

Multilateral Organisation Performance Assessment Network

Organisational Effectiveness Assessment

United Nations Environment Programme

**Volume II - Appendices
December 2011**



Appendices

Appendix I Methodology	1
Appendix II MOPAN Common Approach Survey for UNEP 2011	15
Appendix III Respondent Profile	28
Appendix IV Base Size and Rate of “Don’t Know” Responses	33
Appendix V KPI and MI Data by Quadrant	40
Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI – UNEP	47

Appendix I Methodology

1. Introduction

This document describes the methodology used to conduct the MOPAN Common Approach in 2011. It is important to note that MOPAN continues to improve the methodology for the Common Approach from year to year. With this in mind, comparisons of this year's results with those of previous years should be handled cautiously.

1.1 The MOPAN Common Approach Assessment Framework

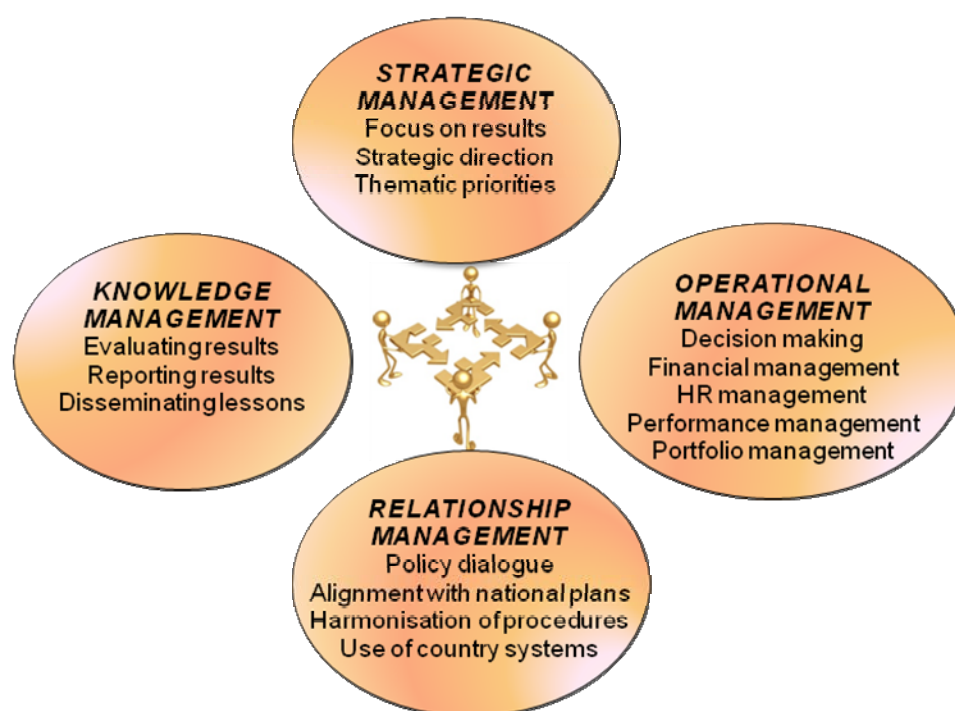
MOPAN defines organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development and/or humanitarian results in the countries where it operates.

Using a survey of stakeholders and a document review, the MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results in the field. The Common Approach groups these organisational capacities in four areas of performance, which are called "quadrants":

- *strategic management*: developing and following strategies that reflect good practices in managing for development results;
- *operational management*: managing operations in a way that is performance oriented, thus ensuring organisational accountability for resources and results;
- *relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration; and,
- *knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

While these definitions and performance areas are broadly applicable to a range of types of multilateral organisations (including those involved in humanitarian and normative work), the dimensions explored in the MOPAN Common Approach are adjusted as necessary to reflect the mandates of each organisation assessed.

Dimensions of organisational effectiveness in the MOPAN Common Approach¹



1.2 Indicators

Within each performance area (or quadrant), organisational effectiveness is described using several key performance indicators (KPIs) that are measured with a series of micro-indicators (MIs).

In an initial mapping exercise of existing bilateral donor assessment tools in 2007, MOPAN identified some 250 indicators, many of which were overlapping. The Common Approach reduced these to 35 key performance indicators and 120 micro-indicators. In 2008, the indicators were further refined and tested and this led to the adoption in 2009 of 19 KPIs and 63 MIs for international financial institutions and 64 MIs for UN funds and programs. These were subsequently tested and adjusted for humanitarian organisations. In 2011, the assessment included up to 20 KPIs and 75 MIs for each organisation, depending on the nature of the organisation and its mandate. The full list of MIs assessed in 2011 is provided in Appendix V (KPI and MI Data by Quadrant).

1.3. Multilateral Organisation Selection

Each year MOPAN selects multilateral organisations for the Common Approach assessment on the basis of the following criteria:

- 1) Perceived importance and interest to all MOPAN members;
- 2) Medium-Term Strategic Planning (or equivalent) and replenishment cycles. The organisations should be assessed by the beginning of the planning process or prior to the start of the replenishment negotiation process;
- 3) The organisations include international financial institutions (IFI); UN funds, programs, and specialised agencies; and humanitarian organisations.

¹ To better reflect the mandates of organisations engaged in humanitarian work, additional dimensions are incorporated (such as adherence to humanitarian principles in their field operations) in the frameworks used to assess those organisations.

MOPAN aims to assess institutions selected on the basis of the criteria identified above on a 3 to 5 year cycle. Countries should not be surveyed by MOPAN in two consecutive years.

In 2011, MOPAN assessed the Food and Agriculture Organization (FAO) of the United Nations, the Inter-American Development Bank (IDB), the United Nations Environment Programme (UNEP), the United Nations High Commissioner for Refugees (UNHCR), and the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA).

1.4. Country Selection

Each year countries and territories are selected for the Common Approach assessment on the basis of:

1. The presence of the multilateral organisations being assessed;
2. The presence of MOPAN members;
3. Ensuring that no country or territory is included in the survey in two consecutive years;
4. Geographical distribution, so that developing countries in all regions are included while taking into account the regional mandates of the group of organisations to be assessed.

In 2011, the Common Approach assessment included Bangladesh, Bolivia, Brazil, Burundi, Ecuador, Nepal, Peru, Tanzania, Jordan, Lebanon, Palestinian territories (the West Bank and Gaza Strip), and the Syrian Arab Republic. However, each organisation was assessed only in the countries and territories in which it operates.

2. Survey

2.1 Overview

In 2011, the MOPAN Common Approach gathered stakeholder perceptions through a survey of MOPAN members (at headquarters and at the country level ²) and other key stakeholders of the multilateral organisations, which included: direct partners or clients, peer organisations, and host or recipient government representatives. The number and type of respondent groups varied for each organisation.

The main instrument for conducting the survey was an online survey based on Computer-Aided Web Interviewing (CAWI). The survey could be completed online in Arabic, English, French, Portuguese, or Spanish (depending on the organisation being assessed). All MOPAN respondents and most respondents in other groups completed the survey online.

When it was not possible for respondents to complete the survey online, off-line methods were used. Respondents could complete a paper-based survey or an electronic version of the survey in Microsoft Word that was sent by email, or they could participate in a structured interview either in person or by telephone. Paper-based versions of the survey were made available in all of the languages noted above, as well as in Bengali.

Individual responses to the survey were confidential to the independent consultants who managing the online survey or collecting data off-line in the field.

The survey data were collected over a five-week period in April and May 2011.

Respondent Types

To gather diverse perspectives on the multilateral organisations assessed, MOPAN sought the perceptions of the following respondent groups:

² In the case of UNRWA, the term “field of operation” is used instead of “country”.

- **Donor Headquarters Oversight (HQ):** Professional staff, working for a MOPAN donor government, who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.
- **Donor Country Office Oversight (CO):** Individuals who work for a MOPAN donor government and are in a position that shares responsibility for overseeing/observing a multilateral organisation at the field level.
- **Direct Partner/Client (DP):**³ Typically, individuals who work for a national partner organisation (government or civil society) in a developing country. Respondents are usually professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or that have direct interaction with it at country level (this could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.). The definition of “direct partner” varies according to the context of each organisation assessed. In some cases, direct partners include staff members from international agencies that are implementing projects in conjunction with the multilateral organisation being reviewed.
- **Peer organisation (PO):** International or regional organisations that work closely with the multilateral organisation being reviewed either at the country or field level (as in the case of UNHCR and UNRWA) or at a global or regional level (as in the case of UNEP).
- **Host or recipient government (GOV):** Representatives of the government that hosts the multilateral organisation being reviewed, usually in the context of organisations with protection and humanitarian mandates (as in the case of UNHCR and UNRWA).

2.2 Sampling and Response Rates

Sampling

The Common Approach 2011 used a purposive sampling method called ‘expert sampling’ in which potential respondents were identified by either MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed. The identification process, which involved all MOPAN members in collaboration with the multilateral organisations assessed, resulted in lists of the population (all potential respondents) for each of the multilateral organisations.

Individuals were invited to complete the survey for each organisation for which they had functional responsibility and sufficient knowledge.⁴ This was confirmed through a screening question that asked respondents to indicate their level of familiarity with the multilateral organisation assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents could continue the survey only if they indicated they were familiar with the multilateral organisation (i.e., a rating of 2, 3, 4, or 5).

The data on potential and actual respondents and their level of familiarity with the organisation are provided below.

³ In the context of IFIs, these are referred to as “Clients.”

⁴ Each individual was provided with a unique link that reflected the respondent type (HQ, CO, DP, PO, or GOV) and the multilateral organisation(s) they had been assigned to. A few individuals, particularly MOPAN members, completed surveys on more than one organisation.

Response Rates

Multilateral Organisation	Potential Survey Respondents	Actual Survey Respondents	Response Rate	Percentage of Respondents who reported a good level of familiarity with the organisation ⁵
FAO	361	284	79%	89%
IDB	188	132	70%	92%
UNEP	426	215	50%	87%
UNHCR	311	208	67%	90%
UNRWA	193	131	68%	95%

MOPAN aimed to achieve a 70 per cent response rate from donors at headquarters and a 50 per cent response rate from all other target groups. Despite follow-up efforts, MOPAN was unable to meet the targets for some respondent groups in some cases. (See Section 2.2 of the organisational reports for response rates and targets by respondent group.)

2.3. Survey Instrument

Survey Customisation

The survey instrument was customised for each multilateral organisation assessed, to reflect both the type of organisation and the types of respondents. This was done in consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who were familiar with these organisations.

First, a set of core questions was developed for all respondents. Additional questions were designed for specific respondent groups, to reflect their functional responsibilities. For example, in some surveys, questions related to corporate issues were asked only of donors at headquarters, and questions on country-specific issues were asked only of donors in-country and clients/direct partners of multilateral organisations. Some questions were adjusted to reflect the nature of the multilateral organisation (e.g., cross-cutting thematic priorities). The final customised survey for the organisation is presented in Appendix II.

Survey Instrument

At the beginning of the survey, respondents were invited to assess the overall internal effectiveness of the multilateral organisation and were also asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, respondents were invited to provide comments on each of the four dimensions of effectiveness.

The main part of the survey consisted of a series of closed-ended questions on the micro-indicators for each key performance indicator (KPI). Survey respondents were presented with statements describing an organisational practice, system, or behaviour and asked to rate the organisation's performance on a scale of 1 to 6 as shown below.

⁵ This percentage includes only those who responded 3, 4 or 5 as their level of familiarity. Also note, these are un-weighted data.

Score	Rating	Definition
1	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	Weak	The multilateral organisation has this system but there are important deficiencies.
3	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4	Adequate	The multilateral organisation's system is acceptable in this area.
5	Strong	The multilateral organisation's system is more than acceptable, yet without being "best practice" in this area.
6	Very Strong	The multilateral organisation's system is "best practice" in this area.

2.4 Survey Data Analysis

SPSS Version 17.0 statistical software was used to analyse responses.

First level data analysis

First level survey data analysis included calculations of mean scores, standard deviations, frequencies (including analysis of 'don't know' and missing responses), as well as content analysis of open-ended questions.

Frequency Calculation: Frequencies were calculated on both a weighted and unweighted basis (see below for further explanation of our approach to weighting). Frequencies were calculated based on answers to survey questions corresponding to micro-indicators. In both sets of calculations, 'don't know' responses and missing responses were calculated as a part of the overall total frequencies. In addition to raw frequencies, all frequencies were translated into percentages for ease of interpretation.

Mean Score Calculation: Mean scores were calculated on a weighted basis only. Scores were calculated based on answers to survey questions corresponding to micro-indicators. For the calculation of mean scores, 'don't know' responses were removed from the calculation. In cases where respondents left questions blank (i.e., missing data), either because they decided not to answer, or because they did not conform to required criteria (e.g. Location of work), responses were screened out. In such cases, mean scores were calculated using the number of valid responses to each question.

Mean scores were calculated for each survey question (micro-indicator) and then for each key performance indicator (KPI) by aggregating the scores for the micro-indicators (MI) within that KPI. Equal weight was applied to each MI. For example, a KPI consisting of three micro-indicators that individually scored 2, 3, and 4 had a KPI mean of 3. In particular cases where multiple survey questions were needed to develop a concept, micro indicators were composed of multiple sub-indicators. In such cases, we took the mean score of the sub-indicators to calculate the score for that particular MI.

A weighting scheme was applied to ensure that no single respondent group or country was under-represented in the analysis.

The weighting gave equal weight to:

- The views of each respondent group ⁶
- The countries where the survey took place
- Donors in-country, direct partners, and/or peer organisations and host governments, within each country where the survey took place.⁷

A weight was calculated for each multilateral organisation using the following equation.

$$W = \frac{P}{RCG}$$

P = total number of respondents for the multilateral organisation

R = number of respondent groups in the survey sample for the multilateral organisation

C = number of countries in the survey sample (per respondent group)

G = number of respondents in a particular country/respondent group set for the multilateral organisation

W = weight factor for a given respondent group set for the multilateral organisation

Weighted figures are used in all multilateral organisation reports unless otherwise stated.

Converting Individual Scores to Group Ratings

As noted above, a mean score was calculated for each group of respondents (e.g., donors at HQ). Since the mean scores were not necessarily whole numbers (from 1 to 6) MOPAN assigned numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown below.

Range of the mean scores	Rating
1 to 1.49	Very Weak
1.50 to 2.49	Weak
2.50 to 3.49	Inadequate
3.50 to 4.49	Adequate
4.50 to 5.49	Strong
5.50 to 6.00	Very Strong

The ranges are presented to two decimal places, which is simply the result of a mathematical transformation and should not be interpreted as representing a high degree of precision. The ratings applied to the various KPIs should be viewed as indicative judgments rather than precise measurements.

⁶ To account for the different numbers of respondents in each respondent group, individual weights were applied to each group.

⁷ Weights for these groups were determined by the total number of respondents from each group who answered in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carried a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

Second level analysis

Second level analysis examined differences in the responses among categories of respondents and other variables, as relevant for each organisation. Appropriate methods of statistical analysis were applied, including analysis of variance (ANOVA) for differences among multiple groups, t-tests for comparisons of differences between pairs of groups, and non-parametric methods where numbers of respondents required such an approach (e.g. to address assumptions of non-normality where they exist). The normal convention for statistical significance was adopted ($p \leq .05$) and these are reported where significant differences were found.

Given the small size of the samples, particularly for some respondent groups, the comparisons across respondent groups are provided as indicative information that can be used as a basis for discussion.

3. Document Review

3.1 Overview

Through an examination of publicly available documents,⁸ the MOPAN document review explored evidence that the multilateral organisations have the systems that MOPAN considers to be important factors in an organisation's internal effectiveness.

The document review considered three types of documents:

- Multilateral organisation documents relevant to the assessment of MOPAN micro-indicators. The organisations helped to identify these documents.
- Organisational reviews or assessments (external or internal) of the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management, and knowledge management). These studies were either found on the organisation's website or provided by the organisation.
- Other sources of data such as the Survey on Monitoring the Paris Declaration (2010), the Common Performance Assessment (COMPAS) report (2009), and previous MOPAN surveys.⁹

3.2 Document Sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic document sampling strategy. However, the collection of documents followed a number of overall principles to ensure consistency and focus in the sampling process.

⁸ MOPAN aims to work within the confines of a multilateral organisation's disclosure policy. The documents used for the assessment were either on the organisation's web site, on other web sites of the UN system, or were provided by the organisation for the purposes of assessing the micro-indicators.

⁹ If data from these sources were not available for the multilateral organisations participating in this year's assessment, either an alternate approach was developed or the micro-indicators were not assessed.

All documents, regardless of type or level within the organisation, were approved by the relevant authority (e.g., organisation-wide documents were usually approved by the multilateral organisation's Executive Management or Board).¹⁰

All documents (including policies, guidelines, strategies, thematic documents, and web site information) were selected at least in part based on the "type-specific" and "level-specific requirements" noted below.

a) Type-specific requirements

The following requirements apply to policies, guidelines, strategies, thematic documents, or web site information at any level of the organisation. These documents were also subject to the "level-specific requirements" listed in the following subsection.

- Policies or guidelines, at any level within the multilateral organisation, were selected only if they were currently in force as of the year of assessment.
- Strategies, regardless of level within the multilateral organisation, were generally selected only if they were being implemented in the year of assessment.
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, were selected to represent a mix of thematic areas.
- Any text from a multilateral organisation's web site (i.e., not a downloadable document available on the site) was retrieved within the year of assessment, and was assumed to be current unless the web page itself stated otherwise.

b) Level-specific requirements

All documents were selected based on the following requirements, as applicable:

- Except for policies, strategies, and guidelines, all documents were drawn from the period 2009 – May 2011.
- Documents were included from all countries assessed in the 2011 MOPAN Common Approach. However, in some cases documents from other countries or regions in which the multilateral organisation works were also considered.
- Project and program level documents were generally selected from recent projects that had the highest levels of investment and that represented different types of programming activity in the region.

3.3 Document Collection

Document collection was not a linear process, but generally followed the following steps:

- Initial document research on the website of the multilateral organisation
- Collection of COMPAS and Paris Declaration Survey Data (if applicable)
- Consultation with the multilateral organisation, through the MOPAN Institutional Lead, who reviewed and refined the initial data set
- Finalisation of document list.

¹⁰ This was intended to ensure that documents reviewed were final documents (rather than drafts) and that they were providing guidance for organisational behaviour.

Once the document review commenced, further documentation needed to fill any gaps in information for certain indicators was requested from the multilateral organisation. If the documents obtained from these requests did not contain the information needed, the consultant team made the assessment based on the information available.

Data from other Assessments

As noted above, the document review included a review of other assessments, when relevant.

Common Performance Assessment System (COMPAS) report, 2009: COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR.

In assessing IFIs, MOPAN draws on indicators from the COMPAS report¹¹ in order to help triangulate findings and assess relevant micro-indicators. The following COMPAS indicators were used in the 2011 assessment of MOPAN micro-indicators:

- B. Managing for Development Results through the Project Cycle Implementation performance
- B. 8. Number and percentage of projects that were unsatisfactory in FY08 and that became satisfactory in FY09.
Project completion reporting and evaluation
- B. 11. Number of projects independently reviewed ex post during FY09, as a percentage of the average number of projects completed annually during the last 5 years.

Survey on Monitoring the Paris Declaration, 2010. This survey, managed by the OECD, highlights areas in which countries and organisations may be falling short of the targets established for 2010. As eight of the MOPAN indicators are based on the Paris Declaration indicators, the document review looked at the Paris survey data provided by multilateral organisations themselves or published in the OECD report. The following indicators were relevant to the MOPAN assessment:

Appendix C: Donor Data:¹²

- Indicator 3: Aid flows aligned on national procedures
- Indicator 4: Strengthen capacity by co-ordinated support
- Indicator 5a: Use of country public financial systems
- Indicator 5b: Use of country procurement systems
- Indicator 6: Strengthen capacity by avoiding parallel implementation structures
- Indicator 7: Aid is more predictable
- Indicator 9: Use of common arrangements or procedures
- Indicator 10a: Joint missions

In 2011, two organisations assessed by MOPAN (IDB and FAO) had participated in the OECD survey and contributed their data to the MOPAN assessment.

¹¹ The indicators in the COMPAS report have changed over time. In 2011, the Assessment Team reviewed the 2009 COMPAS report.

¹² In general, the MOPAN assessment draws on data from the “Average Country Ratio – All Countries” in the appendices of OECD Report.

3.4 Document Analysis

Document Review Criteria

For most micro-indicators, five document review criteria were established which, taken together, were thought to represent good practice in that topic area. The criteria were based on existing standards and guidelines for each of the indicator areas when these were available (for example, UNEG or OECD-DAC guidelines) and other criteria were developed or adapted to the MOPAN Common Approach based on the following considerations:

- **Quality:** Documents were assessed in terms of their content, and in particular for the presence or absence of items or characteristics noted in standards as best practice.
- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document were examined, such as evidence from budget documents that a policy or priority area was being financed, or evidence from evaluations that showed implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type were examined (such as country strategies in different countries) to assess the extent to which criteria were met consistently across the organisation.
- **Improvement over time:** In some cases, documents were examined over several years to assess progress over time.

Document Review Ratings

Each criterion was designed as a yes/no alternative and each “yes” answer counted as one point in the rating. The rating on any micro-indicator was the total number of criteria met by the organisation.

As in the survey, the document review ratings ranged from 1 (very weak) to 6 (very strong). In the document review, however, the definition of “very weak” was expanded to include “the organisation has no document that provides evidence of such a system being in place.”

Rating and Descriptor	Number of criteria met	Definition
1. Very Weak	No criteria met or required document(s) do not exist	The multilateral organisation does not have this system in place and this is a source of concern/ or the multilateral organisation has no document that provides evidence of such a system being in place.
2. Weak	One criterion met	The multilateral organisation has this system but there are important deficiencies.
3. Inadequate	Two criteria met	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4. Adequate	Three criteria met	The multilateral organisation's system is acceptable in this area.
5. Strong	Four criteria met	The multilateral organisation's system is more than acceptable yet without being “best practice” in this area.
6. Very Strong	All five criteria met	The multilateral organisation's system is “best practice” in this area.

Some micro-indicators, such as those using Paris Declaration Survey data as the primary data source, followed a different rating method. In these cases, ratings were established on a case-by-case basis through the delineation of percentage ranges. These ranges reflected the perspective of MOPAN with respect to performance in relation to the 2010 targets of by the Paris Declaration (meeting the Paris Declaration target, for example, was considered “strong”).

Ratings for key performance indicators (KPIs) were based on the ratings for the component micro-indicators in each KPI. Each KPI rating was calculated by taking the arithmetic mean of all micro-indicator ratings rounded to the nearest whole number and given the appropriate descriptor. In cases where the micro-indicator ratings for one KPI were highly divergent (i.e., if there were two micro-indicators, and one was rated as “very weak” while the other was rated as “very strong”), this was noted in the narrative of the report.

While the document review assessed most micro-indicators, it did not assign a rating to all of them (when criteria had not been established for best practice on that MI). Consequently, some charts do not show document review scores for each KPI or MI.

4. Basis for Judgment

In the past, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. While these are still an important component of the judgments on organisational performance, the introduction of document review allows MOPAN to draw on a variety of sources that can be compared and triangulated in making judgments.

To the extent possible, MOPAN assessment standards and criteria are adjusted to reflect the differences between the multilateral organisations under review. This helps to ensure that judgements reflect the nature of the organisation.

Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias and detect errors or anomalies.¹³ In the Common Approach, data are triangulated in a number of ways:

- Document review ratings are not combined with survey results, but presented separately to illustrate convergence with or divergence from survey results.
- Other evaluations or assessments of the organisations are reviewed to help to validate or question the findings.
- Findings are widely vetted within the MOPAN network and revised based on feedback from members.
- Reports are shared with the multilateral organisations and their review constitutes the final stage of the data collection process.

MOPAN reports gain trustworthiness through the multiple reviews and validation processes that are carried out by members of the network and the multilateral organisations themselves.

¹³ Miles, M. B. & Huberman, A. M. (1994). *Qualitative data analysis* (2nd ed.). Thousand Oaks, CA: Sage

5. Strengths and Limitations of the Common Approach

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools.
- It is derived from, and meant to replace, seven existing bilateral assessment tools. It is also meant to forestall the development of other assessment approaches by bilateral donors.
- It seeks perceptual information from different perspectives: MOPAN members (at headquarters and country level), direct partners/clients of multilateral organisations, peer organisations, and other relevant stakeholders. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action regarding harmonisation, partner voice, and mutual accountability.
- It complements perceptual data with document review, thus adding an additional data source. This should enhance the analysis, provide a basis for discussion of agency effectiveness, and increase the validity of the assessment through triangulation of data sources.
- The reports undergo a validation process, including multiple reviews by MOPAN members, and review by the multilateral organisation being assessed.
- MOPAN strives for consistency across its survey questions and document review for each of the multilateral organisations, while allowing for customisation to account for differences between types of multilateral organisations.

Limitations

While MOPAN continues to improve its methodology based on experiences in each year of implementation, the following limitations should be considered when reading MOPAN reports.

MOPAN Framework

- The Common Approach is designed primarily for multilateral organisations that have operations in the field. For organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, modifications have been made wherever possible to provide greater nuance in the analysis.

Sources of Data

- The Common Approach is based on a perception survey and document review; it does not include interviews, focus groups, and other data collection methods that can help to analyse the current state of behaviours, systems, and procedures in the organisation.
- The Common Approach asks MOPAN members and the organisations assessed to identify the most relevant individuals to complete the survey. MOPAN does not have a way of determining if the most knowledgeable and qualified individuals are the ones completing the survey.
- Since MOPAN works within the confines of each organisation's disclosure policy, the document review was sometimes limited by the availability of documents in certain indicator areas related to the internal procedures of the organisations (e.g., on audit and human resource policies).
- Perception data has several potential limitations, one of which is 'central tendency bias' – i.e., the tendency of respondents to avoid the extreme points of a scale.

Data Collection Instruments

- Because one of MOPAN's intentions is to merge existing bilateral assessment tools and forestall the development of others, the survey instrument is long. MOPAN might consider eliminating certain survey questions in future, as other sources of data are introduced.
- Some survey questions, particularly those referring to the internal operations of the organisations, are challenging for respondents to answer and were characterised by high levels of 'don't know' responses.

Sampling

- The countries surveyed in the 2011 assessment, which were selected based on established MOPAN criteria,¹⁴ comprise only a small proportion of most of the multilateral organisation's overall programming.

Data Analysis

- While the document review can comment on the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).

Basis for Judgment

- For many of the MOPAN indicators there are no pre-established standards or criteria for what constitutes good practice for a multilateral organisation. As a result, some of the criteria for the document review were developed by MOPAN to meet the needs of this assessment process.
- In the document review, low ratings are sometimes due to an organisation's lack of appropriate documents that meet specific MOPAN criteria (some of which require certain aspects to be documented explicitly).
- The Common Approach assessment produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and the organisation's partners.

Despite the limitations, in general, we contend that the data presents a reasonable picture of the systems associated with the internal effectiveness of the multilateral organisations.

¹⁴ MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread. UNRWA and IDB required special considerations in 2011 because of their regional mandates.

Appendix II MOPAN Common Approach Survey for UNEP 2011

Note: This is the survey used to assess UNEP in 2011. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Your time spent in participating in the MOPAN Common Approach is very much appreciated.

[1 - Samplegroup - single]
Samplegroup - Auto answered

- ☐ 1. HQ
- ☐ 2. CO
- ☐ 3. DP
- ☐ 4. PO

[Welcome]

Welcome to the Survey for the MOPAN Common Approach in 2011 and thank you for agreeing to participate.

In responding to the survey, feel free to base your answers on your perceptions of the United Nations Environment Programme (UNEP), as well as your knowledge. Your perceptions may be shaped by your experience with and exposure to UNEP.

Please be assured that your answers will remain confidential. Any comments you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of these comments. Findings will be reported in aggregate form only.

The survey should take around 30 minutes to complete. Note, however, that it may take longer depending on the answers you give.

Please note: It would be ideal if you would complete the survey in one session; however, if you would like to continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you would like to continue, you can return to the point that you left off by clicking on the original link to the survey included in the email you received from us.

If at any point you have questions about this survey please contact mopan2011@epinion.dk. At any point you can move back and forth in the questionnaire if you would like to change a response or a comment.

Your time spent in participating in the Common Approach is very much appreciated.

Please click the 'Next' button below to begin.

[2 - single]

Which of the following best describes how often you, in your professional role, have contact with the UNEP?

- ☐ 1. Daily
- ☐ 2. Weekly
- ☐ 3. Monthly
- ☐ 4. A few times per year or less
- ☐ 5. Never

[3 - single]

You have been identified to assess the organisational practices, systems and behaviours of the United Nations Environment Programme (UNEP). However, before answering the questionnaire we would like to know how familiar you are with UNEP and the way it works. Please use the scale below to indicate your degree of familiarity, where 5 is "very familiar" and 1 is "not at all familiar".

- ☐ 1. Not at all familiar
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5. Very familiar

[ScreenOut Confirm]

You have indicated that you are not at all familiar with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer.

[4 - single]

Fake

Overall Performance

We would like to ask you a few questions about the effectiveness of UNEP, its strengths and its areas for improvement.

[5 - single]

Thinking about UNEP, and the way it operates, what do you consider to be its greatest strength?

Please type your answer into the box below:

☐ 1. Note:

[6 - single]

And still thinking about UNEP and the way it operates, what do you consider to be the area where it most needs improvement?

Please type your answer into the box below:

☐ 1. Note:

[7 - single]

How would you rate the overall internal **effectiveness** of UNEP?

(SEE DEFINITION BELOW)

Please use the scale below, where 6 means "very effective" and 1 means "not effective at all".

- ☐ 1. Not effective at all
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.
- ☐ 6. Very effective
- ☐ 7. Don't Know

DEFINITION:

Effectiveness = 'being organised to produce and deliver expected results'.

We would like to ask you some questions about specific aspects of the performance of UNEP. In thinking about these questions, please consider all you know about UNEP.

Performance areas

You will see a series of statements that describe the practices, systems or behaviours in any Multilateral Organisation. Please rate how you think UNEP performs in those areas. You will see a scale from 1 to 6, as described below. The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

- 1 - Very weak = UNEP does not have this practice, behaviour or system in place and this is a source of concern.
- 2 - Weak = UNEP has this practice, behaviour

or system, but there are important deficiencies.
3 - Inadequate = UNEP's practice, behaviour or system in this area has deficiencies that make it less than acceptable.

4 - Adequate = UNEP's practice, behaviour or system is acceptable in this area.

5 - Strong = UNEP's practice, behaviour or system is more than acceptable yet without being "best practice" in this area.

6 - Very strong = UNEP's practice, behaviour or system is "best practice" in this area.

At the end of each section, you will have the opportunity to make comments on any of the statements.

The statements are divided into four areas: Strategic Management, Operational Management, Relationship Management, Knowledge Management.

Strategic Management

First of all we would like to ask you about Strategic Management.

Organisational Governance

To start with, we would like to ask you some questions related to organisational governance. According to what you know how do you think UNEP performs in relation to the practices, systems or behaviours described in the following statement(s)?

All words typed in bold have definitions - see definitions below the questions.

[8 - single]

UNEP's institutional culture reinforces a focus on results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[9 - single]

UNEP's institutional culture is partner-focused.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong

- ☐ 6. Very strong
- ☐ 7. Don't Know

[10 - single]

UNEP's institutional culture supports a focus on priority environmental challenges as identified in research and analysis.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[11 - single]

UNEP's senior management shows leadership on **results management**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[12 - single]

UNEP makes **key documents** readily available to partners, including the public.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Results management = Management for results, or Results-Based Management (RBM). That is, managing in a way that focuses on the desired results and uses information to improve decision-making.

Key documents = Documents that describe strategies, policies, key financial information, and other types of reports at organisation-wide, regional, country, and/ or project/ programme level.

[13 - single]

Do you have any additional comments on UNEP's organisational governance?

- ☐ 1. Yes, note:
- ☐ 2. No

Organisation-wide Strategy

Still thinking about Strategic Management, but now about organisation-wide strategies, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[14 - single]

UNEP is appropriately positioned within the international architecture in relation to its normative role.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[15 - single]

UNEP is appropriately positioned within the international architecture in relation to its implementation role.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[16 - single]

UNEP is appropriately positioned within the international architecture in relation to its convening/coordination role.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[17 - single]

UNEP is appropriately positioned within the international architecture in terms of its information and evidence building role.

- ☐ 1. Very weak

- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[18 - single]

UNEP has a clear mandate.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[19 - single]

UNEP's **organisation-wide strategy/strategies** are aligned with the mandate.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[20 - single]

UNEP's normative work is consistent with its mandate and strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[21 - single]

UNEP's operational work is consistent with its mandate and strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Strategy/ strategies = High level document(s)

that guide and direct the operations of the multilateral organisation.

Organisation-wide Strategy

Still thinking about organisation-wide strategies.

According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[Corporate Strategy2]

[22 - single]

UNEP ensures the application of results management across the organisation.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[23 - single]

UNEP's strategies contain explicit **management results**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[24 - single]

UNEP's strategies contain explicit **development results**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[25 - single]

UNEP's strategies contain explicit **normative**

results.

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[26 - single]

UNEP's results in organisation-wide strategies have **causal links** from outputs through to outcomes and impact.

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[27 - single]

UNEP's strategies include measurable indicators at output and outcome levels.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[28 - single]

UNEP consults with stakeholder groups to develop its expected results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[29 - single]

UNEP strategies help mainstream the environment into the activities of its partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong

- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Management results = A description (in tabular, chart or narrative form) of management (in-house/business focused) results, including indicators, that are expected to be achieved from the multilateral organisation's activities.

Development results = A description (in tabular, chart or narrative form) of programme-related results that are expected to be achieved from the multilateral organisation's activities.

Normative results = relate to the multilateral organisation's work to support the development and implementation of laws, norms, and standards.

Causal links = A fundamental principle of results based management (RBM) / managing for development results (MfDR) is that results statements must be articulated in a framework or results chain, with clear causal linkages between each level of results. This linkage is a performance relationship between the results statements.

**[Corporate Strategy2]
Cross-cutting Priorities**

We would like you to think about how UNEP approaches 'cross-cutting' priorities. According to what you know about UNEP, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[30 - single]

UNEP sufficiently mainstreams gender equality in its programmatic work.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[31 - single]

UNEP's approach to environmental management integrates consideration of socio-economic issues.

- ☐ 1. Very weak

- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[32 - single]

UNEP's projects/programmes promote good environmental governance in partner countries.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[33 - single]

Do you have any additional comments on UNEP's organisation-wide strategy?

- ☐ 1. Yes, note:
- ☐ 2. No

Strategies - Country or Regional Level

We would like to ask you about UNEP's work at the country and regional level, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

[34 - single]

UNEP-supported projects and initiatives at the country level (e.g. the Poverty-Environment Initiative) are consistent with its Medium-Term Strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[35 - single]

UNEP-supported initiatives/projects at the regional level are consistent with its Medium-Term Strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate

- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[36 - single]

UNEP's strategies support good environmental practices at the country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[37 - single]

UNEP's strategies support good environmental practices at the regional level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[38 - single]

UNEP's activities at the regional level align with the environmental priorities of its partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[39 - single]

Do you have any additional comments on UNEP's work at country or regional level?

- ☐ 1. Yes, note:
- ☐ 2. No

[40 - single]

Is there anything further you would like to say about UNEP's Strategic Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Operational Management

We would like to know what you think about Operational Management within UNEP.

[Financial Resources1]

Financial Resources and Risk Management

We would first like to ask you some questions about financial resources and risk management within UNEP. According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

[41 - single]

UNEP makes readily available its criteria for allocating its programme resources.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[42 - single]

UNEP allocates its programme resources according to the criteria mentioned above.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[43 - single]

UNEP's resource allocation is well aligned with its global priorities.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[44 - single]

UNEP links its budget allocations to expected results.

- ☐ 1. Very weak
- ☐ 2. Weak

- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[45 - single]

UNEP's reports on results include the amounts disbursed to achieve those results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[FR2_1]

Financial Resources and Risk Management

Still thinking about financial resources and risk management.

According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[Financial Resources2]

[46 - single]

UNEP's external financial audits (e.g., by UN Oversight bodies) are meeting the expectations of donors.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[47 - single]

UNEP's programmes and projects are appropriately covered by audit (e.g., by UN Oversight bodies)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong

☐ 7. Don't Know

[48 - single]

UNEP has appropriate systems in place to follow up on financial irregularities, including fraud and corruption.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[49 - single]

UNEP's internal financial audits provide useful information to its governing body.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[50 - single]

UNEP's procurement and contract management processes for the provision of services or goods are **usually effective**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[51 - single]

UNEP uses its **risk management** plans and strategies appropriately.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Effective procurement processes = Effective procurement or contract management

processes that accomplish their objectives and are carried out in a timely and efficient manner.

Risk management = Risk management involves the identification, analysis, monitoring, mitigation, and reporting of those risks that impact on achievement of results, and actions to address them.

[52 - single]

Do you have any additional comments on UNEP's financial resources and risk management?

- ☐ 1. Yes, note:
- ☐ 2. No

Performance Management

We would like you to think about performance management - the way UNEP manages the performance of its operations. According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in the following statement(s)?

[53 - single]

UNEP uses project/programme, sector, and country information on performance to revise corporate policies and strategies.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[54 - single]

UNEP uses the Global Environmental Outlook (GEO) to inform corporate priorities.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[55 - single]

UNEP uses performance information on its projects and programmes to plan and modify programming initiatives.

- ☐ 1. Very weak

- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[56 - single]

Poorly performing programmes and projects of UNEP are subject to proactive management.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[57 - single]

UNEP appropriately tracks the implementation of evaluation recommendations reported to the Governing Council.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[58 - single]

Do you have any additional comments on UNEP's performance management?

- ☐ 1. Yes, note:
- ☐ 2. No

Human Resources Management

We would like you to think about the way UNEP handles human resources. According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

[59 - single]

UNEP uses results-focused performance assessment systems for senior staff.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong

- ☐ 7. Don't Know

[60 - single]

UNEP uses a transparent system to manage staff performance.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[61 - single]

Do you have any additional comments on UNEP's human resources management?

- ☐ 1. Yes, note:
- ☐ 2. No

Portfolio Management

We would like you to think about portfolio management. According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in the following statement(s)?

[62 - single]

UNEP sets targets to enable monitoring of progress of project or sub-programme implementation.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[63 - single]

UNEP regional offices have sufficient delegated authority to manage activities at a regional level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[64 - single]

Do you have any additional comments on UNEP's portfolio management?

- ☐ 1. Yes, note:
- ☐ 2. No

[65 - single]

Before moving on to the next section, is there anything further you would like to say about UNEP's Operational Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Relationship Management

We would like to ask you about some aspects of Relationship Management - that is, UNEP's relationship with its direct partners and other stakeholders.

Ownership

According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in the following statement(s)?

[66 - single]

The support provided by UNEP in countries appropriately responds to the priorities identified by national governments or other partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[67 - single]

UNEP uses procedures that can be easily understood and followed by direct partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[68 - single]

The length of time it takes to complete UNEP procedures does not affect implementation.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[69 - single]

UNEP adjusts its projects and programmes to respond to changing circumstances.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[70 - single]

UNEP flexibly adjusts its implementation of individual projects/programmes as learning occurs.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[71 - single]

Do you have any additional comments on UNEP's performance with regard to ownership?

- ☐ 1. Yes, note:
- ☐ 2. No

Alignment

According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

[72 - single]

UNEP provides valuable inputs to policy dialogue.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong

- ☐ 6. Very strong
- ☐ 7. Don't Know

[73 - single]

UNEP respects the views of partners when it undertakes policy dialogue.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[74 - single]

Do you have any additional comments on UNEP's performance with regard to alignment?

- ☐ 1. Yes, note:
- ☐ 2. No

Harmonisation

According to what you know about UNEP, how do you think it performs in relation to the practices, systems or behaviours described in the following statement(s)?

[75 - single]

UNEP relies on cooperative arrangements with UN entities and other programming partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[76 - single]

UNEP makes valuable contributions to UN System-wide approaches through such bodies as the Environmental Management Group (EMG), the Chief Executive Board (CEB), the UN Development Group (UNDG) and the UNDAF processes.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[77 - single]

UNEP's technical assistance is provided through coordinated programmes in support of capacity development.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[78 - single]

Do you have any additional comments on UNEP's performance with regard to harmonisation?

- ☐ 1. Yes, note:
- ☐ 2. No

[79 - single]

Before moving on to the next section, is there anything further you would like to say about UNEP's Relationship Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Knowledge Management

In this last section we would like to ask you about Knowledge Management within UNEP.

Performance Evaluation

We would like to ask you about performance evaluation. According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in the following statement(s)?

[80 - single]

UNEP uses evaluation findings in its decisions on programming, policy and strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[81 - single]

UNEP involves direct partners and other stakeholder groups in evaluations of its projects or programmes.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[82 - single]

Do you have any additional comments on UNEP's performance evaluation?

- ☐ 1. Yes, note:
- ☐ 2. No

Performance Reporting

Please think now about performance reporting.

According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in the following statement?

[83 - single]

UNEP reports to the governing body on performance, including progress against targets set in its organisation-wide strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know
- ☐ 7. Don't Know

[84 - single]

Do you have any additional comments on UNEP's performance reporting?

- ☐ 1. Yes, note:
- ☐ 2. No

Dissemination

We would like you to think about how UNEP disseminates lessons learned.

According to what you know about UNEP, how do you think UNEP performs in relation to the practices, systems or behaviours described in each of the following statements?

[85 - single]

UNEP identifies and disseminates lessons learned from performance information.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[86 - single]

UNEP provides opportunities at all levels of the organisation to share lessons from practical experience.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[87 - single]

Do you have any additional comments on how UNEP disseminates lessons learned?

- ☐ 1. Yes, note:
- ☐ 2. No

[88 - single]

Is there anything further you would like to say about UNEP's Knowledge Management? This could be anything related to the statement(s) you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Background Questions

What MOPAN member country do you work with?

- ☐ 1. Australia
- ☐ 2. Austria
- ☐ 3. Belgium
- ☐ 4. Canada
- ☐ 5. Denmark
- ☐ 6. Finland
- ☐ 7. France
- ☐ 8. Germany
- ☐ 9. Ireland

- ☐ 10. Republic of Korea
- ☐ 11. The Netherlands
- ☐ 12. Norway
- ☐ 13. Spain
- ☐ 14. Sweden
- ☐ 15. Switzerland
- ☐ 16. United Kingdom

[90 - single]

What type of organisation do you work for?
Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in offices in the capital
- ☐ 2. MOPAN member organisation, in the permanent mission or executive board office at the multilateral organisation
- ☐ 3. Other

[91 - single]

What type of organisation do you work for?
Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in country office (including embassies)
- ☐ 2. Other

[92 - single]

Background Questions

What type of organisation do you work for?
Choose the one that best describes your organisation:

- ☐ 1. National parliament or legislature
- ☐ 2. Government - line ministry

- ☐ 3. Government - ministry of finance/statistics/planning/economics
- ☐ 4. Government - other
- ☐ 5. Civil society organisation (e.g., NGO, CBO)
- ☐ 6. University
- ☐ 7. Parastatal
- ☐ 8. UN organisation
- ☐ 9. International Financial Institution (IFI)
- ☐ 10. Other international organisation (e.g. INGO, ENGO)
- ☐ 11. Private sector
- ☐ 12. Other

[93 - single]

How would you define your level of seniority within the organisation? Choose the one that best describes your position:

- ☐ 1. Senior-level professional
- ☐ 2. Mid-level professional
- ☐ 3. Junior staff member

[ALMOST DONE]

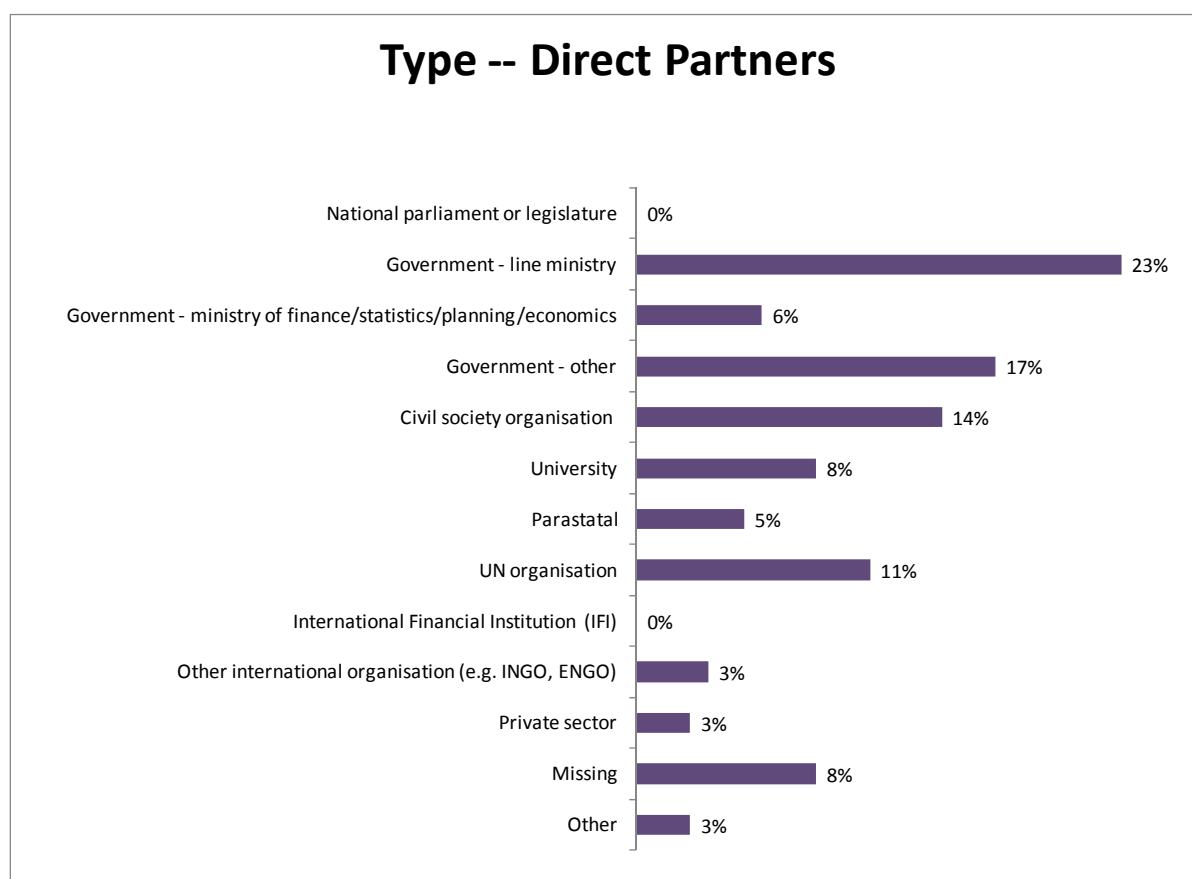
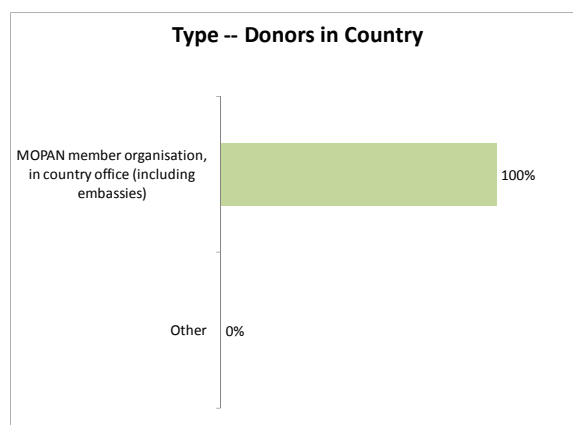
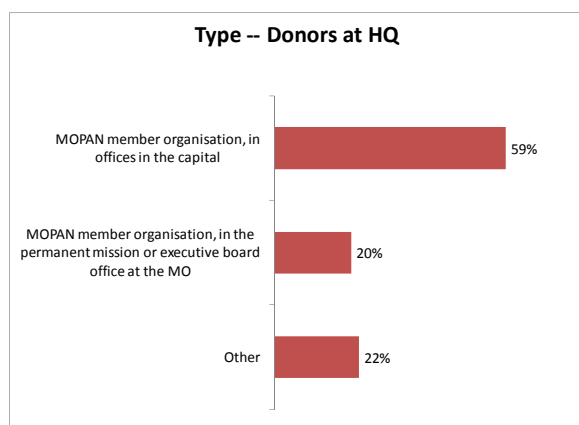
You have now answered the last question. Once you click 'Next' you cannot go back and edit your answers.

[End of Interview]

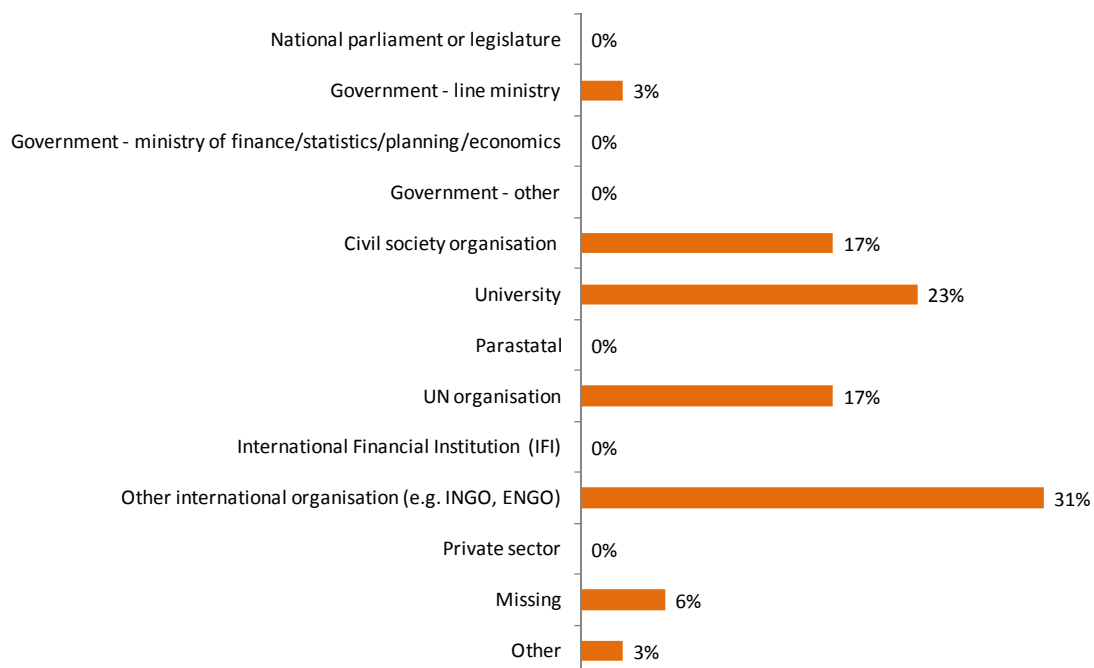
Thank you very much for sharing your insights and taking time to answer this survey, which is aimed at improving the dialogue on organisational learning and effectiveness of multilateral organisations.

Appendix III Respondent Profile

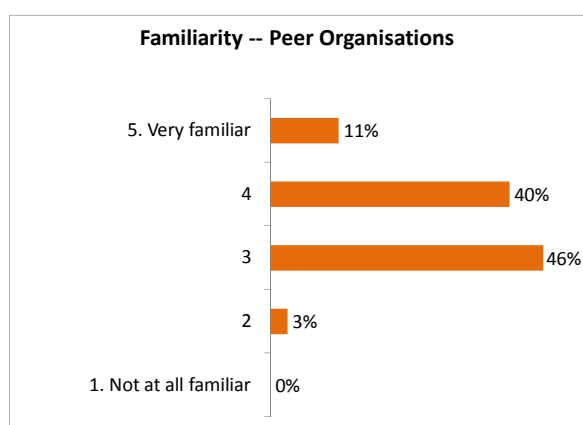
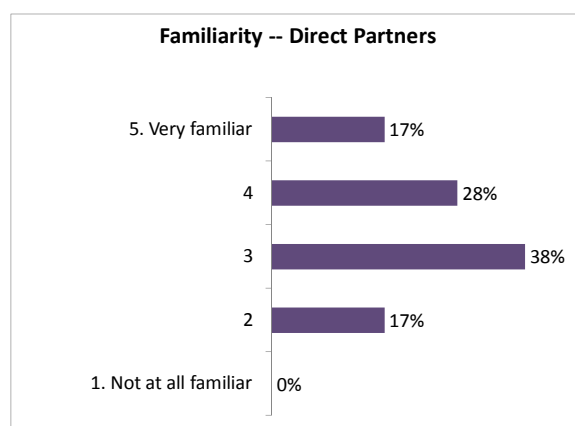
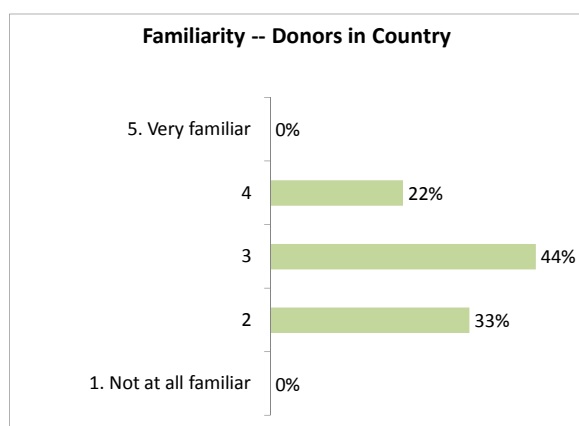
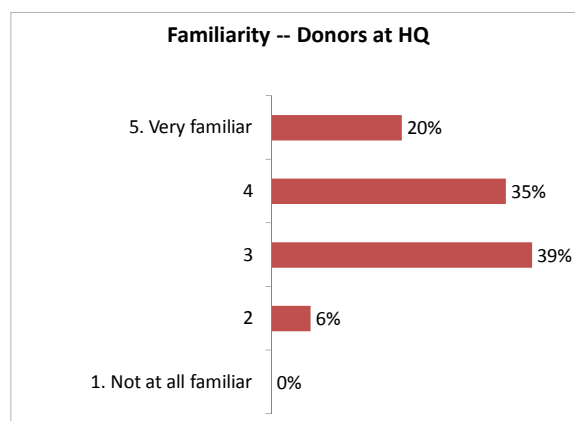
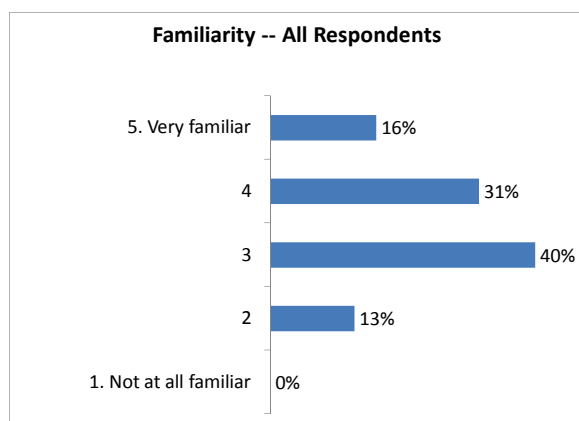
Types of Respondents

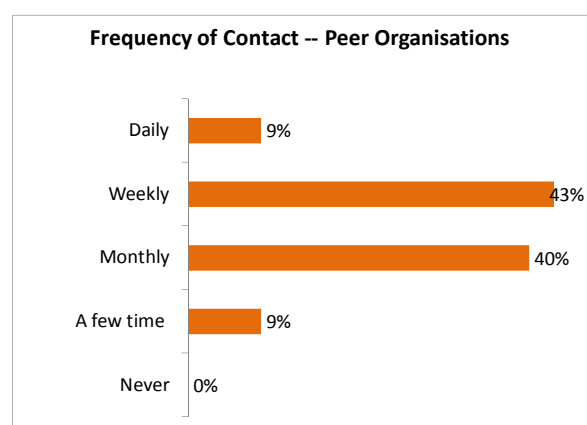
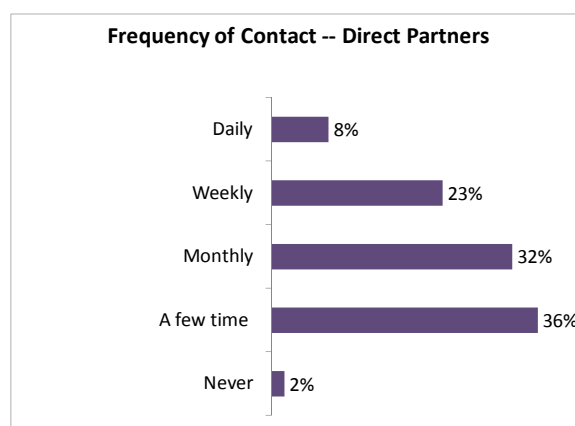
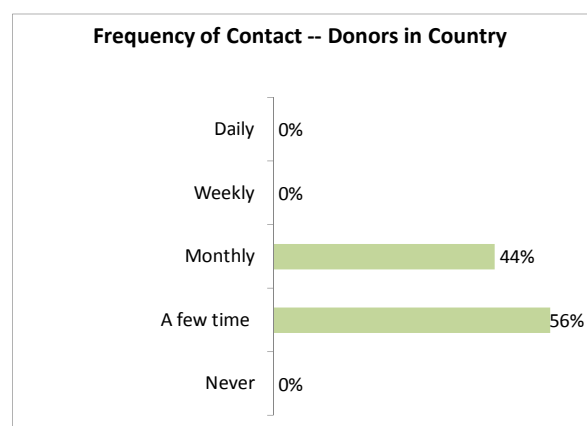
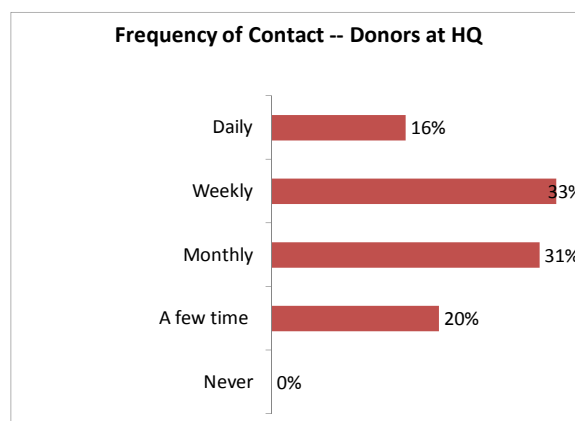
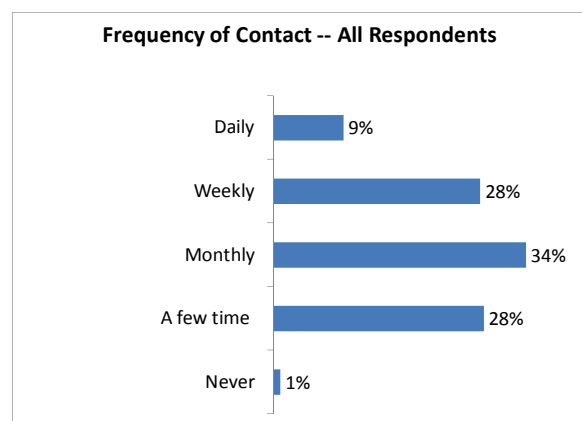


Type -- Peer Organisations

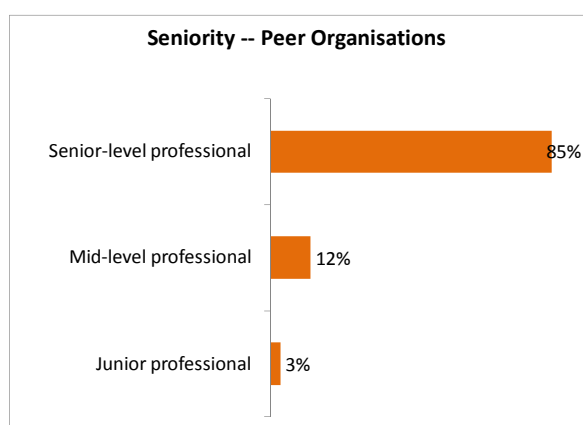
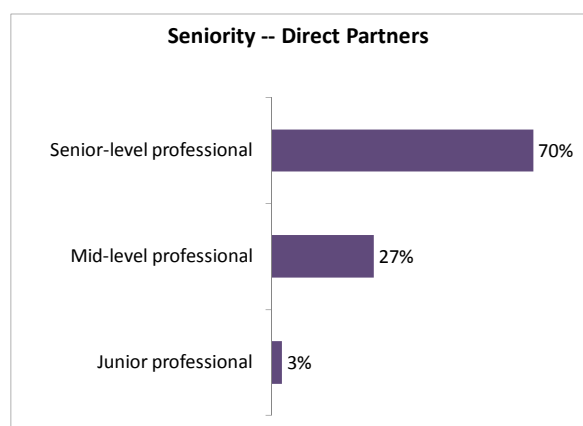
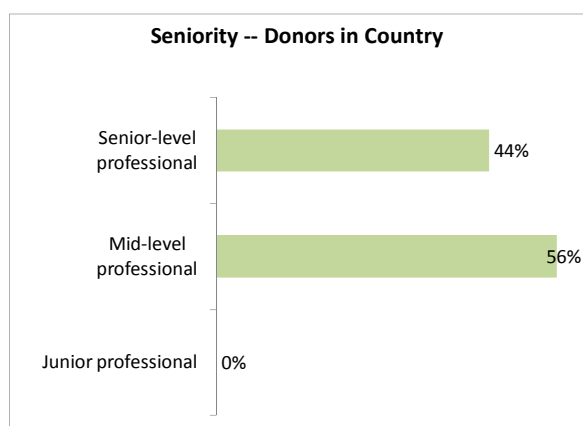
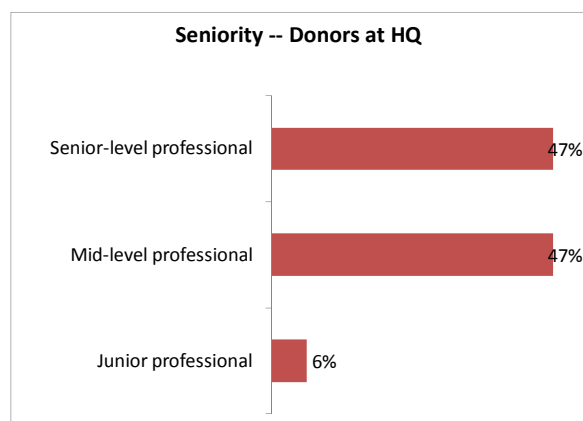
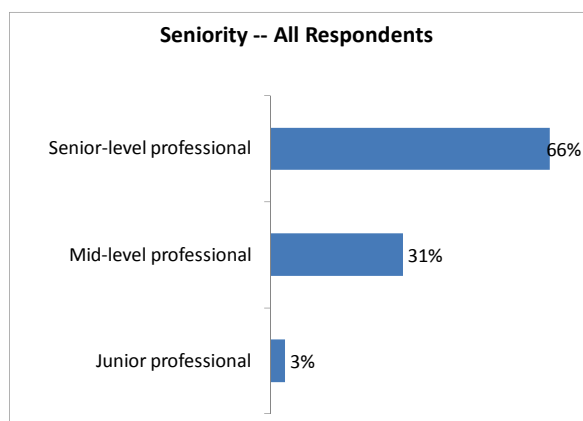


Respondent Familiarity with Multilateral Organisation (in per cent)



Respondent Frequency of Contact with Multilateral Organisation (in per cent)

Respondent Level of Seniority



Appendix IV Base Size and Rate of “Don’t Know” Responses

N (#) = number of respondents who were asked the question (un-weighted data).

% DK = percentage of respondents who indicated “Don’t Know” to the question (weighted data).

“--” indicates that the question was not asked among a particular respondent group

I- Strategic Management

		Total		Donors at HQ		Donors in Country		Direct Partners		Peer Organisations	
		N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
KPI 1	Providing direction for results	--	--	--	--	--	--	--	--	--	--
MI 1.1	Value system supports results-orientation	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNEP's institutional culture reinforces a focus on results. (8)	206	5	51	6	--	--	120	7	35	3
SUB MI	ii) UNEP's institutional culture is partner-focused. (9)	206	4	51	6	--	--	120	4	35	3
SUB MI	iii) UNEP's institutional culture supports a focus on priority environmental challenges as identified in research and analysis. (10)	206	3	51	2	--	--	120	4	35	3
MI 1.2	Leadership on results management	51	2	51	2	--	--	--	--	--	--
MI 1.3	Key documents available to the public	215	3	51	2	9	0	120	4	35	6
KPI 2	Corporate focus on results	--	--	--	--	--	--	--	--	--	--
MI 2.1	Appropriately positioned within international architecture	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNEP is appropriately positioned within the international architecture in relation to its normative role. (14)	215	4	51	2	9	0	120	7	35	6
SUB MI	ii) UNEP is appropriately positioned within the international architecture in relation to its implementation role. (15)	215	3	51	4	9	0	120	5	35	3
SUB MI	iii) UNEP is appropriately positioned within the international architecture in relation to its convening/coordination role. (16)	215	1	51	0	9	0	120	3	35	3
SUB MI	iv) UNEP is appropriately positioned within the international architecture in terms of its information and evidence building role. (17)	215	3	51	2	9	0	120	5	35	6
MI 2.2	Organisational strategy based on clear mandate	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNEP has a clear mandate. (18)	86	1	51	2	--	--	--	--	35	0
SUB MI	ii) UNEP's organisation-wide strategy/strategies are aligned with the mandate. (19)	86	12	51	12	--	--	--	--	35	11

		Total		Donors at HQ		Donors in Country		Direct Partners		Peer Organisations	
SUB MI	iii) UNEP's normative work is consistent with its mandate and strategy. (20)	86	4	51	6	--	--	--	--	35	3
SUB MI	iv) UNEP's operational work is consistent with its mandate and strategy. (21)	215	3	51	4	9	0	120	6	35	3
MI 2.3	Organisational policy on results management	51	12	51	12	--	--	--	--	--	--
MI 2.4	Plans and strategies contain results frameworks	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNEP's strategies contain explicit management results. (23)	51	20	51	20	--	--	--	--	--	--
SUB MI	ii) UNEP's strategies contain explicit development results. (24)	51	18	51	18	--	--	--	--	--	--
SUB MI	iii) UNEP's strategies contain explicit normative results. (25)	51	22	51	22	--	--	--	--	--	--
MI 2.5	Results frameworks link outputs to final outcomes/impacts	51	27	51	27	--	--	--	--	--	--
MI 2.6	Plans and strategies contain performance indicators	51	16	51	16	--	--	--	--	--	--
MI 2.7	Expected results developed in consultation with stakeholder groups	215	4	51	8	9	0	120	5	35	3
MI 2.8	Mainstreams environment	215	1	51	2	9	0	120	2	35	0
KPI 3	Focus on thematic priorities	--	--	--	--	--	--	--	--	--	--
MI 3.1	Gender	215	19	51	18	9	10	120	18	35	29
MI 3.2	Human wellbeing	215	3	51	6	9	0	120	4	35	3
MI 3.3	Good governance	215	2	51	6	9	0	120	4	35	0
KPI 4	Country and regional focus on results	--	--	--	--	--	--	--	--	--	--
MI 4.1	Expected results consistent with global Medium-Term Strategy	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNEP-supported projects and initiatives at the country level (e.g. the Poverty-Environment Initiative) are consistent with its Medium-Term Strategy. (34)	180	10	51	18	9	0	120	12	--	--
SUB MI	ii) UNEP-supported initiatives/projects at the regional level are consistent with its Medium-Term Strategy. (35)	180	25	51	22	9	35	120	19	--	--
MI 4.2	Expected results consistent with national or regional environmental priorities	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNEP's strategies support good environmental practices at the country level. (36)	164	3	--	--	9	0	120	2	35	6
SUB MI	ii) UNEP's strategies support good environmental practices at the regional level. (37)	164	20	--	--	9	40	120	10	35	11

		Total		Donors at HQ		Donors in Country		Direct Partners		Peer Organisations	
SUB MI	iii) UNEP's activities at the regional level align with the environmental priorities of its partners. (38)	164	9	--	--	9	0	120	14	35	14

II- Operational Management

		Total		Donors at HQ		Donors in Country		Direct Partners		Peer Organisations	
		N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
KPI 5	Resource allocation decisions	--	--	--	--	--	--	--	--	--	--
MI 5.1	Criteria for allocating resources publicly available	215	23	51	18	9	35	120	16	35	23
MI 5.2	Resource allocations follow the criteria	215	30	51	22	9	40	120	20	35	37
KPI 6	Linking aid management to performance	--	--	--	--	--	--	--	--	--	--
MI 6.1	Allocations aligned with global priorities	51	10	51	10	--	--	--	--	--	--
MI 6.2	Allocations linked to expected results	51	16	51	16	--	--	--	--	--	--
MI 6.3	Disbursements linked to reported results	51	25	51	25	--	--	--	--	--	--
KPI 7	Financial accountability	--	--	--	--	--	--	--	--	--	--
MI 7.1	External financial audits performed across the organisation	51	29	51	29	--	--	--	--	--	--
MI 7.2	External financial audits performed at the regional, country or project level	171	41	51	43	--	--	120	38	--	--
MI 7.3	Policy on anti-corruption	--	--	--	--	--	--	--	--	--	--
MI 7.4	Systems for immediate measures against irregularities	171	41	51	37	--	--	120	44	--	--
MI 7.5	Internal financial audits processes provide objective information	51	35	51	35	--	--	--	--	--	--
MI 7.6	Effective procurement and contract management processes	120	32	--	--	--	--	120	32	--	--
MI 7.7	Strategies for risk management	51	47	51	47	--	--	--	--	--	--
KPI 8	Using performance information	--	--	--	--	--	--	--	--	--	--
MI 8.1	Using information for revising and adjusting policies	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNEP uses project/program, sector, and country information on performance to revise corporate policies and strategies. (53)	86	38	51	45	--	--	--	--	35	31
SUB MI	ii) UNEP uses the Global Environmental Outlook (GEO) to inform corporate priorities. (54)	86	30	51	24	--	--	--	--	35	37
MI 8.2	Using information for planning new interventions	155	17	--	--	--	--	120	21	35	14
MI 8.3	Proactive management of "unsatisfactory" programs and projects	215	34	51	45	9	20	120	41	35	29
MI 8.4	Evaluation recommendations are acted upon	51	35	51	35	--	--	--	--	--	--
KPI 9	Managing human resources	--	--	--	--	--	--	--	--	--	--
MI 9.1	Results-based performance assessment systems for senior staff	51	71	51	71	--	--	--	--	--	--

		Total		Donors at HQ		Donors in Country		Direct Partners		Peer Organisations	
		N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
MI 9.2	Transparent incentive/reward system for staff performance	51	69	51	69	--	--	--	--	--	--
KPI 10	Performance oriented programming	--	--	--	--	--	--	--	--	--	--
MI 10.1	Milestones/targets set to rate progress of implementation	180	10	51	24	9	0	120	7	--	--
KPI 11	Delegating decision making	--	--	--	--	--	--	--	--	--	--
MI 11.1	Operational and management decisions can be made regionally	164	31	--	--	9	45	120	21	35	29

III- Relationship Management

		Total		Donors at HQ		Donors in Country		Direct Partners		Peer Organisations	
		N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
KPI 12	Supporting national plans	--	--	--	--	--	--	--	--	--	--
MI 12.1	Proposals for support developed with national government or other direct partners	180	7	51	20	9	0	120	2	--	--
KPI 13	Adjusting procedures	--	--	--	--	--	--	--	--	--	--
MI 13.1	Procedures easily understood and completed by clients	129	9	--	--	9	15	120	3	--	--
MI 13.2	Length of time for procedures does not affect implementation	129	12	--	--	9	15	120	8	--	--
MI 13.3	Ability to respond quickly to changing circumstances	129	5	--	--	9	0	120	11	--	--
MI 13.4	Flexibility in implementation of projects/programs	129	7	--	--	9	0	120	15	--	--
KPI 14	Contributing to policy dialogue	--	--	--	--	--	--	--	--	--	--
MI 14.1	Reputation for high quality, valued policy dialogue inputs	215	3	51	2	9	0	120	6	35	3
MI 14.2	Policy dialogue respects partner views and perspectives	215	4	51	10	9	0	120	5	35	3
KPI 15	Harmonising procedures	--	--	--	--	--	--	--	--	--	--
MI 15.1	Participation in cooperative arrangements	215	6	51	6	9	0	120	11	35	9
MI 15.2	Contribution to UN system-wide approaches	180	25	51	8	9	35	120	33	--	--
MI 15.3	Technical assistance provided through coordinated programs	129	14	--	--	9	15	120	12	--	--

IV- Knowledge Management

		Total		Donors at HQ		Donors in Country		Direct Partners		Peer Organisations	
		N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
KPI 16	Evaluating external results	--	--	--	--	--	--	--	--	--	--
MI 16.1	Independent evaluation unit	--	--	--	--	--	--	--	--	--	--
MI 16.2	Sufficient evaluation coverage of programming operations	--	--	--	--	--	--	--	--	--	--
MI 16.3	Quality of evaluations	--	--	--	--	--	--	--	--	--	--
MI 16.4	Use of evaluation findings to inform decisions	51	25	51	25	--	--	--	--	--	--
MI 16.5	Direct partners and other stakeholders involved in evaluation	215	22	51	35	9	30	120	15	35	9
KPI 17	Presenting performance information	--	--	--	--	--	--	--	--	--	--
MI 17.1	Reports on achievement of outcomes	51	12	51	12	--	--	--	--	--	--
MI 17.2	Reports on performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--	--	--
MI 17.3	Reports against corporate strategy, including results	--	--	--	--	--	--	--	--	--	--
MI 17.4	Reports on adjustments to policies/strategies based on performance information	--	--	--	--	--	--	--	--	--	--
MI 17.5	Reports on programming adjustments based on performance information	--	--	--	--	--	--	--	--	--	--
KPI 18	Disseminating lessons learned	--	--	--	--	--	--	--	--	--	--
MI 18.1	Reports on lessons learned based on performance information	51	24	51	24	--	--	--	--	--	--
MI 18.2	Lessons shared at all levels of the organisation	51	49	51	49	--	--	--	--	--	--

Appendix V KPI and MI Data by Quadrant

Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the four respondent groups;
- b) equal weight is given to each of the primary countries where the survey took place;

However, the base is un-weighted.¹⁵

Total – includes all respondents

“--” indicates that the question was not asked among a particular respondent group

Strong (4.5-5.49)
Adequate (3.5-4.49)
Inadequate (2.5-3.49)

I- Strategic Management

		Mean scores				
		Total	Donors at HQ	Donors in Country	Direct Partners	Peer Organisations
	Base (un-weighted):	215	35	120	9	51
KPI 1	Providing direction for results	4.27	4.28	3.95	4.49	4.44
MI 1.1	Value system supports results-orientation	4.24	4.12	--	4.38	4.22
SUB MI	i) UNEP's institutional culture reinforces a focus on results. (8)	3.88	3.63	--	4.21	3.82
SUB MI	ii) UNEP's institutional culture is partner-focused. (9)	4.17	4.08	--	4.23	4.21
SUB MI	iii) UNEP's institutional culture supports a focus on priority environmental challenges as identified in research and analysis. (10)	4.66	4.66	--	4.69	4.64
MI 1.2	Leadership on results management	4.14	4.14	--	--	--
MI 1.3	Key documents available to the public	4.44	4.58	3.95	4.61	4.66
KPI 2	Corporate focus on results	3.98	3.94	3.87	4.47	4.26
MI 2.1	Appropriately positioned within international architecture	4.04	3.76	3.73	4.42	4.30
SUB MI	i) UNEP is appropriately positioned within the international architecture in relation to its normative role. (14)	4.13	3.66	4.25	4.32	4.31
SUB MI	ii) UNEP is appropriately positioned within the international architecture in relation to its implementation role. (15)	3.71	3.43	3.65	4.11	3.67
SUB MI	iii) UNEP is appropriately positioned within the international architecture in relation to its convening/coordination role. (16)	4.03	3.67	3.15	4.62	4.79

¹⁵ For a description of weighting, please see the Methodology in Appendix I.

		Mean scores				
		Total	Donors at HQ	Donors in Country	Direct Partners	Peer Organisations
SUB MI	iv) UNEP is appropriately positioned within the international architecture in terms of its information and evidence building role. (17)	4.29	4.28	3.85	4.64	4.44
MI 2.2	Organisational strategy based on clear mandate	4.34	4.15	4.35	4.50	4.44
SUB MI	i) UNEP has a clear mandate. (18)	4.45	4.22	--	--	4.68
SUB MI	ii) UNEP's organisation-wide strategy/strategies are aligned with the mandate. (19)	4.27	4.11	--	--	4.43
SUB MI	iii) UNEP's normative work is consistent with its mandate and strategy. (20)	4.40	4.35	--	--	4.45
SUB MI	iv) UNEP's operational work is consistent with its mandate and strategy. (21)	4.24	3.90	4.35	4.50	4.21
MI 2.3	Organisational policy on results management	3.53	3.53	--	--	--
MI 2.4	Plans and strategies contain results frameworks	4.03	4.03	--	--	--
SUB MI	i) UNEP's strategies contain explicit management results. (23)	3.93	3.93	--	--	--
SUB MI	ii) UNEP's strategies contain explicit development results. (24)	3.95	3.95	--	--	--
SUB MI	iii) UNEP's strategies contain explicit normative results. (25)	4.20	4.20	--	--	--
MI 2.5	Results frameworks link outputs to final outcomes/impacts	3.65	3.65	--	--	--
MI 2.6	Plans and strategies contain performance indicators	3.98	3.98	--	--	--
MI 2.7	Expected results developed in consultation with stakeholder groups	4.17	4.30	3.70	4.45	4.28
MI 2.8	Mainstreams environment	4.08	4.10	3.70	4.52	4.03
KPI 3	Focus on thematic priorities	4.35	4.30	4.19	4.51	4.45
MI 3.1	Gender	4.25	4.07	4.17	4.37	4.48
MI 3.2	Human wellbeing	4.44	4.35	4.30	4.66	4.47
MI 3.3	Good governance	4.36	4.48	4.10	4.51	4.39
KPI 4	Country and regional focus on results	4.30	4.50	3.98	4.46	4.39
MI 4.1	Expected results consistent with global Medium-Term Strategy	4.45	4.50	4.40	4.45	--
SUB MI	i) UNEP-supported projects and initiatives at the country level (e.g. the Poverty-Environment Initiative) are consistent with its Medium-Term Strategy. (34)	4.50	4.57	4.50	4.42	--
SUB MI	ii) UNEP-supported initiatives/projects at the regional level are consistent with its Medium-Term Strategy. (35)	4.41	4.43	4.31	4.48	--

		Mean scores				
		Total	Donors at HQ	Donors in Country	Direct Partners	Peer Organisations
MI 4.2	Expected results consistent with national or regional environmental priorities	4.14	--	3.56	4.48	4.39
SUB MI	i) UNEP's strategies support good environmental practices at the country level. (36)	4.00	--	3.40	4.46	4.19
SUB MI	ii) UNEP's strategies support good environmental practices at the regional level. (37)	4.31	--	3.67	4.53	4.55
SUB MI	iii) UNEP's activities at the regional level align with the environmental priorities of its partners. (38)	4.11	--	3.60	4.44	4.43

II- Operational Management

		Mean scores				
		Total	Donors at HQ	Donors in Country	Direct Partners	Peer Organisations
	Base (un-weighted):	215	35	120	9	51
KPI 5	Resource allocation decisions	3.91	3.73	3.80	4.27	3.83
MI 5.1	Criteria for allocating resources publicly available	3.83	3.69	3.85	4.18	3.60
MI 5.2	Resource allocations follow the criteria	3.99	3.78	3.75	4.36	4.05
KPI 6	Linking aid management to performance	3.83	3.83	--	--	--
MI 6.1	Allocations aligned with global priorities	3.96	3.96	--	--	--
MI 6.2	Allocations linked to expected results	3.84	3.84	--	--	--
MI 6.3	Disbursements linked to reported results	3.68	3.68	--	--	--
KPI 7	Financial accountability	4.12	3.96	--	4.46	--
MI 7.1	External financial audits performed across the organisation	4.00	4.00	--	--	--
MI 7.2	External financial audits performed at the regional, country or project level	4.28	4.03	--	4.54	--
MI 7.3	Policy on anti-corruption	--	--	--	--	--
MI 7.4	Systems for immediate measures against irregularities	4.12	3.88	--	4.43	--
MI 7.5	Internal financial audits processes provide objective information	4.06	4.06	--	--	--
MI 7.6	Effective procurement and contract management processes	4.42	--	--	4.42	--
MI 7.7	Strategies for risk management	3.81	3.81	--	--	--
KPI 8	Using performance information	4.13	3.94	3.94	4.43	4.07
MI 8.1	Using information for revising and adjusting policies	4.33	4.40	--	--	4.24
SUB MI	i) UNEP uses project/program, sector, and country information on performance to revise corporate policies and strategies. (53)	4.16	4.18	--	--	4.14
SUB MI	ii) UNEP uses the Global Environmental Outlook (GEO) to inform corporate priorities. (54)	4.50	4.62	--	--	4.35
MI 8.2	Using information for planning new interventions	4.34	--	--	4.52	4.18
MI 8.3	Proactive management of "unsatisfactory" programs and projects	3.88	3.46	3.94	4.34	3.78
MI 8.4	Evaluation recommendations are acted upon	3.97	3.97	--	--	--
KPI 9	Managing human resources	3.81	3.81	--	--	--
MI 9.1	Results-based performance assessment systems for senior staff	3.93	3.93	--	--	--
MI 9.2	Transparent incentive/reward system for staff performance	3.69	3.69	--	--	--
KPI 10	Performance oriented programming	4.20	4.23	3.90	4.52	--

		Mean scores				
		Total	Donors at HQ	Donors in Country	Direct Partners	Peer Organisations
MI 10.1	Milestones/targets set to rate progress of implementation	4.20	4.23	3.90	4.52	--
KPI 11	Delegating decision making	4.14	--	3.82	4.23	4.30
MI 11.1	Operational and management decisions can be made regionally	4.14	--	3.82	4.23	4.30

III- Relationship Management

		Mean scores				
		Total	Donors at HQ	Donors in Country	Direct Partners	Peer Organisations
	Base (un-weighted):	215	35	120	9	51
KPI 12	Supporting national plans	4.13	4.12	3.90	4.40	--
MI 12.1	Proposals for support developed with national government or other direct partners	4.13	4.12	3.90	4.40	--
KPI 13	Adjusting procedures	3.63	--	3.24	4.08	--
MI 13.1	Procedures easily understood and completed by clients	3.85	--	3.35	4.33	--
MI 13.2	Length of time for procedures does not affect implementation	3.60	--	3.35	3.85	--
MI 13.3	Ability to respond quickly to changing circumstances	3.56	--	3.15	4.06	--
MI 13.4	Flexibility in implementation of projects/programs	3.53	--	3.10	4.09	--
KPI 14	Contributing to policy dialogue	4.77	4.71	4.73	4.74	4.89
MI 14.1	Reputation for high quality, valued policy dialogue inputs	4.88	4.88	4.95	4.74	4.94
MI 14.2	Policy dialogue respects partner views and perspectives	4.65	4.54	4.50	4.74	4.84
KPI 15	Harmonising procedures	4.29	4.44	4.07	4.60	4.33
MI 15.1	Participation in cooperative arrangements	4.44	4.31	4.45	4.68	4.33
MI 15.2	Contribution to UN system-wide approaches	4.58	4.57	4.54	4.65	--
MI 15.3	Technical assistance provided through coordinated programs	3.83	--	3.24	4.48	--

IV- Knowledge Management

		Mean scores				
		Total	Donors at HQ	Donors in Country	Direct Partners	Peer Organisations
	Base (un-weighted):	215	35	120	9	51
KPI 16	Evaluating external results	4.11	4.18	3.29	4.40	4.13
MI 16.1	Independent evaluation unit	--	--	--	--	--
MI 16.2	Sufficient evaluation coverage of programming operations	--	--	--	--	--
MI 16.3	Quality of evaluations	--	--	--	--	--
MI 16.4	Use of evaluation findings to inform decisions	4.21	4.21	--	--	--
MI 16.5	Direct partners and other stakeholders involved in evaluation	4.01	4.15	3.29	4.40	4.13
KPI 17	Presenting performance information	4.29	4.29	--	--	--
MI 17.1	Reports on achievement of outcomes	4.29	4.29	--	--	--
MI 17.2	Reports on performance using data obtained from measuring indicators	--	--	--	--	--
MI 17.3	Reports against corporate strategy, including results	--	--	--	--	--
MI 17.4	Reports on adjustments to policies/strategies based on performance information	--	--	--	--	--
MI 17.5	Reports on programming adjustments based on performance information	--	--	--	--	--
KPI 18	Disseminating lessons learned	3.88	3.88	--	--	--
MI 18.1	Reports on lessons learned based on performance information	3.87	3.87	--	--	--
MI 18.2	Lessons shared at all levels of the organisation	3.88	3.88	--	--	--

Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI – UNEP

QUADRANT I – STRATEGIC MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
1. DIRECTION FOR RESULTS			
1.1	MO has a value system that supports a results-orientation	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	- United Nations Environment Programme Medium-term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and support budgets for 2010–2011 http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performancereports.asp - OIOS Audit Report: Internal Governance in UNEP (2010) - Division of Technology, Industry and Economics Evaluation Report (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=LypXRyizwbo%3d&tabid=2318&language=en-US
Overall score MI 1.1		--	Overall comments:
1.3	Key documents are available to the public	1. <i>More than half of the documents in the sample (excluding the disclosure policy, which is identified below) are available on the website.</i>	Met - Governing Council Ordinary Session (1-25) and Special Session (1-11) proceedings documents and decisions (webpage): http://www.unep.org/resources/gov/Previousession.asp - Programme Performance Reports (webpage): http://www.unep.org/resources/gov/performancereports.asp - Annual Reports (webpage): http://www.unep.org/publications/contents/Annual_Reports.asp - About UNEP (webpage): http://www.unep.org/Documents.Multilingual/Default.asp?DocumentID=43&ArticleID=3301&l=en - Resources for Government Officials (webpage): http://www.unep.org/resources/gov/ - Division of Environmental Law and Conventions (webpage): http://www.unep.org/dec/ - United Nations Environment Programme Medium-term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Resource Mobilization (webpage): http://www.unep.org/rms/en/Financing_of_UNEP/Environment_Fund/index.asp - Annual Reports (webpage): http://www.unep.org/publications/contents/Annual_Reports.asp - UNEP publications (webpage): http://www.unep.org/publications/default.asp

MI	Micro-Indicator	Criteria	Evidence / Discussion
			- Evaluation Office (webpage): http://www.unep.org/eou/EvaluationOfficeHome/tabid/2256/Default.aspx - UNEP 2008-2009 Synthesis Report: http://www.unep.org/eou/Portals/52/Reports/EVALUATION%20SYNTHESIS.REPORT%202009.pdf - UNEP Evaluation Manual 2008: http://www.unep.org/eou/LinkClick.aspx?fileticket=vHEHtNFAffY%3d&tabid=2314&language=en-US
		2. (If first criterion met) <i>all</i> of the documents in the sample (excluding the disclosure policy, which is identified below) are available on the website.	Met As above
		3. (If first criterion met) most of the documents in the sample are available on the website <i>in multiple languages</i> .	Not met Policies governing www.unep.org (30 June 2010): http://www.unep.org/policy/UNEP_web_governance_30June2010.pdf
		4. A disclosure / privacy policy exists and is available on the MO website	Not met - UNEP Publishing Policy (2007, 2nd Edition): http://www.unep.org/policy/Pub_Policy_SecondEdition.pdf - Policies governing www.unep.org (2010): http://www.unep.org/policy/UNEP_web_governance_30June2010.pdf - Privacy policy: http://www.unep.org/Documents.Multilingual/Default.asp?DocumentID=289&ArticleID=3445 - Secretary General's bulletin: Information Sensitivity, Classification and Handling ST/SGB/2007/6: http://archives.un.org/ARMS/sites/ARMS/uploads/files/ST_SGB_2007_6_eng.pdf
		5. Clear procedures exist to contact the MO	Met Contacts (webpage): http://www.unep.org/Contacts/
Overall score MI 1.3		Adequate	Overall comments:
2. CORPORATE FOCUS ON RESULTS			
2.1	MO is appropriately positioned within the international architecture	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	
Overall score MI 2.1		--	Overall comments:

MI	Micro-Indicator	Criteria	Evidence / Discussion
2.2	The MO's organisation-wide strategy is based on a clear definition of mandate	1. The necessary periodic revisions of the MO mandate are made so it has continuing relevance.	Met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf
		2. The organisational strategic plan articulates goals & focus priorities.	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		3. The organisational strategic plan gives a clear indication of how the MO will implement the mandate in a certain period.	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		4. (If criteria two and three are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation's mandate.	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		5. (If criteria two and three are met) there is an explicit link between these goals and focus priorities to the organisation's mandate.	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
Overall score MI 2.2		Very strong	Overall comments:
2.3	The MO promotes an organisation-wide policy on results management	1. An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) and/or management for development results (MfDR) in the organisation is corporately approved (alternatively, the approach to RBM/MfDR may be	Met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		described in the context of a strategic plan and further operationalised through other documents).	
		2. The MO has guidelines on RBM/MfDR, either in hard copies or online.	Not met
		3. The MO provides training to its staff on RBM/MfDR.	Met - UNEP Results Based Management Training Programme 2011 - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		4. There is evidence (e.g. in the policy itself, in the MO's general reform agenda, etc.) that the MO reviews its policy on RBM/MfDR to ensure its adequate implementation.	Not met
		5. There is evidence that the MO supports its direct partners/clients to engage in RBM/MfDR.	Met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - UNEP Policy on Partnerships and Guidelines for Implementation (August 2009): http://www.unep.org/civil_society/PDF_docs/UNEP-PolicyonPartnerships.pdf
Overall score MI 2.3		Adequate	Overall comments:
2.4	Organisation-wide plans and strategies contain frameworks of expected management, development, and normative results	1. The MO has a results framework, including both development (program-related) results and management results.	Met - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
		2. The development (or program-related) results include statements of expected normative and humanitarian results.	Met Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf
		3. (The development (or	Met

MI	Micro-Indicator	Criteria	Evidence / Discussion
		program-related) results include outputs and expected outcomes.	- Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091 - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		4. (If third criterion met) in the development (or program-related) results framework, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Met Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf
		5. Criteria 3 and 4 (referring to quality of results statements) are met for the MRF.	Not met Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
Overall score MI 2.4		Strong	Overall comments:
2.5	Results frameworks have causal links from outputs through to impacts / final outcomes	1. At least one results framework exists at the organisation-wide level (i.e., MRF and/or DRF).	Met - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		2. (If first criterion is met) there is an <i>implicit or explicit</i> description, in the DRF (or in the strategic plan), of how the outputs in the results framework(s) are linked to the expected outcomes (i.e. there is no big leap from outputs to outcomes).	Met As above
		3. In the DRF, there is a plausible link between outcomes and impacts (i.e. there is no big leap from	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		outcomes to impacts).	
		4. Same as 2 for MRF.	Not met Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
		5. Same as 3 for MRF.	Not met As above
Overall score MI 2.5		Adequate	Overall comments:
2.6	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	1. At least one results framework exists at the organisation-wide level (MRF and/or DRF), and contains <i>adequate</i> performance indicators at both the output and outcome levels.	Not met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
		2. More than half of the performance indicators are <i>relevant</i> to the results they are associated with in the framework(s).	Met - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
		3. More than half of the performance indicators are <i>clear</i> (i.e. it is clear what is to be measured).	Met - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
		4. At least some of the indicators (most likely at the outcome level) are based on or make use of accepted international indices and data elements, as possible.	Not met - Proposed biennial programme and support budgets for 2010-2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091 - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		5. More than half of the performance indicators are <i>monitorable</i> (i.e. they have	Met Proposed biennial programme and support budgets for 2010-2011:

MI	Micro-Indicator	Criteria	Evidence / Discussion
		targets set for them, and the date(s) for target achievement is clear). Note that dates for target achievement may be found in the narrative of the framework document or the strategic plan. Note also that it may be appropriate for impact indicators not to have targets.	http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
Overall score MI 2.6		Adequate	Overall comments:
2.8	MO strategies help mainstream the environment into the activities of its partners	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	- Proceeding of the Governing Council at its Nineteenth Session (1997): http://www.unep.org/resources/gov/prev_docs/97_GC19_proceedings.pdf - UNEP Policy on Partnerships and Guidelines for Implementation (August 2009): http://www.unep.org/civil_society/PDF_docs/UNEP-PolicyonPartnerships.pdf - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
Overall score MI 2.8		--	Overall comments:
3. FOCUS ON THEMATIC PRIORITIES			
3.1	Gender equality	1. The organisation-wide strategic plan identifies gender equality as a cross-cutting priority or a focus area.	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		2. (If the first criterion is met) the organisation commits to developing its internal management/institutional capacity to support gender mainstreaming, either in the organisation-wide strategic	Not met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - UNEP Gender Plan of Action (2006): http://www.unep.org/civil_society/PDF_docs/Unep-Gender-Action-Plan-5Feb07.pdf - Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		plan or in a separate policy document. This includes any results statements on this cross-cutting issue or focus area that are stated in its MRF.	• UNEP Draft Gender Policy (July 2008)
		3. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its programming, either in the organisation-wide strategic plan or in a separate policy document. This includes any results statements on this cross-cutting issue or focus area that are stated in its DRF.	Met • UNEP Gender Plan of Action (2006): http://www.unep.org/civil_society/PDF_docs/Unep-Gender-Action-Plan-5Feb07.pdf • Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf • Disasters and Conflict 2010-2011 Gender Action Plan (May 2010) • Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or gender policy commits the organisation to evaluate the implementation of the gender policy/strategy.	Met • UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf • UNEP Gender Plan of Action (2006): http://www.unep.org/civil_society/PDF_docs/Unep-Gender-Action-Plan-5Feb07.pdf • UNEP Draft Gender Policy (July 2008)
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to gender equality.	Met • OIOS Thematic evaluation of gender mainstreaming in the United Nations Secretariat (9 August 2010): http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/479/32/PDF/N1047932.pdf?OpenElement
Overall score MI 3.1		Strong	Overall comments:
3.2	Human well-being	1. The organisation-wide strategic plan identifies well-being/poverty reduction as a cross-cutting priority.	Not met • UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. The organisation commits to integrating well-being/ poverty reduction in its programming, either in the organisation-wide strategic plan or in a separate policy document.	Not met - Poverty and Ecosystems: A Conceptual Framework. A Synthesis (2003): http://www.unep.org/gc/gc22/Document/k0360114.pdf - Exploring the Links (2004): http://www.unpei.org/PDF/economics_exploring_the_links.pdf - UNEP project manual: formulation, approval, monitoring and evaluation (2005): http://www.unep.org/pcmu/project_manual/chapters.asp
		3. The organisation-wide strategic framework or another policy/strategy document contains results statements on well-being or poverty reduction.	Met Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf
		4. The organisation-wide strategic plan or relevant policy document commits the organisation to evaluate its work in the area of well-being/poverty reduction.	Not met - Evaluation Plan for the Work Programmes of UNEP Within the 2010-2013 Medium Term Strategy - Project Document: Integrated marine and Coastal Environment and Resource Management for Human Well-being (2010) - Project Document: Integration of Sustainable Ecosystems Management in National Development Processes (ND)
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in terms of integrating well being/poverty in its programming.	Not met Terminal Evaluation of the UNEP/GEF Project “Millennium Ecosystem Assessment” (2006)
		Overall score MI 3.2	
3.3	Good Governance	1. The organisation-wide strategic plan identifies good environmental governance in countries as a cross-cutting priority or focus area.	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		2. The organisation includes results statements related to good environmental	Met Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		governance principles in its partner countries either in the organisation-wide strategic plan or in a separate policy document.	
		3. The organisation has a policy or strategy that describes how it promotes good environmental governance in its programming.	Met - Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Report of the Governing Council on the Work of its Seventh Special Session/Global Ministerial Environment Forum, 13-15 February 2002 (pp.23-34): http://www.unep.org/GC/GCSS-VII/Documents/K0260448.doc - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		4. There is evidence that the organisation supports good environmental governance activities in countries as part of its projects or other normative activity (in reports to the Board, evaluations, etc.).	Met - Annual Report 2010: http://www.unep.org/annualreport/2010/pdfs/UNEP-AR-2010-FULL-REPORT.pdf - Annual Report 2009: http://www.unep.org/publications/ebooks/annual-report09/Downloads.aspx
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to promoting good environmental governance.	Met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Management review of environmental governance within the United Nations system JIU/REP/2008/3: http://www.unjiu.org/data/reports/2008/en2008_3.pdf - Proceedings of the Governing Council/Global Ministerial Environment Forum at its twenty-fifth session: http://www.unep.org/gc/gcss-x/download.asp?ID=1359 - Proceedings of the Governing Council/Global Ministerial Environment Forum at its eleventh special session (March 2010): http://www.unep.org/gc/gcss-x/download.asp?ID=1251 - International environmental governance: Report of the Executive Director: http://www.unep.org/gc/gc26/download.asp?ID=1877 - Proceedings of the Governing Council/Global Ministerial Environment Forum at its twenty-sixth session (February 2011): http://www.unep.org/gc/gc26/docs/Proceedings/K1170817_E-GC26-19_Proceedings.pdf
Overall score 3.3		Very strong	Overall comments:

MI	Micro-Indicator	Criteria	Evidence / Discussion
4. COUNTRY AND REGIONAL FOCUS			
4.1	Statements of expected results for country or regional initiatives/projects are consistent with those in the global Medium-Term Strategy	1. The MO has strategies at the initiative/project level, less than half of which contain statements of expected results articulated at output and outcome levels.	Met • Project Document: Asian Climate Finance Innovation Facility (2009) • Project Document: Incorporating the value of Forest-Related Ecosystem services Into National Accounts (2011) • Project Document: Building Capacity for Industrial Risk Reduction with a focus on Emergency Preparedness in Developing Countries (2009) • Project Document: UNEP Country Programme for the Democratic Republic of Congo (2010) • Project Document: Integration of Sustainable Ecosystems Management in National Development Processes (nd) • Project Document: Integrated marine and Coastal Environment and Resource Management for Human Well-being (2010) • Project Document: Integrating environmental sustainability in the UN Development Assistance Frameworks (UNDAFs) and UN common country programming processes (2010) • Project Document: Environmental Management for Disaster Risk Reduction (2009)
		2. (If first criterion met) in more than half of the initiative/project strategies, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Met As above
		3. (If first criterion is met) more than half of the initiative/project strategies sampled explicitly link expected results to the MO's expected results at the global level.	Met As above
		4. (If first criterion is met) more than half of the project documents sampled explicitly link expected results to the	Met As above

MI	Micro-Indicator	Criteria	Evidence / Discussion
		MO's expected results at the subprogram level.	
		5. (If all above criteria are met) all of the above criteria are met for all project strategies sampled.	Met As above
Overall score MI 4.1		Very strong	Overall comments:
4.2	Statements of expected results for country or regional initiatives/projects are consistent with national or regional environmental priorities	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• Project Document: Asian Climate Finance Innovation Facility (2009) • Project Document: Incorporating the value of Forest-Related Ecosystem services Into National Accounts (2011) • Project Document: Building Capacity for Industrial Risk Reduction with a focus on Emergency Preparedness in Developing Countries (2009) • Project Document: UNEP Country Programme for the Democratic Republic of Congo (2010) • Project Document: Integration of Sustainable Ecosystems Management in National Development Processes (nd) • Project Document: Integrated marine and Coastal Environment and Resource Management for Human Well-being (2010) • Project Document: Integrating environmental sustainability in the UN Development Assistance Frameworks (UNDAFs) and UN common country programming processes (2010) • Project Document: Environmental Management for Disaster Risk Reduction (2009) • UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf • Bali Strategic Plan for Technology Support and Capacity-building (2004): http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf
Overall score MI 4.2		--	Overall comments:

QUADRANT II – OPERATIONAL MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
5. RESOURCE ALLOCATION DECISIONS			
5.1	The MO's criteria for allocating funding are publicly available	1. A system for allocating resources exists. The system covers the majority of the resources that are allocated.	Not met UNON Budgeting (2004) http://www.unon.org/restcadimarict/intranet/bfms/docs/Introduction%0to%20Budget%20Section%20Pres%2025.8.04.doc
		2. If first criterion is met) this model/formula is available in more than one language relevant to the MO.	Not met As above
		3. (If first criterion is met) this model/formula is published on the MO web site.	Not met As above
Overall score for MI 5.1		Very weak	Overall comments:
6. LINKING RESOURCE MANAGEMENT TO PERFORMANCE			
6.1	The MO aligns its resource allocation with its mandate and its global priorities	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	- UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
Overall score MI 6.1		--	Overall comments:
6.2	Budget allocations are linked to expected development results	1. In the most recent annual or multi-year organisation-wide budget, an attempt has been made to present budget information in a results-oriented way.	Met - Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Environment Fund budgets: proposed biennial programme and support budget for 2008–2009: Report of the Executive Director: Addendum: Report of the Advisory Committee on Administrative and Budgetary Questions: http://www.unep.org/GC/GC24/download.asp?ID=312

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. Some outputs costs and/or outcomes costs from the DRF and MRF are presented in the budget document.	Met - Proposed biennial programme and support budgets for 2010–2011: http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf - Environment Fund budgets: proposed biennial programme and support budget for 2008–2009: Report of the Executive Director: Addendum: Report of the Advisory Committee on Administrative and Budgetary Questions: http://www.unep.org/GC/GC24/download.asp?ID=312 - Programme Frameworks (provided by UNEP)
		3. Most outputs costs and/or outcomes costs in the DRF and MRF are presented in the budget document.	Not met As above
		4. There is evidence of improvement of outputs and outcomes costing over time in budget documents reviewed (evidence of building a better system).	Met As above
		5. There is evidence (from evaluations or audits conducted in this area) of a system that allows the organisation to track costs from activity through to outcome.	Not met As above
Overall score MI 6.2		Adequate	Overall comments:
6.3	Disbursements are linked to reported results	1. The most recent annual financial report shows financial amounts aligned with achieved results (i.e., the report shows how much was spent to achieve each result).	Not met - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/pdf/unep%20Programme%20Performance%20Report_10jan2011.pdf - Annual report 2010: http://www.unep.org/annualreport/2010/pdfs/UNEP-AR-2010-FULL-REPORT.pdf - PIMS 6-monthly project progress reports
		2. In the most recent annual financial report, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan.	Met As above

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. In the most recent annual financial report, operational expenditure variances and variances in results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are reported.	Not met As above
		4. (If the third criterion is met) In the most recent annual financial report, operational expenditure variances and variances in results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are explained.	Not met As above
		5. There is evidence of improvement over time in financial reports reviewed.	Met As above
Overall score MI 6.3		Inadequate	Overall comments:
7. FINANCIAL ACCOUNTABILITY			
7.1	External financial audits (meeting recognised international standards) are performed	1. The MO has annual organisation-wide external audit reports. (In the case of some UN organisations, the schedule for external audits may be determined by the Board of Auditors, therefore the requirement of “annual” may not apply.)	Met - Financial Report and audited financial statements: http://www.un.org/auditors/board/reports.shtml - Website of the UN Board of Auditors: http://www.un.org/auditors/board/index.shtml

MI	Micro-Indicator	Criteria	Evidence / Discussion
	across the organisation (UN Board of Auditors or other)	2. (If first criterion is met) the most recent external audit report reviewed is accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report and/or audit opinion comes from the Board of Auditors, in case of some of the UN agencies.)	Met As above
		3. (If first two criteria are met) the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (In case of UN Agencies audited by BOA, the audits are carried out using international standards.)	Met As above
		4. (If first criterion is met) <i>all</i> annual financial audit reports reviewed are accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report /audit opinion comes from the Board of Auditors, in the case of the UN agencies.)	Met As above

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If criterion 4 is met) in <i>all</i> external financial audit reports reviewed, the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (Or the report /audit opinion comes from the Board of Auditors, in the case of the UN agencies.)	Met As above
Overall score MI 7.1		Very strong	Overall comments:
7.2	External financial audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	1. The suite of documents available provide evidence that external audits are performed at regional, country, or project levels (as appropriate).	Met - Financial report and audited financial statements for the biennium ended 31 December 2009 and Report of the Board of Auditors: http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/452/47/PDF/N1045247.pdf?OpenElement - UNEP project manual: formulation, approval, monitoring and evaluation (2005): http://www.unep.org/pcmu/project_manual/chapters.asp
		2. There are established rules/procedures for the conduct of external audits in the organisation.	Met Financial report and audited financial statements for the biennium ended 31 December 2009 and Report of the Board of Auditors: http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/452/47/PDF/N1045247.pdf?OpenElement
		3. The rules/procedures ensure ample external audit coverage of the organisation's programs and operations.	Met Financial Regulations and Rules of the United Nations (2003): http://www.un.org/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E
		4. The evidence also indicates that the external audits will be carried out using international standards, or provides an indication that the MO will be using national audit systems and procedures.	Met - Financial report and audited financial statements for the biennium ended 31 December 2009 and Report of the Board of Auditors: http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/452/47/PDF/N1045247.pdf?OpenElement - GEF Recommended Minimum Fiduciary Standards for GEF Implementing and Executing Agencies (2007): http://www.thegef.org/gef/sites/thegef.org/files/documents/Recommended_Minimum_Fiduciary_Standard.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (External financial audit reports at country/project/regional level are made available to the public by the MO.	Not met
Overall score MI 7.2		Strong	Overall comments:
7.3	The MO has a policy on anti-corruption	1. Guidelines, policy or a framework on anti-corruption are corporately approved (in other words, not in draft form).	Met - OIOS Investigations Manual (2009): http://www.un.org/Depts/oios/pages/id_manual_mar2009.pdf - Report of the Executive Director on prevention of waste, fraud and mismanagement in UNEP. UNEP/GC.19/6 and Add.1 (1997)
		2. (If first criterion is met) the document includes operational policy measures which pro-actively support solutions to counter corruption at the local level.	Met - OIOS Investigations Manual (2009): http://www.un.org/Depts/oios/pages/id_manual_mar2009.pdf - Uniform Guidelines for Investigators (2009): http://www.un.org/Depts/oios/investigation_manual/ugi.pdf
		3. (If first criterion is met) the policy commits the organisation to design and manage programs and services which are compliant with preventing and combating fraud and corruption.	Met - Status, basic rights and duties of United Nations staff members (2002): http://www.unops.org/SiteCollectionDocuments/Ethics%20documents/SGB-2002-13%20EN.pdf - OIOS Investigations Manual (2009): http://www.un.org/Depts/oios/pages/id_manual_mar2009.pdf
		4. (If first criterion is met) the policy defines the roles, responsibilities and accountabilities of Management, Staff and Experts / Specialists in implementing & complying with the policy.	Met OIOS Investigations Manual (2009): http://www.un.org/Depts/oios/pages/id_manual_mar2009.pdf
		5. (If first criterion is met) the policy commits the organisation to review its activities on combating fraud and corruption or there is other evidence that the organisation has reviewed its policy and/or practice in this area.	Not met - OIOS Investigations Manual (2009): http://www.un.org/Depts/oios/pages/id_manual_mar2009.pdf - Report of the Executive Director on prevention of waste, fraud and mismanagement in UNEP. UNEP/GC.19/6 and Add.1 (1997)
Overall score MI 7.3		Strong	Overall comments:

MI	Micro-Indicator	Criteria	Evidence / Discussion
7.4	Systems are in place for immediate measures against irregularities identified in financial audits at the country (or other) level	1. There is a policy on financial audit that refers to measures to be taken against irregularities.	Met - Financial Regulations and Rules of the United Nations (2003): http://www.un.org/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E - OIOS Audit Manual (2009): http://www.un.org/Depts/oios/pages/audit%20manual%20-%20march%202009%20edition.pdf
		2. Management guidelines or rules support the policy and describe the procedure for a response to irregularities identified during an external financial audit.	Met OIOS Investigations Manual (2009): http://www.un.org/Depts/oios/pages/id_manual_mar2009.pdf
		3. (If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time).	Met OIOS Audit Manual (2009): http://www.un.org/Depts/oios/pages/audit%20manual%20-%20march%202009%20edition.pdf
		4. There is evidence (in audit reports to the Board or other documents) that audit recommendations are in fact followed up by management.	Met - OIOS Audit Report: Internal Governance in UNEP (2010) - OIOS Audit Report: Financial performance of the UNEP Mediterranean Action Plan (2009)
		5. Major or systemic irregularities are reported to the board/governing body, as appropriate.	Met Financial Regulations and Rules of the United Nations (2003): http://www.un.org/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E
		Overall score MI 7.4	
7.5	Internal audit processes are used to provide management / governing bodies with objective information	1. <i>There is evidence (in a suite of documents) of practice of internal financial audits in the organisation.</i>	Met OIOS Internal Audit Division (web page): http://www.un.org/Depts/oios/pages/iad.html
		2. (If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved.	Met OIOS Audit Manual (2009): http://www.un.org/Depts/oios/pages/audit%20manual%20-%20march%202009%20edition.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) there is evidence in these documents that the internal audit function is separate from the programming areas, enabling it to provide an “independent” audit opinion (it reports to the CEO of the MO or to Finance VP). The key is that internal auditors are not influenced by the programs they are auditing.	Met As above
		4. There is evidence in these documents that the internal audit function reports directly to the Executive Board, thus providing maximum assurance of its independence from programming.	Met As above
		5. Reports available from the Audit Committee (or equivalent) confirm receipt of internal audit information.	Met - OIOS Audit Report: Internal Governance in UNEP (2010) - OIOS Audit Report: Financial performance of the UNEP Mediterranean Action Plan (2009)
Overall score MI 7.5		Very strong	Overall comments:
7.7	The MO has strategies in place for risk identification, mitigation, monitoring and reporting	1. An organisation-wide policy, strategy, framework or guidelines (or a suite of documents) on risk management is corporately approved.	Not met OIOS Audit Report: Internal Governance in UNEP (2010)
		2. (If first criterion is met) this document follows international standards on managing risk, including a description of roles and responsibilities of key actors.	Not met As above

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) this document applies to country, regional and corporate activities. In other words, risk analysis is undertaken as appropriate at these different levels	Not met As above
		4. Major risk analysis (significant programs, projects, etc) is presented to the Board.	Met - Programme performance reports: http://www.unep.org/resources/gov/performance-reports.asp - UNEP project manual: formulation, approval, monitoring and evaluation (2005): http://www.unep.org/pcmu/project_manual/chapters.asp - Example of the new format for project progress reports provided by UNEP: 44-P3: Project Snapshot
		5. Management and/or Board documents demonstrate utilisation of risk management policy and procedures.	Met As above
Overall score MI 7.7		Inadequate	Overall comments:
8. USING PERFORMANCE INFORMATION			
8.1	Revising and adjusting policies	1. Information on organisation-wide performance (i.e., progress towards outcomes) is available, for instance in annual performance reports, or from an organisation-wide evaluation.	Met - Annual report 2010: http://www.unep.org/annualreport/2010/pdfs/UNEP-AR-2010-FULL-REPORT.pdf - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/pdf/unep%20Programme%20Performance%20Report_10jan2011.pdf
		2. (If first criterion is met) There is evidence that the MO analyses its performance.	Met Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx
		3. (If the first two criteria are met) There is evidence that the MO is doing something to respond to the <i>specific</i> performance problems.	Not met As above

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If the first two criteria are met) there is evidence that the MO revises and adjusts its larger programming and policies in response to performance issues (problems and successes).	Met - UNEP Programme Performance Report 2010-2011: http://www.unep.org/pdf/unep%20Programme%20Performance%20Report_10jan2011.pdf - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - Governing Council ordinary sessions: http://www.unep.org/resources/gov/Previousession.asp
		5. (If criterion 4 is met) There is evidence that the MO implements the revisions and adjustments to its programming and policies in response to performance any performance issues identified.	Not met Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx
Overall score MI 8.1		Adequate	Overall comments:
8.2	Planning new or existing interventions	1. Information on the MO's project or program performance (i.e., progress towards outcomes) is available, for instance in project progress reports or in project or program planning documents (describing results from the previous cycle).	Met Example of the new format for project progress reports provided by UNEP: 44-P3: Project Snapshot.
		2. (If first criterion is met) for at least half of the projects and programs sampled, there is evidence of an analysis of performance (problems as well as successes).	Met UNEP project manual: formulation, approval, monitoring and evaluation (2005): http://www.unep.org/pcmu/project_manual/chapters.asp

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If second criterion is met) there is evidence of analysis of the implications of this performance information on planning new or existing interventions (i.e., how new or existing interventions in the planning stage need to be altered, or what new interventions should be developed in response to the performance information).	Met - Programme performance reports: http://www.unep.org/resources/gov/performance-reports.asp - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - Division of Technology, Industry and Economics Evaluation Report (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=LypXRyizwbo%3d&tabid=2318&language=en-US - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		4. (If all above criteria are met) for at least half of the projects or programs sampled, there is evidence from strategies or reports that new interventions have been introduced in response to the performance information.	Not met
		5. (If all above criteria are met) all criteria met for all countries.	Not met
Overall score MI 8.2		Adequate	Overall comments:
8.3	Proactive management of poorly performing programs, projects or initiatives	1. The MO has a process for reviewing the performance of its programs, projects or initiatives.	Met - Evaluation Manual (2008): http://www.unep.org/eou/LinkClick.aspx?fileticket=vHEHtNFAffY%3d&tabid=2314&language=en-US - UNEP project manual: formulation, approval, monitoring and evaluation (2005): http://www.unep.org/pcmu/project_manual/chapters.aspxhttp://www.unep.org/pcmu/project_manual/Manual_chapters/project_manual.pdf - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - UNEP Monitoring Policy (2010): http://unep.org/QAS/Documents/POW_Monitoring_Policy.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. There is evidence that the MO is implementing this process.	Met - UNEP's Monitoring Policy: http://www.unep.org/QAS/Documents/POW_Monitoring_Policy.pdf - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - A sample of Implementation plans provided by UNEP (can add references if necessary)
		3. The MO has a specific process for reviewing poorly performing programs, projects or initiatives.	Not met Evaluation Manual (2008): http://www.unep.org/eou/LinkClick.aspx?fileticket=vHEHtNFAffY%3d&tabid=2314&language=en-US
		4. The MO has a way for following up on poorly performing programs, projects or initiatives.	Met - UNEP's Monitoring Policy: http://www.unep.org/QAS/Documents/POW_Monitoring_Policy.pdf - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - UNEP Monitoring Policy (2010): http://unep.org/QAS/Documents/POW_Monitoring_Policy.pdf
		5. There is evidence that changes to poorly performing programs, projects or initiatives are being implemented.	Met - UNEP Monitoring Policy (2010): http://unep.org/QAS/Documents/POW_Monitoring_Policy.pdf - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - Example of the new format for project progress reports provided by UNEP: 44-P3: Project Snap Shot
Overall score MI 8.3		Adequate	Overall comments:
8.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the	1. MO Evaluation Policy or guidelines include the requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up to evaluations (accepting recommendations).	Met - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - Evaluation Manual (2008): http://www.unep.org/eou/LinkClick.aspx?fileticket=vHEHtNFAffY%3d&tabid=2314&language=en-US

MI	Micro-Indicator	Criteria	Evidence / Discussion
	responsible units	2. MO Evaluation Policy outlines a process for follow-up to evaluations (approach to presenting and tracking the implementation of accepted recommendations).	Met A sample of Implementation plans provided by UNEP
		3. There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Management (Head of the Organisation) and/or Governing Bodies (Executive Boards).	Met UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		4. There is evidence of <u>periodic reports</u> on the status of the implementation of these evaluation recommendations accepted by management/governing body.	Met Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx
		5. There is evidence of a systematic process (regularly on the agenda of the Executive Board; reports or presentations to Board illustrate regular tracking of follow up) for follow-up on the evaluation of the recommendations accepted by management/governing body.	Met Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx
Overall score MI 8.4		Very strong	Overall comments:
9. MANAGING HUMAN RESOURCES			
9.1	Results-focused performance assessment systems are in place for senior	1. There is evidence in the suite of documents reviewed that a system is in place that requires performance assessments for at least some staff.	Met UN Secretariat ST/AI/2010/5. Administrative instruction – Performance Management and Development System (2010): http://www.unescap.org/asd/hrms/odlu/files/ST_AI_2010_5.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
	staff	2. The evidence suggests that this applies to senior staff (and/or that it has a specific performance assessment system for senior staff.	Met - UN Secretariat ST/AI/2010/5. Administrative instruction – Performance Management and Development System (2010): http://www.unescap.org/asd/hrms/odlu/files/ST_AI_2010_5.pdf - Senior Manager's Compacts for 2009, 2010 and 2011
		3. The system is fairly well described in the suite of documents provided, giving an understanding of the approach to creating performance assessments and the content of those	Met As above
		4. There is an explicit policy (HR or otherwise) that summarises all the aims and content of the performance assessment system for senior staff	Not met As above
		5. (If the first two criteria are met) There is evidence of compliance with the performance assessment system. In other words, there are management indicators that pay attention to the application of the performance assessment system, or there are other sources – newsletters, reports etc—that comment on how many senior staff go through this system every year.	Not met As above
Overall score MI 9.1		Strong	Overall comments:
9.2	There is a transparent incentive and reward system for staff performance	1. There is evidence (either in a HR policy or through a suite of documents) that the MO has a system for managing staff performance (see 9.1) that is operational.	Met UN Secretariat ST/AI/2010/5. Administrative instruction – Performance Management and Development System (2010): http://www.unescap.org/asd/hrms/odlu/files/ST_AI_2010_5.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. There is evidence that the organisation is making efforts to better link the assessment of staff performance with incentives and/or rewards	Met Proposed biennial programme and budget for 2012–2013: http://www.unep.org/gc/gc26/download.asp?ID=2091
		3. There is an explicit effort to explain how performance of staff relates to promotion	Met UN Secretariat ST/AI/2010/5. Administrative instruction – Performance Management and Development System (2010): http://www.unescap.org/asd/hrms/odlu/files/ST_AI_2010_5.pdf
		4. There is an explicit mention of the relationship between staff performance and rewards.	Met As above
		5. There is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards.	Not met
Overall score MI 9.2		Strong	Overall comments:
10. PERFORMANCE ORIENTED PROGRAMMING			
10.1	Milestones / targets are set to rate the progress of project implementation	1. <i>At least two of the project workplans or other workplans sampled contain a description of milestones and/or targets for project/program implementation.</i>	Met - Project Document: Environmental Management for Disaster Risk Reduction (2009) - Project Document: Building Capacity for Industrial Risk Reduction with a focus on Emergency Preparedness in Developing Countries (2009) - Project Document: Incorporating the value of Forest-Related Ecosystem services Into National Accounts (2011) - Project Document: Integration of Sustainable Ecosystems Management in National Development Processes (nd) - Project Document: Asian Climate Finance Innovation Facility (2009) - Project Document: UNEP Country Programme for the Democratic Republic of Congo (2010) - Project Document: Integrated marine and Coastal Environment and Resource Management for Human Well-being (2010) - Project Document: Integrating environmental sustainability in the UN Development Assistance Frameworks (UNDAFs) and UN common country programming processes (2010)

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) <i>in most cases</i> , baseline values have been established for each indicators used to measure the progress of project/program implementation.	Not met As above
		3. (If first criterion is met) in most cases, the milestones/targets provided align with activities described in the project/program implementation document.	Met As above
		4. (If first criterion is met) dates are established for the milestones/targets, <i>in more than half of</i> the project workplans or other workplans sampled.	Met As above
		5. (If all above criteria are met) all above criteria are met for all project workplans or other workplans sampled.	Not met As above
Overall score MI 10.1		Adequate	Overall comments:
11. DELEGATING DECISION MAKING			
11.1	MO key operations / management decisions can be made regionally.	1. An organisation-wide policy or guidelines exist and is corporately approved that describes decision-making authorities at different levels within the organisation.	Met - The UNEP Programme Accountability Framework 2010: http://www.unep.org/QAS/Documents/UNEPProgrammeAccountabilityFramework.pdf - Governing Council – Draft decision approved by the Committee of the Whole: Strengthening of the regional offices of the UNEP (1997, UNEP/GC. 19/L. 63) - Governing Council – Draft decision submitted by the Committee of the Whole: Revision of the Financial Rules of the Fund of the United Nations Environment Programme (1999, UNEP/GC. 20/L. 5/Rev. 1)

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of operational and management decisions that can be made at the regional level (or other local level as appropriate).	Met - The UNEP Programme Accountability Framework 2010: http://www.unep.org/QAS/Documents/UNEPProgrammeAccountabilityFramework.pdf - Agreements for the delegation of authority to Regional Directors
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts or parameters within which the regional level does not require central level approval prior to making decisions on operational or management issues.	Met Agreements for the delegation of authority to Regional Directors
		4. There is evidence that the organisation has made efforts to improve delegation of decision making to the regional or other relevant levels (particularly relevant for those MOs with limited field presence).	Met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Governing Council – Draft decision approved by the Committee of the Whole: Strengthening of the regional offices of the UNEP (1997, UNEP/GC. 19/L. 63) - Governing Council – Draft decision submitted by the Committee of the Whole: Revision of the Financial Rules of the Fund of the United Nations Environment Programme (1999, UNEP/GC. 20/L. 5/Rev. 1)
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of decision making authority to the regional or other relevant level. Note: If there is a recent review/evaluation that comments negatively on this point, the findings should be noted and the rating should not be higher than adequate.	Not met
		Overall score MI 11.1	Strong

MI	Micro-Indicator	Criteria	Evidence / Discussion
11.2	New initiatives can be approved regionally within a budget cap	1. An organisation-wide policy or guidelines exist and is corporately approved that describes financial decision-making authorities (including for new aid programs/projects) at different levels within the organisation.	Met - OIOS Audit Report: Procurement activities at the United Nations Office at Nairobi (UNON) (2010) - Financial report and audited financial statements for the biennium ended 31 December 2009 and Report of the Board of Auditors: http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/452/47/PDF/N1045247.pdf?OpenElement - The UNEP Programme Accountability Framework 2010: http://www.unep.org/QAS/Documents/UNEPPProgrammeAccountabilityFramework.pdf
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of decisions about funding new initiatives (plans, projects, programs) that can be made at the country level (or other local level as appropriate); in other words, MO staff in the country office can approve funding.	Met OIOS Audit Report: Procurement activities at the United Nations Office at Nairobi (U
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts (budget ceilings or allocations) or parameters within which the local level does not require central level approval prior to making decisions on new initiatives.	Met Agreements for the delegation of authority to Regional Directors
		4. The organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence).	Met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proceedings of the Governing Council/Global Ministerial Environment Forum at its nineteenth session (February 1997): http://www.unep.org/resources/gov/prev_docs/97_GC19_proceedings.pdf - Proceedings of the Governing Council/Global Ministerial Environment Forum at its twentieth session (February 1999): http://www.unep.org/resources/gov/prev_docs/99_GC20_report.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of authority to approve new aid programs/projects to the country or other relevant level. Note: If there is a recent review/evaluation that comments negatively on this point, the findings should be noted and the rating should not be higher than adequate.	Not met OIOS Audit Report: Procurement activities at the United Nations Office at Nairobi (UNON) (2010)
Overall score MI 11.2		Strong	Overall comments:

QUADRANT III – RELATIONSHIP MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
15. HARMONISING PROCEDURES			
15.1	The extent to which the MO relies on cooperative arrangements (coordination, analysis, design, evaluation)	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	- UNEP Policy on Partnerships and Guidelines for Implementation (August 2009): http://www.unep.org/civil_society/PDF_docs/UNEP-PolicyonPartnerships.pdf - OIOS Audit Report: UNEP project delivery arrangements via partnerships (2010) - DFID Multilateral Aid Review (2011): http://www.dfid.gov.uk/Documents/publications1/mar/multilateral_aid_review.pdf
Overall score MI 15.1		--	

QUADRANT IV – KNOWLEDGE MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
16. EVALUATING EXTERNAL RESULTS			
16.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Governing Council	1. An organisation-wide (central) evaluation unit or function exists.	Met - UNEP Evaluation Office web site: http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/Default.aspx - UNEP Quality Stamp 2009: http://hqweb.unep.org/eou/StandardsPolicyandPractices/UNNormsandStandards/tabid/2313/Default.aspx - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		2. An organisation-wide evaluation policy exists, which includes guidance on how the MO is to do independent evaluations.	Met UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		3. (If first criterion is met) there is evidence in annual reports being provided by the organisation-wide evaluation unit or function to Executive Management (Head of Organisation) or Governing Council of independence of evaluations.	Met - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		4. (If first criterion is met), the organisation-wide evaluation unit has a direct reporting function to the Executive Management, but not the Council.	Met - UNEP Quality Stamp 2009: http://hqweb.unep.org/eou/StandardsPolicyandPractices/UNNormsandStandards/tabid/2313/Default.aspx - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. The central evaluation unit has a direct reporting function to the MO's Governing Council.	Not met - UNEP Evaluation Office web site: http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/Default.aspx - UNEP Quality Stamp 2009: http://hqweb.unep.org/eou/StandardsPolicyandPractices/UNNormsandStandards/tabid/2313/Default.aspx - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US - Internal and External Needs for Evaluative Studies in a Multilateral Agency: Matching Supply with Demand in UNEP (2006): http://www.unep.org/eou/ReportsandPublications/SpecialStudyPapers/tabid/2825/Default.aspx
Overall score MI 16.1		Strong	Overall comments:
16.2	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc)	1. An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent evaluations of projects and programs.	Met UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		2. (If first criterion is met) this policy or plan defines the evaluation coverage of projects and programs (i.e., the number or per cent of projects/programs requiring evaluations of <i>any type</i>) or it clearly explains how evaluations are planned and prioritised.	Met - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx
		3. (If first criterion is met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an independent evaluation.	Met As above

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. The organisation reports on the % of programming (or % of expenditures) that has been evaluated through an independent evaluation.	Met Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx
		5. (If fourth criterion is met) there is evidence that the targeted evaluation coverage has been achieved.	Not met
Overall score MI 16.2		Strong	Overall comments:
16.3	The MO ensures quality of its evaluations	1. The MO has a policy/procedures for the quality control of their evaluations.	Met UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		2. The MO implemented the quality control procedures (i.e. reviewed its evaluations) within the past five years.	Not met - UNEP Evaluation Office website: http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/Default.aspx - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		3. There is evidence (in the reports on the quality of evaluations/review of evaluations) that the MO is respecting relevant evaluation standards (e.g. UNEG standards, DAC standards, ECG standards) in its centralised and decentralised evaluations.	Not met - Internal and External Needs for Evaluative Studies in a Multilateral Agency: Matching Supply with Demand in UNEP (2006): http://www.unep.org/eou/ReportsandPublications/SpecialStudyPapers/tabid/2825/Default.aspx - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US - OIOS Audit Report: Internal Governance in UNEP (2010)
		4. The reviews of the MO's evaluations (i.e. the reports on the quality of evaluations) cover organisation-wide, country and project level evaluations.	Met Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. There is evidence that the MO's evaluation practices have changed as a result of the review of evaluations.	Met OIOS Audit Report: Internal Governance in UNEP (2010)
Overalls core MI 16.3		Adequate	Overall comments:
17. PRESENTING PERFORMANCE INFORMATION			
17.1	Reports on the achievement of outcomes, not just inputs, activities and outputs	1. Annual performance reports exist at the organisation-wide level.	Met - Annual report 2010: http://www.unep.org/annualreport/2010/pdfs/UNEP-AR-2010-FULL-REPORT.pdf - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp
		2. (If first criterion is met) the most recent performance report sampled describes outputs achieved.	Met UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp
		3. (If first two criteria are met) the most recent performance report sampled discusses expected outcomes achieved.	Met - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		4. (If first two criteria are met) the most recent performance report sampled provides evidence for the MO's contribution to outcome achievement (i.e., establishes a link between outputs and outcomes).	Not met UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp
		5. (If all above criteria are met) all above criteria are met <i>for all performance reports sampled</i> .	Not met As above
Overall score MI 17.1		Adequate	Overall comments:

MI	Micro-Indicator	Criteria	Evidence / Discussion
17.2	Reports performance using data obtained from measuring indicators	1. Annual performance reports exist at the organisation-wide level.	Met UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp
		2. (If first criterion is met) the most recent performance report sampled specifies indicators for the reporting period that respect SMART or CREAM criteria for indicators.	Not met - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		3. (If first criterion is met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years).	Not met As above
		4. (If first criterion is met) the most recent performance report sampled compares indicator measurement to baseline (in the case of outcomes) and target amounts (in the case of both outputs and outcomes) (either in graph or narrative form).	Met As above
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met As above
Overall score MI 17.2		Inadequate	Overall comments:
17.3	Reports against its Corporate Strategy,	1. Annual performance reports exist at the organisation-wide level.	Met UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp

MI	Micro-Indicator	Criteria	Evidence / Discussion
	including expected management, development, and normative results	2. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF and MRF.	Not met - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - Proposed biennial programme and support budgets for 2010–2011 http://www.unep.org/civil_society/GCSF10/pdfs/proposed-biennial-PoW.pdf
		3. (If criterion two is met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and MRF, along with an explanation of any variances.	Met UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp
		4. (If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met As above
		5. There is an independent evaluation/review confirming the quality of organisation-wide reporting on results.	Not met
Overall score MI 17.3		Inadequate	Overall comments:
17.4	Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information	1. The Executive Board/Governing Council receives periodic/informal updates on performance information and how it affects strategies/policies and budgets.	Met UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp
		2. The MO has an approach to performance reporting in which annual performance reviews are systematically used to adjust strategies/policies and budgets.	Not met - Evaluation Synthesis Report (2008-2009): http://www.unep.org/eou/ReportsandPublications/UNEPEvaluationSynthesisReports/tabid/2824/Default.aspx - UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. There is evidence (in performance reports, in the strategies themselves, etc.) that performance information is used to adjust strategies/policies.	Met - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf - UNEP Evaluation Policy (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=RACBtxTj3lw%3d&tabid=3050&language=en-US
		4. There is evidence (in performance reports, in the strategies and budgets themselves, etc.) that performance information is used to adjust both strategies/policies and budgets.	Not met UNEP Programme Performance Report for the 2010-2011 Biennium. Report No. 2: January – December 2010: http://www.unep.org/resources/gov/performance-reports.asp
		5. The Board/Council receives specific reports on strategy and/or budget changes based on performance information.	Not met
Overall score MI 17.4		Inadequate	Overall comments:
17.5	Reports on country (or other) level programming adjustments made or recommended based on performance information.	1. MO reports to the management or governing body on performance at the country level (i.e., outputs and contributions to outcomes).	Met - UNEP Division of Technology, Industry and Economics evaluation report (2009): http://www.unep.org/eou/LinkClick.aspx?fileticket=LypXRyizwbo%3d&tabid=2318&language=en-US - Division of Early Warning and Assessment evaluation report (2006): http://www.unep.org/eou/LinkClick.aspx?fileticket=wzXC8XQoH58%3d&tabid=2318&language=en-US - Division of Environmental Policy Implementation (DEPI) (2003) http://www.unep.org/eou/ReportsandPublications/SubprogrammeEvaluations/tabid/2318/Default.aspx - Evaluation of the subprogramme on the division of policy development and law (2003): http://www.unep.org/eou/ReportsandPublications/SubprogrammeEvaluations/tabid/2318/Default.aspx - Division of Environmental Conventions (2002): http://www.unep.org/eou/ReportsandPublications/SubprogrammeEvaluations/tabid/2318/Default.aspx - UNEP Evaluation Office: Sub-programme Evaluation (web site): http://www.unep.org/eou/ReportsandPublications/SubprogrammeEvaluations/tabid/2318/Default.aspx

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) for at least half of the country reports there is a description of the implications of this performance information for planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed, in response to the performance information).	Met As above
		3. (If first criterion is met) for at least half of the countries, one of the reports describe changes made to the planning of new interventions as a result of what was learned from performance information.	Met As above
		4. If all above criteria are met) for at least half of the countries, the reports or subsequent strategies confirm that new interventions have been implemented according to the required changes.	Not met As above
		5. (If all above criteria are met) all criteria met for all countries.	Not met As above
Overall score MI 17.5		Adequate	Overall comments:
18. DISSEMINATING LESSONS LEARNED			
18.1	Reports on lessons learned based on performance information	1. There is evidence that the organisation is committed to the identification of lessons learned and/or best practices.	Met - Lessons Learned from Evaluation (2007): http://www.unep.org/eou/LinkClick.aspx?fileticket=X_PBwVhkOo8%3d&tabid=2285&language=en-US - UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
		2. There is a unit/coordinating group responsible for documenting and disseminating lessons learned and/or best practices.	Met UNEP Evaluation Policy (2009) http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/Default.aspx

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. The MO has a system for collecting and disseminating lessons learned and/or best practices internally.	Met - UNEG standards for evaluations in the UN system (2005): http://www.undg.org/docs/7699/UNEG%20Standards%20for%20Evaluation%20in%20the%20UN%20System%20-%20ENGL.pdf - Mind map for Lessons Learned: http://mind42.com/pub/mindmap?mid=a78caac2-a57b-42e4-b4a3-9ac78c56cdac
		4. (If third criterion is met) The MO has an easily accessible system that collects and disseminates <i>both</i> internal <i>and</i> external lessons learned and/or best practices.	Not met
		5. There is evidence that the MO uses lessons learned and/or best practices based on performance information to change management and program practices.	Met UNEP Medium-Term Strategy 2010-2013: http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
Overall score MI 18.1		Strong	Overall comments: