learning initiatives. It is evident that UNEP's knowledge management/lessons learnt system has weaknesses and needs strengthening and streamlining. Another major weakness in UNEP's lessons learnt information base is the lack of post project sustainability and effectiveness information. UNEP evaluations generally target mid-term and terminal assessments but post-project evaluations are rare. There is evidence of intent to address the issue of weak knowledge management. UNEP is in the process of updating the lessons learnt tool; the evaluation synthesis for 2014-15 has been produced in order to facilitate lesson learning; and the move towards evidence based programming should also assist in integrating lessons learnt within proposed new interventions.	3, 4, 5, 7, 12, 15, 16, 17, 34, 35, 36, 39, 40, 50, 51, 62
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	3		
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	3		
Element 4: A system is available and used to track the uptake of lessons learned	2		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	2		
Element 6: Evidence is available that lessons learned and good practices are being applied	3		
Element 7: A corporate policy for Disclosure of information exists and is also applied to evaluations	4		
Overall Score:	2.86		
Overall Rating:	Satisfactory		High confidence

Performance Area: Results

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/country level, and contribution to normative and cross-cutting goals			
Overall KPI Score	n/a	**Overall KPI Rating**	**Satisfactory**

MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results

Rating	Narrative	Source Documents
Satisfactory *Organisations either achieve at least a majority of stated output and outcome objectives (more than 50% if stated) or the most important of stated output and outcome objectives are achieved*	UNEP has embraced a results based approach, and the 2018-2021 MTS provides a clearer long term results framework/target for projects/sub-programmes. Evidence shows that overall UNEP has a solid level of performance across its results hierarchy. There are – based on internal review and UNEP commissioned 'independent' evaluations – some strong examples of high performance. In 2014-15, evaluations found projects mostly satisfactory in terms of achieving planned results; this was lower than in 2010-11, but this has been correlated to more stringent evaluation criteria, and there has been a positive trend since the last biennium. However, it also apparent that targets and expected accomplishments are often pitched in terms of outputs rather than outcomes/results. Monitoring of results beyond outputs is thereby sometimes restricted, making it difficult to develop an accurate/evidence based assessment of performance. For example, the climate change sub-programme lists an increased number of countries that adopt renewable energy and energy efficiency programs as an outcome/result, when in fact it is an output that could help deliver actual results compared to actual impact (reduced emissions). More systematic use of Theory of Change approaches, including at a strategic level in the MTS 2018-21, are starting to address this concern.	2, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 62 Medium confidence

MI 9.2 Interventions assessed as having realised the expected positive benefits for target group members

Rating	Narrative	Source Documents
Satisfactory *Interventions have resulted in positive changes experienced by target group members (at the individual, household or community level). These benefits may include the avoidance or reduction of negative effects of a sudden onset or protracted emergency*	There are clear instances where UNEP has met the needs of target beneficiaries, though the evidence base suggests that target beneficiary analysis and monitoring is often weak within UNEP projects and could be improved. This has resulted in there being limited data against this MI, and several documents specifically indicated an absence of documented evidence/assessment of the actual project impact for target beneficiaries. This is an area where UNEP may need to devote greater attention in terms of project reporting and monitoring in order to substantiate whether expected results have been delivered to target beneficiaries.	42, 43, 44, 46, 48, 51, 53, 62 Medium confidence

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programs (policy and capacity impacts), or needed system reforms

Rating	Narrative	Source Documents
Satisfactory *Interventions have made a substantial contribution to either re-orienting or sustaining effective national policies and programmes in a given sector or area of development disaster preparedness, emergency response or rehabilitation*	UNEP is demonstrating that strategically positioned, well-engineered and executed programmatic approaches can contribute to national policy/programming changes or systemic reforms. UNEP has/is engaging in a number of ways so that it is poised to contribute to significant changes in national development policies and programmes, and systemic reforms. This has been made possible through – in some cases – a deliberate and effective programmatic approach that includes working in partnership with other international organisations. In other cases, UNEP's interventions and contributions are intermediate in nature, with UNEP interventions contributing to a valued platform/foundation which creates the potential to lead on to a significant change in the future. Project documentation does not always communicate quantifiable evidence of actual impacts, the causal pathways of change, or whether the policies and strategies that UNEP has helped to deliver are sustained. Issues that may be constraining UNEP's ability to contribute to this type/ level of change are; ensuring that any direct action has a clear link with the pursuit of strategic influence, and leveraging the national–regional connection for achieving strategic influence. Some changes at the regional level are evidenced, but it is not clear if/how these can lead to context relevant country-level changes.	40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 62 **High Confidence**

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women

Rating	Narrative	Source Documents
Satisfactory *Interventions achieve a majority (more than 50%) of their stated objectives*	Considerable progress has been made in mainstreaming gender across the organisation and ensuring projects are screened for gender aspects at the project design stage. There is clear evidence of positive performance on gender at the corporate systems and operations level and some evidence that UNEP has delivered improved gender outcomes through its interventions at the project level (supported by documented case studies). However, the evidence is less compelling at the project/programme implementation level and suggests that across UNEP's overall project portfolio, insufficient attention is given to gender related outcomes at the implementation stage. Less than half of the gender related components in current UNEP projects have actual allocated budgets, gender related data is limited, and project reporting on gender aspects is often inadequate. Several independent assessment documents (internal and external) have identified limited evidence of gender results in project reporting and limited availability of gender disaggregated data. This may in part be due to the lack of a gender-related data field in PIMS, but also the result of limited efforts to monitor gender outcomes and collect gender specific information at the project level. Overall, specific examples of positive gender outcomes from projects exist, but a focus on monitoring and reporting on gender is not systematically embedded across the organisation. This is an area that UNEP underperforms in, and would benefit from devoting greater attention to.	42, 45, 46, 47, 48, 49, 50, 51, 52, 53, 62 High confidence

MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change

Rating	Narrative	Source Documents
Highly satisfactory *Interventions include substantial planned activities and project design criteria to achieve environmental sustainability and contribute to tackle the effects of climate change. These plans are implemented successfully and the results are environmentally sustainable and contribute to tackling the effects of climate change*	UNEP has made – and continues to make – a substantive contribution in moving the climate change agenda forward at the global level, particularly with regards to increasing awareness and knowledge. Evidence of successful initiatives includes the Climate and Clean Air Coalition and The Portfolio Decarbonisation Coalition, and examples of increasing the information base include the Emissions Gap Report and the Climate Technology Centre and Network. UNEP also clearly contributes to improved environmental governance at the global and national levels. There is evidence of building country capacity at the policy and planning level, especially in relation to ecosystem based management. Overall there is evidence of strong performance in these higher level influencing areas. UNEP's climate change sub-programme received a high performance rating for the 2014-15 biennium, relative to agreed performance indicators and there is documented evidence of good performance results in some sub-programme areas, particularly in the GEF project portfolio and those related to environmental governance and sustainable environmental management practice. In terms of the actual impact and results delivered at the country level it is more difficult to ascertain the level of performance and achievement due to limited evidence of actual impacts and the type and coverage of indicators used for performance assessment (output/process oriented). Project evaluations have at times encountered difficulty determining results that can be directly attributed to UNEP interventions. For example, actual emission reductions delivered, new policies implemented, or adaptation/resilience achieved, are rarely documented. Country level evidence of UNEP's contribution to actual results and impacts is often limited or vague. Adopting better targeted indicators and improved project reporting on actual impacts achieved may help to develop a stronger evidence base against which performance can be assessed.	38, 40, 41, 42, 43, 45, 46, 47, 48, 49, 50, 51, 52, 53, 62 High confidence

MI 9.6: Interventions assessed as having helped improve good governance

Rating	Narrative	Source Documents
Satisfactory *Interventions include some planned activities and project design criteria to promote or ensure 'good governance'. These activities are implemented successfully and the results have promoted or ensured 'good governance'*	At the global level UNEP has directly contributed to improved governance in relation to issues such as mercury and chemicals management, biodiversity and ecosystem management. UNEP has also assisted countries to integrate the environment into development processes (for example through the Poverty and Environment Initiative). There is clear evidence that UNEP has made a significant contribution to improving environmental governance. The evidence base for broader governance matters (social inclusion/justice/indigenous people) is less well documented, although UNEP generally takes an inclusive approach to its work, using principles of good governance across its functions and adheres to UN best practice guidelines. There is evidence of the application of these principles in practice (for example through the UN REDD programme). While evaluations have not raised specific concerns or evidence of non-compliance in terms of social inclusiveness and safeguards, the documented evidence base is thin in this area and does not appear to be an important element of project reporting. In summary, there are clear achievements with regards to *environmental* governance, but the evidence base for broader governance-related results is not well documented and this area does not appear to be an area of focus for project reporting.	38, 40, 42, 44, 47, 48, 51, 52, 53, 62 Medium confidence

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the multilateral organisation works towards results in areas within its mandate			
Overall KPI Score	n/a	**Overall KPI Rating**	**Satisfactory**

MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups

Rating	Narrative	Source Documents
Satisfactory *Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group*	There is considerable evidence of UNEP's positive performance in terms of meeting the needs and priorities of target groups, with projects and programmes receiving good performance ratings in terms of relevance. Overall the evidence supports the view that UNEP interventions do, on the whole, align with target group needs and priorities, reflecting a widespread recognition and appreciation at global, regional and country level of UNEP's mandate. However, there is some evidence to suggest that results delivered for target beneficiaries are not always effectively tracked and assessed, and that UNEP needs to establish a stronger evidence base in this regard. Furthermore, the depth and breadth of stakeholder consultation and target beneficiary impact assessment is often limited with UNEP projects. This has led to some specific concerns raised in the evidence which are not necessarily widespread, but includes; distinguishing and addressing the specific needs of end-users, distilling and engaging with the most contentious issues affecting target groups, and adequately distinguishing between specific needs of global audience, regional and country level and between sub-regions and countries, given the different contexts in which UNEP works. The current process of strengthening its regional and sub-regional presence and engagement at the country level/sub-regional level should help to further strengthen UNEP's ability to be aligned with priority needs of countries and specific target groups. Increased stakeholder consultation and engagement during project design and implementation would build a stronger evidence base.	2, 38, 42, 43, 44, 45, 47, 49, 50, 51, 52, 53, 62 High confidence

MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives

Rating	Narrative	Source Documents
Satisfactory *Interventions have contributed substantially to the achievement of specific national development goals or have contributed to meeting humanitarian relief objectives agreed to with the national government and/or the humanitarian community*	There is evidence that UNEP interventions/activities have helped countries meet their national sustainable development goals and objectives, especially in terms of environmental governance and improved management of natural resource assets. The integration of environmental issues into sector policies, and improved governance of important natural resource assets, help underpin sustainable development and help meet development objectives. For example, the Climate Change Sub-programme has assisted countries to develop national mitigation and adaptation strategies that could potentially help manage climate risk and contribute to the long term sustainability of their economic systems. There is some evidence of UNEP interventions contributing to the realisation of national development goals and objectives, but there are a number of factors that make this challenging to achieve, leaving a sense of UNEP 'falling short'. UNEP's limited country level presence to some extent constrains its ability to contribute to delivery of national development goals, and it is largely dependent on strong partnerships. The current process of strengthening its regional and sub-regional presence should provide a stronger basis for this aspect.	40, 45, 46, 47, 48, 49, 50, 51, 52, 53, 62 High confidence

MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem

Rating	Narrative	Source Documents
Satisfactory *The organisation has improved the effectiveness of its partnership relationship with partners over time and improvements are noted in evaluations*	There is evidence of positive performance in terms of delivering coherent responses to identified problems. Most project designs are based on sound problem analysis and provide a clear rationale for proposed interventions. Efforts are also made to integrate the work of other UNEP subprograms, and align with broader national, regional and global work of other agencies. Some evaluations provide evidence of lack of coherence between different UNEP activities, but the improved work planning processes are likely to lead to continued improvements in this regard. There is clear evidence that UNEP has been central to the delivery of results on a range of major global environmental issues, especially through MEAs. UNEP's interventions at the country level have also delivered results as part of broader coordinated national response in partnership with other agencies, though strengthening engagement and alignment with the work of other agencies (especially with other UN agencies) has been raised in some documents as an area that UNEP needs to devote increased attention to in order to maximise development impact. The delivery of results from UNEP's interventions must be viewed in the context of the complex mix of competing social, political and economic forces at work. Even the best designed and executed intervention may fail to deliver results due to other forces that are not always under UNEP's control. Nonetheless concerns have been raised in some evaluations that project interventions are not always flexible in terms of responding to changed conditions/contexts, or the under-delivery of results. For example, an evaluation of the UN REDD+ programme noted that despite a substantial and sustained investment over many years the mechanism has evolved much more slowly than expected (with limited impact in terms of actual emission reductions achieved); the changed context is not reflected in the project design documents and associated work programmes. UNEP's efforts to embed RBM into programme planning and resource allocation decision making should help address a sometimes perceived lack of responsiveness to changing contexts, increasing UNEP's flexibility and enabling the organisation to more effectively track and deliver results. The move to link programme strategies and interventions with longer term results targets in the 2018-2021 MTS, and the associated programme of work (2018-19), should also help to address this. Additionally, the current process of strengthening its regional and sub-regional presence will ensure that UNEP's interventions are able to build increased integration with the work of other agencies, and leverage greater development impacts.	39, 42, 43, 45, 47, 53, 62 High confidence

KPI 11: Results delivered efficiently			
Overall KPI Score	n/a	**Overall KPI Rating**	**Satisfactory**

MI 11.1: Interventions assessed as resource/cost efficient

Rating	Narrative	Source Documents
Satisfactory *Results delivered when compared to the cost of activities and inputs are appropriate even when the program design process did not directly consider alternative program delivery methods and their associated costs*	UNEP has performed well in terms of achieving its targets relative to allocated budgets, and the organisation achieved a positive performance rating for the 2014-15 biennium. There is clear intent to build on existing resources and complementarities with other initiatives and evidence that cost-saving efforts within projects have been made, including through use of existing systems and through strategic partnerships that leverage the work of other agencies. Some concerns have been raised about the cost effectiveness of specific project-level activities suggesting that cost efficiency measures are not implemented systematically across programmes, or within project design, and that there remains further potential for cost savings through taking better advantage of synergies within partnerships. Descriptions of cost-savings measures during implementation are often reported as being more likely to be the result of changing circumstances leading to resource constraints that force project teams to find ways to make savings. At the organisational level, concerns around the cost effectiveness of overall project design, approval and stakeholder consultation processes have been raised, suggesting that these processes are transaction intensive and increase administrative costs. Balancing the need for effective project screening, stakeholder consultation and approvals processes to ensure that the project is justified and meets best practice requirements, against the administrative costs this incurs, can be challenging. Overall though, UNEP appears to have achieved a reasonable balance between project rigour and administrative cost efficiency. While continued efforts to streamline internal processes could potentially deliver further efficiency improvements, the current processes are reasonably efficient and effective in terms of results delivery.	2, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 62 High confidence

MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)

Rating	Narrative	Source Documents
Satisfactory *More than half of intended objectives of interventions are achieved on time, and this level is appropriate to the context faced during implementation, particularly for humanitarian interventions.*	Implementation delays due to funding disbursement, administrative approval delays, and delays associated with staff recruitment are frequently raised in evaluation documents. Evidence from sub-programme evaluations in particular suggest that UNEP commonly faces funding disbursement delays and administrative delays and that this in turn can impact on cost efficiency. Staff recruitment times can be long and protracted (not always within UNEP's control) and project planning, screening, approval and reporting processes can delay project start-up and implementation, though these are often due to either project design deficiencies or inadequate/untimely reporting. Concerns have also been raised that project timelines are often unrealistic and too ambitious in terms of delivering sustainable results. There is evidence that UNEP has put in place measures to improve administrative efficiency and reduce the likelihood of delays, and also that potential delays or unrealistic timelines have often mitigated by strong project management and coordination, thanks to effective personnel or partners (e.g. timely delivery of GEO-5). Overall, in terms of significance, administrative delays seem less of an issue than unrealistic project delivery timeframes, though could be improved (especially reducing recruitment times).	2, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 62 High confidence

KPI 12: Sustainability of results			
Overall KPI Score	**n/a**	**Overall KPI Rating**	**Satisfactory**

MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations, to recover, resilience eventually, to longer-term developmental results

Rating	Narrative	Source Documents
Satisfactory *Evaluations assess as likely that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, the strategic and operational measures to link relief to rehabilitation, reconstruction*	There is clear evidence of UNEP's intent to ensure its interventions are sustainable, and considerable emphasis is placed on this issue during project design and implementation stages. Evidence suggests that UNEP has achieved some success with regards to the longer term sustainability of results. There is evidence of sustainable outcomes at the global and normative level, and for the 2014-15 work program, UNEP received a higher rating than the previous biennium in terms of project sustainability. Nonetheless, the evidence on overall performance is mixed at the project level. UNEP's Programme Performance Reporting points to a gradual improvement in assessed sustainability of outcomes for projects over the last three biennium, attributed to strong country ownership. However, in 2015, half of projects were still only evaluated as being moderately satisfactory in this regard. Evaluation documentation suggests that few projects articulate a clear sustainability/exit strategy, and that the actual sustainability of results is at times overestimated. Identified likely risks to sustainability of UNEP project outcomes, beyond the intervention timeframes, include lack of financing for certain aspects that need to be continued, insufficient capacity building of local stakeholders, lack of attention to building 'buy in' from policy makers, and external factors not necessarily within the project's control. Furthermore, the lack of post-project evaluation makes it difficult to assess the real level of sustainability achieved. In summary, while there is clear *intent* to ensure interventions are sustainable, it appears that there has been a lack of effective measures put in place to actually sustain results beyond project completion.	2, 39, 40, 41, 42, 43, 46, 47, 48, 51, 52, 53, 62 High confidence

MI 12.2: Interventions/activities assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government.

Rating	Narrative	Source Documents
Satisfactory *Interventions may have contributed to strengthening institutional and/or community capacity but with limited success*	Overall, documentary evidence suggests a relatively strong degree of national ownership of UNEP interventions and a clear commitment and intent from UNEP to build sustainable institutional capacity. Evidence from evaluations and programme performance reporting paints a relatively positive picture of the degree of national ownership, with this reported as one of the higher performing factors positively affecting project performance. Evaluation findings suggest that a clear articulation of the importance of government buy-in for sustainability emerges from UNEP project and sub-programme approaches. However, some evaluations have raised concerns about the real extent of country ownership; it appears that this is not yet fully achieved and an area for further potential improvement. In particular, devoting sufficient time to achieve results (adopting longer term project time frames) and ensuring financial sustainability (ensuring a long term commitment from governments/communities to provide resources to sustain activities) are two areas that appear to warrant greater focus. It is also clear that where country-level champions exist, the degree of ownership tends to be higher than where they are absent. Some documents also suggest that UNEP needs to broaden its focus beyond the target community (particularly environmental ministries) and build greater buy-in of a cross-sectoral nature, especially amongst economic-related ministries.	40, 41, 42, 43, 44, 46, 47, 48, 49, 50, 51, 52, 53, 62 High confidence

MI 12.3. Interventions/activities assessed as having strengthened the enabling environment for development

Rating	Narrative	Source Documents
Satisfactory *Interventions have made a notable contribution to changes in the enabling environment for development including one or more of: the overall framework and process for national development planning; systems and processes for public consultation and for participation by civil society in development planning; governance structures and the rule of law; national and local mechanisms for accountability for public expenditures, service delivery and quality; and necessary improvements to supporting structures such as capital and labour markets*	There is evidence that UNEP has contributed to a strengthened enabling environment for development, especially at the global level. Assessing progress at the country level is more difficult given the limited evidence base available but, where available, the evidence suggests that interventions are mostly rated highly in their contributions to an enabling environment for development. This includes by providing increased confidence to future donors, contributing to behaviour changes, increasing national institutional capacity, and demonstrating viable approaches for future replication. There have been a few exceptions where project evaluations (and one sub-programme evaluation) have not been assessed positively under this MI. The evidence suggests that the participation of stakeholders during project implementation, for example, does not necessarily lead to an environment that will sustain an intervention. UNEP does appear to recognise this, however, and works for broader policy change in addition to gaining stakeholder buy in, to support the enabling environment for development. Various examples of these types of policy changes being successfully achieved are provided in UNEP's programme performance reporting.	40, 42, 43, 44, 45, 46, 49, 50, 51, 52, 53, 62 High confidence

Annex 2: List of documents analysed for UNEP

2a) Bibliography

Full name of document
UNEP (2014), *Annual Report 2014*
UNEP (2015), *Programme Performance Report 2014*
UNEP (2015), *Medium Term Strategy 2014-2017*
UNEA; UNEP (2014), *Proposed revised biennial programme of work and budget for 2014-2015*
UNEP, *Funding Strategy*
UNEP (2014), *Environment report as at 30th June 2014*
UNEP (2014), *UN Board of Auditors*: Financial report and audited financial statements for the year ended 31 December 2014 and Report of the Board of Auditors
UNEP Standard Operational Procedures (SoPs) on management of funds received under the Programme Cooperation Agreements
UNEP (2015), *Internal Audit Division Report 2015/007*: Audit of the activities performed by UNEP relating to the UN Collaborative Programme on Reducing Emission from Deforestation and Forest Degradation in Developing Countries
Internal Audit Division Report 2014/062: Audit of the UNEP Ozone Secretariat
Internal Audit Division Report 2015/058: Audit of the UNEP Regional Office for Latin America and the Caribbean
UNEP Programme Manual
UNEP Programme Performance Monitoring Policy
UNEP Partnership Policy and Procedures
UNEP Evaluation Policy
UNEP Evaluation Manual
UNEP (2014), *Policy and Strategy for Gender Equality and the Environment 2014-17*
UNEP (2015), *Environmental, Social and Economic Sustainability Framework*
UNEP (2012), UNEP *and Indigenous Peoples: A Partnership in Caring for the Environment - Policy Guidance*
UNEP Access-to-Information Policy
UNEP (2014), *Knowledge Management Strategy 2014-2017 and Implementation Plan Outline*
UN Enterprise Risk Management and Internal Control Policy

UNEP (2010), *UN Secretariat Administrative instruction:* Performance Management and Development System

UNEP (2002), Staff Performance Appraisal System

UNEP Policy Paper Strengthened UNEP Strategic Regional Presence: Contributing to the Future We Want

UNEP Healthy waters for sustainable development: UNEP Operational strategy for freshwater (2012-2016)

UNEP Organogram

Main UNEP Secretariat presence

UN General Assembly Change of the designation of the Governing Council of UNEP

UNEP Standard Operating Procedures (SOPs) (Recruitment; Donor Agreements; Contributions; Projects)

Proceedings of the United Nations Environment Assembly of the United Nations Environment Programme at its first session

UNEP Gender SWAP Report 2014

Analysis of the Evaluation Function in the UN System

Prom-Jackson; A. Bartsiotas (2014), *Maturity Matrix - The Evaluation Function in the UN System*

UNEP, *United Nations Evaluation Group Professional Peer Review of the Evaluation Function:* United Nations Environment Programme

UNEP Management Response to Peer Review

GEF Independent Evaluation Office GEF Annual Performance Report 2014

Mid-term evaluation of UNEP Medium-term Strategy 2010-2013

UNEP (2015), *Formative Evaluation of the UNEP Medium-term Strategy 2014-2017*

UNEP (2014), *2012-2013 Evaluation Synthesis Report*

UNEP (2014), *Terminal Evaluation of the Project "Communities for Conservation: Safeguarding the World's Most Threatened Species (Andes Region)"*

UNEP (2014), *Terminal Evaluation of the Project "African Rural Energy Enterprise Development II" (AREED II)*

UNEP (2014) Terminal Evaluation of the UNEP GEF Project Partnering for Natural Resource Management

UNEP (2014) Terminal Evaluation of the UNEP GEF Project Malaria Decision Support Tool

UNEP (2014) Terminal Evaluation of GEO5

UNEP (2014) *Terminal Evaluation of Implementing Sustainable Water Resources and Wastewater Management in Pacific Island Countries*

UNEP (2014) External Evaluation of the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (the UN-REDD Programme)

UNEP (2015) Terminal Evaluation of the UNEP Project Demonstrating and Capturing Best Practices and Technologies for the Reduction of Land Sourced Impacts Resulting from Coastal Tourism (COAST)

UNEP (2015) Terminal Evaluation of the UNEP/GEF Project "A Global Initiative on Landscapes for People, Food and Nature"

UNEP (2015), *Evaluation of the UNEP Sub-programme on Ecosystem Management*

UNEP (2015), *Evaluation of the UNEP Sub-programme on Climate Change*

UNEP (2015), *Evaluation of the Chemicals and Waste Sub-programme*

UNEP Programme Performance Report 2014-2015

UNEP Medium Term Strategy 2018-2021

UNEP Strengthened UNEP Strategic Regional Presence: Contributing to The Future We Want - Operational Guidance Note

UNEP ROLAC Contribution to UN Coherence at Regional and National Levels

UNDG Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF: A Guidance Note for United Nations Country Teams and Implementing Partners Teams

UNEP Delegation of Authority Policy and Framework

UNIOS Detailed results on an audit of the implementation of Umoja in Nairobi-based entities

UNEA Note by the Executive Director on the Implementation of the Quadrennial Comprehensive Policy Review (QCPR)

Results of the sixty-eighth session of the General Assembly of relevance to the United Nations Environment Assembly

UNEP (2014), *2014-2015 Evaluation Synthesis Report*

Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Processes - Terminal Evaluation Report

Inspira e-Performance Handbook

2b) List of documents numbered as source material for Document Review

Document number	Full name of document
1	UNEP (2014), *Annual Report 2014*
2	UNEP (2015), *Programme Performance Report 2014*
3	UNEP (2015), *Medium Term Strategy 2014-2017*
4	UNEA; UNEP (2014), *Proposed revised biennial programme of work and budget for 2014-2015*
5	UNEP, *Funding Strategy*
6	UNEP (2014), *Environment report as at 30th June 2014*
7	UNEP (2014), *UN Board of Auditors*: Financial report and audited financial statements for the year ended 31 December 2014 and Report of the Board of Auditors
8	UNEP Standard Operational Procedures (SoPs) on management of funds received under the Programme Cooperation Agreements
9	UNEP (2015), *Internal Audit Division Report 2015/007*: Audit of the activities performed by UNEP relating to the UN Collaborative Programme on Reducing Emission from Deforestation and Forest Degradation in Developing Countries
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12	UNEP Programme Manual
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14	UNEP Partnership Policy and Procedures
15	UNEP Evaluation Policy
16	UNEP Evaluation Manual
17	UNEP (2014), *Policy and Strategy for Gender Equality and the Environment 2014-17*
18	UNEP (2015), *Environmental, Social and Economic Sustainability Framework*
19	UNEP (2012), UNEP *and Indigenous Peoples: A Partnership in Caring for the Environment - Policy Guidance*
20	UNEP Access-to-Information Policy
21	UNEP (2014), *Knowledge Management Strategy 2014-2017 and Implementation Plan Outline*
22	UN Enterprise Risk Management and Internal Control Policy
23	UNEP (2010), *UN Secretariat Administrative instruction:* Performance Management and Development System

24	UNEP (2002), Staff Performance Appraisal System
25	UNEP Policy Paper Strengthened UNEP Strategic Regional Presence: Contributing to the Future We Want
26	UNEP Healthy waters for sustainable development: UNEP Operational strategy for freshwater (2012-2016)
27	UNEP Organogram
28	Main UNEP Secretariat presence
29	UN General Assembly Change of the designation of the Governing Council of UNEP
30	UNEP Standard Operating Procedures (SOPs) (Recruitment; Donor Agreements; Contributions; Projects)
31	Proceedings of the United Nations Environment Assembly of the United Nations Environment Programme at its first session
32	UNEP Gender SWAP Report 2014
33	Analysis of the Evaluation Function in the UN System
34	Prom-Jackson; A. Bartsiotas (2014), *Maturity Matrix - The Evaluation Function in the UN System*
35	UNEP, *United Nations Evaluation Group Professional Peer Review of the Evaluation Function:* United Nations Environment Programme
36	UNEP Management Response to Peer Review
37	GEF Independent Evaluation Office GEF Annual Performance Report 2014
38	Mid-term evaluation of UNEP Medium-term Strategy 2010-2013
39	UNEP (2015), *Formative Evaluation of the UNEP Medium-term Strategy 2014-2017*
40	UNEP (2014), *2012-2013 Evaluation Synthesis Report*
41	UNEP (2014), *Terminal Evaluation of the Project "Communities for Conservation: Safeguarding the World's Most Threatened Species (Andes Region)"*
42	UNEP (2014), *Terminal Evaluation of the Project "African Rural Energy Enterprise Development II" (AREED II)*
43	UNEP (2014) Terminal Evaluation of the UNEP GEF Project Partnering for Natural Resource Management
44	UNEP (2014) Terminal Evaluation of the UNEP GEF Project Malaria Decision Support Tool
45	UNEP (2014) Terminal Evaluation of GEO5
46	UNEP (2014) *Terminal Evaluation of Implementing Sustainable Water Resources and Wastewater Management in Pacific Island Countries*
47	UNEP (2014) External Evaluation of the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (the UN-REDD Programme)
48	UNEP (2015) Terminal Evaluation of the UNEP Project Demonstrating and Capturing Best Practices and Technologies for the

		Reduction of Land Sourced Impacts Resulting from Coastal Tourism (COAST)
	49	UNEP (2015) Terminal Evaluation of the UNEP/GEF Project "A Global Initiative on Landscapes for People, Food and Nature"
	50	UNEP (2015), *Evaluation of the UNEP Sub-programme on Ecosystem Management*
	51	UNEP (2015), *Evaluation of the UNEP Sub-programme on Climate Change*
	52	UNEP (2015), *Evaluation of the Chemicals and Waste Sub-programme*
	53	UNEP Programme Performance Report 2014-2015
	54	UNEP Medium Term Strategy 2018-2021
	55	UNEP Strengthened UNEP Strategic Regional Presence: Contributing to The Future We Want - Operational Guidance Note
	56	UNEP ROLAC Contribution to UN Coherence at Regional and National Levels
	57	UNDG Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF: A Guidance Note for United Nations Country Teams and Implementing Partners Teams
	58	UNEP Delegation of Authority Policy and Framework
	59	UNIOS Detailed results on an audit of the implementation of Umoja in Nairobi-based entities
	60	UNEA Note by the Executive Director on the Implementation of the Quadrennial Comprehensive Policy Review (QCPR)
	61	Results of the sixty-eighth session of the General Assembly of relevance to the United Nations Environment Assembly
	62	UNEP (2014), *2014-2015 Evaluation Synthesis Report*
	63	Integrating Environmental Sustainability in the UN Development Assistance Frameworks and UN Common Country Programming Processes - Terminal Evaluation Report
	64	Inspira e-Performance Handbook

Annex 3: Process map of the MOPAN 3.0 assessment of UNEP

Starting point

Defining the parameters of the organisation to be assessed

- Strategic apex
- Techno-structure
- Middle line
- Support staff
- Operating core

MOPAN 3.0 assessing Organisational effectiveness and Development effectiveness through a **Generic Framework of Indicators** covering five performance areas /12 Key Performance Indicators / minimum 61 Micro Indicators

	MI	MI	MI	MI
KPI				
KPI				
KPI				

Some limited tailoring of MIs

Joint selection of strategic documentation for the period 2014 - mid 2016

Lines of evidence

Joint identification of interviewees

HQ Interviews and consultations. Different parts and levels of the organisation

Joint identification of targeted respondents

Tailored **Partner Survey** in sample countries and across MOPAN members

- Qualitative responses
- Quantitative responses

Survey data analysis

Interim Document Review

Confidence in the evidence

Final Document Review

Confidence in the evidence

Analysis process: Building the performance story through triangulation and validation

Performance areas

- Strategic management
- Operational management
- Results
- Relationship management
- Performance management

MOPAN 3.0 Scoring and Rating System

Elements/MI Identifying key characteristics

MIs/KPI identifying strengths/weaknesses

KPI/ performance area, identifying a nuanced view on the performance area

MI - scored

KPI - scored

Confidence in the evidence

Element	Element	Element	Element	Element	Element

MI 1	MI 2	MI 3
MI 4	MI 5	MI 6

KPI 3

KPI 4

Conclusions:

An overall assessment of the organisations performance

Key Strengths and Areas of improvement

Trajectory of performance in reference to earlier (if any) MOPAN assessment

Institutional Assessment Report.

Understanding the nature and reality of the organisation → **Understanding how the organisaton is changing: The Performance Journey**

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Annex 4: Results of the MOPAN survey of UNEP Partners

An Evidence Stream for the MOPAN 3.0 assessment of UNEP, 2016

Total number of responses for the UNEP Survey: 124

Respondents by Country.

UNEP

Respondent Type

UNEP

Other, 45, 36%
MOPAN member donor government, 21, 17%
National (public/private) institution, 58, 47%
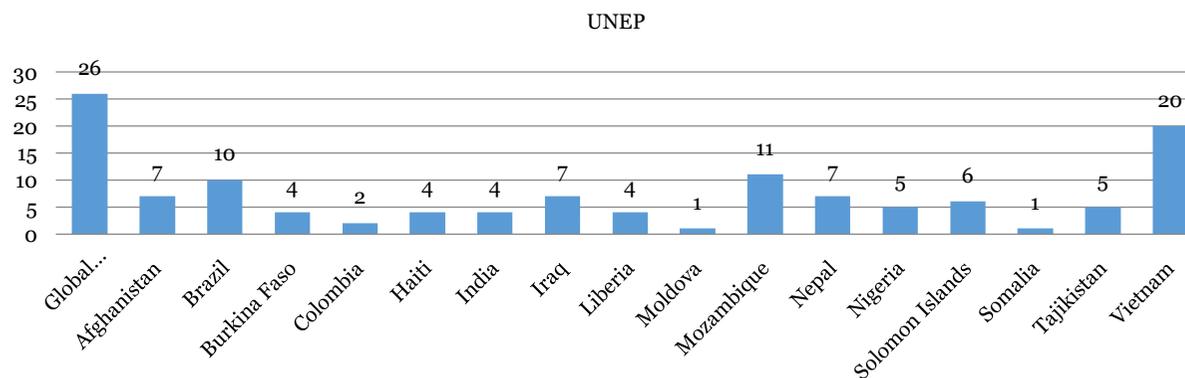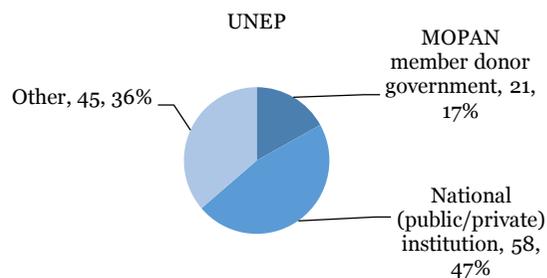
Non-Mopan Member Respondent Type

UNEP

Other , 12, 10%
UN agency/IFI , 13, 10%
INGO or NGO , 23, 19%
MOPAN member donor government, 21, 17%
Academic/research/private sector , 13, 10%
Government , 42, 34%
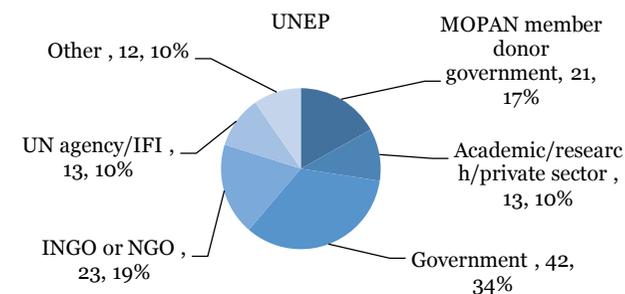
Respondents who identified their geographical focus as "global" were not asked the questions which were only relevant to respondents with a specific country focus. This will be highlighted for the individual questions below.

Staffing

How well do you think UNEP performs in the areas below.

It has sufficient staffing in the sub-region to deliver the results it intends.
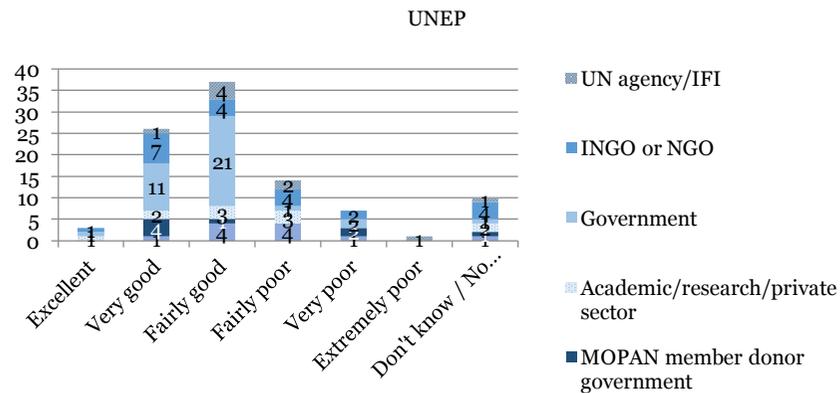
UNEP

Its staff are sufficiently senior/experienced to work successfully in the sub-region.

UNEP
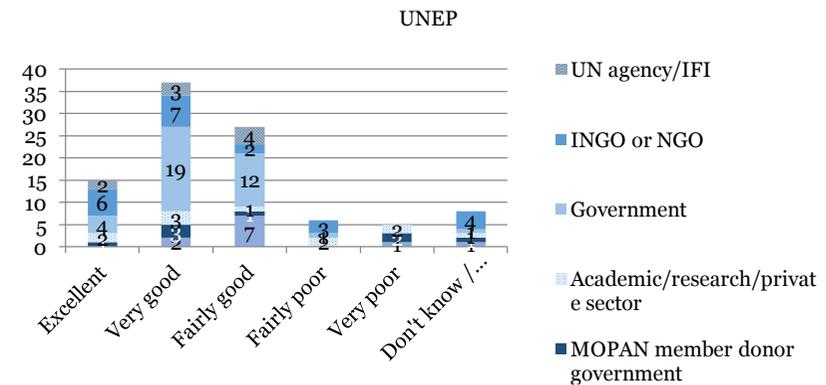
It has sufficient continuity of staff to build the relationships needed in the sub-region.

UNEP

Its staff in the sub-region can make the critical strategic or programming decisions which relate to the needs of countries in the sub-region.
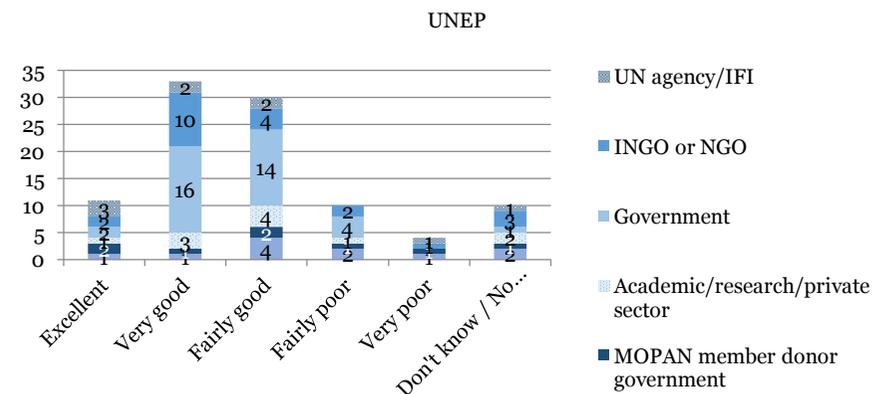
UNEP

Respondents who identified their geographical focus as "global" were not asked to answer these questions since it is only relevant to respondents with a specific country focus.

Managing Financial Resources

How well do you think UNEP performs in relation to the statements below?

It communicates openly the criteria for allocating financial resources (transparency).
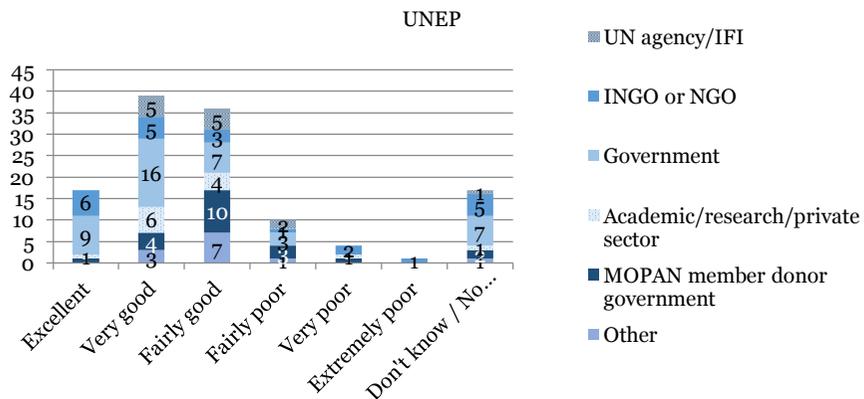
It provides reliable information on how much and when financial allocations and disbursement will happen (predictability).
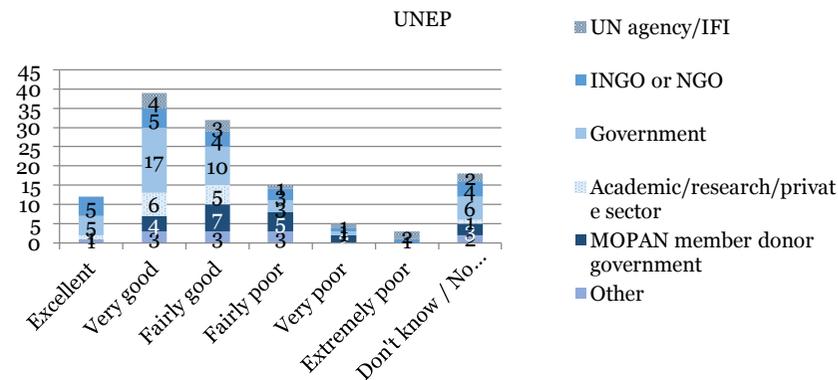
It co-operates with development or humanitarian partners in the sub-region to make sure that financial co-operation is coherent and not fragmented.
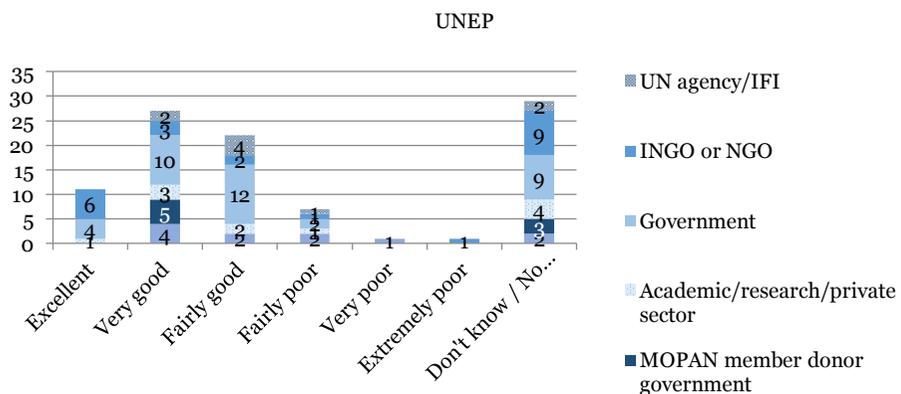
It has enough flexible financial resources to enable it to meet the needs it targets through its sub-programmes in the sub-region.

Respondents who identified their geographical focus as "global" were not asked to answer the two lower questions since it is only relevant to respondents with a specific country focus.

Interventions (Programmes, projects, normative work)

How well do you think UNEP performs in relation to the areas below?

Its interventions are designed and implemented to fit with national programmes and intended results.
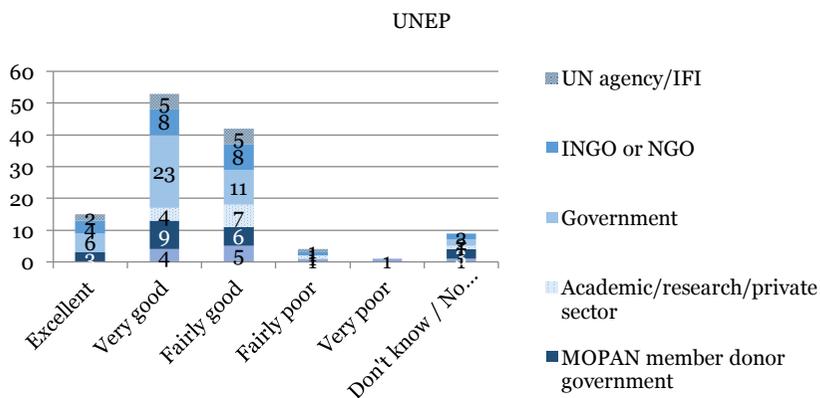
Its interventions are designed and implemented to fit with sub-regional/ regional initiatives and intended results.
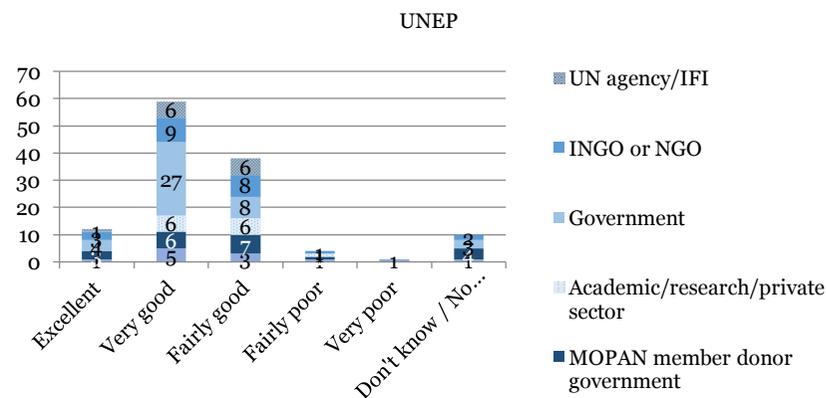
Its interventions are tailored to the specific situations and needs of the local context.
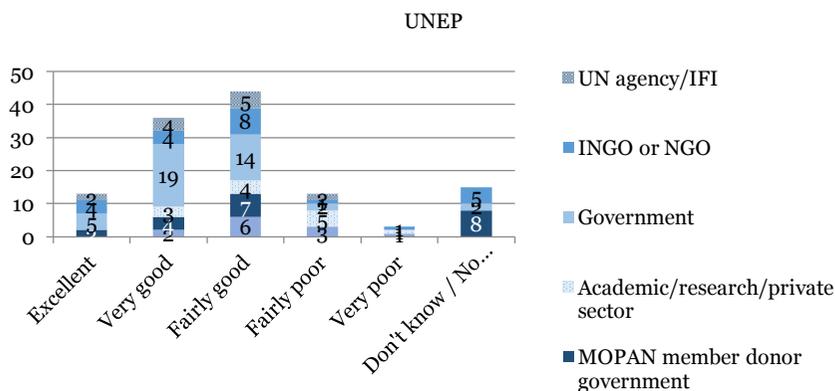
Its interventions are based on a clear understanding of why it is best placed (comparative advantage) to work in the sectoral and/or thematic areas it targets through its sub-programmes in the sub-region.
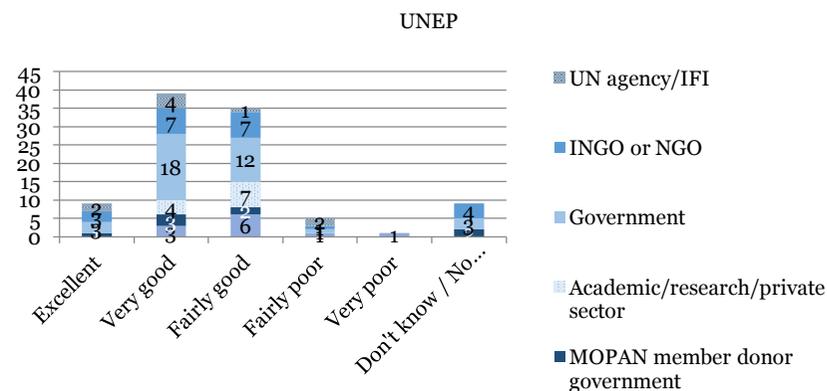
It adapts or amends interventions swiftly as the context changes.

Its interventions in the sub-region are based on realistic assessments of national / regional capacities, including government, civil society and other actors.

Respondents who identified their geographical focus as "global" were not asked to answer the lower right question since it is only relevant to respondents with a specific country focus.

UNEP

UNEP
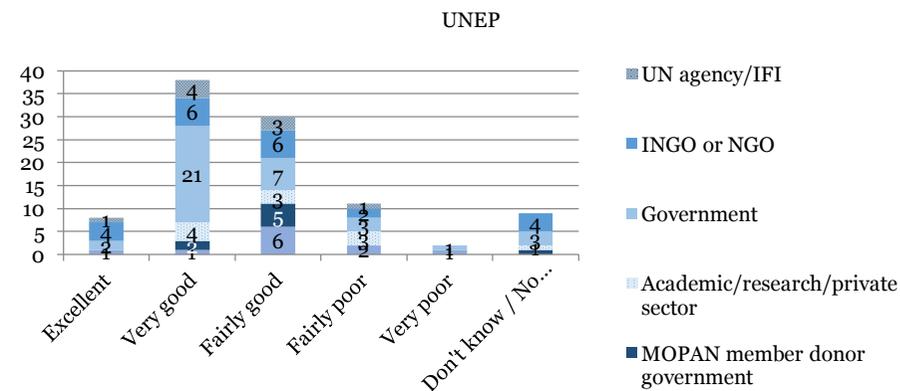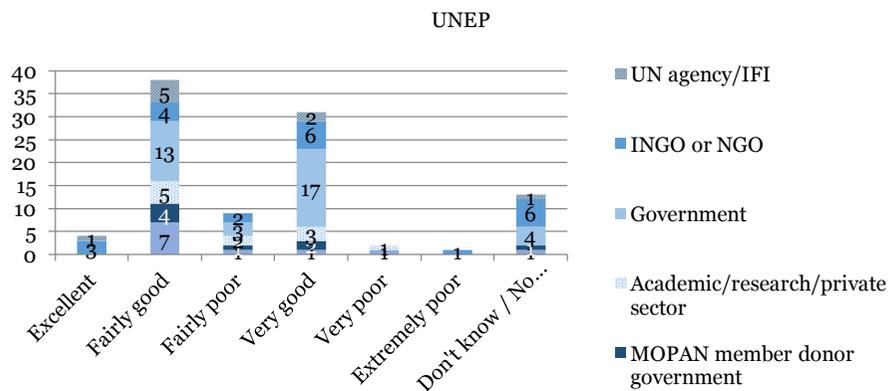
Its interventions appropriately manage risk within the context of the sub-region
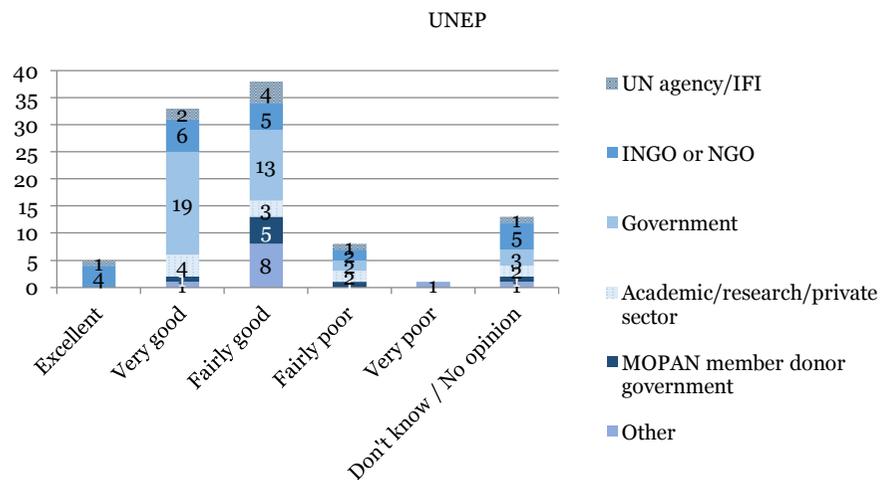
UNEP

Respondents who identified their geographical focus as "global" were not asked to answer these questions since it is only relevant to respondents with a specific country focus.

Interventions (Cross cutting issues) Part 1

How familiar are you with each of the following.

The UNEP Policy and Strategy for Gender Equality and the Environment 2014-2017.
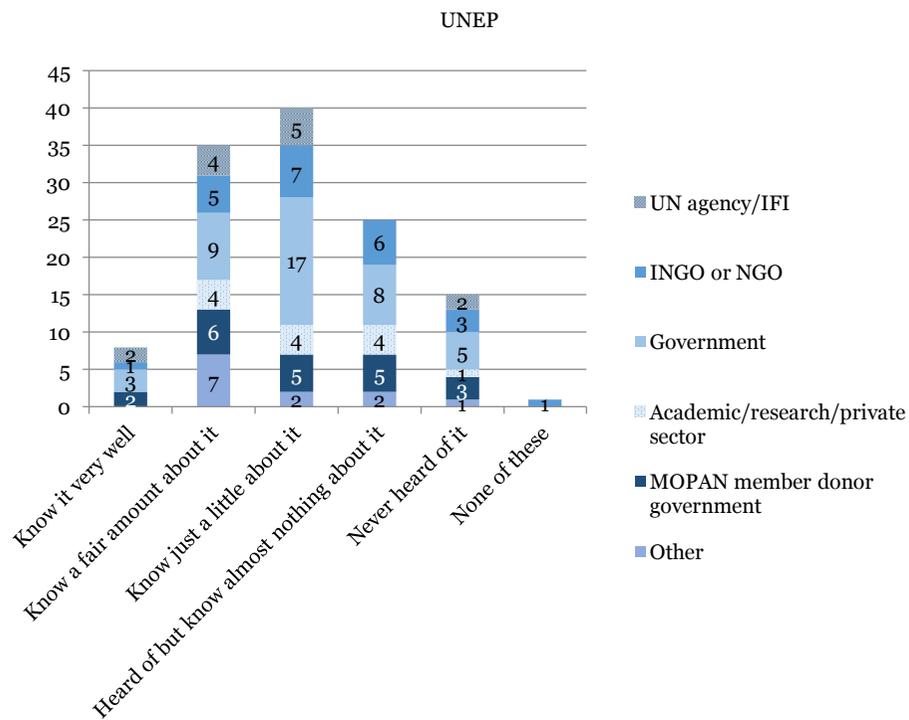
The UNEP Environmental, Social and Economic Sustainability framework (published 2015).
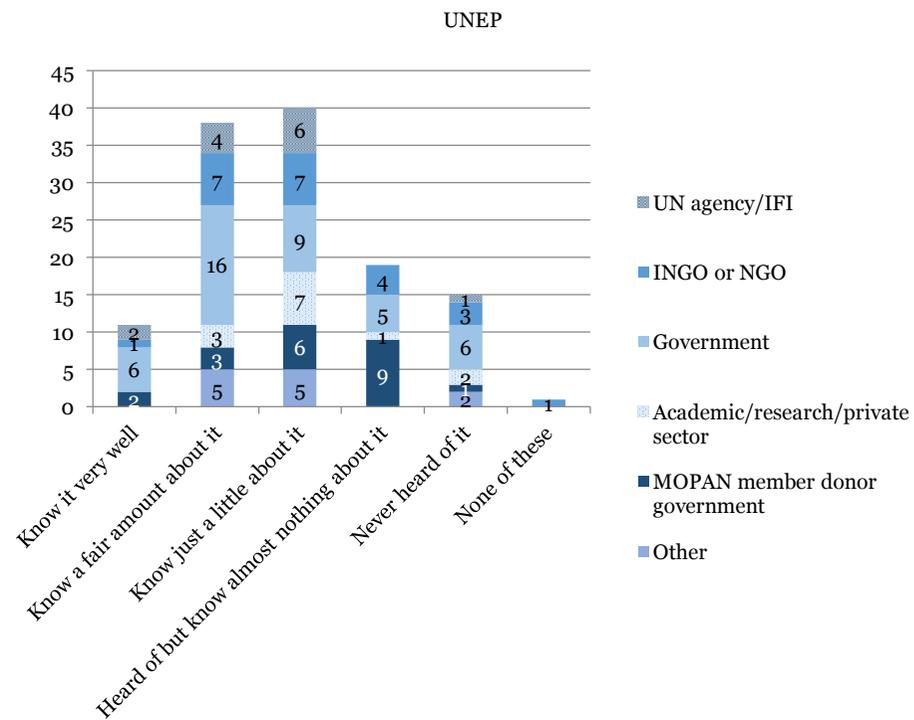
UNEP

UNEP

The UNEP and Indigenous Peoples: A Partnership in Caring for the Environment – Policy Guidance (published 2012).
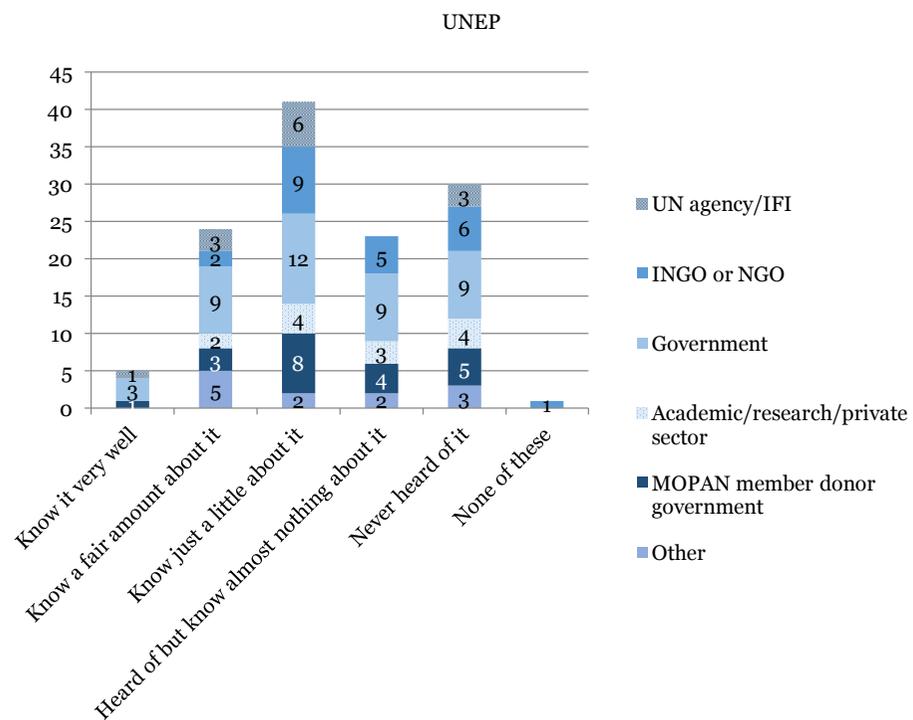
UNEP

Interventions (Cross cutting issues) Part 2

How well do you think UNEP performs in relation to the priorities/areas stated below?

It promotes gender equality, in all areas of its work.
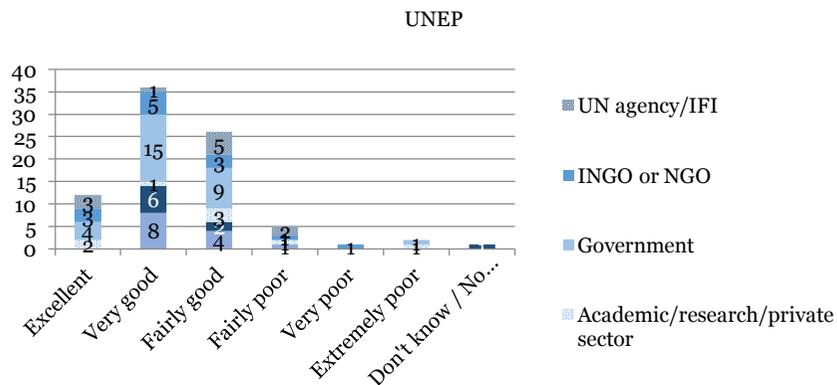
UNEP

Legend:
- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector

It promotes environmental sustainability and addresses climate change in all relevant areas of its work.

UNEP

Legend:
- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government
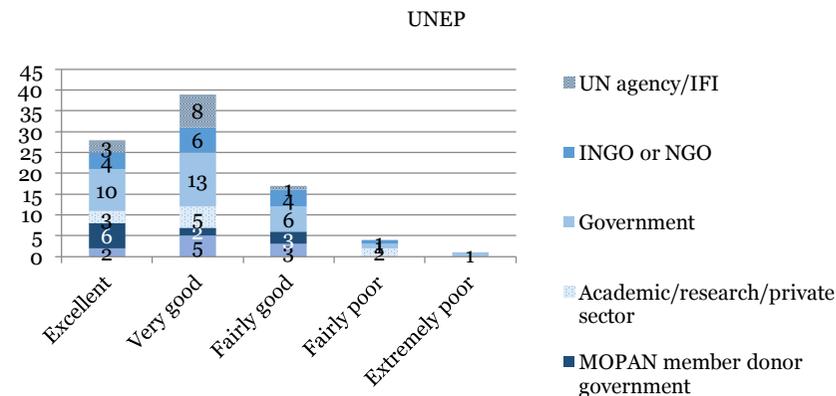
It promotes the principles of good governance in all relevant areas of its work (specifically reduced inequality, inclusive societies and building effective, accountable and inclusive institutions at all levels).

UNEP

Legend:
- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
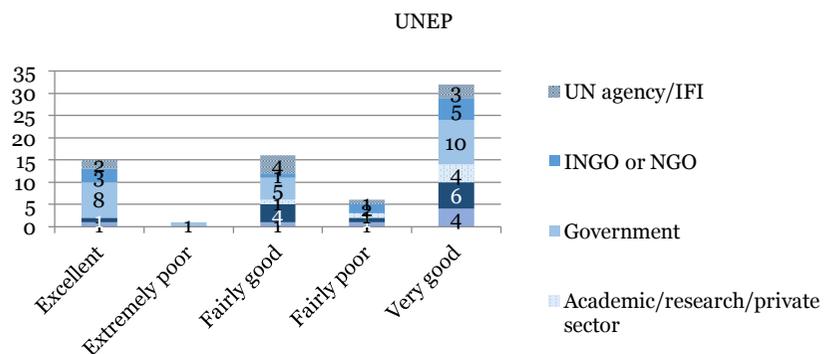
Managing relationships

Respondents who identified in 'Interventions (Cross cutting issues), part 1 that they know almost nothing or have never heard about the priority/area, have not been asked to answer these questions since it is only relevant to respondents with at least a little knowledge about it.

How well do you think UNEP performs in relation to each of these areas?

It prioritises working in synergy/ partnerships as part of its business practice.

UNEP
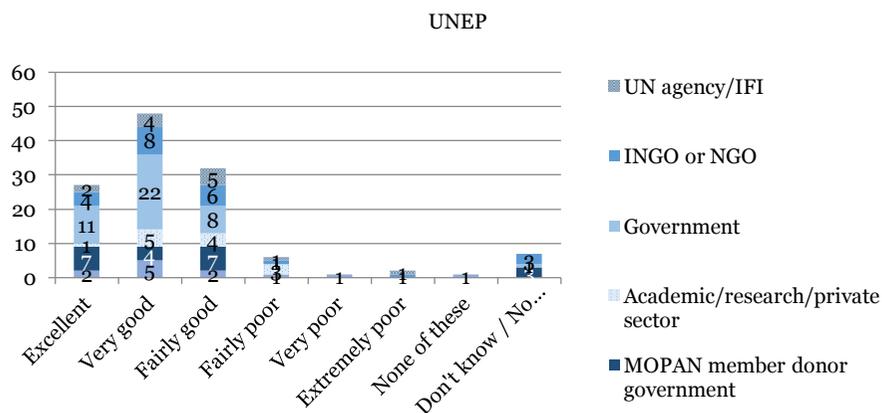
Its approach to partnerships leverages change in the UN system.
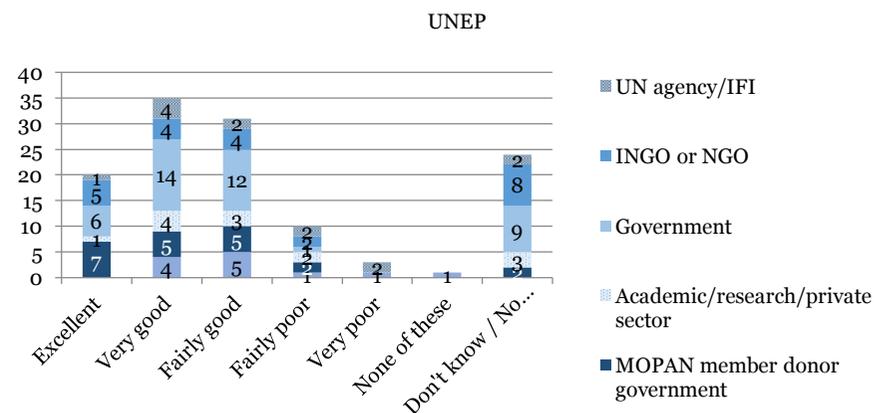
UNEP

**It shares key information (analysis, budgeting, management, results) with partners on an ongoing basis.**

UNEP

It ensures that its bureaucratic procedures (planning, programming, administrative, monitoring and reporting) are synergised with those of its partners (for example, donors, UN agencies).
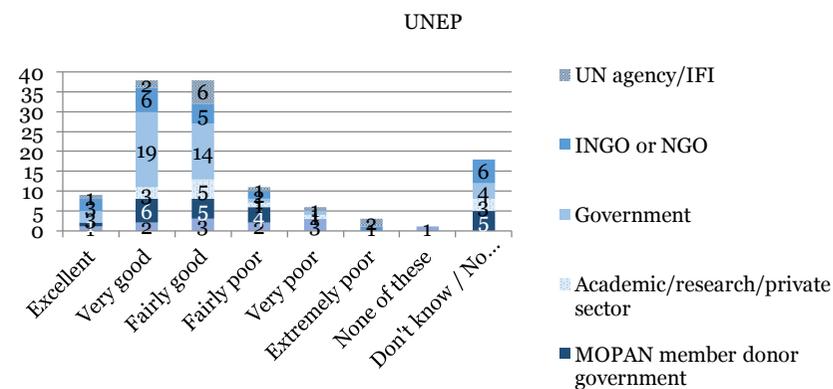
UNEP

It provides high-quality inputs to policy dialogue at a sub-regional/regional level that is relevant to the needs of the country.

Its views are well respected in sub-regional/regional policy dialogue forums.

UNEP
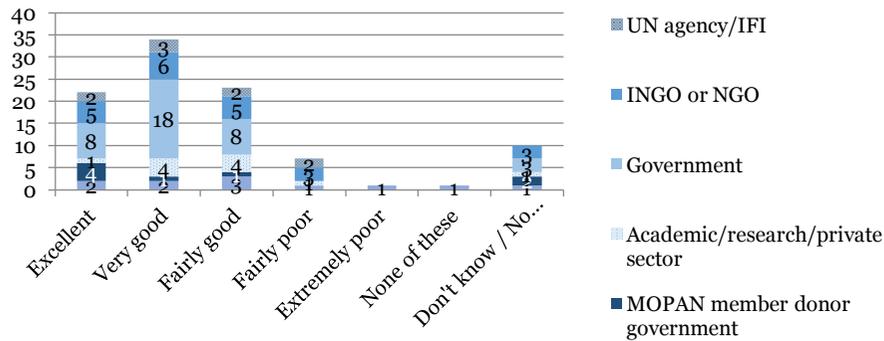
UN agency/IFI
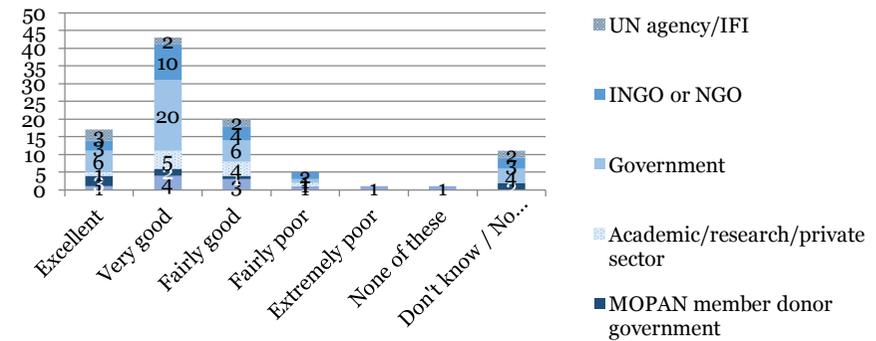
INGO or NGO

Government

Academic/research/private sector

MOPAN member donor government

It conducts mutual assessments of progress in the country with national/regional partners.

UNEP

UN agency/IFI

INGO or NGO

Government

Academic/research/private sector

MOPAN member donor government

It channels financial resources through country systems (both financial and non-financial) in the country as the default option.

UNEP

UN agency/IFI

INGO or NGO

Government

Academic/research/private sector

MOPAN member donor government
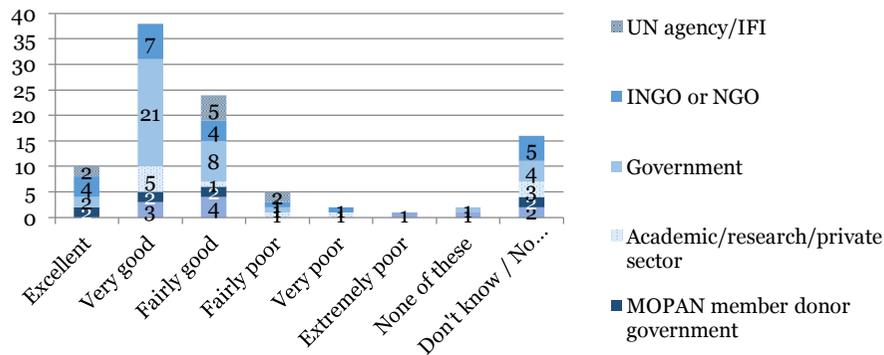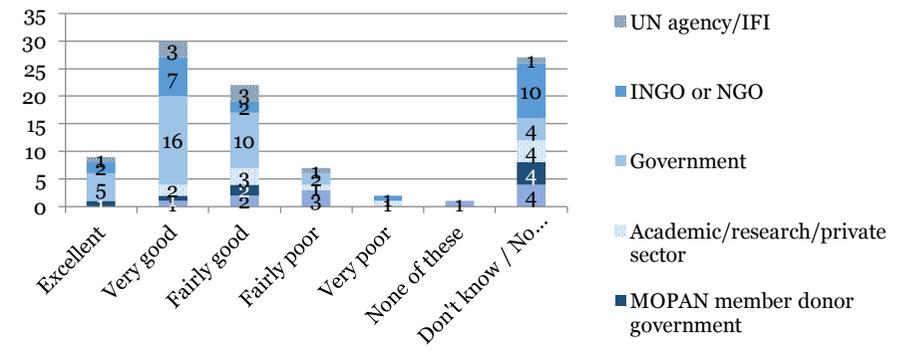
It takes action to build capacity in country systems in the country where it has judged that country systems are not yet up to a required standard.

UNEP

UN agency/IFI

INGO or NGO

Government

Academic/research/private sector

MOPAN member donor government

Its bureaucratic procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) do not cause delays in implementation for national or other partners.

Respondents who identified their geographical focus as "global" were not asked to answer these questions since it is only relevant to respondents with a specific country focus.

UNEP

UNEP

Legend (both charts):
- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government

Left chart categories: Excellent, Very good, Fairly good, Fairly poor, Very poor, Extremely poor, None of these, Don't know / No...

Right chart categories: Excellent, Very good, Fairly good, Fairly poor, Very poor, Extremely poor, None of these, Don't know / No...

Respondents who identified their geographical focus as "global" were not asked to answer the left question since it is only relevant to respondents with a specific country focus.

Performance management, part 1

How well do you think UNEP performs in relation to the areas below?

It prioritises a results-based approach – for example when engaging in policy dialogue, or planning and implementing interventions.

UNEP

- ▨ UN agency/IFI
- ■ INGO or NGO
- ▨ Government
- ▨ Academic/research/private sector

It insists on the use of robust performance data when designing or implementing interventions.

UNEP

- ▨ UN agency/IFI
- ■ INGO or NGO
- ▨ Government
- ▨ Academic/research/private sector
- ■ MOPAN member donor government
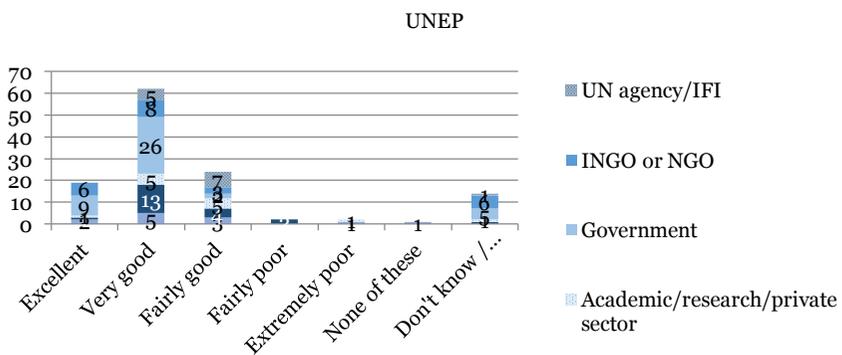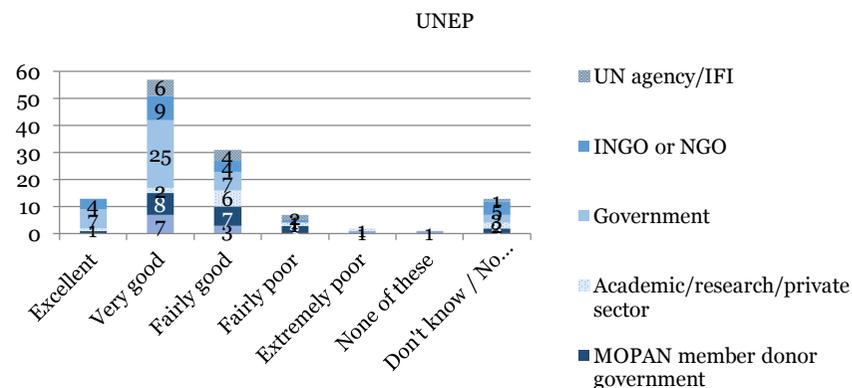
It insists on basing its guiding policy and strategy decisions for its work in the sub-region on the use of robust performance data.

UNEP

- ▨ UN agency/IFI
- ■ INGO or NGO
- ▨ Government
- ▨ Academic/research/private sector
- ■ MOPAN member donor government
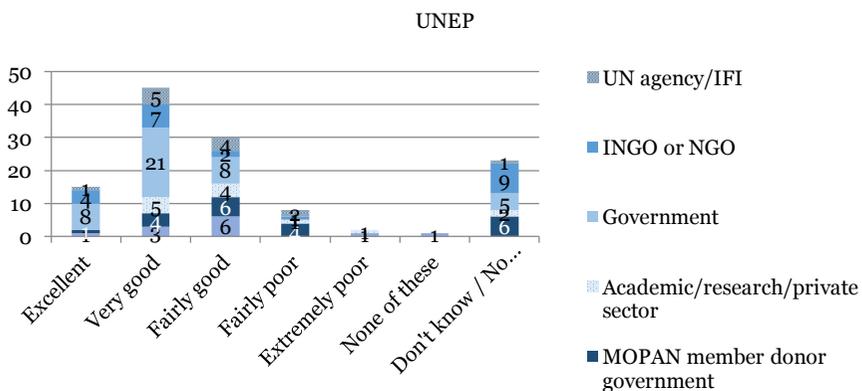
Performance management, part 2

How well do you think UNEP performs in relation to the areas below?

It has a clear statement on which of the interventions it has funded in the sub-region must be evaluated (e.g. a financial threshold).
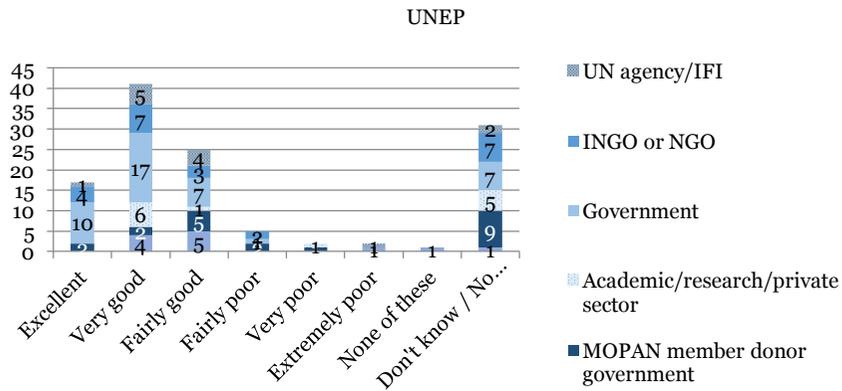

UNEP

Where interventions in the sub-region are required to be evaluated, it follows through to ensure evaluations are carried out.
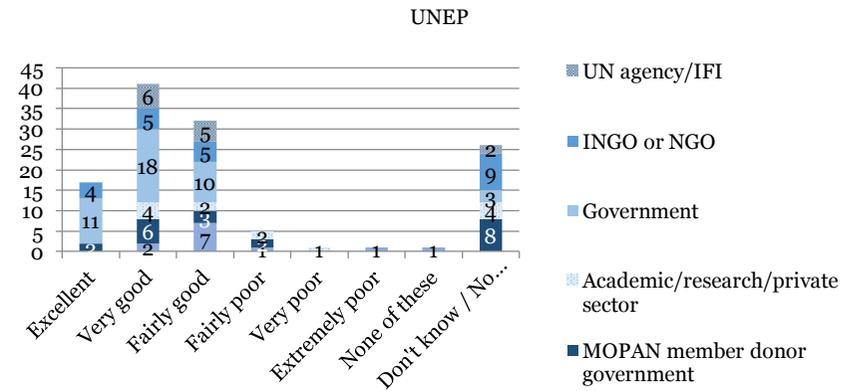

UNEP

It participates in joint evaluations at the country/regional level.
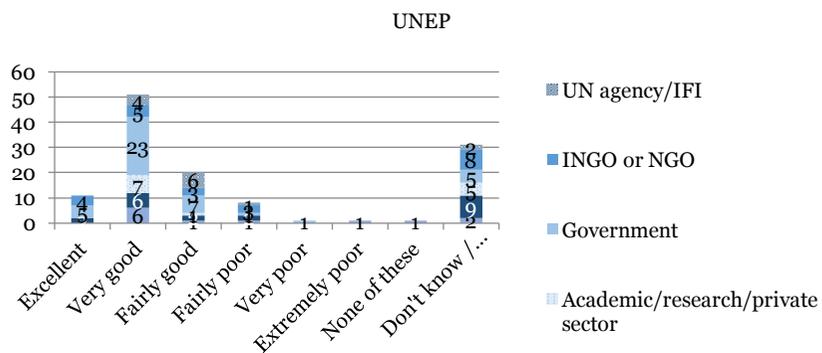

UNEP

All new intervention designs of UNEP include a statement of the evidence base (what has been learned from past interventions)


UNEP

It consistently identifies which interventions are under-performing.

UNEP
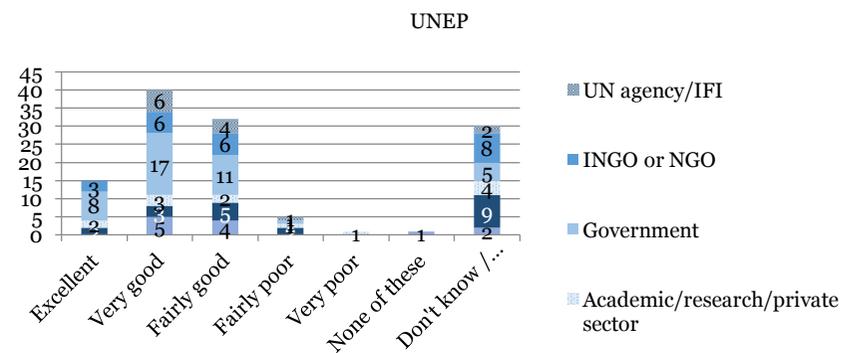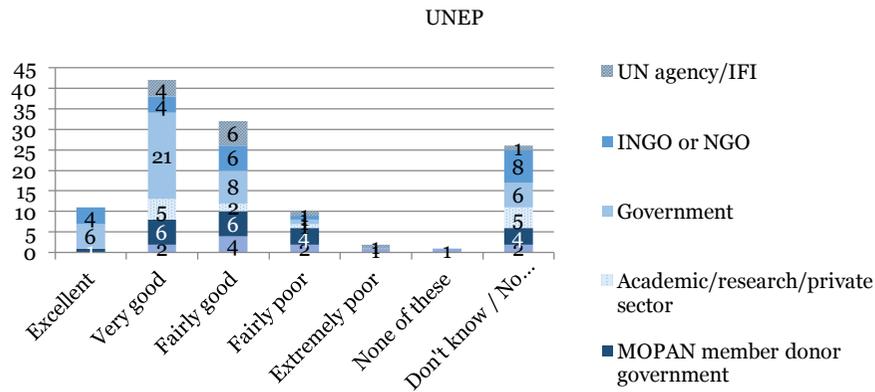
It addresses any areas of intervention under-performance, for example, through technical support or changing funding patterns if appropriate.

UNEP

It follows up any evaluation recommendations systematically.

UNEP
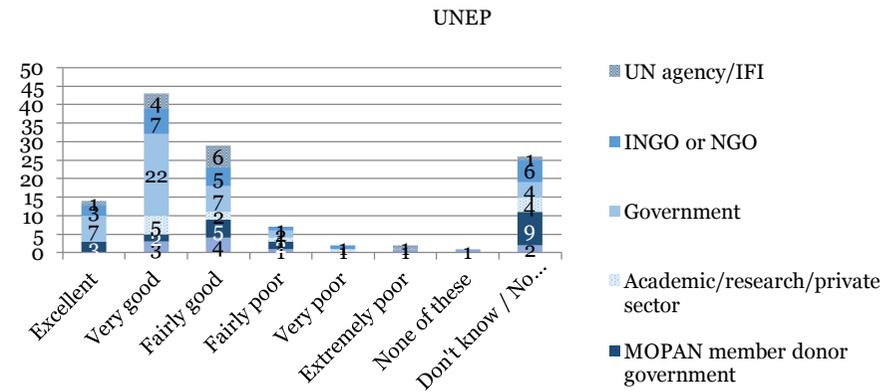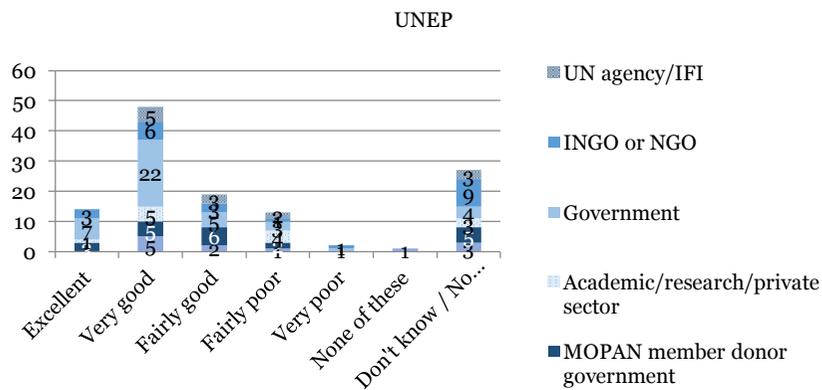
It learns lessons from previous experience, rather than repeating the same mistakes.

UNEP

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