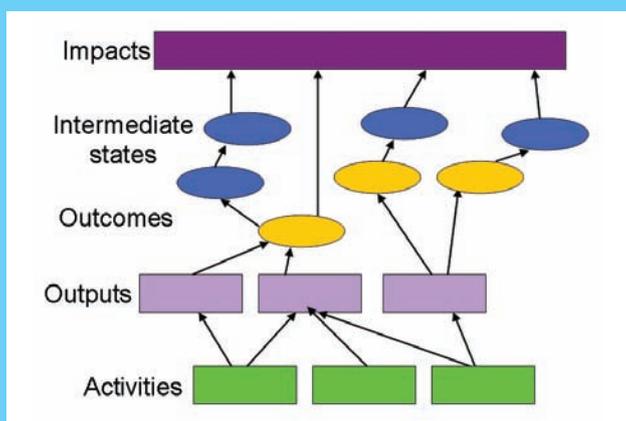
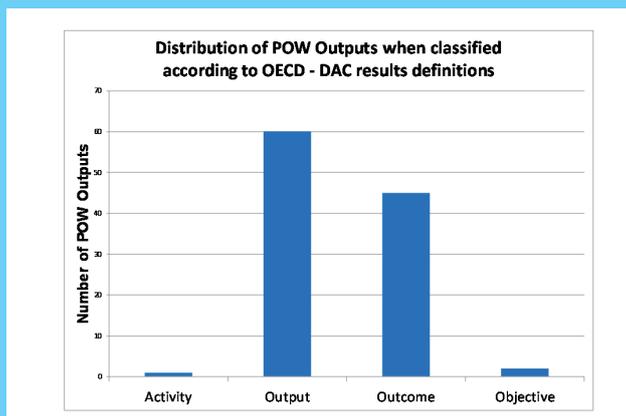
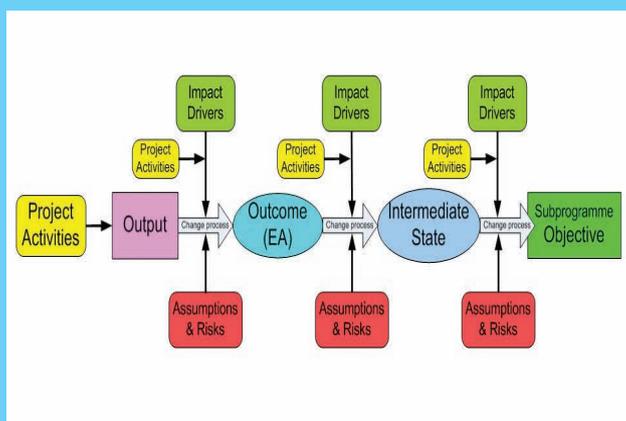


United Nations Environment Programme

Formative Evaluation of UNEP's Programme of Work 2010-2011



Evaluation Office

July 2011



United Nations Environment Programme

Formative Evaluation
of
UNEP's Programme of Work 2010–2011

M.J. Spilsbury, S. Norgbey, M. Carbon,
A. Guerraggio and T. Piironen

Evaluation Office

July 2011

Printing: UNON Publishing Services Section – ISO 14001:2004-certified

TABLE OF CONTENTS

I. SUMMARY OF FINDINGS AND RECOMMENDATIONS.....	1
A. EVALUATION OVERVIEW.....	1
B. MAIN FINDINGS.....	2
1. General observations.....	2
2. Programme design and results framework	3
3. Subprogramme Coordinators – the need to revisit roles and responsibilities	3
4. Terminology – a barrier to effective programme planning and Results-Based Management	5
5. Resource allocation and mobilisation – tighter alignment with PoW results	5
6. Analysis of Project Documents.....	5
C. RECOMMENDATIONS	8
1. Programme design and results framework	8
2. Revisiting roles and responsibilities of Subprogramme coordinators.....	9
3. Better clarity on results terminology and consistency in results levels.....	9
4. Tighter alignment of resource mobilisation with PoW results.....	9
5. Improvements in project design.....	10
6. Summary of requirements for future planning process PoW 2012-13 and MTS 2014-17.....	11
II. INTRODUCTION AND BACKGROUND	12
A. THE UNEP REFORM PROCESS –A SUMMARY.....	12
1. A new modality for PoW planning and implementation.....	12
2. Elements of UNEP’s Programme of Work.....	13
B. THE FORMATIVE EVALUATION.....	15
1. Objectives and approach	15
2. Evaluation methods.....	15
III. EVALUATION FINDINGS.....	22
A. EXAMINING THE UNEP RESULTS FRAMEWORK.....	22
1. A sharper focus for UNEP with a clearer results orientation	22
2. The PoW design process and management.....	22

3.	Expected Accomplishments – a results level beyond UNEP’s direct control	25
4.	PoW Outputs – defined at different results levels.....	27
5.	Terminology – a barrier to effective Programme Planning and Results-Based Management	28
6.	Causality in UNEP’s results framework	30
7.	Further observed trends in project design.....	36
B.	THE IMPLICATIONS OF PoW DESIGN AND PLANNING PROCESSES FOR IMPLEMENTATION.....	40
1.	Learning from the 2010-2011 PoW Planning Processes	41
2.	Project approvals - incompatible priorities in QAS.....	42
3.	The need for transparent resource allocation with a stronger thematic focus.....	43
4.	Resource mobilisation – tighter alignment with PoW results	44
5.	The appropriate locus of cross-cutting services ‘corporate activities’ and indirect support costs	44
6.	A matrix without ‘matrix management’.....	45
7.	The role of Subprogramme Coordinators.....	46
8.	Performance expectations and reporting.....	48
IV.	BIBLIOGRAPHY	52
V.	ANNEX 1 LIST OF PEOPLE MET.....	54
A.	INDIVIDUAL INTERVIEWS AND DISCUSSIONS	54
B.	GROUP DISCUSSIONS FOLLOWING PRESENTATIONS OF PRELIMINARY FINDINGS	54
VI.	ANNEX 2 DETAILED ANALYSES OF SUB-PROGRAMMES.....	55
A.	SUB-PROGRAMME ON CLIMATE CHANGE (CC).....	55
1.	Sub-programme Strategy.....	55
2.	Expected Accomplishments, Indicators of Achievements and Units of Measures	57
3.	Programme Frameworks, Programme of Work Outputs and Projects.....	62
4.	Summary of findings and trends across project documents	68
B.	SUB-PROGRAMME ON DISASTERS AND CONFLICTS.....	72
1.	Sub-programme Strategy.....	72
2.	Expected Accomplishments, Indicators of Achievements and Units of Measures	73
3.	Sub-programme Frameworks and Programme of Work Outputs	78
4.	Summary of findings and trends across project documents	83
C.	SUB-PROGRAMME ON ECOSYSTEM MANAGEMENT.....	87
1.	Sub-programme Strategy.....	87
2.	Expected Accomplishments, Indicators of Achievements and Units of Measures	88

3.	Sub-programme Frameworks and Programme of Work Outputs	91
4.	Summary of findings and trends across project documents	96
D.	SUB-PROGRAMME ON ENVIRONMENTAL GOVERNANCE.....	99
1.	Sub-programme Strategy	99
2.	Expected Accomplishments, Indicators of Achievements and Units of Measures	100
3.	Sub-programme Frameworks and Programme of Work Outputs	106
4.	Programme Framework 1 – EA(a).....	106
5.	Summary of findings and trends across project documents	110
E.	SUB-PROGRAMME ON HARMFUL SUBSTANCES AND HAZARDOUS WASTE.....	113
1.	Sub-programme Strategy	113
2.	Expected Accomplishments, Indicators of Achievements and Units of Measures	114
3.	Sub-programme Frameworks and Programme of Work Outputs	119
4.	Summary of findings and trends across project documents	122
F.	SUB-PROGRAMME ON RESOURCE EFFICIENCY/SUSTAINABLE CONSUMPTION AND PRODUCTION....	125
1.	Sub-programme Strategy	125
2.	Expected Accomplishments, Indicators of Achievements and Units of Measures	126
3.	Sub-programme Frameworks and Programme of Work Outputs	130
4.	Summary of findings and trends across project documents	135
VII.	ANNEX 4 EXAMPLES OF LOGICAL FRAMEWORKS AD CORRESPONDING	
	THEORIES OF CHANGE.....	138
VIII.	ANNEX 5 TERMS OF REFERENCE OF THE EVALUATION	146

ABBREVIATIONS

ACABQ	Advisory Committee on Administrative and Budgetary Questions (of the UN GA)
BSP	Bali Strategic Plan
CPC	Committee for Programme Coordination (of the UN GA)
CPR	Committee of Permanent Representatives (of UNEP)
CSF	Critical Success Factor
DTIE	Division of Technology, Industry and Economics
DEPI	Division of Environmental Policy Implementation
DELCC	Division of Environmental Law and Conventions
DEWA	Division of Early Warning and Assessment
DRC	Division of Regional Coordination
DCPI	Division of Communications and Public Information
EA	Expected Accomplishment
ED	Executive Director
GA	General Assembly (of the UN)
GC	Governing Council (of UNEP)
GMEF	Global Ministerial Environment Forum
IMDIS	Integrated Monitoring and Documentation Information System
MTS	Medium Term Strategy
OECD – DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee
PoW	Programme of Work
PPR	Programme Progress Report
PRC	Programme Review Committee
QAS	Quality Assurance Section
SIT	Strategic Implementation Team
SMT	Senior Management Team (of UNEP)
SPC	Sub-Programme Coordinator
SSC	South-South Cooperation
UNEP	United Nations Environment Programme

1. SUMMARY OF FINDINGS AND RECOMMENDATIONS

A. EVALUATION OVERVIEW

1. Formative evaluations are conducted in the early years of program/policy delivery in order to assess the degree to which programs, processes, and procedures have been put in place to ensure effective and efficient expenditure of resources. By conducting formative evaluations, it is expected that necessary corrective action will be taken early in the programme/policy implementation process so that the likelihood of achieving expected outcomes is increased.
2. This formative evaluation is intended to provide findings early in the first biennium, based on an analysis of the causal relationships embedded in the projects within each Programme Framework to understand whether these projects are optimally linked to the Expected Accomplishments (EAs). The primary objective of the evaluation is to provide information to the respective subprogrammes on the appropriateness of design and delivery methods of the Programme of Work early in the process when changes or adaptations can be made to optimize the likelihood of success in achieving the Expected Accomplishments.
3. By mapping out each project's causal pathways it will become clear how these projects are likely to contribute to the EAs and whether the interventions utilize common actors, are mutually reinforcing and converge/synergize with one another to deliver against the EAs. At the same time this analysis will highlight possible linkages from projects within a Programme Framework to other EAs. It is hoped that such feedback may induce adaptations to programme implementation that enhance the likelihood of success in achieving the EAs and improve future UNEP work planning processes. The scope of the evaluation includes analysis of selected programme frameworks included in the UNEP PoW of 2010-2011.
4. This evaluation is 'evidence-based.' This means that conclusions and recommendations are based on objective and documented evidence to the extent possible. The evaluation approach involved the collection of qualitative and quantitative data from two key sources; namely programme and project document reviews and interviews.
5. The evaluation was conducted as a desk study focusing on the processes and content of project/programme design and reporting on the Programme of Work for 2010-2011.
6. The MTS, Strategic Framework, approved PoW 2010-11, Subprogramme strategies and programme frameworks were reviewed. The scope of the PoW, in terms of the total number of projects (and sub-projects) that it encompasses was so large that a detailed assessment of the causal relationships of every project within the PoW was prohibitive. Therefore, a sample of projects was selected. One Expected Accomplishment was studied in detail for each subprogramme, with the exception of the Climate Change and Harmful Substances and Hazardous Waste subprogrammes where two closely related EAs were studied in depth. EAs were selected in each subprogram where at the end of 2010, a large proportion projects had been approved by the PRC.

7. A review was undertaken of the six-monthly Programme Performance Reports of the organization to determine the consistency of reporting with the Results Framework that undergirds the PoW and that the reports, indeed, measure performance towards the achievement of results.
8. Interviews were conducted of subprogramme coordinators, managing divisions, strategic/programme planners and senior management of the organization.
9. Based on the review of the programme/project documents, Theory of Change (TOC) analyses of the various projects were undertaken to determine the causal pathways of the individual projects and the likely contribution of these projects to Programme of Work Outputs (PoW outputs) and the Expected Accomplishments and whether the interventions utilize common actors, are mutually reinforcing and converge/synergize with one another to deliver against the EA
10. The evaluation also undertook an assessment of the Expected Accomplishment result statements, their indicators of achievement, units of measure, baselines and targets to assess their quality and validity.

B. MAIN FINDINGS

1. General observations

11. In general, this evaluation finds that, to some degree, the initial aims of the reform process have been achieved. It was always envisaged that the 'reform process' would not be complete in the first biennium of the Medium Term Strategy. As we approach the end of the 2010-2011 biennium, the evaluation finds that considerable time and effort has been invested and much has been achieved. However, there is no room for complacency. There is considerable scope for UNEP to further improve and refine both its work planning and implementation processes. The 'reform' is firmly under way but it is not yet complete. UNEP needs to redouble its efforts to improve the processes and systems introduced to date if the potential efficiency gains from the reform process are to be realized.
12. The strategic intent of the reform process has been clearly articulated in the Medium Term Strategy and programme documents and seem to be largely understood by staff especially Subprogramme Coordinators.
13. A common vision statement and coherent programme logic with results orientation and focus on causality is clearly evident as a fundamental principle in the programme documents. This is a great improvement on previous PoW planning modalities.
14. The basic management structures and mechanisms as well as policy instruments (e.g. accountability framework, evaluation policy, monitoring policy, resource mobilization policy, science strategy, strategic presence policy paper, communication and capacity development strategy, partnership policy) have been put in place and steps have been taken to build capacity to deliver within the matrix structure.
15. The simultaneous introduction of results-oriented programming to the development of thematic subprogrammes that cut across the Divisional structure of the organisation added considerable complexity to work planning processes. The UN Secretariat's Office of Internal Oversight Services (OIOS) found, in its 2010 audit of governance, that while the 'matrix' approach to programme management adopted by UNEP had in general been welcomed, including by Member States, there was a need for clarity as regards the 'assigning

of authority, responsibility and accountability of the various divisions and staff members involved in the implementation of sub-programmes'. They also stated that 'reporting lines in the new matrix approach are complex and staff members are yet to learn how to implement a single programme cutting across the six divisions'. The veracity of those findings remains undiminished.

16. While much has been made of the new 'matrix' approach in the PoW, this evaluation concludes that the management arrangements do not reflect true matrix management where an individual has two reporting superiors - one functional and one operational. Responsibility and authority is firmly vested in the Divisions. Sub-programme coordinators work across the Divisional structures but do not hold any authority over human or financial resources. It was always part of the design intent that the organisation should not create a 'power base' in the subprogrammes that would be at odds with the authority currently vested in Divisions Directors to avoid a situation where 'power struggles' or conflicts would impede smooth implementation of the PoW. Indeed, this evaluation found that while staff have complained about the 'cumbersome' processes associated with the matrix structure, interviews with Subprogramme Coordinators did reveal a perception that the level of inter-divisional discussion and collaboration has markedly increased as a result of the reformed PoW planning.
17. In spite of the faults and weaknesses that have been highlighted in PoW design in this evaluation, the Evaluation Office believes that introducing a strong results focus into the new PoW planning process was the right decision, and should still, be regarded as the most fundamental work-planning principle.
18. With respect to the key questions posed in the Terms of Reference for this evaluation, the following broad conclusions have been synthesized from the detailed analysis and findings presented in the evaluation report.

2. Programme design and results framework

19. The Evaluation Office finds that most of the Expected Accomplishments are pitched at a higher results level than direct outcomes¹ and their achievement is beyond the exclusive control of UNEP. Consequently, the EA performance indicators are frequently not measures of UNEP's sole performance. In many cases several other actors may be contributing to the performance captured by the EA indicators and it is often unclear whether the results measured at this level are due to UNEP's intervention.
20. The implications of the formulation of the MTS for the preparation of the PoW and subsequent implementation were not fully understood during the initial stages of the reform process. Many staff involved in PoW preparation, including subprogramme coordinators, did not play any active role in the preparation of the MTS.
21. The Evaluation Office believes that performance monitoring is essential for RBM but such monitoring should take place at a level where the attribution of the results to the actions of the organisation is much more certain. UNEP monitoring and reporting to CPR should be revised to focus on progress towards the delivery of PoW Outputs and Expected Accomplishments. This would require monitoring of objectively verifiable milestones that track progress 'along' causal pathways to PoW Outputs and Expected Accomplishments.

1 UN Definition is that an Expected Accomplishment is an immediate outcome.

22. The causal linkages between PoW Outputs and Expected Accomplishments are largely assumed – project documents, programme frameworks and subprogramme strategies do not discuss these causal links in sufficient detail.
23. Baselines and targets presented in the ‘units of measure’ often present absolute values rather than trends or rates. It is also unclear how baselines and targets have been determined and many baseline numbers are too ‘rounded’ to be credible. Furthermore, there is no clear link between POW Output targets and EA targets.
24. The analysis showed that it is quite common for UNEP’s PoW Outputs to be formulated at differing results levels (e.g. outputs and outcomes – according to OECD – DAC / UNEG definitions). To add to the confusion, in some cases, related PoW Outputs are actually consecutive steps in a results chain, with one expected to lead to the other. It is fundamental to good RBM practice to avoid mixing different types of results at a single level in a results planning framework.
25. As a construct within the UNEP PoW, Programme Frameworks do not represent a coherent ‘results level’. They were introduced to aid the PoW project preparation process, and currently they play no meaningful role in implementation, monitoring or reporting. Despite the redundancy as ‘results construct’, the Programme Frameworks were useful in the design of the PoW as, according to many Subprogramme Coordinators, they promoted interdivisional cooperation and joint planning in the preparation of sets of related project concepts. If collections of project concepts were presented in an EA Framework this collaborative planning benefit could be retained, and the frameworks could be used as a design tool to strengthen the causal logic, and plan for greater synergy, among collections of projects in relation to the achievement of Expected Accomplishments. The casual logic, upon which the PoW should be built, should be examined early in the MTS and PoW preparation process before higher results levels are formalized (and thereby fixed) in the broader UN work planning approvals process.
26. The PoW planning documents specify a range of roles and responsibilities for Divisions in subprogramme implementation. These responsibilities were defined in terms such as; Lead Division, Coordinating Division, Programme Framework Coordinating Division, PoW Output Managing Division and Project Level Managing Division. From a design perspective this seems overly complex.

3. Subprogramme Coordinators – the need to revisit roles and responsibilities

27. The current role of Subprogramme Coordinators is one of ‘facilitation’ rather than coordination, in the sense that the managerial authority vested in the position is minimal. This lack of authority can; impede SPCs from getting access to progress information from other divisions, limit their ability to influence project and programme design processes and constrain their influence on resource allocation decisions to pursue alignment with subprogramme priorities. Their ability to ensure that actions are taken to mitigate corporate risks to subprogramme implementation is also weak, especially when actions are required beyond the Lead Division. SPCs currently lack access to budgetary resources to perform coordination duties unless they happen to hold other substantive responsibilities that can afford them some flexibility in this regard.
28. SPCs report to the Director of their respective Lead Division. In the ‘matrix’ of Subprogrammes and Divisions, this may create ‘conflicts of Divisional and Subprogramme interest’. Situations may arise where a Subprogramme Coordinator may advocate, for example,

resource allocations that are in-line with the priorities and interests of a Subprogramme, but that shift resources (staff and budget) away from the immediate control of a Division. Similar situations may prevail in relation to resource mobilisation priorities.

4. Terminology – a barrier to effective programme planning and Results-Based Management

29. There is a considerable amount of inconsistency in the current PoW terminology with internationally accepted definitions (OECD – DAC) and the definitions used by the UN Secretariat. Under the current PoW, Project level outcomes contribute to PoW outputs. This terminology causes confusion. In addition, the PoW Outputs themselves are often articulated as either outcomes or outputs. The terminology used in the PoW 2012-2013 has already been improved, with PoW Outputs conforming to internationally accepted definitions for ‘outputs’.

5. Resource allocation and mobilisation – tighter alignment with PoW results

30. Resource allocation processes associated with the PoW are not clearly presented in planning documents or understood by UNEP staff. It would seem that the resource allocation trends associated with the former divisional structure prior to 2010 have been used to guide allocation of the Environment Fund. Relative priorities across thematic Subprogrammes, Expected Accomplishments and PoW Outputs are difficult to discern and lack any written justification. There is still a large amount of on-going work in UNEP that was initiated prior to the 2010-2011 PoW that has yet to be meaningfully linked to the organization’s higher level results. UNEP needs to phase out work initiated prior to the 2010-2011 PoW that has little meaningful linkage to the organization’s higher level results, and pursue a situation where all UNEP work has a strong connection to the results framework
31. The 2010-2011 PoW preparation process resulted in the completion of a large number of project documents, the majority of which required extra-budgetary resources that had yet to be secured. From a resource mobilisation perspective, this presented a significant challenge because resources being mobilized by Divisions/Regional Offices are often for projects from previous biennia, some of which are not tightly linked to delivering outputs in the PoW. A number of staff are engaged in implementing these projects, which affects the alignment of staff time with the resource allocations in the PoW. Secondly, with much of the Environment Fund used to fund staff, there is often little EF funding available to get projects off the ground.

6. Analysis of Project Documents

32. Projects were designed under sub-optimal conditions. There were serious time and resource constraints. QAS did provide project document templates and useful feedback on draft project design documents. QAS also facilitated an important project review process to raise quality at entry. However, there was no up-to-date programme manual to serve as a reference to project designers and training for staff involved in project design was found inadequate. These factors might all have contributed to the high heterogeneity in the quality of the project design documents reviewed by this evaluation.
33. Verifiable project milestones are the cornerstone for effective results-oriented management and monitoring. They should map progress from project inception through to higher level results. However, the overwhelming majority of project milestones in approved project

documents were pitched at or below the output level. In a few cases, milestones refer to external events which would have happened anyway. Few milestones captured processes and achievements 'further along' the intended causal pathways towards PoW Outputs and Expected Accomplishments. Improvements in the articulation of project milestones to better capture the intended project causality, coupled with monitoring of the achievement of project milestones scheduled in any given reporting period, would yield a robust and objectively verifiable reporting approach that would be easily incorporated into the approach used in current PPR process.

34. While collaborative, cross-divisional development of project concepts were noted, it seems that opportunities to design full project documents in a similar manner were less common perhaps due to the intense time pressure that characterized much of the process.
35. Separate project interventions are often intended to contribute to the same higher level result, yet opportunities for efficiency gains where causal pathways converge are seldom identified either in project or higher level planning documents. It does seem that many projects have largely been designed within Divisions. If such synergies do exist they are not evident from the analysis of UNEP's planning documents. Despite these shortcomings, interviews with Sub-programme Co-ordinators did reveal a perception that the level of inter-divisional discussion and collaboration has markedly increased as a result of the reformed PoW planning process. There is also a perception that this enhanced collaboration and cooperation, where it occurs, has often happened despite the new planning processes being overly-complex.
36. Similar to the finding above, synergies among multiple projects contributing to one EA or PoW Output were not adequately described. Whilst linkages might exist in reality, project design and subprogramme strategy documents do not properly capture these. Also, some PoW Outputs clearly contribute to multiple EAs but the linkages are not articulated in any of the planning documents
37. The current PoW Output performance indicators are defined within project documents, not within the PoW itself. Since the projects were designed separately, several indicators may exist for a given PoW Output and because these project-specific indicators often have different 'metrics' they do not offer a credible means of capturing the aggregate performance of all projects contributing to a PoW Output. In addition, a large proportion of PoW Outputs are defined at outcome level, therefore, there are temporal problems in using these indicators to monitor progress in programme implementation. The Evaluation Office recommends objectively verifiable project milestones to better track project and programme performance.
38. Project documents often noted Critical Success Factors (CFS) that either implied or described project actions or activities. The narrative description and logframes presented in the project document frequently made no mention of the activities that were listed as CSFs. Sometimes, important risks were presented as Critical Success Factors (and vice versa).
39. Approved PoW projects lack adequate detail on the strategies to be employed to sustain project outcomes. Exit strategies are either ignored or implicit, and this is a serious shortcoming.
40. It is evident from descriptions of project governance and management arrangements that the 'Silos' culture is still evident within UNEP. Linkages among UNEP divisions and activities are often weak with the role and contribution to the projects by units other than the lead one remaining unclear. The good practice of ensuring a 'firewall' between project supervision (oversight) and management is largely absent.

a) Partnerships and stakeholder analysis

41. Analysis of stakeholder needs and how they may be affected by or contribute to the project is often weak or absent. A common weakness is inadequate attention paid to the engagement of policy and decision-makers among stakeholders. A lack of detail in project documents on stakeholders often goes hand-in-hand with poorly articulated outreach and dissemination strategies. It is also important to note that project designs often articulate the intent to hire new staff for constituting the project management teams instead of relying on staff available in partner institutions.
42. Partnership arrangements commonly take the form of a listing. Science partners are almost always from Europe/North America, while scientific institutions from developing countries are more frequently regarded as beneficiaries. Whilst private sector partnerships are frequently mentioned it is often in a superficial manner. How the private sector will be engaged often remains unclear.

b) Gender and South-South Cooperation

43. Many of the project documents reviewed acknowledge the importance and relevance of promoting gender equity but hardly any of them consider gender issues in activities' planning and implementation. Gender aspects rarely feature in performance indicators or monitoring plans. The treatment of gender and South-South co-operation in project documents has been relegated to statements of political correctness made to ensure that project documents fulfill the PRC approval requirements in relation to these issues.

c) Financial planning

44. From a financial standpoint many of the projects appear speculative. At the time of project approval, a significant number of projects had mobilized none, or very small proportions, of the required project funds. The single most important deficiency is the absence of any quantification of Environment Fund financial or staff resources that will be required for project implementation. This deficiency is because the UN accounting systems (IMIS) cannot handle allocating Environment Fund (EF) resources to projects. The idea of allocating EF in projects was part of the original plan but had to be abandoned.

d) Sustainability and replication

45. Sustainability of normative work also often means that drivers need to be in place to move project outputs towards sustainable outcomes and impact after the project's end. This is rarely the case. For example, the expected outcome of UNEP assessment work is often policy change, however the intermediary steps and drivers needed to translate assessment results into policy changes are generally absent. Replication of project results is most often expected to happen simply through communication and awareness raising (websites, policy briefs, lessons learned papers etc.). Those activities are, in most cases, poorly spelled out and insufficiently resourced for replication to stand a good chance of success.

e) Monitoring, Evaluation and Knowledge Management

46. It is very common for project documents to 'lump' monitoring systems with evaluation processes as 'M&E'. It is often unclear whether there is a good understanding that monitoring is a project/programme management responsibility and that evaluation of project

performance should happen independently of project management. Most project designs lack adequate baselines and very few specify activities to establish baselines and conduct recurrent monitoring. Milestones that capture progress to higher results levels are usually missing. Evaluation activities are often under-budgeted, and monitoring costs seldom appear in project budgets.

47. Knowledge management clearly cuts across the entire PoW it is not dealt with systematically and coherent KM approaches within the RBM framework of the PoW are not apparent. It appears to have frequently been overlooked in the discrete project design processes that took place in the Divisions.

C. RECOMMENDATIONS

1. Programme design and results framework

48. For a more effective RBM framework, Expected Accomplishments should be defined at immediate outcome level² where UNEP's performance can more readily be measured, and attributed. This should be considered as an issue of the highest priority in the development of the next UNEP Medium Term Strategy
49. In future programming cycles, there should be a closer linkage between preparation of the MTS, the strategic frameworks and the PoW. In general, strategic planning processes need to better engage UNEP staff.
50. In future Medium Term Strategies, the Expected Accomplishments and indicators should be formulated to better align with basic principles of Results Based Management. Performance measures should be 'SMART' (specific, measurable, achievable/attribution, relevant and time-bound). This would enhance both the ease of monitoring and the evaluability of the PoW.
51. The purpose of good baselines is to help with establishment and definition of 'counterfactuals' (what would have happened anyway without the UNEP intervention). These issues are best addressed and defined during the design of projects when the Program of Work is being prepared.
52. The Evaluation Office fully supports the position that the focus of reporting should be on measuring performance towards the achievement of results, and that performance in relation to higher level results should be addressed through evaluation. Performance beyond immediate outcomes involves attribution/contribution issues that are of an evaluative nature and fall beyond the scope of performance monitoring.
53. An iterative planning process where synergies are formally identified and encouraged across projects during the planning phase. An understanding of synergies from the 'bottom up' should be used to refine higher level results statements and their performance indicators. Programme Frameworks should focus at EA level and be developed early in the work planning process to identify synergies at project level and articulate causal links to higher level results. They should form the basis for collaborative planning across organizational structures (Division/Branches/Units) and identify any key strategic partnerships relevant across projects that help realize the achievement of the EA.

2. In-line with the UN Secretariat's definition

54. The Evaluation Office has reviewed the designations for Divisions that lead, coordinate and manage projects and concluded that the principle of subsidiarity should be applied, i.e. that responsibility should be with the least centralised competent authority which should be the subprogramme and project levels since the PoW is built around subprogrammes using a project modality. Thus the terms Lead Division and (Project) Managing Division should be retained and the rest discontinued to help simplify PoW planning processes.³

2. Revisiting roles and responsibilities of Subprogramme coordinators

55. The roles and responsibilities of Subprogramme Coordinators need to be carefully considered as UNEP moves forward to consolidate the 'reform' process. Whilst UNEP seeks to avoid having two conflicting 'axes of power' in its current matrix approach, serious consideration is needed in terms of strengthening the influence of the 'Subprogramme axis' in relation to that of the structural axis (Divisions). This can be achieved by careful consideration of appropriate checks and balances which will require minor changes to reporting lines and the introduction of PoW performance measures that have Subprogramme design and delivery priorities at their core. The Evaluation Office recommends that the roles and responsibilities of Subprogramme Coordinators be clarified and their current reporting lines reviewed. For Subprogramme Coordinators to be able to effectively 'champion' optimal design and implementation of Subprogrammes across Divisions, and be considered as 'honest brokers' by all stakeholders, a measure of independence from Divisions may be required. This could be achieved if SPCs reported to the Deputy Executive Director. The future role of Subprogramme Coordinators would retain the focus on advisory services for programme coherence, enhancing the technical quality of planning frameworks and projects, monitoring the overall progress of the subprogram, flagging implementation risks and supporting their mitigation. Advisory roles in resource allocation decisions and resource mobilization processes would be strengthened. A budgetary provision for the coordination and facilitation work of the SPCs would be made explicit.

3. Better clarity on results terminology and consistency in results levels

56. Central to efficient and effective programme planning and results-based management, is clarity on the terms used. To reduce the terminological confusion frequently encountered in these areas, the OECD Development Assistance Committee (OECD-DAC) Working Party on Aid Evaluation developed a glossary of key terms in evaluation and results-based management. This evaluation recommends the use of terms consistent with these internationally recognised definitions in UNEP Programme Planning documents.
57. For POWs within the 2013-2017 MTS, POW Outputs should be defined at the same results level as project outputs but can describe an aggregation of project outputs or specify the most significant output required to achieve an EA. EAs should be specified at the same results level as project outcomes, but may encapsulate several project outcomes.

4. Tighter alignment of resource mobilisation with PoW results

58. Resource mobilisation efforts need to be fully aligned to PoW results; topics that form part of the agenda for thematic subprogrammes must be afforded higher priority than topics that lack such a linkage but have been ongoing in UNEP for some years.

³ The February 2010 Coordinators meeting came to the same conclusion and only the terms "lead Division and managing Division were retained.

59. Given the scale of the challenge of a large number of projects which often require extrabudgetary resources and the technical expertise often required to ‘sell’ project ideas, SPCs and technical staff must play an active role in project-specific resource mobilisation. The central RMU should be kept informed assist the coordination of fund-raising efforts and make information available to UNEP staff on the status of fund-raising efforts, both at corporate/‘partnership agreement’ and project levels.

5. Improvements in project design

60. The processes by which PoW Outputs will lead to EAs need to be more clearly described in all project documents and the role of UNEP and project partners in helping this happen needs to be made explicit. Indeed, this evaluation recommends that Project Documents should present a clear Theory of Change which undergirds the logical framework matrix.
61. Clear articulation of synergies among projects/activities within the PoW would facilitate identification of performance measures that capture such synergies. These could be used to help promote collaborative behavior among UNEP staff by their use in individual work planning (ePAS) processes. Financial incentives in terms of increased resources for collaborative initiatives are need to help foster such behaviour across UNEP.
62. A better, and more pragmatic, approach for monitoring performance in PoW implementation is to capture progress towards the delivery of PoW outputs and Expected Accomplishments, through the achievement of verifiable milestones. Project milestones should be used to track the progress of project implementation through outputs and onwards to outcome and Expected Accomplishment level.
63. The new programme manual should ensure that the difference between risks and critical success factors is clarified and that projects submitted for approval avoid this common fault. In addition clearer guidance must be included in the programme manual for the analysis of the sustainability of project outcomes and the definition of exit strategies.

a) Project governance arrangements

64. The UNEP project/programme manual and PRC review guidelines must be revised to specifically require clearer governance arrangements and a clearly defined firewall between project oversight and project management.

b) Partnership arrangements and stakeholder analysis

65. Partnership arrangements commonly take the form of a listing of partners and many project documents could be strengthened by the inclusion of information on intended roles, responsibilities and their available capacities and skills. To the extent possible, UNEP projects should seek to use the capacity in partner institutions to execute projects instead of hiring new staff.

c) Gender

66. The Executive Director should commission a study on the extent to which gender has been mainstreamed in UNEP programme activities and make recommendations on how current gender mainstreaming efforts could be improved.

d) Financial planning

67. This evaluation recommends that the practice of shrouding environment fund allocations to projects in mystery should be discontinued. If UNEP is to be transparent in the allocation of Environment Fund resources, and to be able to gauge its own efficiency, allocations to projects must be made explicit. CSS should re-visit the problem and suggest how the EF allocation to projects can best be captured.

e) Monitoring, evaluation and knowledge management

68. The UNEP Project/Programme Manual and project review guidelines should clarify and require baseline studies in all projects. Current guidelines for allocating budgets for monitoring and evaluation activities should be revised. Resources for assessment of baselines must become a requirement at EA level if performance at EA level or above is to be evaluated, this should be considered for PoWs in the next MTS period (2014-17).

6. Summary of requirements for future planning process PoW 2012-13 and MTS 2014-17

69. The UNEP Planning framework needs to be simplified by:
- Simplifying terminology consistent with OECD-DAC terminology
 - Ensuring that results statements are consistent with PoW results levels and across subprogrammes
 - Programme Frameworks should ideally be used as a basis for refining EAs and Outputs in the PoW
 - Performance monitoring focuses on objectively verifiable milestones that track progress to higher results levels
 - Phase out activities that have little meaningful linkage to the organization's higher level results
70. An updated programme manual needs to be made available to all staff as soon as possible.
71. Project documents should present a clear Theory of Change.
72. UNEP staff need training on project and programme design including Theory of Change and designing indicators and results statements at all levels in the results framework.
73. There is a clear need for an improved accountability framework:
- The roles and responsibilities of Subprogramme Coordinators need to be carefully considered and redefined to have subprogramme design and delivery approaches at their core.
 - Limiting Divisional designations to Lead Division (for subprogrammes) and Managing Division (for projects)
 - Divisional workplans are key to achieving transparency in resource allocation and programme delivery and should be prepared.
74. Regional Strategies should become a critical input into the development of the next MTS and PoW, as these should inform MTS and PoW development from the bottom-up, reflecting priorities and requests of stakeholders in the regions making UNEP's work more demand-driven. Regional Strategies will also dramatically increase RO engagement in the MTS and PoW development processes.

II. INTRODUCTION AND BACKGROUND

75. The Governing Council requested the preparation of a Medium-Term Strategy (MTS) for 2010–2013 with clearly defined vision, objectives, priorities, impact measures and a robust mechanism for review by Governments⁴. The UNEP Governing Council/ Global Ministerial Environment Forum⁵ authorized the Executive Director to use the MTS in formulating the UNEP biennial Programmes of Work (PoW) for 2010–2011 and 2012–2013. The PoW for 2010–2011 is therefore consistent with the MTS, and uses the six thematic cross-cutting priorities of the Strategy as the basis for the six thematic subprogrammes: 1) climate change; 2) disasters and conflicts; 3) ecosystem management; 4) environmental governance; 5) harmful substances and hazardous waste; and 6) resource efficiency and sustainable consumption and production. The preparation of the MTS 2010–2013 guided the development of UNEP’s Strategic Frameworks for 2010–2011 and 2012–2013 and the corresponding PoWs for these biennia.

A. THE UNEP REFORM PROCESS –A SUMMARY

76. The introduction of the six thematic subprogrammes and the focus on results-based planning and management, and all the associated past and on-going operational and administrative changes are often referred to in-house as the ‘reform process’. This process traces its origins to the arrival of the current Executive Director.
77. The ED commissioned the external ‘Dalberg review’ of UNEP’s implementation mechanisms and administrative structures, established ‘Task Teams’ around key strategic operational and administrative issues and, through the establishment of a Strategic Implementation Team, embarked on a number of ‘change management’ initiatives. These developments, in turn, led to the SMT decision of June 2007 that the 2010-11 PoW should “*be built around subprogrammes that reflect UNEP’s results-based priorities rather than Divisional structures*”.

1. A new modality for PoW planning and implementation

78. The Programme of Work and Budget for the biennium 2010-2011 departed from its previous modality of programming according to UNEP’s divisional structure, and set out a ‘matrix’ approach to programme planning and implementation (Figure 1). This new approach “*is foreseen to strengthen results-based management and increase management accountability for programme delivery and resource mobilization, while at the same time ensuring that relevant sector expertise benefits all subprogrammes*”⁶ and attempts “*to make better use of existing resources*”⁷. The approach aims to improve coordination and reduce the duplication of effort that was perceived to be inherent in the prior situation - where the organisation’s divisional structure coincided with

4 Decision 24/9

5 GC/GMEF tenth special session, decision SS.X/3, February 2008

6 Proposed strategic framework for the period 2010-2011 – UN General Assembly Document A/63/6

7 Quote from Draft UNEP PoW 2012-2013.

the responsibility for planning and delivery of separate subprogrammes. A rather separate and independent subprogramme work planning process for each division was a characteristic of previous planning cycles and has often been cited as a key factor responsible for the emergence of divisional ‘silos’ of UNEP activity.

79. The PoW is implemented through the six existing divisions and a network of six regional offices, by drawing on their areas of specialization, strategic presence and capacity to deliver at the regional level. The Division of Technology, Industry and Economics (DTIE) leads subprogrammes 1, 5 and 6 (see Figure 1). The Division of Environmental Policy Implementation (DEPI) leads subprogrammes 2 and 3. The Division of Environmental Law and Conventions (DELC) leads subprogramme 4. The Division of Early Warning and Assessment (DEWA) is responsible for the provision of a sound science base across all subprogrammes and includes among its staff a Chief Scientist. The Division of Regional Coordination (DRC) is responsible for coordinated implementation at the regional and country levels across all subprogrammes. The Division of Communications and Public Information (DCPI) is responsible for outreach and the production of publications for all subprogrammes.

2. Elements of UNEP’s Programme of Work

a) Objectives

80. UNEP’s overarching objective presented in the MTS and PoW is ‘To provide leadership in global environmental agenda setting, implement legislative mandates of the United Nations Environment Programme and the General Assembly, ensure coherent delivery of the programme of work and manage the staff and financial resources conforming to United Nations policies and procedures’. Further thematic objectives are specified for each of the six subprogrammes (Table 1).

Table 1. Objectives of the six UNEP thematic subprogrammes, and associated number of Expected Accomplishments and Projects

Subprogramme	Subprogramme Objective	N° of EAs	N° of projects & (Programme Frameworks)
Climate Change	To strengthen the ability of countries, in particular developing countries, to integrate climate change responses into national development processes	5	11 (4)
Disasters and conflicts	To minimize environmental threats to human well-being from the environmental causes and consequences of existing and potential natural and man-made disasters	3	15 (2)
Ecosystem management	To ensure countries utilize the ecosystem approach to enhance human well-being	3	14 (1)
Environmental governance	To ensure that environmental governance at the country, regional and global levels is strengthened to address agreed environmental priorities	4	13 (4)
Harmful substances and hazardous waste	To minimize the impact of harmful substances and hazardous waste on the environment and human beings	3	15 (3)
Resource efficiency and sustainable consumption and production	To ensure natural resources are produced, processed and consumed in a more environmentally sustainable way in which environmental impact is decoupled from economic growth and social co-benefits are optimized	3	18 (4)

b) Expected Accomplishments

81. Expected Accomplishments (EAs) are the next level of results ‘below’ Subprogramme objectives, they are specified in UNEP’s Medium Term Strategy and Strategic Frameworks, and are important higher level results that feature prominently in the PoW. The UN Secretariat, of which UNEP is a part, defines Expected Accomplishments as ‘the expected direct outcomes for a Programme of Work’. UNEP has defined EAs as “The outcome results approved in the PoW under each Subprogramme to which UNEP has committed. This is the level at which indicators are measuring success” (UNEP SMT, 2009). Each EA has associated *indicator(s) of achievement* with defined baselines, targets and means of measurement. A Subprogramme Strategy was developed for each of the six thematic priorities of UNEP, to guide preparation of the PoW.

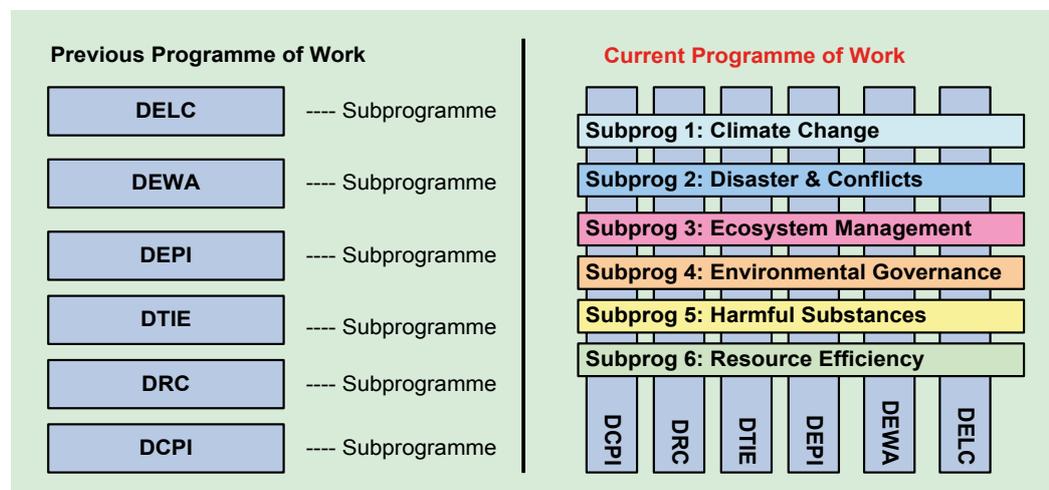
c) Programme of Work Outputs

82. Programme of Work Outputs are specified for each Expected Accomplishment in the PoW, the underlying logic being that such outputs should lead to the achievement of the desired results at the Expected Accomplishment level. Progress on outputs must also be reported in IMDIS every 6 months.

d) Projects within Programme Frameworks

83. As approved, the UNEP PoW requires the design of projects which will deliver the PoW Outputs. A set of project planning documents that “show the different sets of activities across all Divisions and Regional Offices necessary to achieve a given subprogramme objective or an Expected Accomplishment” constitute a Programme Framework (UNEP SMT, 2009). Programme Frameworks, summarized in Programme Framework Documents, vary in terms of the number of EAs and projects they encompass. “Generally, one project is designed for each PoW output. There may be instances where a few projects are needed to deliver one PoW output, or where a project will contribute to several PoW outputs within a given Expected Accomplishment” (UNEP SMT 2009). However, PoW ‘projects’ are, themselves, often comprised of smaller sub-projects. Sub-projects within a large PoW ‘project’ may frequently be supported by resources from a range of different extra-budgetary sources. The requirement to present all substantive interventions in the PoW in project form is a **major step forward in programme planning**. Previously, a large proportion of UNEP’s work was presented in ‘costed workplans’. Whilst

Figure 1. A diagrammatic representation of the previous and the new PoW implementation modalities
 Source: Proposed biennial programme and support budgets 2010-2011 – UNEP Governing Council Document UNEP/GC.25/12



costed workplans afforded considerable flexibility, they lacked sufficient documentation to promote meaningful accountability. For example, there was often no analogue to the 'project document' detailing what would be done and why, making evaluations of costed workplans difficult, if not impossible.

B. THE FORMATIVE EVALUATION

1. Objectives and approach

84. This formative evaluation⁸ is intended to provide Senior Management (including staff from the Quality Assurance Section) with feedback on the design and delivery of the PoW. Through an analysis of the *development processes of the PoW* and the *causal relationships embedded in UNEP planning documents*, the evaluation will seek to understand whether projects are optimally linked to higher level results. It is hoped that such feedback may induce adaptations to programme implementation that enhance the likelihood of success in achieving the EAs and improve future UNEP work planning processes. The scope of the evaluation includes analysis of selected programme frameworks included in the PoW for UNEP in 2010-2011.

85. The evaluation addresses five key questions:

1. To what extent are the UNEP PoW activities and outputs appropriately linked to the specified strategic performance targets?
2. Are Expected Accomplishments well formulated and realistic and are their performance indicators and means of measurement appropriate and sufficient?
3. What is the quality of the project design? Are Activities, Outputs, Outcomes and Impacts properly defined?
4. What are the weaknesses and strengths of the current work programming approach?
5. How can work programming processes be streamlined and results-based management further fostered?

86. The evaluation aims to highlight lessons from the PoW preparation process, the design of the PoW itself, and the associated implementation processes with the aim of improving future PoW/MTS programming.

2. Evaluation methods

a) Analysis of results statements and high level performance indicators

87. The Evaluation Office undertook an assessment of the Expected Accomplishment result statements, their indicators of achievement, units of measure, baselines and targets to assess their quality and validity. The parameters used in the assessment included:

- quality of the Expected Accomplishment results statements
- existence of relevant and SMART⁹ indicators to measure results at a later stage, and;
- relevance of the data sources and adequacy of the data collection methods to assess the achievement of results and indicators (units of measure).

8 An evaluation intended to furnish information for guiding program improvement is called a formative evaluation (Scriven 1991, Evaluation Thesaurus (4th ed.). Newbury Park, CA: Sage Publications) because its purpose is to help form or shape the program to perform better" (Rossi, Lipsey, and Freeman, 2004, Evaluation: a Systematic Approach (7th ed.). Thousand Oaks, CA: Sage Publications. p. 34). Such evaluations usually take place during implementation to provide timely feedback.

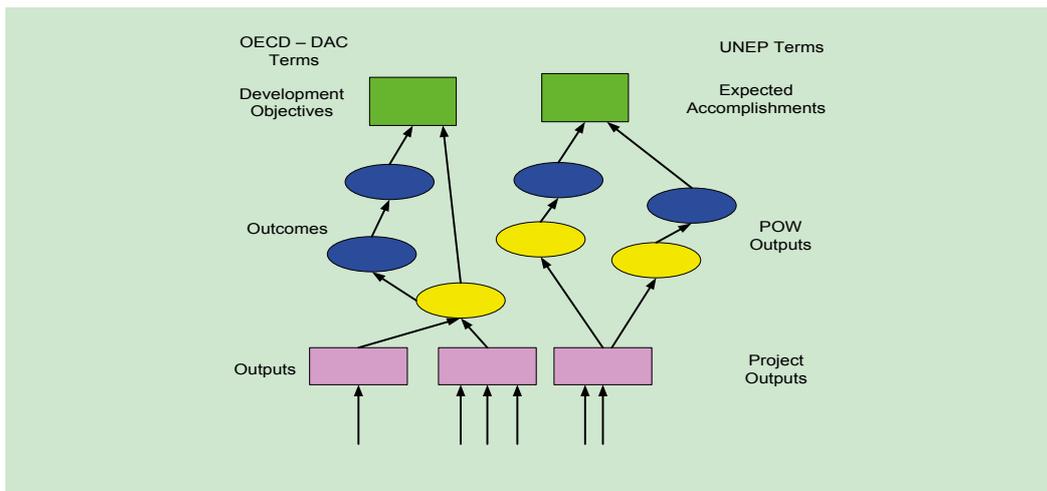
9 Specific, Measurable, Achievable and Attributable, Relevant and Realistic, Time-bound, Timely, Trackable, and Targeted:

88. The analysis aimed to determine the suitability of the EAs and their indicators for measuring UNEP's performance in relation to the PoW and the MTS (since the EAs are the same in both).

b) Programme design and causality - Theory of Change / Causal pathway analysis

89. Within UNEP's planning framework, project activities are designed to deliver certain outputs which are intended to lead to certain pre-defined results (PoW Outputs). These, in turn, are expected to contribute to the Expected Accomplishments. Within project documents, the 'intervention logic' is captured both in Logical Frameworks and project narratives. Studying the project narratives is essential because project interventions often involve several different causal pathways between project activities, outputs, and outcomes and the intended higher level results. It is quite common for a single project intervention to involve several causal pathways (see below) that will occur simultaneously. Logical frameworks do not readily capture this reality.
90. This formative evaluation makes extensive use of 'Theory Based' approaches (also variously known in the development and evaluation literature as 'impact pathways', 'causal pathways', 'outcome mapping', 'results chains', 'intervention logic' and 'theories of change'), which, on the basis of approved project documents, programme frameworks, and subprogramme strategies examine how project activities are intended to generate results by articulating sets of cause and effect chains. Theory-based approaches are not new; indeed they are at the core of the long-accepted logical framework approach. However, in contrast to a logical framework, a full theory of change allows consideration of multiple pathways and better captures the actions required, and possible risks, at the various stages 'along' the causal pathway from activities towards the intended results.
91. Figure 2 shows a graphical representation of generic set of 'causal pathways' which are comprised of the standard elements used in project logical frameworks. The pathways summarise causal relationships and help identify or clarify the assumptions in the intervention logic of the project. From the schematic diagram, it can be observed that sometimes more than one output might be required to achieve a particular outcome. Conversely, a single output may lead to more than one outcome, via different processes which are depicted by the arrows. When specified with additional detail, in particular including the key users of outputs, description of the processes (the arrows in Figure 2) with details of performance indicators (for either processes or result levels or both), causal pathway analysis can be invaluable as a tool for both project planning and evaluation. It should be stressed that the activities in a results-oriented project are not restricted to the level below outputs; project activities also feature in the processes that link outputs to outcomes and outcomes to higher level results. In other words, a project design should describe the activities needed to produce the outputs and the activities needed to ensure that the outputs will lead to outcomes and Expected Accomplishments. Also note that there are often several pathways that lead to results in a single project intervention - see Figure 2.
92. The approach used in this evaluation to examine project causality in UNEP's PoW had three distinct stages:
- a) Identifying the project's intended results
 - b) Review of the project's logical framework and the associated project narrative
 - c) Analysis and modelling of the project's causal pathways using 'a' and 'b' above
93. The identification of a project's intended results is derived from the 'objectives' statements specified in the official project document (which refer to Expected Accomplishments from

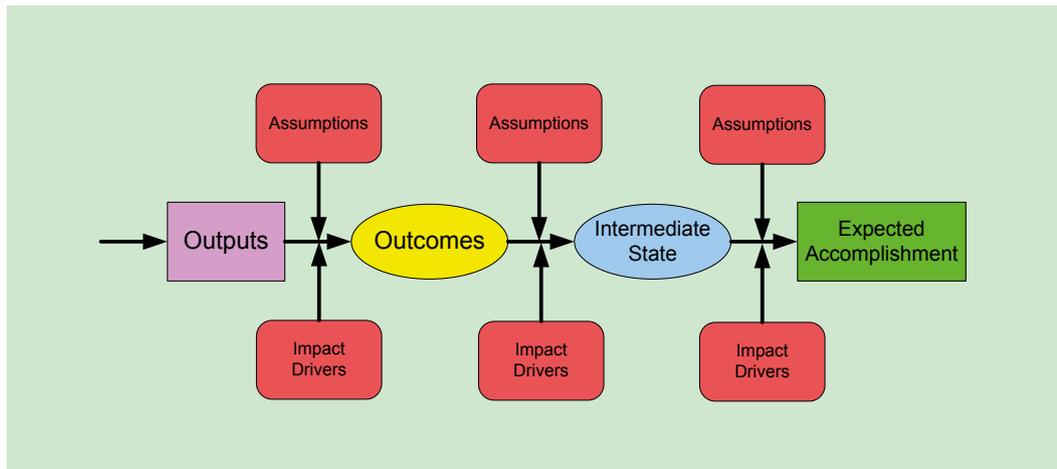
Figure 2. A set of generic results chains, which can also be termed 'Impact Pathways' or a 'Theory of Change'



the PoW and MTS). The next stage is to review the project's logical framework to assess whether the design of the project is consistent with, and appropriate for, the achievement of the intended results. The method requires analysis of the causal logic between the different hierarchical levels of the logical framework moving 'down' from the Expected Accomplishments through outcomes to the outputs and activities, and then checking this logic by also moving 'upwards' from initial activities through project outputs and onwards to PoW Outputs and Expected Accomplishments. The analysis of the logical framework is supported by a review of the narrative description of the project intervention contained within the project document. The aim of these stages is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality, such processes are often complex, involve multiple actors and decision-processes, and are subject to time-lags, meaning that higher level results may often accrue long after the completion of project activities.

94. The third stage involves the development of a representation of the main causal pathways within a project's 'theory of change' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure 3). Project outcomes are the direct intended results stemming from the project outputs and activities, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended higher level result (Expected Accomplishment). They are the necessary conditions for the achievement of the intended results and there may be more than one intermediate state between the immediate project outcome and the eventual impact (Figure 3).
95. **Impact drivers** are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. They are often referred to as the critical success factors of the project. **Assumptions** are the significant factors that, if present, are expected to contribute to the realization of the Expected Accomplishments but are largely **beyond the control of the project**/project partners and stakeholders. The likelihood that the assumptions will not hold is the **risk**. The impact drivers and assumptions are often key factors affecting the sustainability of the project.

Figure 3. A single schematic 'impact pathway' showing intermediate states, assumptions and impact drivers



96. Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states', to Expected Accomplishments, causal pathways need to be carefully examined and the following questions addressed:
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
 - Is each pathway complete? Are there any missing intermediate states between project outcomes and Expected Accomplishments?
 - Have the key impact drivers and assumptions been identified for each 'step' in the pathway.
97. The evaluation mapped the causal pathways for sets of related projects to clarify how projects intend to deliver project outputs, achieve PoW Outputs and contribute to the Expected Accomplishments. The analysis identifies whether interventions, by design, utilise common actors, are mutually reinforcing and converge / synergize with one another to deliver the intended higher level results. At the same time, the analysis highlights possible linkages from projects to other Expected Accomplishments.
98. The process of identifying the causal pathways and specifying the impact drivers and assumptions was completed initially as a desk review by the EO staff, followed by a group exercise involving collective discussions of intended project causality. The component elements (activities, milestones, project outputs, PoW outputs, outcomes, impact drivers, assumptions, expected accomplishments etc.) of the pathways were arranged using Visio drawing software to develop a visual model of Theory of Change.
99. In short, the use of 'Theories of Change' or 'causal pathways' aids both project design and evaluation of the same through clarification of causal logic and identification of performance measures and key 'impact drivers'. This information can also help define or refine appropriate monitoring approaches, and provide feedback to help guide results-oriented adaptive management that fosters delivery of outputs, achievement of outcomes and contributions to the Expected Accomplishments. It is also the key guiding framework for results-oriented evaluations.

c) Sampling approach

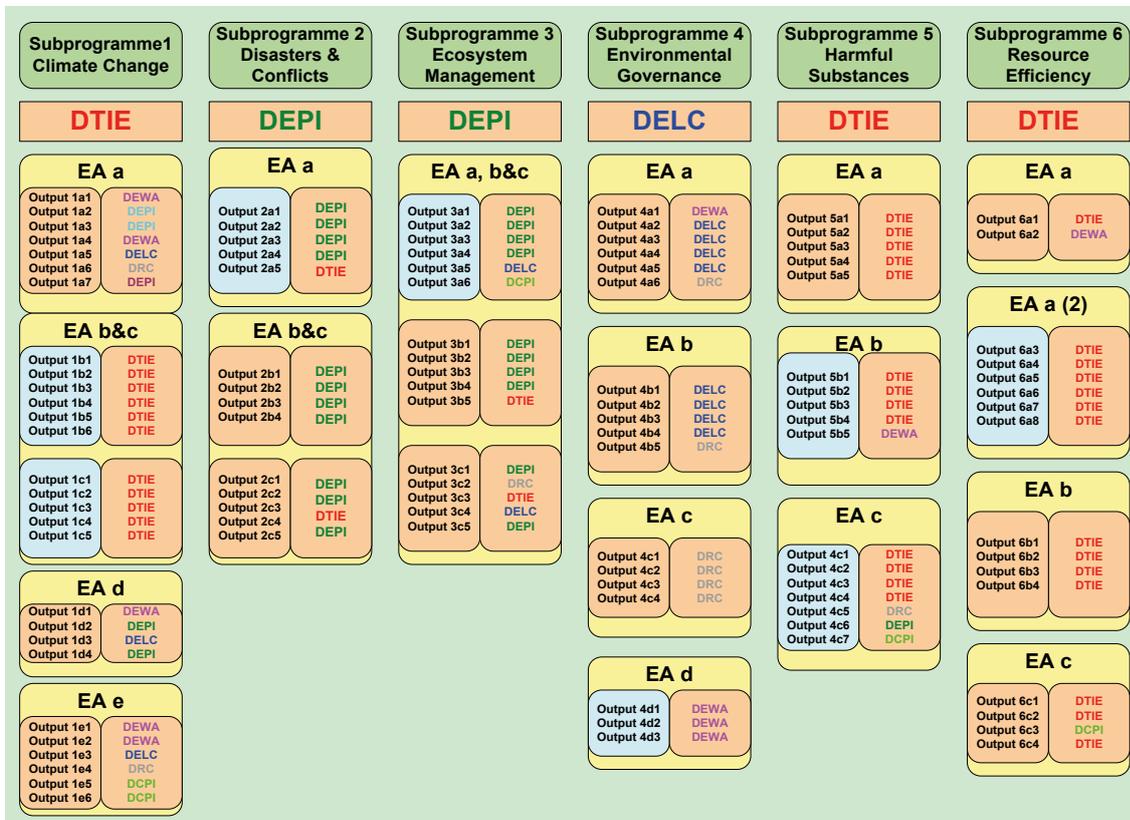
100. The scope of the PoW, in terms of the total number of projects (and sub-projects) that it encompasses, prohibits a detailed assessment of the causal relationships of every project within the PoW. Therefore a sample of projects was selected. One Expected Accomplishment was studied in detail for each subprogramme, with the exception of the Climate Change and Harmful Substances and Hazardous Waste Subprogrammes where two EAs were studied in depth. We selected EAs in each subprogram that, at the end of 2010, had a large proportion of PRC-approved projects. Figure 5 above shows the relationships between Subprogrammes, EAs, Programme Frameworks and, within those, the PoW Outputs. The projects associated with the delivery of the PoW Outputs highlighted in blue formed the basis for the sample used in this evaluation.

d) Projects and project design issues

101. As shown in Figure 4, a set of Project Documents developed for the 2010-11 PoW and related to a particular Expected Accomplishment were selected and analysed in detail. The design of each project intervention was assessed in the context of the relevant Programme Framework and thematic strategy documents. The analysis systematically focussed on the following aspects of project design for each project sampled:

- Is the Theory of Change (intended causality) at project and subprogramme level clear and logical? Does the project contribute to a single or multiple PoW outputs?
- Does the project contribute to more than one Expected Accomplishment?

Figure 4. The relationships between Subprogrammes, EAs, Programme Frameworks, PoW Outputs, number of projects and UNEP Divisions for the 2010-2011 PoW (Programme Frameworks are depicted as yellow boxes)



- Are the activities designed within the project likely to produce key PoW outputs and contribute to the Expected Accomplishments?
 - What external factors are likely to contribute to or constrain the delivery of outcomes? Is risk appropriately addressed?
 - What is the likelihood that progress at the level of the Expected Accomplishments can be achieved within the duration of the Programme of Work?
 - Does the project design present a strategy/approach to sustaining outcomes/benefits? Also note any intended catalytic/replication effects.
 - Are the performance indicators appropriate and sufficient to foster management towards PoW outputs AND Expected accomplishments?
 - Is the project governance model comprehensive, clear and appropriate? Are roles and responsibilities clearly defined?
 - Are supervision arrangements clear? Are the management/supervision arrangements appropriate?
 - Are the monitoring and reporting approaches appropriate?
 - What is the likelihood that the anticipated PoW outputs (outcomes) can be achieved within the duration of the Programme of Work?
 - To what extent has the design incorporated gender issues? Are they relevant to the project outcomes or are they of importance to the processes that aim to achieve these outcomes?
 - Will progress be made in delivering the Bali Strategic Plan on Capacity Building and Technology Support? To what extent has South-south cooperation been mentioned and pursued?
 - Are Partnerships clearly defined in terms of their expected roles and contributions?
 - Are there any obvious deficiencies in the budgets/financial planning?
 - Do any explicit approaches to knowledge management feature in the project design?
102. Other questions relating to the preparation process for the current PoW and experience with its implementation were addressed through discussions with different Project Managers, QAS staff and Sub-programme Coordinators.

e) Limitations of the evaluation

103. The formative evaluation is mainly a desk based exercise. Interviews were conducted with QAS staff and Sub-programme Coordinators and preliminary findings were presented to the UNEP Senior Management Team for comments. The understanding of underlying processes leading to the findings of the evaluation derived from the documentary review would have benefitted from interviews with a broader spectrum of UNEP staff, Divisional and Regional Office management staff in particular, but time and resource constraints did not allow these interviews to be conducted in any formal way.
104. Not all projects selected were approved at the time of analysis and the available project documents did not always include all the desired information, e.g. budgets, partners and project locations.

105. PoW 'projects' are often actually aggregations of smaller discrete sub-projects or initiatives.
106. Often the Project Documents submitted for the PoW 2010-2011 were actually a presentation of existing projects and activities under a new format. The quality of these documents, in terms of comprehensiveness, internal logic and level of detail, was sometimes affected by a lack of effort and attention by UNEP staff, because they did not always see the usefulness of devoting much time and effort in re-formatting designs that already existed and, possibly, were already under implementation. In some cases, therefore, questions might be raised on how well the Project Documents reviewed actually give a complete and comprehensible picture of reality.

III. EVALUATION FINDINGS

A. EXAMINING THE UNEP RESULTS FRAMEWORK

1. A sharper focus for UNEP with a clearer results orientation

107. The Medium Term Strategy outlines the strategic focus and direction of the organization which is further articulated in the Strategic Frameworks and the Programmes of Work for each biennium. The overarching design intent for these strategic documents was to provide a clear focus on results that were well-aligned with the organisation's mandate, priorities and comparative advantage. The aim was to develop a work plan for targeted, effective and efficient delivery of results and clear transparent monitoring and evaluation of performance. This was to be achieved through sets of interventions that reside within thematic subprogrammes that are both planned and managed across UNEP Divisions.
108. To a degree, these aims have been realized. It was always envisaged that the 'reform process' would not be complete in the first biennial planning cycle. As we approach the end of the 2010-2011 biennium, considerable time and effort has been invested and much has been achieved. However, there is no room for complacency. The 'reform' is firmly under way but it is far from complete. There is considerable scope for UNEP to further improve and refine both its work planning and implementation processes. UNEP needs to redouble its efforts to improve the processes and systems introduced to date if the potential efficiency gains from the reform process are to be captured.
109. This chapter outlines the main findings of the evaluation. It highlights positive points but also deficiencies. The overarching intent of the evaluation is to foster improvements by building on the positive aspects associated with PoW design and implementation process and rectifying the shortcomings and deficiencies identified.

2. The PoW design process and management

110. The design intent was to foster collaboration and synergies in UNEP's work, especially across its existing structure to break down 'Divisional silos'. To operationalize this intent, a number of design issues needed to be tackled that were new to UNEP's Programme of Work.
- A need to clearly articulate how responsibility and authority is organized to foster the coordination needed to deliver the subprogramme results
 - A new approach to budgeting and financial reporting that accommodates Divisional and sub-programme dimensions
 - A need for new monitoring, progress reporting and evaluation approaches
 - A means of identifying how country/regional needs fit into thematic priorities
 - A need to improve UNEP's focus by determining what existing interventions align with the stated thematic priorities (and should continue), what new interventions are required to deliver the planned PoW results, and a means to determine what existing work should be discontinued.

111. The process of PoW preparation, summarized in Table 2, ran to a very tight schedule. As the process proceeded, parallel consultations with the CPR were held. This allowed many opportunities for the incorporation of CPR feedback into the ongoing preparation process. The highly consultative approach helped to build CPR ownership of the PoW that would, ultimately, be approved by UNEP's Governing Council.

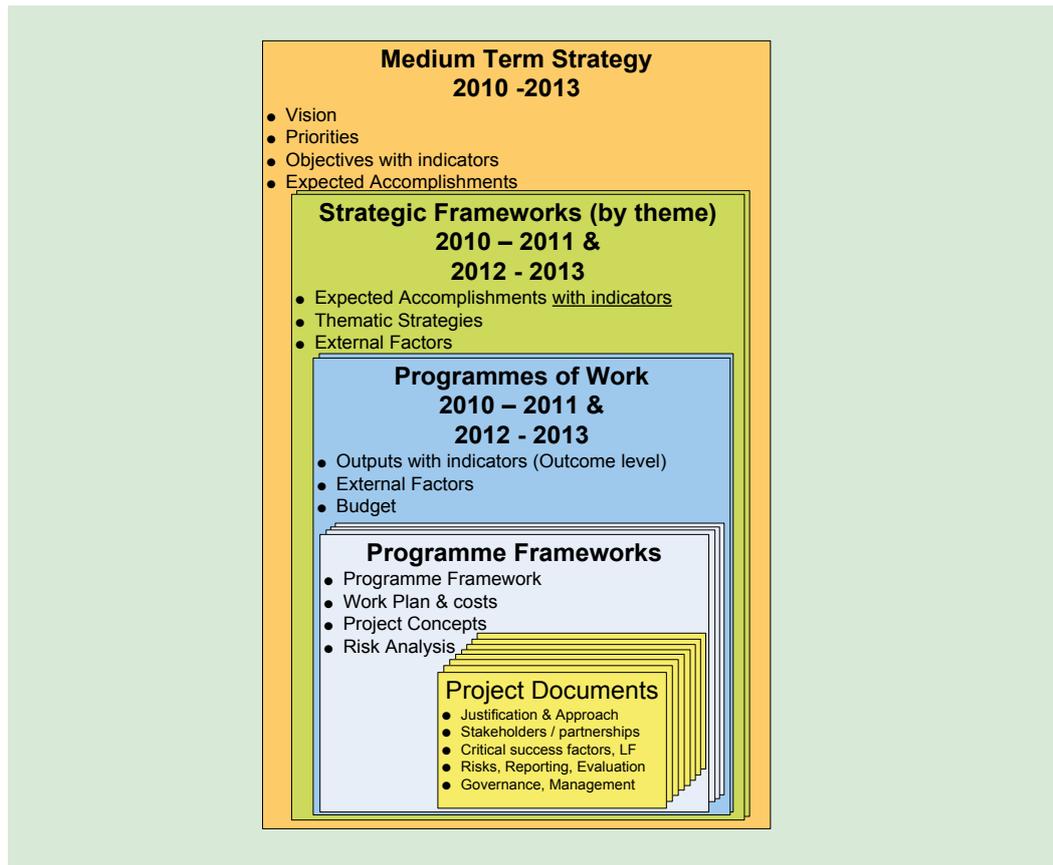
Table 2. Some key dates in the PoW preparation process.

SMT decision to build the 2010-11 PoW 'around subprogrammes that reflect UNEP's results based priorities rather than Divisional structures'	July 2007
Submission of the UNEP MTS 2010-13 to the Governing Council	6 December 2007
Strategic Framework 2010-2011 submitted to Committee of Permanent Representatives	29 Jan 2008
Proposed Strategic Framework for the period 2010-2011 presented to UN General Assembly	24 March 2008
SMT approval of PoW process for 2010-2011	5 May 2008
Strategic Framework approved by the UN Committee on Programme and Coordination (CPC) in New York	3 July 2008
Programme of Work Submission to Committee of Permanent Representatives	31 July 2008
PoW reviewed by Advisory Committee on Administrative and Budgetary Questions ACABQ	November 2008
PoW 2010-11 Submission to UNEP Governing Council	5 January 2009
Completion of the preparation of Programme Frameworks for PoW	August 2009
Beginning of 2010-11 PoW implementation.	1 January 2010

112. UNEP's result framework can only be understood fully from an examination of the relationships between several key planning documents: The Medium Term Strategy, the Strategic Framework, the Programme of Work and its constituent Programme Frameworks and projects (Figure 6).
113. As stated in the Medium Term Strategy document, the MTS is expected to provide the high-level programmatic results framework against which the overall performance of UNEP will be judged. It should provide the vision and direction for all UNEP activities for the period 2010-2013. It is anticipated to create a framework for focused, effective and efficient delivery of results, and for clear and transparent monitoring and evaluation of performance. The MTS document presents the evolving role and mandate of UNEP against the current global environmental challenges and priorities, and sets out the Expected Accomplishments and strategic trusts under each of the six subprogrammes. It further describes the means of implementation of the strategy, corresponding to the broad fields of expertise of UNEP's Divisions and Regional Offices, and the key institutional mechanisms in place to deliver the ambitious high-level objectives of the organization. The MTS does not, however, provide indicators for EAs, which are to *'be detailed as part of the strategic frameworks and programmes of work'*. The MTS was 'welcomed' by the UNEP Governing Council, which authorized the Executive Director to use it in formulating UNEP's PoWs.
114. The Strategic Framework for the biennium 2010-2011, proposed to the UN General Assembly, is largely a summary of the MTS, without the description of means of implementation and institutional mechanisms. It provides, however, a little more detail on the subprogramme strategies as well as Indicators of achievement for the Expected Accomplishments.
115. As a part of the PoW preparation process, Subprogramme Strategies were also elaborated to provide a more detailed strategic framework for each subprogramme. These documents are of variable scope and depth. The gaps and needs analyses is, in some cases, very detailed

(e.g. Environmental Governance and Resources Efficiency strategies), but, in others, rather superficial and the focus of UNEP's work is largely justified by UNEP's mandate, existing portfolio and 'comparative advantage' (e.g. Climate Change and Ecosystem Management strategies). Narratives on the focus of UNEP's activities under each EA are usually short, but some strategies provide lists of key intervention areas which broadly correspond to the PoW Outputs (e.g. Climate Change strategy). The causal logic between intervention areas and EAs can in most cases be understood from the narrative. Most strategies do not explain the synergies or complementarities between interventions (or the PoW Outputs).

Figure 6. Diagram showing the relationship between various UNEP Planning documents



116. After the PoW was developed, Subprogramme Coordinators were asked to prepare Programme Frameworks in consultation with the concerned divisions. The Programme Framework Documents provide an overview of (i) the Programme Framework's Expected Accomplishment(s) with Indicator of Achievement, PoW Outputs and corresponding 'accountable division'; (ii) the overall approach and main intervention areas of UNEP under the Programme Framework; (iii) the contribution of the PF to UNEP cross-cutting goals (Bali Strategic Plan, South-South Cooperation, MDG No.7, Gender etc.); (iv) main, intended external partners and internal partnerships between divisions; and (v) Project concepts. Considering the (potential) importance of Programme Framework documents as planning documents, these are analysed in more depth below.
117. However, in general, the Strategic Framework, Subprogramme strategy documents and Programme Frameworks do not present the intended causal links between PoW Outputs and Expected Accomplishments with sufficient clarity. This finding, among others, is further substantiated in the sections below.

3. Expected Accomplishments – a results level beyond UNEP’s direct control

There are a number of deficiencies and drawbacks with UNEP’s Expected Accomplishments as currently formulated (see Annexes 1- 6 for a detailed analysis). In the context of Programme Performance within the UN Secretariat, Expected Accomplishments are intended to articulate the expected direct outcomes for a Programme of Work. The Evaluation Office observes that most of the Expected Accomplishments are pitched at a higher results level than direct outcomes and their achievement is beyond the exclusive control of UNEP. Consequently, the EA performance indicators are frequently not measures of UNEP’s sole performance. In many cases several other actors may be contributing to the performance captured by the EA indicators and it is often unclear whether the results measured at this level are due to UNEP’s intervention. Whilst changes in a particular performance indicator may be recorded, they might have ‘happened anyway’ - even in the absence of any UNEP intervention. In other words, there are substantial attribution issues.

Box 1. Illustrations of EAs pitched at a higher results level with their achievement beyond UNEP’s control

- EA(c) of the EG Subprogramme: “National development processes and UN common country programming processes increasingly mainstream environmental sustainability in their implementation”.
- EA(a) of the RE Subprogramme: “Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains”.
- EA(a) of the D&C Subprogramme: “Investment in combined disaster risk reduction and natural resource management schemes in countries targeted for UNEP assistance is increased.”

118. It is also clear, when the timing of delivery of PoW milestones and outputs is considered, that changes in EA performance indicators are unlikely to be caused by work undertaken during the current biennium, simply because insufficient time would have elapsed for any causal effects to have materialized through the (often long and indirect) causal pathways specified in the PoW planning documents.
119. The fact that the indicators at Expected Accomplishment level are often not capturing UNEP’s performance in PoW implementation, seriously calls into question their use for progress reporting to the CPR/Governing Council.
120. The role of UNEP in contributing to the changes captured by the current EA performance indicators is largely assumed in UNEP planning documents. The actual contribution made by UNEP at the level of the current EAs, in most cases, can only be established, at some later date, through an evaluative approach. Evaluations that address the challenging issue of causal attribution/contribution are time-consuming, expensive, usually done, *ex-post* and can only realistically be considered for a subset of UNEP’s PoW activities. It is certainly not a viable approach to use the current EA performance indicators for frequent monitoring of UNEP’s programmatic performance.
121. The Evaluation Office believes that performance monitoring is essential for RBM but such monitoring should take place at a level where the attribution of the results to the actions of the organisation is much more certain. UNEP monitoring and reporting to CPR should be revised to focus on progress towards the delivery of PoW Outputs and Expected Accomplishments. This would require monitoring of verifiable milestones that track progress ‘along’ causal pathways to PoW Outputs and Expected Accomplishments.

122. For a more effective RBM framework, Expected Accomplishments should be defined at immediate outcome level where UNEP's performance can more readily be measured, and attributed. This should be considered as an issue of the highest priority in the development of the next UNEP Medium Term Strategy¹⁰. However, since the EAs and their performance indicators are specified in the approved Strategic Framework and PoW2012-2013 they cannot be changed until the 2014-2015 biennium. The next opportunity to revise this results level will come with the preparation of the 2014-2017 MTS.

Box 2. Illustrations of common issues with Indicators of Achievement for EAs

- IoA of EA(a) of the CC Subprogramme: "Increased number of national planning documents incorporating results of climate change vulnerability assessments and adaptation considerations" – The IoA is quantitative and vague.
- EA(c) of the CC Subprogramme: The EA is "Improved technologies are deployed and obsolescent technologies phased out, through financing from private and public sources including the Clean Development Mechanism and the Joint Implementation Mechanism of the Kyoto Protocol." and the IoA is "Increased investment in clean energy projects, including as a share of total investment in the energy sector as a result of UNEP intervention." – The IoA for the EA is pitched at a lower results level than the EA.

123. A simple approach to revision of the EAs could be to work from the 'bottom up'. The intended immediate outcomes across major UNEP projects and programmes that are well-aligned with UNEP's strategic priorities should be analysed for 'causal convergence'; this would help in the selection of more appropriate and realistic EAs.
124. Indicators of Achievement (IoAs) for EAs are mostly quantitative in nature e.g. they express increases in numbers. But what exactly will be counted is often very vague, for instance what policies or countries are aimed at or targeted is not specified and open to very broad interpretation. Additionally, many EAs are formulated in a way that incorporates the strategy or means by which UNEP intends to achieve or contribute to them (usually through outputs). Their IoA and Units of Measure (UoM) are then often indicating the delivery of these lower results rather than the extent to which the EA has been achieved.
125. The current UoM for Expected Accomplishments that feature in the PoW are largely formulated as indicators. This is because the EA's and their original corresponding performance indicators were 'set in stone' quite early in the preparation process for the PoW 2010-11. By June 2008, the CPC already had UNEP's submission of the Strategic Framework, which included the EAs in the MTS and indicators. Changing the indicators and EAs at that time would have meant a resubmission to the GC, and then to the CPR when the PoW had to be ready for submission to the February 2009 GC. A political challenge that could not easily be addressed. The Evaluation Office had provided substantive comments on the EAs and suggestions for revision of indicators, in June 2008¹¹. Sadly, for the reasons described above, the critique could not be considered prior to PoW submission and approval.

10 The evaluation Office understands that the first opportunity to revise EAs and their performance indicators will be in the formulation of the 2014-2017 MTS.

11 Preliminary Evaluability Assessment of the Strategic Framework for 2010-2011, UNEP Evaluation and Oversight Unit, June 2008. Unpublished document circulated to UNEP SMT and QAS.

126. However, in developing future Medium Term Strategies, the Expected Accomplishments and indicators should be formulated to better align with basic principles of Results Based Management. Performance measures should be ‘SMART’ (specific, measurable, achievable/attributable, relevant and time-bound). This would enhance both the ease of monitoring and the evaluability of the PoW.
127. While data sources for the measurement of indicators have been specified in most cases, the data collection methods were not specified as part of the PoW planning process.
128. Baselines and targets presented in the ‘units of measure’ often present absolute values rather than trends or rates. It is also unclear how baselines and targets have been determined and many baseline numbers are too ‘rounded’ to be credible. Furthermore, there is no clear link between POW Output targets and EA targets. The purpose of good baselines is to help with establishment and definition of ‘counterfactuals’ (what would have happened anyway without the UNEP intervention). These issues are best addressed and defined during the design of projects when the Program of Work is being prepared. The Evaluation Office recommends that UNEP should explicitly plan and budget for the collection of baseline data for the EA indicators and for biennial progress assessment.

4. PoW Outputs – defined at different results levels

129. The evaluation analysed the results statements specified in UNEP’s PoW Outputs and compared them with the common definitions used in results based management systems and the international evaluation community.

Table 2. Internationally recognized definitions for Outputs and Outcomes

	OECD/DAC Definitions	UNEG Definitions	World Bank Results Terminology
Outcomes	The likely or achieved short-term and medium-term effects of an intervention’s outputs.	Behavioural changes at individual or institutional levels	The uptake, adoption or use of project outputs by the project beneficiaries. An outcome reflects changes in the utilization of goods and services (demand side).
Outputs	The products, capital goods and services which result from a development intervention.	Operational changes including the provision of goods and services, tools / mechanisms, changes in knowledge and skills	Outputs are the supply-side deliverables, including the events, products, capital goods or services that result from a development intervention. An output typically is a change in the supply of goods and services (supply side).

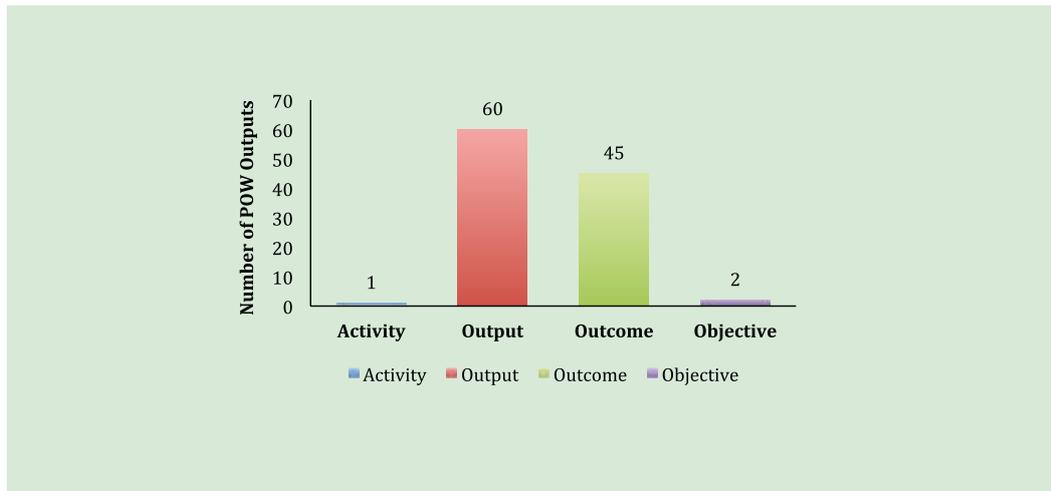
Sources: OECD – DAC Glossary of key terms in evaluation and results-based management¹²; United Nations Evaluation Group Training Materials; World Bank Results Terminology¹³

130. International monitoring and evaluation practitioners regard outputs as operational changes including the provision of goods and services, tools/mechanisms, changes in knowledge and skills whereas outcomes are behavioural changes at individual or institutional levels e.g. changes in practices by individuals, or changes in institutional performance.
131. The analysis showed that it is quite common for UNEP’s PoW Outputs to be formulated at differing results levels (e.g. outputs and outcomes – according to OECD – DAC definitions) as shown in Figure 7. Quite frequently, the narrative of a PoW Output includes the intermediate

12 OECD – DAC Glossary of key terms in evaluation and results-based management <http://www.oecd.org/dataoecd/29/21/2754804.pdf>

13 http://siteresources.worldbank.org/INTISPMA/Resources/383704-1184250322738/3986044-1250881992889/04_WorldBank_Results_Terminology.pdf

Figure 7. The distribution of 2010-2011 PoW Outputs with respect to OECD – DAC definitions of results levels



outcome, the outcome or even the impact level objective to which that output is expected to contribute. It is unrealistic and unjust to hold UNEP solely accountable for the achievement of intermediate outcomes and impact level objectives. To assess UNEP’s performance in achieving such results an attribution analysis is required, which calls for an evaluative approach. This is not feasible on an on-going basis as part of performance monitoring. To add to the confusion, in some cases, related PoW Outputs are actually consecutive steps in a causal pathway, with one expected to lead to the other. It is fundamental to good RBM practice to avoid mixing different types of results at a single level in a results planning framework

Box 4. Illustrations of PoW Outputs formulated at different results levels in the causal chain

- The EG Subprogramme PoW Output 4A1 “Emerging environmental problems of broad international significance and existing gaps in environmental regimes will be identified by the Governing Council based upon environmental assessment and analytical inputs” and PoW Output 4A2 “Policy guidance to set the direction and improve the coordination of actions on issues identified by the Governing Council is considered in other intergovernmental deliberations” – PoW Output 4A1 is expected to lead to Output 4A2; what problems are considered by the GC is largely under UNEP’s control as the issues identified are outputs of UNEP assessments. Therefore PoW Output 4A1 is at output level. But whether other intergovernmental deliberations choose to consider issues identified by the GC (PoW Output 4A2) is largely out of UNEP’s direct control and should be considered as an outcome.
- POW Output 1b2 of the CC Subprogramme EA(a): “National climate technology plans are developed and used to promote markets for cleaner energy technologies and hasten the phase-out of obsolete technologies” – contains an output, intermediate outcome and outcome level statement, while UNEP’s “service” is limited to assistance to developing national climate technology plans.

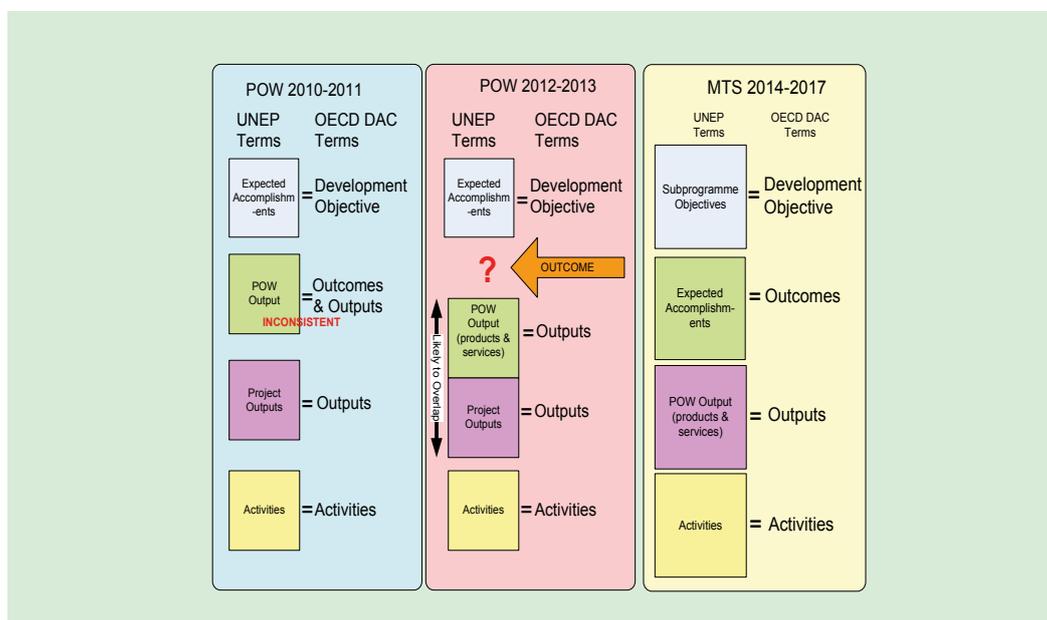
5. Terminology – a barrier to effective Programme Planning and Results-Based Management

132 Central to efficient and effective programme planning and results-based management, is clarity on the terms used. To reduce the terminological confusion frequently encountered in these areas, the OECD Development Assistance Committee (OECD-DAC) Working Party on Aid Evaluation developed a glossary of key terms in evaluation and results-based

management¹⁴. **This evaluation recommends the use of terms consistent with these internationally recognised definitions** in UNEP Programme Planning documents. In other words, whilst the terminology UNEP uses in its planning documents can be retained, the definition for each of the terms needs to be specified in a way that is consistent with accepted international practices and then consistently applied.

133. One of the key challenges in programme planning at the organisational level is to ensure project level interventions ‘come together’ to deliver the desired programmatic results, which in turn should make contributions to key organisational objectives and be in-line with the organisation’s strategy, mandate and vision. The difficulty of this challenge can be magnified if ambiguous terminology is applied. This is currently the case in the UNEP PoW (Figure 8).
134. Figure 8 shows the inconsistency of the current PoW terminology with OECD – DAC definitions. Under the current PoW, Project level outcomes contribute to PoW outputs. This terminology causes confusion. In addition, the PoW Outputs themselves, are often articulated as either outcomes or outputs. Figure 10 also shows that in the PoW for 2012-2013 there is a change in how PoW Outputs are defined; work by QAS has ensured they will become consistent with the OECD – DAC definition of outputs, however this will leave a ‘gap’, with no terms to describe programmatic outcomes. The PoW 2012-2013 will still sit within the MTS 2010-13 and UNEP Senior management has decided not to modify the formulation of the Expected Accomplishments.
135. The next opportunity to refine the way in which results levels and terminology are applied in UNEP Planning processes will be in the formulation of the 2014-2017 Medium Term

Figure 8. Terminology used in the PoW for the two biennia under the current UNEP Medium Term Strategy, and that proposed for the 2014-2017 MTS



Strategy. The aim should be to have programme and project terms consistent with one another, with the internationally accepted OECD DAC definitions, and the definitions used by the UN Secretariat. UNEP will need to ensure that results statements at the various levels conform to the accepted definitions.

14 The most relevant definitions for UNEP planning processes are presented in Annex ??)

136. Figure 8 shows the suggested relationship between OECD – DAC results definitions and UNEP results terminology to be used in the MTS and PoW for the period from 2014-2017. In general, this would require statements similar to those of the current Expected Accomplishments to be re-labelled as Subprogramme Objectives. Expected Accomplishments would be articulated as immediate outcomes in line with the UN Secretariat’s definition and would thus be pitched at an outcome level that is broadly equivalent to the current PoW Outputs. The latter would continue, as proposed in the PoW for the 2012-13 biennium, to be defined at output level (in-line with OECD – DAC). Project terminology would use activities, outputs, and outcomes. Project level outcomes would link to Expected Accomplishments, project level objectives would contribute to Subprogramme Objectives. It would be understood that objectively verifiable ‘milestones’ are formulated at key points in the causal pathways from Outputs to Expected Accomplishments and beyond.

6. Causality in UNEP’s results framework

137. The evaluation reviewed sets of projects within each subprogramme that are envisaged to contribute to the same Expected Accomplishment or to several EAs under one Programme Framework (shown in Figure 4). A detailed analysis for the groups of projects examined within each subprogramme is presented in Annexes 1-6. The following section outlines general trends evident across PoW projects that emerged from the detailed study of Programme Framework Documents and Project Documents.
138. In general, analysis of the planning framework shows that the causal linkages between PoW Outputs and Expected Accomplishments are largely assumed – project documents, programme frameworks and subprogramme strategies do not discuss these causal links in sufficient detail. The relationship between PoW Outputs and EAs is always presented in a table format – very similar to a logical framework – that doesn’t show the process of how an Output is expected to lead to an EA. This table format can also only represent many-to-one relationships between PoW Outputs and EAs, as if each PoW Output would only contribute to one EA. This representation cannot show how one PoW Output can actually contribute to several EAs, as is quite often the case. The processes by which PoW Outputs will lead to EAs need to be more clearly described in programme frameworks and project documents and the role of UNEP and project partners in helping this happen needs to be made explicit. Programme Frameworks and project concepts must be able to demonstrate ‘plausible causal linkages’ to PoW Outputs and Expected Accomplishments. This should be used as a primary ‘filter’ for viable project designs.
139. The Project Document template requires project designers to specify project outcomes as either an Expected Accomplishment or a PoW Output. As mentioned before, EAs have been defined at a high level, whereas PoW outputs are defined variably most commonly as either outputs or outcomes. This means that there can be considerable variation in the level at which projects define their intended outcomes in order to link to a particular PoW Output.
140. The description of causal linkages between project activities and PoW Outputs is also variable. In some cases, the linkage between the activities described in project documents and the PoW Output is very clear and well-articulated. For other projects, the link appears to be artificial, with the general topic or theme described in the PoW Output being a convenient ‘placeholder’ or category under which a project idea was ‘classified’. For example in the EG Subprogramme, project outputs and PoW Outputs are sometimes set at the same level, and the latter are conceived as an ‘umbrella’ for project activities which run in parallel.
141. There are several examples in the Programme of Work where projects have a ‘thematic link’ to the PoW Output or EA but where the causal logic between the project intervention and

Box 6. Illustrations of “parking lot” projects with a questionable causal logic between the project interventions and the PoW Outputs

- The project “Engaging major groups for policy dialogue” of the EG Governance Subprogramme doesn’t appear to aim at achieving EA(b) “Strengthening the capacities of States and reinforcing laws and institutions”. As the PRC noted, the project looks like a mixture of services that the Major Groups Branch can provide (e.g. inventory of UNEP partnerships and definition of good practices).
- Project 1bcP2 “Support for the deployment of renewable energy and energy-efficient technologies in developing countries” under the CC Mitigation Programme Framework, appears to be a collection of disparate items with little relation to each other (ranging from the development of energy performance and vehicle fuel efficiency standards over integrating sustainable mobility considerations into urban management and land use plans and assessments of the abatement potential of 2 non-conventional technologies and bio-energy potentials, to global advocacy and awareness raising campaigns to build support for a “Green Economy”).

the results statement in the PoW Output or EA is highly questionable. Most Programme Frameworks also seem to have their ‘parking lot’ project in which ongoing activities or seemingly unrelated new ideas, for which it was probably not considered worth the effort to design separate projects, have been ‘parked’.

142. There is therefore inconsistency in what constitutes a project across subprogrammes. Some are large-scale ‘umbrella’ projects while others are specified at a smaller scale and in more detail to guide implementation.

a) Programme Frameworks– an opportunity to plan linkages to higher results levels

143. Programme Frameworks are planning documents expected to ‘show the different sets of activities across all Divisions and Regional Offices necessary to achieve a given subprogramme objective or an Expected Accomplishment’(UNEP SMT, 2009). Programme Frameworks vary in terms of the number of EAs and projects they encompass (Figure 4). The Ecosystem Management Subprogramme has one Programme Framework that encompasses all of the Expected Accomplishments in the Subprogramme, whereas the Environmental Governance, Harmful Substances and Resource Efficiency Subprogrammes have Programme Frameworks for each Expected Accomplishment.
144. Despite their intended purpose, Programme Frameworks limit themselves to listing PoW Outputs at the beginning of the document, then describe how projects (and project activities) will contribute to EA(s). Only rarely is the causality for delivering the outputs explained.
145. As a construct within the UNEP PoW, Programme Frameworks do not represent a coherent ‘results level’. They were introduced to aid the PoW project preparation process, and they play no meaningful role in implementation, monitoring or reporting.
146. Despite the redundancy as ‘results construct’, the Programme Frameworks were useful in the design of the PoW as, according to many Sub-programme Coordinators, they promoted interdivisional cooperation and joint planning in the preparation of sets of related project concepts. If collections of project concepts were presented in an ‘EA Framework’ this collaborative planning benefit could be retained, and a ‘framework approach’ could be used as a design tool to strengthen the causal logic, and plan for greater synergy, among collections of projects in relation to the achievement of Expected Accomplishments. The causal logic, upon

which the PoW should be built, needs to be examined early in the MTS and PoW preparation process before higher results levels are formalized (and thereby fixed) in the broader UN work planning approvals process. 'EA Frameworks' should form the basis for collaborative planning across organizational structures (Division/Branches/Units) and identify any key strategic partnerships relevant across projects that help realize the achievement of the EA.

147. As further discussed, the causal 'pathways' in project designs were seldom sufficiently explicit and opportunities to identify synergies among projects through consultative was therefore further constrained.
148. Whilst the benefits of collaborative, cross-divisional development of project concepts were noted, it seems that opportunities to design full project documents in a similar consultative manner were less common perhaps due to the intense time pressure that characterized much of the process.

b) Lost opportunities for synergy

149. Separate project interventions are often intended to contribute to the same higher level result, yet opportunities for efficiency gains where causal pathways converge are seldom identified either in project or higher level planning documents. Whilst it is envisaged that PoW activities are implemented across UNEP Divisions, it seems that many projects have largely been designed within Divisions as stand-alone interventions. If synergies do exist they are not evident from the analysis of UNEP's planning documents.
150. A common finding across project documents in all subprogrammes was that links to multiple Expected Accomplishments or PoW Outputs were often specified in Logical framework tables but were seldom properly (or at all) described in the project narratives. Synergies among multiple projects contributing to one EA or PoW Output were not adequately described either. Whilst linkages might exist in reality, project design and subprogramme strategy documents do not properly capture these.

Box 7. Illustrations of (the lack of) explicit synergies

- In the D&C Subprogramme, project concepts annexed to Programme Framework documents do mention linkages to other EAs and subprogrammes, but do not clarify or explain those linkages. Project Documents make no mention at all of those linkages.
- In the RE Subprogramme, no planning document ever makes the link between the PoW Output 6A8 "Marrakech Process pilot implementation of resource efficient public policies and private sector management practices in key sectors at the regional and national levels is strengthened and [...]" and the EG subprogramme.
- The Project Documents for Project 3 (Integrated marine and coastal management for human well-being) under the EM Subprogramme, Project 1 (Vulnerability and impact assessments for ecosystem-based adaptation to climate change) and Project 3 (Support for building resilience of vulnerable ecosystems) under the CC Subprogramme, all present explicit synergies with each other and an explicit linkage to Output 443 (Institutional and technical capacities of Governmental and partner institutions in environmental monitoring, assessment and early warning are demonstrated to support national decision-making) under the EG Subprogramme.
- For the EG Project 'Regional, sub-regional and thematic environmental assessments, outlooks, alerts and indicator reports', it is not mentioned whether the EM-related assessments included in the project will support the development of capacities on EM (EM Sub-programme objective).

151. Opportunities to strengthen cross-divisional synergies have often been lost. This is partly due to the sequencing of the PoW planning process. Project designs were required to align with the PoW Outputs and EAs that were set earlier in the process, with each project (or sub-project) being designed and considered for approval on its individual merits. It also appears to be more common for a project to be designed for implementation largely within a Division, especially when the thematic focus of a subprogramme coincides with the work of a particular Divisional branch e.g. HS & HW, and RE projects.
152. Synergies among interventions under different Programme Frameworks or Expected Accomplishments are mentioned both in the Subprogramme strategy documents and in the Programme Frameworks. However, details are seldom spelled out and even when they are, (e.g. the RE scientific assessment will contribute to UNEP work on GEO), the link is defined at the level of activities that lead to outputs. The Evaluation Office believes that there is often considerable scope for synergies between projects in the processes that lead to higher level results (PoW Outputs and Expected Accomplishments), since this is the level at which the causal pathways of individual projects would be expected to converge.
153. The design process and the ensuing project review and approval processes did not help promote meaningful synergies across projects. This has a number of possible causes including that project documents for potentially synergistic interventions were being prepared and approved at different rates and times by different people, limited (or no) time was available for consultations among those developing potentially synergistic projects.
154. Overall, it seems that UNEP left project planners free to determine how project activities would contribute to PoW Outputs, and to define whether any link/synergy would exist (or be specified) among related project interventions. Project documents do sometimes refer to linkages with PoW Outputs associated with different EAs, although most commonly only in the ‘initial table’ and usually not in a comprehensive manner throughout the document.
155. Despite these shortcomings, interviews with Subprogramme Coordinators did reveal a perception that the level of inter-divisional discussion and collaboration has markedly

Box 8. Some illustrations of frequent issues with PoW Output indicators

- Two different projects in the Resource Efficiency Subprogramme are causally linked to PoW Outputs 613 and 617. Each project defines different indicators for these PoW Outputs. A third project is linked to PoW Output 617 with yet another project-specific indicator. This is not a problem per se at project level, however, this makes it very difficult to assess aggregate performance at PoW Output level.
- POW Output 1b2 of the CC Subprogramme (National climate technology plans are developed and used to promote markets for cleaner energy technologies and hasten the phase-out of obsolete technologies) is expected to be delivered through two projects (Project 1bc-P1 and 1bcPx). The project outputs from these projects linked to the PoW Output 1b2 are, respectively, Output C with indicator “More, better quality information is used to underpin national technology-specific policy plans, which take into account sub-regional trade flows and are consistent with performance standards developed through an inclusive consultation – Target: Four countries ” and Output 1A with indicator “Number of Technology Needs Assessments (TAPs) (or variations thereof) officially submitted to the UNFCCC secretariat as part of the process for recognizing Nationally Appropriate Mitigation Actions - Target: 15 TAPs”. Besides the fact that these indicators cannot be aggregated to assess UNEP’s performance on delivering the PoW Output, it is unlikely that there will be any measurable change on any of these indicators before the very end of these two projects’ support processes.

increased as a result of the reformed PoW planning process. There is also a perception that this enhanced collaboration and cooperation, where it occurs, has often happened despite the rather complex and time-constrained planning processes. It was often noted that the efforts of key individuals seeking to make collaborative arrangements work were a key factor. In other words, there has been a response to the intent of the new planning process to enhance cross-divisional work, but the ‘mechanics’ and time-constraints of the planning process did not make this very easy.

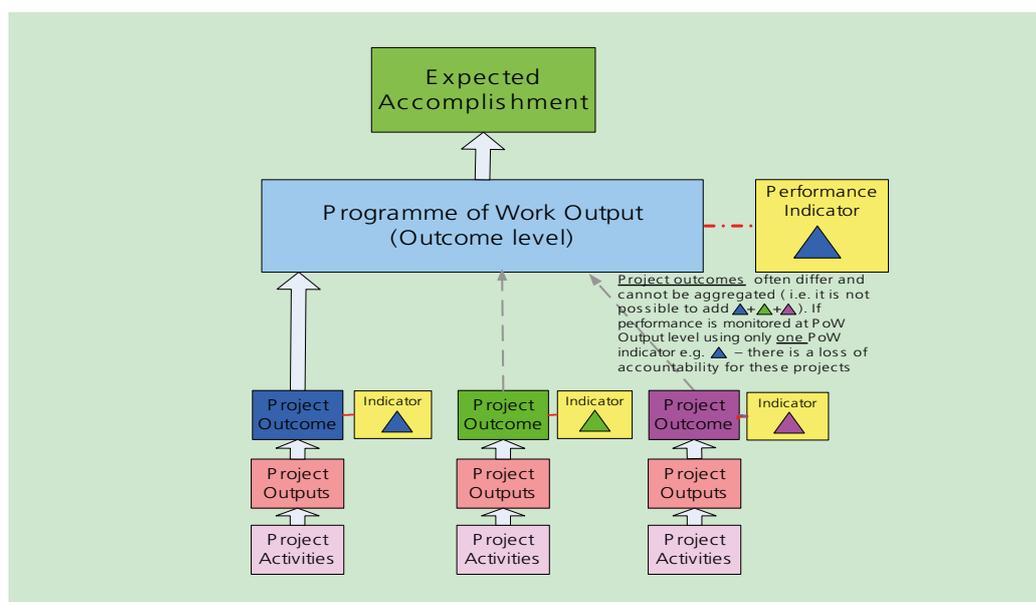
156. Collaboration should be pursued, not for its own sake, but to capture efficiency gains or improvements in effectiveness in programme implementation. An iterative planning process where such synergies are formally identified and encouraged during the planning phase is needed and is a key to the successful co-ordination of activities within a subprogramme during implementation. This coordinated planning makes the most sense for clusters of projects and activities that come together to deliver at the Expected Accomplishment level.
157. All of the above suggests that, in future, a Theory of Change should be more explicitly mapped out in Expected Accomplishment Frameworks to help identify interventions that are likely to have real synergies in terms of their implementation and realization of higher level results. Project design processes also need time for collaborative planning to ensure that actions to promote the achievement of higher level results are planned in a manner that promotes effectiveness.
158. If synergies among projects are not properly captured at the planning stage, it becomes less likely that staff involved in the execution/implementation of such projects, will actively foster such synergies in their day-to-day management and decision-making, especially when related projects are managed in different UNEP Divisions. For example in the D&C subprogramme, linkages to other EAs and Subprogrammes are identified (but not clarified) in the project concepts of the Programme Framework document, However, there is no mention of these same links in the approved project documents.
159. Clear articulation of synergies among projects/activities within the PoW would facilitate identification of performance measures that capture such synergies. These could be used to help promote collaborative behavior among UNEP staff. Specifying collaborative work in individual PAS plans would help promote the individual behaviours the organisation is seeking. UNEP needs to identify a set of performance measures, at various levels, that promote collaborative work across organisations structures that are in line with subprogramme priorities. Thematic priorities need to take precedence over Divisional interests. **For example, financial incentives in terms of increased resources for collaborative initiatives might help to help foster such behaviour across UNEP. Additionally, the role of Subprogramme coordinators in fostering collaboration among Divisions appears to be underutilized**(see section III B 7).

c) Issues with monitoring performance at PoW Output level

160. The current PoW Output performance indicators are defined within project documents, not within the PoW itself. Since the projects were designed separately, several indicators may exist for a given PoW Output. Because these project-specific indicators usually have quite different ‘metrics’ they do not offer a credible means of capturing the aggregate performance of all projects contributing to a PoW Output.
161. From both a monitoring and an accountability perspective, this implies that PoW Output indicators cannot be specified to capture the aggregate performance of all contributing projects. Figure 9 highlights this problem.

162. In addition, since a large proportion of PoW Outputs are defined at outcome level, there are temporal problems in using these indicators to monitor progress in programme implementation. It is often the case that the achievement of project-level outcomes is not linear and incremental. For example, a change in a national policy is a discrete event not one that gradually accrues over time. Monitoring such an outcome would repeatedly record 'no change' until such time as a policy change occurred - often towards the end of (or considerably beyond!) project implementation. The utility of such monitoring information for accountability or as results-based feedback into management processes is extremely limited. This is another rationale for monitoring to focus on verifiable milestones.
163. In the context of UNEP's Results-Based Management approach, these findings are of considerable importance. Earlier, we have argued that performance monitoring at Expected Accomplishment level does not properly capture UNEP's performance, and here we note that implementation progress in relation to PoW Outputs is not currently captured at an aggregate level in a reliable or verifiable manner. As a consequence, at two key results levels in the PoW RBM framework, Expected Accomplishments and PoW Outputs, UNEP does not have reliable performance indicators.
164. A better, and more pragmatic, approach for monitoring performance in PoW implementation is to capture progress towards the delivery of PoW outputs and Expected Accomplishments, through the achievement of verifiable milestones.
165. Project milestones should be used to track the progress of project implementation through outputs and onwards to outcome and Expected Accomplishment level. The Evaluation Office believes that the intent behind the use of milestones in the current PoW planning process was to capture progress up to and beyond output level. However, our analysis found that the overwhelming majority of project milestones in approved project documents were pitched at or below the output level. In a few cases, milestones refer to external events which would have happened anyway. Few milestones captured processes and achievements 'further along' the intended causal pathways towards PoW Outputs and Expected Accomplishments.
166. Improvements in the articulation of project milestones to better capture the intended project causality, coupled with monitoring of the achievement of project milestones scheduled in

Figure 9. Graphic highlighting the need for PoW Outputs to use multiple indicators



any given reporting period, would yield a robust and objectively verifiable reporting approach that would be easily incorporated into the approach used in current PPR process (see section III B 8. below).

7. Further observed trends in project design

a) Strategies for sustaining project outcomes/replication

167. Approved PoW projects lack adequate details on the strategies to be employed to sustain project outcomes. The current project document template does not require a dedicated section on this topic, and therefore many projects offer no specific information on sustainability. Exit strategies are either ignored or implicit, and this is a serious shortcoming.
168. The two most important issues when examining the performance of UNEP interventions are the extent to which the outcomes and objectives have been achieved and the likelihood that such outcomes will be sustained. Greater emphasis need to be placed on both of these issues in project design and approval processes.
169. Among the projects that do provide relevant information, the two most frequent strategies to enhance sustainability by far are: (1) institutional capacity building (including Training of Trainers) and (2) broad stakeholder involvement for greater ownership. These fit the normative nature of most UNEP projects but the strategies are usually described in a rather a generic manner. However, sustainability of normative work also often means that the drivers need to be in place to move project outputs towards sustainable outcomes and impact after the project's end. This is rarely the case. For example, the expected outcome of UNEP assessment work is often policy change, however the intermediary steps and drivers needed to translate assessment results into policy changes are generally absent.
170. It is worthy of note that financial sustainability is hardly ever considered (unless the setting up of a financing mechanism is the purpose of the project). This does not mean that UNEP is expected to finance continuity of benefits, but rather that projects need to assist beneficiaries in negotiating and securing financing to be able to make continued use of project achievements.
171. Even though a large portion of projects are demonstrative in nature – where an approach is applied only in a limited number of locations with the expectation that it will be replicated elsewhere without further project support – those projects rarely present credible replication strategies. For instance, in many cases replication is expected to happen with continued donor support but projects rarely foresee concrete activities to help secure commitment from donors. Replication of project results is most often expected to happen simply through communication and awareness raising (websites, policy briefs, lessons learned papers etc.). Those activities are, in most cases, poorly spelled out and insufficiently resourced for replication to stand a good chance of success. On a positive note, UNEP is considering moving to a 'UNEP live platform', with continuing data collection and longer-term collaboration with partners. Nevertheless, the risk that websites/platforms are created and then not maintained after the project completion is real.

b) Critical Success Factors and Risks –not interchangeable

172. The new Project Document format forces project design teams to reflect on the critical success factors and risks affecting the performance of their project. Both critical success factors and risks are factors that are expected to significantly influence the achievement of

project outcomes, impact and sustainability. As noted previously, critical success factors are performance drivers over which the project has a reasonable level of control. Risks, however, are largely outside the control of the project and assumptions are made on their magnitude/importance and the probability of their occurrence. For all risks identified, the project document format requires details on impact severity (magnitude), likelihood of occurrence, a risk management strategy and safeguards, and by when and whom the risk will be dealt with. For critical success factors, however, the current project document format does not require any details on how the project partners will make sure that they are present. A simple list of critical success factors suffices.

173. The review of Project Documents reveals that critical success factors and risks are quite often confused with each other. The most problematic is when a risk is listed as a critical success factor, because then the project design team does not need to present how the project will deal with it (it is assumed that it is part of the project's intervention logic). The new programme manual should ensure that the difference between risks and critical success factors is clarified and that projects submitted for approval avoid this common fault.
174. Critical success factors and risk management are often not explicitly built into the project activities and outputs, and come as additional measures. Project narratives and logical frameworks often omit to include the activities and outputs related to critical success factor or risk management. As a consequence, these activities and outputs often fall through the cracks of the monitoring and reporting systems. Risks and the factors that promote the likelihood of progressing 'along' a causal pathway (termed 'impact drivers') are important components of the Theory of Change approach the Evaluation Office proposes for use in project and programme planning.

c) Project governance and supervision

175. When organigrammes are included in project documents, institutional relationships are presented in a fairly clear way and are often supported by narrative text. The governance models for PoW projects generally suffer from being a juxtaposition of new and pre-existing activities.
176. It is evident from descriptions of project governance and management arrangements that the 'Silos' culture is still evident within UNEP. Linkages among UNEP Divisions and activities are often weak with the role and contribution to the projects by units other than the designated lead remaining unclear. For example many project documents lack clarity with regard to the role of DRC and Regional Offices, and are weak in the articulation of reporting lines.
177. Steering Committees, even for large, resource intensive projects, appear to be uncommon (though frequently suggested in PRC review comments) and, wherever present, they are intended to play more of a technical advice than supervision role. This might be justifiable, if supervision of project management could be ensured through another mechanism. However, it is also common for supervision (oversight) and monitoring responsibilities to be vested in a single project manager, sometimes with disastrous consequences, e.g. the EC-funded post-Tsunami disaster project implemented by IETC. The good practice of ensuring a 'firewall' between the roles of project supervision and project management seems to be largely absent.
178. In this regard UNEP needs to pay greater attention to the separation of managerial and supervisory roles in project implementation. Whilst it is not feasible to have a structural separation between these roles, it is possible to better define managerial and supervisory responsibilities and to design projects that clearly articulate these. **The Evaluation Office recommends that all project documents should have a dedicated section specifying**

the roles and responsibilities of the project manager in the form of a plan for project management. A related but separate plan would articulate the project supervision roles and responsibilities. Normally, the first reporting officer (FRO) of the project manager would fulfill the supervision role. However, if conflicts of interest exist the supervision role would be decided on a case-by-case basis as part of the project approval process.

179. Similarly, if a project needs to be revised during implementation, the project revision should be approved by both QAS and the Project Manager's first reporting officer (and also the project supervisor if this role is not performed by the FRO).
180. This arrangement would enhance project supervision and, additionally, help ensure that PoW related work is fully captured in individual PAS plans.

d) Partnership arrangements and stakeholder analysis

181. That Project Documents require a stakeholder analysis and details on the partnership arrangements is obviously a strength.
182. It is necessary that people and institutions affected by the project intervention and especially those targeted directly by the intervention are well known during the project planning stage, as the project objectives and intervention strategy should be geared towards their needs, motivations and capacities. In reality, however, the analysis of stakeholders' needs and motivations and how they may be affected by or contribute to the project is often weak or absent. This can in many cases be explained by the absence of project design funds that would allow an adequate level of consultation with project stakeholders. It is, for instance, very common that inadequate attention is paid to the needs, motivations and capacity of policy decision-makers who are frequently targeted as the ultimate users of project outputs. A lack of detail in project documents on stakeholders often goes hand-in-hand with poorly articulated communication and outreach strategies.
183. Following this line of reasoning, the argument might be made that UNEP interventions are still very much supply-driven, with an apparent lack of attention for the user (demand) side – at least during the design stage of interventions. As mentioned before, project outcomes are basically the consequence of 'outputs being used'. Outputs, therefore, need to be geared towards the needs, motivations and capacities of stakeholders expected to make use of them, so that they *are* effectively used and so that the outcomes can be achieved. An in-depth stakeholder analysis during project design would considerably help in understanding the user side.
184. In a context of limited resources and to promote sustainability, partnerships are often considered a critical success factor. In many of the reviewed documents, partnership arrangements commonly take the form of a listing and many project documents could be strengthened by inclusion of information on intended roles, responsibilities, and capacities and skills. Information is often lacking with regard to local partners. Science partners are almost always from Europe/North America, while scientific institutions from developing countries are more frequently regarded as beneficiaries.
185. Whilst private sector partnerships are frequently mentioned it is often in a superficial manner. How the private sector will be engaged remains usually unclear. This certainly merits more attention because the work culture, motivations and drivers of private sector partners can be very different from, and sometimes even opposed to, those of the traditional public sector partners.

186. It is also important to note that project designs often articulate the intent to hire new staff for constituting the project management teams instead of relying on staff available in partner institutions.

e) Gender, Bali Strategic Plan, South-South Cooperation and Knowledge Management

187. Many of the project documents reviewed acknowledge the importance and relevance of promoting gender equity. However, hardly any of them consider gender issues in activities' planning and implementation. In most projects, women are seen as victims or beneficiaries, but not considered as potential actors. Gender issues are at the core of very few PoW interventions, and their treatment in project documents has been relegated to statements of political correctness made to ensure that PRC approval requirements are fulfilled. Gender aspects rarely feature in performance indicators or monitoring plans. This suggests that UNEP will continue to have difficulty in demonstrating that meaningful 'gender mainstreaming' has resulted from the new programme planning approach.
188. Many projects have direct links to Bali Strategic Plan through their capacity building components at the country level. When the causal pathways of projects are analysed, capacity building outcomes become even more apparent. In general, linkages to the BSP are greater than the project narratives ordinarily suggest. Reference to the Bali Strategic Plan could in many cases be made more explicit. Many UNEP projects, especially those with a regional scope, have the potential to promote South-South Cooperation (SSC) for instance through science networks for information and research exchange. However, project documents seldom make explicit reference to supporting SSC and in some cases clear opportunities seem to be missed. SSC can present a number of comparative advantages over North-South Cooperation or multilateral assistance (e.g. SSC is usually based on solidarity and on shared experience, often draws on a better understanding of the political context and common challenges, might have lower transaction costs, is often more demand driven etc.) However, for SSC to be effective and efficient, it needs to be explicitly supported by the intervention, because institutional capacity for SSC is still developing and there is sometimes a risk that appropriate transparency, accountability, monitoring and evaluation mechanisms are not yet in place.
189. Knowledge management is treated variably across projects. It is highly relevant for some project designs and less relevant for others. Whilst knowledge management clearly cuts across the entire PoW it is not dealt with systematically and coherent KM approaches within the RBM framework of the PoW are not apparent in any PoW planning documents. It appears to have been frequently overlooked in the discrete project design processes that took place in the Divisions.

f) Financial planning and budgeting

190. From a financial standpoint, many of the projects appear speculative. At the time of project approval, a significant number of projects had mobilized none, or very small proportions, of the required project funds. These significant project risks are not convincingly addressed. Budgets allocated to some activities were considered, according to PRC comments, to be inadequate to implement activities and outputs planned within the time frame stated in the project documents. The proportion of the project budgets allocated to personnel costs seems high relative to activity-related costs in a significant number of projects. However, it must be stressed that this is to be expected in many project that have a focus on 'normative' work –where 'activities' i.e. – making things happen to deliver the outputs, are embedded in personnel costs.

191. However, the single most important deficiency is the absence of any quantification of Environment Fund financial or staff resources that will be required for project implementation. For the project designed under the Pow 2010-2011, QAS initially requested the Project Documents to specify the amount of funds and staff required from the Environment Fund. This request was superseded by Senior Management Decision, because quantifying financial and staff resources from the EF was considered to be too time-consuming and would lead to endless discussions, inaccurate estimates, and ultimately false expectations, as there was insufficient clarity on resource availabilities for new projects from the Environment Fund. Whilst this may have been an understandable omission in the context of developing a new results-based PoW for the first time in a new 'matrix' of subprogramme themes and Divisions, the Evaluation Office believes this practice should not continue. All new and on-going projects must specify their use of Environment Fund resources. A simple performance measure for Divisions could be built around the percentage of project outputs for which a Division has responsibility that specify the use of environment funds. The same information could also be collated by Subprogramme. If UNEP is to be transparent in the allocation of Environment Fund resources, and to be able to gauge its own efficiency, allocations to projects from the Environment Fund must be made explicit.

g) Monitoring and Evaluation

192. Many projects use 'standard text' to describe reporting and monitoring systems and evaluation arrangements. There is often insufficient customization of the monitoring system to the specific situation and requirements of the project. In many cases, monitoring is limited to periodic reporting of progress to higher levels of authority, and not considered as a management tool for project management.
193. The introduction of project milestones for monitoring project progress and performance is an important step in the right direction. As mentioned earlier, most milestones are pitched at activity level and are generally consistent with delivery of project outputs. In other words as one would expect, the causality between activities and the delivery of outputs is well articulated through the use of appropriate milestones. However, milestones that capture progress to higher results levels are usually missing. For instance, activities or outputs that help 'move' core project outputs towards higher level outcomes and Expected Accomplishments should be a key focus for results-oriented work and used as milestones. A measurable change beyond a predefined threshold at the outcome level (a 'trigger') could also be used as a milestone. In case it requires too much time or is too costly for the project unit to regularly measure the change, it could be measured only at mid-term or at the end of the project by the mid-term review or terminal evaluation, respectively.
194. It is very common for project documents to 'lump' monitoring systems with evaluation processes as 'M&E'. It is often unclear whether there is a good understanding that monitoring is a project management responsibility and that evaluation of project performance should happen independently of project management. Most project designs lack adequate baselines and very few specify activities to establish baselines and conduct recurrent monitoring. Evaluation activities are often under-budgeted, and monitoring costs seldom appear in project budgets.

B THE IMPLICATIONS OF POW DESIGN AND PLANNING PROCESSES FOR IMPLEMENTATION

195. The scope of this evaluation does not extend to assessment of efficiency or effectiveness in PoW implementation. It does, however, look at implications for implementation that stem

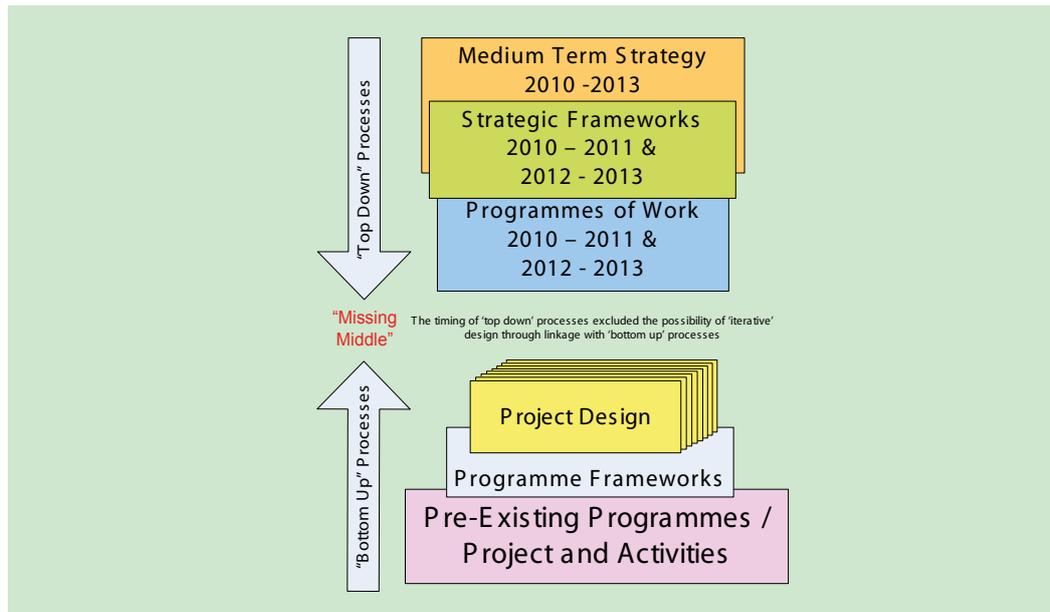
from an analysis of the design of the programme, an understanding of the associated PoW preparation process, and discussions with Sub-Programme Coordinators.

196. Despite the faults and weaknesses that have been highlighted in PoW design the Evaluation Office believes that introducing a strong results focus into the PoW planning process was, and should still, be regarded as the most fundamental work-planning principle. As such, it is worthy of the organisation's continued support. This represents a considerable improvement on previous planning modalities.
197. The PoW planning process has promoted much higher levels of collaboration across Divisions than was previously the case. The work planning process has raised awareness among staff of the scope of the organisation's work.

1. Learning from the 2010-2011 PoW Planning Processes

198. Those closely involved in the preparation of the 2010-11 PoW acknowledge that the PoW preparation process suffered from a number of deficiencies. The following observations and issues were noted and are presented for the purposes of identifying lessons for future improvement of PoW planning processes. Views on the preparation of the PoW differ from one person to the next, depending on how they experienced the process. We summarise commonly voiced opinions, comments and observations below:
199. The implications of the MTS process for PoW preparation were not fully realised. Many staff involved in PoW preparation, including subprogramme coordinators, did not play an active role in the preparation of the MTS. A commonly voiced opinion was that the MTS was prepared without meaningful in-house consultation. Whilst we are aware that Divisional consultations took place in the development of the MTS it would seem that only a small proportion of staff were engaged and that 'ownership' of the process was not broad-based. The focus of consultation in the development of the MTS was with Governments, MEA Secretariats, civil society, the private sector and selected Senior UNEP staff. In future programming cycles, there should be a closer linkage between preparation of the MTS, the strategic frameworks and the PoW. In general, strategic planning processes need to better engage UNEP staff.
200. The Expected Accomplishments specified in the PoW were drawn directly from the MTS. The strategic framework further elaborated the EAs and specified indicators of achievement.
201. The determination of the Expected Accomplishments, their indicators of achievement and the PoW Outputs early in the process meant that all subsequent design activities had to take these 'as given'. There were no opportunities to engage in iterative planning and design where the sets of activities proposed at the project level could be considered in terms of their causal convergence and results statements at PoW Outputs and Expected Accomplishment levels fine-tuned to better reflect the work they encompass. Fixing PoW Outputs and EAs inevitably resulted in their use as 'domains' under which new and existing projects and initiatives were 'classified'. In many instances this undermined the causal logic of the PoW results framework that was the central design principle. Thus the MTS/PoW planning process can, in simple terms, be regarded as having two main phases – a 'top-down' phase and a 'bottom-up' phase (Figure 9). These terms are used in the context of level of the results, and are not intended to describe the inclusiveness of the preparation processes. The timing of the approvals process for the 'top down' phase acted as a barrier to better formulation of results statements that a more detailed understanding of programmed activities could have yielded.

Figure 9. A schematic representation of the MTS and PoW planning processes



202. The PoW preparation process evolved as it proceeded, many UNEP staff involved in its preparation remarked that the process ended up being too complicated, time-consuming and involved a huge amount of paperwork, some of it repetitive. There is a general consensus that PoW planning processes need to be simplified.

2. Project approvals - incompatible priorities in QAS

203. The Quality Assurance Section was charged with the role of ensuring that the PoW preparation process stayed on track and on time. It was also charged with responsibility of ensuring that project designs were of high quality. Whilst many shortcomings in project design were noted in Sections III A 6 & III A 7 above, great strides were made to enhance the quality of project design by the introduction of a common project template to be used for all PoW projects. QAS and Project Review Committee (PRC) comments on project designs were generally thorough and supported by the Evaluation Office¹⁵. Review of PRC reports and approved project documents showed that PRC and QAS comments were responded to thoroughly. However, responses to comments, in terms of revisions to project designs were often inadequately reflected in the final project documents. In order to keep the PoW preparation process on track, many projects were approved by the PRC despite their recognized shortcomings in the quality of design. QAS was placed in the difficult situation of ensuring that project design quality was enhanced without hindering the pace of the project approval process. The priorities were somewhat incompatible.

204. It was always acknowledged that it would be difficult for the quality of PoW project design to be raised to meet a new and much higher standard in the short space of time demanded by the PoW preparation timeline, and with no assurance about resources available. Projects under this PoW were designed (or re-designed in the case of pre-existing activities) under sub-optimal conditions. QAS provided project document templates (with some deficiencies as noted below) and useful feedback on draft project design documents (which was however not always consistent e.g. on project logical frameworks). QAS also facilitated an important

¹⁵ QAS reports that some projects were reviewed and sent back to proponents even before they were submitted to the PRC. In other cases, projects were sent back to proponents by QAS and were not resubmitted for review.

project review process to raise quality at entry. However, there was no up-to-date programme manual to serve as a reference to project designers and only brief trainings for a restricted group of people involved in project design were organized. These factors might all have contributed to the high heterogeneity in the quality of the project design documents reviewed by this evaluation. As UNEP moves into the next planning cycle, improvements in project design can be (and are being) promoted through the provision of better guidance in the form of the project/programme manuals, and the revision of design templates to address the deficiencies noted by this evaluation. However, these approaches need to be complemented by in-house training, in order to maintain a trajectory of improvement in the quality of project design for the next planning cycle.

3. The need for transparent resource allocation with a stronger thematic focus

205. Resource allocation processes associated with the PoW are not clearly presented in planning documents or understood by UNEP staff. At a strategic level, there does not appear to be any transparent process or method that guides the allocation of UNEP's human and financial resources across, and within, the different subprogrammes. It appears that the resource allocation trends associated with the former divisional structure prior to 2010 have been used to guide allocation of the Environment Fund. These patterns are largely being preserved and rolled forward for the 2012-2013 PoW, justification in terms of thematic priorities remains obscure. In essence, human and financial resources are both managed and allocated along the Divisional 'axis' of the 'matrix'. Relative priorities across thematic Subprogrammes, Expected Accomplishments and PoW Outputs are difficult to discern and written justification or analysis that might guide resource allocation decisions is lacking. It may be that current resource allocation patterns are entirely appropriate; however, there is currently an absence of information and analysis to inform an objective judgment. There is still a large amount of on-going work in UNEP that was initiated prior to the 2010-2011 PoW that has yet to be meaningfully linked to the organization's higher level results; the extent to which this work commits Environment Fund Resources is either not known or is not readily available information.
206. The lack of information on the alignment of environment fund resources to PoW priorities is also evident from an examination of approved project documents; no figures for the environment fund resources (either staff or financial) required for project implementation are given. This should not be the case for the PoW 2012-2013 PoW.
207. There are also practical difficulties in capturing the realities of staff resource allocation. UNEP staff work may on several projects across different subprogrammes (for example). Apparently, UNEP's financial systems (IMIS) cannot currently cope with this level of complexity in budgeting and reporting and so staff costs may be applied to a single project as a simplifying assumption. These practical limitations hinder accurate reporting of resource expenditure in connection to the progress made towards delivery of PoW outputs.
208. Problems have also been identified in relation to the allocation of extra-budgetary and earmarked resources. Difficulties have been experienced in reaching agreement on the allocation of resources among divisions within a subprogramme (e.g. in Environmental Governance), such resources are reportedly split evenly among Divisions to avoid disputes. Subprogramme coordinators currently play little or no role in discussions with UNEP's larger donors and related resource allocation decisions.

4. Resource mobilisation – tighter alignment with PoW results

209. The 2010-2011 PoW preparation process resulted in the completion of a large number of project documents, the majority of which required extra-budgetary resources that had yet to be secured. From a resource mobilisation perspective, this presented a significant challenge. The central Resource Mobilisation Unit clearly has an important coordination role in discussions with major donors to secure funds to support corporate funding (e.g. Norway). However, the roles and responsibilities of Subprogramme Coordinators, Divisions, and project managers remain somewhat unclear.
210. To help ensure that links to PoW priorities are emphasized and information on the status of resource mobilisation efforts of the six subprogrammes is transparently made available, the engagement of SPCs needs to be strengthened.
211. It is also obvious, given the scale of the challenge and the technical expertise that is often required to ‘sell’ project ideas, that SPCs and technical staff must play an active role in project-specific resource mobilisation. The central RMU should be kept informed, assist the coordination of fund-raising efforts and make information available to UNEP staff on the status of fund-raising efforts, both at corporate/‘partnership agreement’ and project levels.
212. The wisdom of approving unfunded projects as a large proportion of the PoW has often been questioned by UNEP staff, not least because of the challenge of planning without knowing the level of resources which would be available and the risks associated with timely implementation of projects that need to secure funding before meaningful inception. However, having approved, but unfunded, sets of projects helps to focus funding from prospective donors onto project interventions that are part of UNEP’s strategic focus. This reduces *ad hoc* responses to donor interests that may or may not be aligned with the core focus of UNEP’s subprogrammes.
213. UNEP needs to phase out work initiated prior to the 2010-2011 PoW that has little meaningful linkage to the organization’s higher level results, and pursue a situation where all UNEP work has a strong connection to the results framework. To achieve this, resource mobilisation efforts need to be fully aligned to PoW results; topics that form part of the agenda for thematic subprogrammes must be afforded a higher priority than topics that lack such a linkage but have been ongoing in UNEP for some years. Again this argues for a strengthened role for Sub-programme Coordinators.

5. The appropriate locus of cross-cutting services ‘corporate activities’ and indirect support costs

214. A number of additional issues remain problematic and unresolved. Management, administration and representational activities are not captured in the PoW activities because they do not directly relate, through a project modality, to the achievement of programmatic results.
215. During PoW preparation process the idea of ‘framework projects’ was proposed to capture all the cross-cutting or corporate work and support costs associated with each thematic sub programme. This approach was later abandoned and such work was either incorporated into the subprogrammes or excluded for later capture in Divisional workplans. For example, cross-cutting activities, such as those undertaken by DCPI, appear in many subprogrammes as ‘stand-alone’ components often targeting external stakeholders and appear not to be fully integrated at the project level. Much of the Division’s work is ‘lumped’ into the Environmental Governance Subprogramme. Cross-cutting environmental assessments undertaken by DEWA are dealt with in a similar way.

216. Since management authority still rests largely with Divisions, it would make sense to present UNEP's PoW by subprogramme but also present biennial Divisional Workplans to show how the PoW operationalized at the Divisional level. As suggested by QAS during the PoW preparation process, Divisional and Regional Office workplans should present:
- activities needed to achieve the results (including partnerships with external agencies) showing responsible staff member
 - time line and milestones for each set of activities
 - allocation of staff time for each set of activities
 - budget allocation at IMIS object code level for Environment Fund and Extra-budgetary funds per activity
 - management activities with allocation of staff time and budget
 - standalone activities and indirect costs
 - resource mobilisation needs
217. The workplans therefore capture all the results the Division or Regional Office is committed to deliver, articulate the allocation of human and financial resources to achieve those results and form the basis for PAS plans, so that individual work plans become better aligned with the PoW. It is not clear whether these workplans were ever developed, but they should be regarded as key planning documents for UNEP.

6. A matrix without 'matrix management'

218. The simultaneous introduction of results-oriented programming to the development of thematic subprogrammes that cut across the Divisional structure of the organisation added considerable complexity to work planning processes. The UN Secretariat's Office of Internal Oversight Services (OIOS) found, in its 2010 audit of governance, that while the 'matrix' approach to programme management adopted by UNEP had in general been welcomed, including by Member States, there was a need for clarity as regards the *"assigning of authority, responsibility and accountability of the various divisions and staff members involved in the implementation of sub-programmes"*. They also stated that *"reporting lines in the new matrix approach are complex and staff members are yet to learn how to implement a single programme cutting across the six divisions"*. The veracity of those findings remains undiminished.
219. Much has been made of the new 'matrix' approach in the PoW. However, management arrangements do not reflect true matrix management where: **an individual has two reporting superiors - one functional and one operational**. Responsibility and authority remains firmly vested in the Divisional axis of the matrix. Sub-programme coordinators work across the Divisional structure but do not hold any authority over human or financial resources. It was always part of the design intent that the organisation should not create a 'power base' in the subprogrammes that would be at odds with the authority currently vested in Division Directors. This approach aimed to avoid a situation where 'power struggles' or conflicts would impede smooth implementation of the PoW.
220. The PoW planning documents¹⁶ specify a range of roles and responsibilities for Divisions in subprogramme implementation. These responsibilities were defined in terms such as; Lead Division, Coordinating Division, Programme Framework Coordinating Division, PoW Output Managing Division and (Project Level) Managing Division.
221. The Evaluation Office reviewed these designations from a design perspective and concluded that the principle of subsidiarity should be applied, i.e. that responsibility should be with the

16 Programme of Work 2010-2011: Designing the activities to deliver results. (approved by SMT March 2009).

least centralised competent authority which should be at two levels – the subprogramme and project level – since the PoW is built around subprogrammes using a project modality. The terms Lead Division, and (Project) Managing Division should be retained and the rest discontinued to help simplify future PoW planning processes. Experience with PoW implementation supported this, and a decision was taken to discontinue the other designations at the April 2010 Coordinators Meeting.

Table 3. Terms used for various Divisional roles and responsibilities in the 2010-2011 PoW

Term	Definition	Evaluation Office Comment
Lead Division	The Division assigned to deliver a given subprogramme on behalf of UNEP. Lead Divisions are responsible for providing intellectual leadership in achieving programmatic coherence in the design and implementation of activities across the organization.	Responsibility for contributing to subprogramme objectives is shared across the organization. Design Coherence should be a joint responsibility of the lead Division and SPCs. This designation should be retained
Co-ordinating Division	The Division assigned responsibility for coordinating delivery of a specific expected accomplishment. The coordinating Division ensures proper sequencing of projects and activities and alerts the Subprogramme Coordinator to any implementation problems	Expected Accomplishments cannot be 'delivered'. In the 2010-2011 PoW they are high level results to which UNEP can only contribute. This designation should be dropped
Managing Division	The Division assigned to lead delivery of a project	Suggest – The Division assigned responsibility to lead execution of a project. (project outcomes and impacts cannot be 'delivered'). This is the most important level of responsibility since, for PoW work staff and budgets are allocated to PoW projects. This designation should be retained
PoW Output Managing Division	No written definition found. Presumably, The Division assigned to lead delivery of a PoW Output.	Multiple projects may contribute to a PoW Output – possibly with different managing Divisions. The principle of subsidiarity should be applied and this designation should be dropped.
Programme Framework Coordinating Division	No written definition found. Presumably, The Division assigned to lead preparation of Programme Frameworks.	Suggest Expected Accomplishment Frameworks are prepared in future, and be a joint responsibility of the Lead Division and SPCs. This designation should be dropped

7. The role of Subprogramme Coordinators

222. The Terms of Reference¹⁷ for SPCs indicated that they would be 'primarily responsible for facilitating the development of a Programme of Work that cuts across all Divisions in UNEP in the relevant priority area and subsequently facilitate a more coherent implementation of activities across divisions to achieve measurable results for the subprogramme' and 'work under the supervision of the Director of the Division assigned in UNEP to serve as the Lead for a given thematic priority area; however their work will span across all Divisions to ensure an integrated and strategic approach to programme development'¹⁸. A number of expected roles for SPCs were specified for stages in the development and implementation of the PoW a) Programme strategy and programme development and b) programme approval and c) programme implementation. Responsibilities and expected duties for the latter stage were never specified in detail but did feature in general terms in UNEP's accountability framework¹⁹ which also states that they are accountable for:

17 Terms of Reference for Co-ordinators of UNEP Sub-programmes for the Development and Implementation of the UNEP Programme of Work (2010-2011) (Revised 21 April 08).

18 The April 2010 Coordinators meeting came to a similar conclusion based on their experiences with initial PoW implementation, "the titles of lead, coordinating, accountable Division, managing Divisions and responsible Divisions will be removed. The PoW process can still remain intact without these titles.

19 The UNEP Programme Accountability Framework, 26 April 2010.

- the technical quality of programme frameworks and projects
 - monitoring the overall progress of the subprogramme.
 - managing risks to a subprogramme by flagging risks regarding achievement of subprogramme objectives and supporting the Lead Division Director in managing those risks.
223. Coordinators played a crucial role in the development of the programme of work. Currently, the specific details of their roles vary from one subprogramme to the next, but in general, they:
- perform an on-going advisory role on subprogramme coherence and in project planning and design
 - recommend resource allocation across PoW Outputs in planning
 - play an active role in resource mobilisation, most commonly at a project level not for larger ‘corporate’ level donor contributions
 - facilitate exchange of information within the subprogramme but across Divisions, and Regional Offices.
 - gather, analyse and process monitoring information on milestone compliance and project outcome delivery status to support QAS in the preparation of the Programme Performance Report
 - monitor ‘corporate risks’ to the subprogramme and suggest corrective measures.
224. The current role of Subprogramme Coordinators is one of ‘facilitation’ rather than coordination, in the sense that the managerial authority vested in the position is minimal. This lack of authority can; impede SPCs from getting access to progress information from other divisions, limit their ability to influence project and programme design processes and constrain their influence on resource allocation decisions to pursue alignment with subprogramme priorities. Their ability to ensure that actions are taken to mitigate corporate risks to subprogramme implementation is also weak, especially when actions are required beyond the Lead Division. SPCs currently lack access to budgetary resources to perform coordination duties unless they happen to hold other substantive responsibilities that can afford them some flexibility in this regard.
225. There is an imbalance in the time availability and overall workload of SPCs across subprogrammes because several SPCs have to carry out their subprogramme coordination tasks in addition to their existing job within their Division (at least three SPCs are branch heads or deputy branch heads and one is a legal advisor to MEAs), and also because the scope and complexity of subprogrammes varies greatly.
226. SPCs report to the Director of their respective Lead Division. In the ‘matrix’ of Subprogrammes and Divisions, this may create ‘conflicts of Divisional and Subprogramme interest’. Situations where a Subprogramme Coordinator may advocate, for example, resource allocations that are in-line with the priorities and interests of a Subprogramme, but that shift resources (staff and budget) away from the immediate control of a Division. Similar situations may prevail in relation to resource mobilisation priorities.
227. The roles and responsibilities of Subprogramme Coordinators need to be carefully considered as UNEP moves forward to consolidate the ‘reform’ process. Whilst UNEP seeks to avoid having two conflicting ‘axes of power’ in its current matrix approach, serious consideration is needed in terms of strengthening the influence of the ‘Subprogramme axis’ in relation to that of the structural axis (Divisions). This can be achieved by careful consideration of appropriate checks and balances which will require minor changes to reporting lines and the introduction of PoW performance measures that have Subprogramme design and delivery priorities at their core.

228. The Evaluation Office recommends that the roles and responsibilities of Subprogramme Coordinators be clarified and their current reporting lines reviewed. For Subprogramme Coordinators to be able to effectively ‘champion’ optimal design and implementation of Subprogrammes across Divisions, and be considered as ‘honest brokers’ by all stakeholders, a measure of independence from Divisions may be required. This could be achieved if SPCs reported to the Deputy Executive Director.
229. The future role of Subprogramme Coordinators would retain the focus on advisory services for programme coherence, enhancing the technical quality of planning frameworks and projects, monitoring the overall progress of the subprogram, flagging implementation risks and supporting their mitigation. Advisory roles in resource allocation decisions and resource mobilisation processes would be strengthened. A budgetary provision for the coordination and facilitation work of the SPCs would be made explicit.

8. Performance expectations and reporting

230. The Programme of Work presents not only a workplan but also a set of performance targets, at Expected Accomplishment level, to which UNEP has committed within the two-year period that it covers. Each EA has associated indicator(s) of achievement with defined baselines, targets and means of measurement.
231. As noted above, it is clear from detailed analysis of the EAs, and the causal pathways intended to deliver them, that any changes in EA performance indicators are, in most cases, unlikely to be caused by work initiated during a current PoW period. This is because EAs have been defined at a high level, may capture changes due to other actors, and insufficient elapsed time is programmed for any causal effects to have materialized via PoW Outputs. It should also be noted that many PoW Outputs have a planned delivery late in the biennium.
232. Changes in EA performance indicators that relate to recent UNEP initiatives are very unlikely to materialize within the biennium, are difficult to attribute to the organisation and unlikely to yield information of use to managers in terms of providing feedback on progress with PoW implementation. For long-standing ongoing work changes at EA level are more likely to be associated with UNEP work conducted in previous planning periods but still suffer from the same attribution difficulties. For instance, under Harmful Substances and Hazardous Waste Subprogramme, the mercury and SAICM projects are from a previous biennium where it was anticipated that UNEP would continue this work in the 2010-11 biennium to deliver the results planned. The same holds true for much of the work under Disasters and Conflicts and Environmental Governance subprogrammes.
233. EAs are set at a level higher than ‘immediate outcomes’ of UNEP work and as such do not measure UNEP’s sole performance. These factors inevitably lead to the conclusion that performance expectations specified within the PoW are overly optimistic and are specified at a too high a results level.

a) Programme Progress Reports

234. The first six monthly UNEP Programme Progress Report (PPR), made to the Executive Director and presented to the CPR, contained two sections. The first section, a lengthy overview of ‘highlights from UNEP initiatives’ and a second section presenting progress in PoW implementation by subprogramme, EA and PoW Outputs. The vast majority of the progress, outputs and achievements documented in the first section related to work that was on-going or came to fruition during the current biennium, but that was initiated in earlier planning cycles.

235. The second PPR report built on the positive aspects of the first report, it was a more concise document that focused on progress on PoW Implementation. The 2nd PPR states:

“The focus of the report is on performance measurement towards achieving results and not results measurement per se. Thus, even though this report does show some actual results achieved, evaluation is necessary for an objective verification of these results and the degree to which they can be attributed to UNEP. To this end, an evaluation plan for the duration of the Medium Term Strategy has been defined to be implemented by the UNEP Evaluation Office. This measure ensures that performance measurement is supplemented by independent evaluations of the achievement of objectives and planned results.”

236. The Evaluation Office fully supports the position that UNEP’s monitoring focus should be on measuring progress towards the achievement of results, and that performance in relation to higher level results should be addressed through evaluation.

237. The PPR makes use of a simple ‘traffic light’ risk assessment rating scheme (Table 4). The reporting process that led to the risk assessment for the 1st PPR was time-consuming. The Subprogrammes make a self-assessment of progress in PoW implementation at project and activity level, information from across many projects and sub-projects is reviewed and collated by Subprogramme Coordinators. Subprogramme Coordinators often faced the challenge of receiving large amounts of information from the ‘bottom up’, and have to ‘sift’ through such information to identify what aspects are directly relevant to the achievement of PoW Outputs and EAs. Many Subprogramme Coordinators mentioned that it was often difficult to match the progress information received to the PoW Outputs. Progress information and risk ratings submitted by the Subprogramme Coordinators were subsequently reviewed by QAS, discussed with Subprogramme Coordinators and sometimes amended.

Table 4. Risk levels designated in the UNEP Programme Progress Report (PPR)

‘Traffic light’	Risk level
	‘On track’
	‘Medium risk’
	‘High risk’

238. The risk reporting process used in the 2nd PPR did not present objectively verifiable information on programme implementation and, as a consequence, was not very transparent. It was difficult to determine, from the information provided in the report, what, specifically, was being monitored to reach the risk assessment given.

239. The risk ratings did not appear to have common reference point in the results framework, the 2nd PPR does not systematically utilise PoW Output indicators, EA performance indicators or milestones. It was not easy to determine what evidence supports the ratings, which leads to the conclusion that they are rather subjective and not ‘objectively verifiable’. The lack of common reference points for assessing progress in the different subprogrammes will, inevitably, lead to differing perceptions of progress and risk. The 2nd PPR was, however, viewed as an interim approach in anticipation of the use of the PIMS²⁰ system to assist more objective and transparent project level reporting and monitoring.

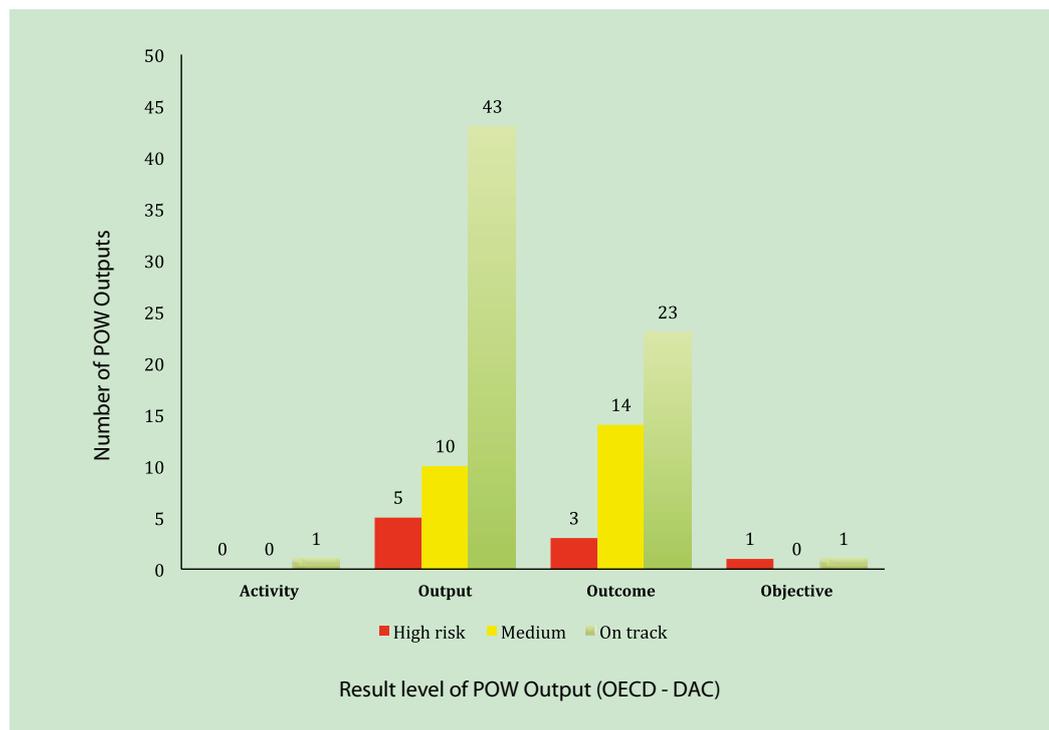
240. Noting these issues, the Evaluation Office professionals examined the results level for PoW Outputs in relation to OECD DAC definitions and noted the associated trends in PoW

20 The Programme Information Management System (PIMS) supports the functional needs of the entire UNEP Programme of Work cycle. The initial focus in the 2010-11 biennium is on the development of monitoring and reporting modules.

implementation that were reported. Progress rated as 'green' (on-track) tends to be more frequently associated with PoW Outputs that are pitched at a lower results levels (OECD DAC output or activity).

241. A brief analysis of the risk levels awarded to each PoW output in the PPR when plotted against its 'results level' (Figure 10) shows that a larger proportion of the PoW outputs that were pitched at the output level are 'on track' compared to those PoW Outputs that were specified at an outcome level. This is to be expected as achieving an output is solely within the organisation's control, whereas the achievement of an outcome requires (by definition) a change of some other actor's behaviour. Reason's for 'yellow/red lights' need to be clear in order that the risks can be effectively managed.
242. The first PPR report cites delays in the receipt of funding as an important factor affecting the delivery of results *"Results from UNEP's work must be achieved in the biennium to which the results were planned despite the late arrival of donor funding: This report shows that a challenge UNEP faces is to deliver results planned for one biennium in that biennium. While many results are not achievable in one single biennium, there are nevertheless results planned in a biennium that must be achieved either in that biennium or the next. Yet, several results can only be achieved in a subsequent biennium as donor funding to achieve the results planned does often come late. UNEP has to identify ways of reducing its vulnerability to the risk that it cannot deliver a result planned for a given biennium."*
243. Whilst the above may be true, a more fundamental problem is that realistic timeframes for achievement of results at the level currently articulated in UNEP's Expected Accomplishments are much longer than two years. Expectations regarding rates of progress towards higher level results need to be more realistic and better communicated to UNEP stakeholders.
244. As already highlighted, the wisdom of using EA and/or current PoW Output performance indicators for monitoring PoW implementation is highly questionable. Indicators used at the PoW Output level are often project-specific and would be unlikely to register any changes in the early stages of PoW implementation since outputs are seldom delivered immediately. Delivery of outputs is frequently scheduled at the end of the biennium, or beyond, in most project documents. It is clear that the vast majority (if not all) of the causal pathways associated with such outputs are not instantaneous i.e. completing the activity or delivering the output does not lead to an immediate causal change at the level of EAs (where monitoring of performance is currently desired). Additionally, there may be several different indicators defined for each PoW Output, making aggregation of performance at this level very challenging.
245. In this context, the overall monitoring scores given in the first PPR seem somewhat optimistic. Another obvious deficiency in the performance monitoring system is that the linkage between progress made and resources expended in is lacking. Currently, the Environment Fund (staff and money) resources associated with each PoW Output, in terms of both allocation and expenditure are not known. Extra-budgetary funding information is more readily available, but not routinely reported.
246. The current reporting system is largely a self-assessment exercise with no verification. This raises the question of information reliability since what is currently being 'monitored' is seldom objectively verifiable. A 'red light' is seen as being indicative of poor individual performance. However, it is perfectly possible that progress could be constrained by external factors that are beyond the control of a project manager .e.g lack of secured project funding.

Figure 10. The risk status given for PoW Outputs in UNEP's 1st PPR plotted against the results level for PoW Outputs according to OECD – DAC definitions



The preparations for the third PPR are well under way and much progress has been made. The PIMS system has been recently ²¹ introduced and progress is to be reported against project milestones through project level data entry in the PIMS system. If project level milestones are properly defined, this system has the potential to be an effective RBM monitoring tool.

247. In future programming cycles, ‘milestones’ must be objectively verifiable and must also track project performance beyond outputs to expected accomplishment level. To create a reliable reporting system, incentives for candid reporting need to be put in place. One option would be for the Quality Assurance Section to verify the achievement of milestones for a random selection of projects that are evenly distributed by Division or Subprogramme. Statistics on any ‘disconnects’ where a milestone has been inaccurately reported as being complete should be transparently disclosed.²² If SPCs were to report to the DED, they might also play a role in verification of milestone achievement. These measures would go a long way to creating a widespread culture of candid progress reporting.

²¹ The PIMS system has been online since mid-2010. The ED requested Divisions to use PIMS for PoW progress reporting as of May 2011.

²² QAS and the Evaluation Office plan to undertake annual quality of project management and supervision reviews on a sample of active projects.

IV. BIBLIOGRAPHY

- OECD – DAC Glossary of key terms in evaluation and results-based management <http://www.oecd.org/dataoecd/29/21/2754804.pdf>
- UNEP (2007). Draft 'Road Map' on the UNEP Medium Term Strategy 2010-2013 Presented to the Committee of Permanent Representatives to the United Nations Environment Programme Joint Subcommittees I and II, Nairobi, 14 June 2007.
- UNEP (2008). Terms of Reference for Co-ordinators of UNEP Sub-programmes for the Development and Implementation of the UNEP Programme of Work (2010-2011) (Revised 21 April 08).
- UNEP (2008) United Nations Environment Programme Medium-term Strategy 2010–2013, Environment for Development, GC/GMEF tenth special session, decision SS.X/3, February 2008
- UNEP (2008) Approach to the development of the programme of work of UNEP, 2010-2011
- UNEP (2008) UNEP Programme of Work 2010 – 2011. Budget and programme of work for the biennium 2010–2011 and the Environment Fund and other budgetary matters. UNEP/GC.25/12
- UNEP (2008). Subprogramme Strategy Document UNEP's Ecosystem Management Programme: An Ecosystem Approach. Unpublished internal document.
- UNEP (2008) Operationalizing UNEP's Ecosystem Management Programme
- UNEP (2008). Harmful substances and Hazardous Wastes Strategy for the Programme of Work 2010 – 2011. Unpublished internal document.
- UNEP (2008) Climate Change Strategy for the UNEP Programme of Work 2010-2011. Unpublished internal document.
- UNEP (2008) UNEP thematic priority on Resource Efficiency — Sustainable Consumption and Production: looking forward to 2010-2013
- UNEP (2008) Integrating the Conflict and Disaster Management Theme across UNEP. Unpublished internal discussion document.
- UNEP (2008). Environmental Governance. Draft strategy for subprogramme 4 of the 2010-2011 Programme of Work. Unpublished internal discussion document.
- UNEP (2010). UNEP programme of work 2010-2011 Programme framework documents (1& 2). Subprogramme 6: Resource efficiency, Expected Accomplishment A.
- UNEP Evaluation and Oversight Unit (2008). Preliminary Evaluability Assessment of the Strategic Framework for 2010-2011. Unpublished report circulated to UNEP SMT and QAS. June 2008, 9pp.
- UNEP SMT (2009). Programme of Work 2010-2011: Designing the activities to deliver the results. A decision paper approved by the UNEP Senior Management Team in March 2009.
- UNEP (2009) A Guide to the UNEP 2010-11 Draft Programme Of Work
- UNEP (2009) UNEP Evaluation Policy
- UNEP (2009) UNEP Policy and Guidelines on Resource Mobilisation.

UNEP (2010). The UNEP Programme Accountability Framework, 26 April 2010. Unpublished internal document.

UNEP (2010). 1st UNEP Programme Progress Report (PPR)

UNEP (2010) Implementation of the Programme of Work 2010-2011: Evaluation Plan for the Work Programmes of UNEP Within the 2010-2013 Medium Term Strategy

UNEP (2011). Governing Council of the United Nations Environment Programme. Proposed biennial programme of work and budget for 2012–2013

UNEP (2011). 2nd UNEP Programme Progress Report (PPR)

UN General Assembly. Proposed strategic framework for the period 2010-2011 Part two: biennial programme plan Programme 11 Environment A/63/6 (Prog. 11).

UNEP Programme of Work 2012 – 2013

World Bank Operations Policy and Country Services (OPCS) Results Secretariat (2004) Results Terminology: ‘Results are real changes in people’s lives’ http://siteresources.worldbank.org/INTISPMA/Resources/383704-1184250322738/3986044-1250881992889/04_WorldBank_Results_Terminology.pdf

V. ANNEX 1 LIST OF PEOPLE MET

A. INDIVIDUAL INTERVIEWS AND DISCUSSIONS

Sheila Aggarwal-Khan	Senior Advisor on Programme	Quality Assurance Section, Office for Operations
Yunae Yi	Programme Officer	Quality Assurance Section, Office for Operations
Kaveh Zahedi	Sub-programme Coordinator - Climate Change	Division for Technology, Industry and Economics
Cornis van der Lugt	Sub-programme Coordinator - Resource Efficiency / Sustainable Consumption and Production	Division for Technology, Industry and Economics
David Piper	Sub-programme Coordinator – Harmful Substances & Hazardous Waste	Division for Technology, Industry and Economics
Danièle Perrot-Maitre	Sub-programme Coordinator - Ecosystem Management	Division for Environmental Policy Implementation
Henrik Slotte	Sub-programme Coordinator - Disasters & Conflicts	Division for Environmental Policy Implementation
Silja Halle	Acting Sub-programme Coordinator - Disasters & Conflicts	Division for Environmental Policy Implementation
Masa Nagai	Sub-programme Coordinator - Environmental Governance	Division for Environmental Law and Conventions
Casper Thulstrup	Programme Officer	Quality Assurance Section, Office for Operations

B. GROUP DISCUSSIONS FOLLOWING PRESENTATIONS OF PRELIMINARY FINDINGS

Achim Steiner	Executive Director	Executive Office
Angela Cropper	Deputy Executive Director	Executive Office
Chris Kirkcaldy	Head	Office of Operations, Executive Office
Michele Candotti	Head	Office of Policy and Inter Agency Affairs, Executive Office

VI. ANNEX 2 DETAILED ANALYSES OF SUB-PROGRAMMES

A. SUB-PROGRAMME ON CLIMATE CHANGE (CC)

1. Sub-programme Strategy

According to UNEP's Climate Change Strategy for the POW 2010-2011, UNEP's objective is "to strengthen the ability of countries to integrate climate change responses into national development processes". The Sub-programme is structured around four themes –mitigation, adaptation, science and communication. Each theme has its own goal and corresponding UNEP MTS 2010-2013 Expected Accomplishments (EAs). The Sub-programme has also four programme frameworks (PFs), but these do not correspond entirely with the themes.

Overall comments:

1. UNEP's objective for the CC Strategy and this sub-programme is at an intermediary outcome level (strengthened abilities of stakeholders), somewhere between output (goods and services delivered by UNEP interventions) and outcome (behavioural change). It should be pitched much higher, at the objective/environmental impact level, e.g. reduced GHG emissions, increased carbon sequestration and increased resilience of key eco-systems vulnerable to climate change.
2. The first two themes (adaptation & mitigation) both have two EAs and that the last two themes (science and communication) only have one and the same EA.
3. One could argue that EA(d) (and its corresponding PF) is more about mitigation than adaptation and would better fit under theme 2. The EA(d) PF could also have been integrated under the PF "Climate Change Mitigation: Reduce GHG Emissions" but this was probably not done to avoid to have two EA Coordinating Divisions within one PF.
4. The "Climate Change Strategy for the UNEP Programme of Work 2010-2011" provides the strategic framework for the CC Sub-programme. The gaps and needs analysis in this document is weak: The focus of UNEP's work is largely justified by UNEP's mandate, existing portfolio and 'comparative advantage'. However, there is an introductory paragraph of 5-9 lines which presents in broad lines the challenges that the theme is expected to take on.
5. The Climate Change Strategy provides a very short narrative (4-8 lines) on the focus of UNEP's activities under each EA and lists the key intervention areas corresponding to the PoW Outputs (e.g. intervention area "Support countries to undertake technical and economic renewable energy resource assessments and mapping to support their energy policy and investment decisions" corresponds to POW Output 1b1 "Technical and economic assessments of renewable energy potentials are undertaken and used by countries in making energy policy and investment decisions favouring renewable energy sources"). From reading

this narrative and then the list of ‘interventions’ one can more or less derive the causal logic between them (or the PoW Outputs) and the EA. The strategy does not explain the synergies or complementarities between interventions (or the PoW Outputs). It is not clear whether the intervention areas listed in the strategy were elaborated first and PoW Outputs derived from there, or whether draft PoW Outputs already existed and the interventions listed here were based on those draft PoW Outputs.

6. The Climate Change Strategy presents an overview of the main, four large partners UNEP is working with in the field of CC. Under each theme, an indicative list of partners is presented – but just their names, not what or where they would be expected to contribute or how UNEP would engage with them.

Theme/Goal	Corresponding EA [Coordinating Division]	Programme Framework
1. Adapting by building resilience to a changing climate: Helping developing countries to reduce vulnerabilities and build resilience to the impacts of CC	(a) Adaptation, planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data. [DEPI]	CC: EA(a)
	(d) Increased carbon sequestration occurs through improved land use, reduced deforestation and reduced land degradation. [DEPI]	CC: EA(d)
2. Facilitating a transition towards low carbon economies: Working to reduce emission of GHGs through an accelerated shift to lower carbon and more efficient energy systems	(b) Countries make sound policy, technology, and investment choices that lead to a reduction in GHG emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation. [DTIE]	CC Mitigation: Reduce GHG Emissions
	(c) Improved technologies are deployed and obsolescent technologies phased out, through financing from private and public sources including the Clean Development Mechanism and the Joint Implementation Mechanism of the Kyoto Protocol. [DTIE]	
3. Improving understanding of climate change science: Make available better and more relevant scientific information on CC impacts to developing country decision makers and help improve capacity to use this information for policy purposes, as well as providing scientific, legal and institutional support to developing country negotiators and their institutions so that they can meaningfully contribute to a strengthened international regime on CC	(e) National-level policymakers and negotiators, civil society and the private sector have access to relevant climate change science and information for decision-making. [DEWA]	CC: EA(e)
4. Communicating and raising awareness: Working with partners to improve understanding of and promote action on different aspects of CC, targeting policy-makers and negotiators, NGOs, the private sector, media, children, youth and the public at large		

2. Expected Accomplishments, Indicators of Achievements and Units of Measures

- Four out of five EAs are pitched at an outcome level where UNEP cannot be held accountable for their achievements. UNEP can only provide the best possible products and services, target those to the most appropriate people in the most appropriate format. Attribution is a major issue and requires an evaluative approach. Those EAs are therefore not appropriate for monitoring UNEP's performance in the course of POW implementation. One EA is pitched at the output level.
- Most EAs incorporate the strategy or means (basically the outputs) by which UNEP intends to achieve or contribute to them. The IoA and UoM are then often indicating the delivery of these outputs rather than the extent to which the EA has been achieved.
- Other IoA are incomplete and do not indicate the full extent of achievement of the EA.
- IoAs are not specific enough on what policies or countries are intended.
- MoUs often do not fully match the IoA.
- It is unclear how baselines and targets have been determined and many baseline numbers are too 'rounded' to be credible. There seems to be no link between POW Output targets and EA targets.
- Detailed comments for each EA are presented in the table below.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan '10)	Target (Dec '11)	Remarks
<p>(a) Adaptation planning, financing and cost-effective preventive actions are increasingly incorporated into national development processes that are supported by scientific information, integrated climate impact assessments and local climate data. [DEPI]</p>	<p>(a) Increased number of national planning documents incorporating results of climate change vulnerability assessments and adaptation considerations</p>	<p>Number of countries with concrete activities on adaptation and/or incorporating adaptation in national development strategies and plans</p>	<p>tbd</p>	<p>40</p>	<p>EA: at a high level in the causal pathway and beyond UNEP's control. UNEP can only make contributions in line with this result. Whether adaptation planning, financing and cost-effective preventive actions are incorporated into national development processes, ultimately depends on decisions made by national governments.</p> <p>IoA:</p> <ol style="list-style-type: none"> - The IoA is limited to observing results of CC vulnerability assessments and adaptation considerations in planning documents and does not capture the incorporation of financing and cost-effective preventive actions into national development processes, which are part of the EA. - Changes in national planning documents in relation to CC adaptation and vulnerability cannot solely be attributed to UNEP's provision of information in the form of assessments. Changes in such planning documents could be made in response to many different sources of information, factors and influences and it is possible that they may have 'happened anyway' without a UNEP intervention. To establish whether UNEP's actions led to such change would require an evaluative approach that explores the influence of UNEP work among policy actors and decision-makers who hold responsibility for preparing such planning documents. - The IoA is too vague in terms of what countries or specific national development strategies / plans are targeted. <p>UoM:</p> <ol style="list-style-type: none"> - It is broader than the IoA, because it includes concrete activities on adaptation which are not included in the IoA. There is also a mis-match in the "number" to be counted between the IoA and the UoM: the first refers to the number of planning documents (there could be several for one country) and the second refers to the number of countries. - There is a lack of clarity on what level of change is required for a country to be 'counted'. Is a single mention of adaptation in a plan or strategy sufficient to 'count' that country? Is a single 'concrete activity' sufficient to 'count' a country? <p>Baseline / target:</p> <ol style="list-style-type: none"> - No baseline determined - Unclear how the number 40 was chosen as a target for end 2011. There is no obvious correspondence with the number of countries targeted by POW Outputs under this EA.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan '10)	Target (Dec '11)	Remarks
<p>(b) Countries make sound policy, technology, and investment choices that lead to a reduction in greenhouse gas emissions and potential co-benefits, with a focus on clean and renewable energy sources, energy efficiency and energy conservation. [DTIE]</p>	<p>(b) Increased number of countries implementing energy plans with explicit renewable energy or energy efficiency components</p>	<p>Number of countries implementing energy policies and measures with explicit renewable energy or energy efficiency components that result from UNEP projects.</p>	<p>8</p>	<p>16</p>	<p>EA: is at a high level in the causal pathway and beyond UNEP's control. UNEP can only make contributions in line with this result.</p> <p>IoA:</p> <ol style="list-style-type: none"> 1 - The IoA is pitched at a lower level in the causal pathway than the EA and, therefore, is a poor indicator for the level of achievement of the EA. The IoA is based on the assumption that the implementation of energy plans with explicit renewable energy or energy efficiency components by countries is prove that those countries are making or will make sound policy, technology, and investment choices that will lead to GHG emissions reduction. It is doubtful that the implementation of such energy plans alone will lead to sounder policy, technology, and investment choices. 2 - The IoA is still beyond UNEP's control, as the implementation of such energy plans depends on decisions made by –and resources available to– national governments. Therefore, it does not indicate UNEP's performance or contribution to the EA. Besides, it is entirely possible that energy efficiency or renewable energy components are added to national energy plans without any UNEP support. Results at this level need an evaluative approach to establish causality and attribution. <p>UoM:</p> <ol style="list-style-type: none"> 1 - It includes more than the IoA (energy plans and “measures”) 2 - Measuring the UoM would require that key institutions or policy actors acknowledge the role of UNEP work in developing these aspects of such plans. This would require a survey of policy actors. One would also expect documentary evidence to show the linkage –e.g. before the UNEP intervention, renewable energy or energy efficiency aspects were lacking from such plans and updated versions of the plans do include these aspects and acknowledge the role of UNEP on such issues. <p>Baseline / target:</p> <ol style="list-style-type: none"> 1 - Where does this number 8 come from? Were there, early 2010, only 8 countries implementing energy policies and measures with explicit renewable energy or energy efficiency components that resulted from UNEP projects? 2 - 16 countries seems to be the sum of countries in which POW Outputs under this EA need to be achieved: this optimistically assumes that achievement of any of the POW Outputs for one country will lead to achievement of the EA for that country.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan '10)	Target (Dec '11)	Remarks
(c) Improved technologies are deployed and obsolete technologies phased out, through financing from private and public sources including the Clean Development Mechanism and the Joint Implementation Mechanism of the Kyoto Protocol. [DTIE]	(c) Increased investment in clean energy projects, including as a share of total investment in the energy sector as a result of UNEP intervention.	The total value of investments that result from UNEP projects in clean energy.	100 million US\$	200 million US\$	<p>EA:</p> <p>1- At a high level in the causal pathway and beyond UNEP's control. UNEP can only make contributions in line with this result.</p> <p>2- The EA includes a statement of the strategy to achieve it (increased financing) IoA: It indicates the achievement of the strategy to reach the EA (increased financing), but not the extent to which the EA is achieved (the deployment of improved technologies or phasing-out of obsolete technologies). Even if increased investment in clean energy projects might be considered a reasonable proxy for the deployment of new technologies demanded in the EA, it is not clear how to identify clean energy investments that result from UNEP projects'.</p> <p>UoM: looks at absolute investment figures as a result of UNEP projects, not at the share of total investment in the energy sector (which itself would be very difficult to define,) as per the IoA.</p> <p>Baseline/target: does the 100 million US\$ baseline mean that there was that amount of investment in clean energy resulting from UNEP projects in January 2010? It is unlikely that this would be such a round number....</p>
(d) Increased carbon sequestration occurs through improved land use, reduced deforestation and reduced land degradation. [DEPI]	(d) Increased investment towards reduction in greenhouse gas emission by land use, land-use change and forestry, as a result of UNEP intervention.	The total amount of funding of land use, land use change and forestry projects with emphasis on carbon sequestration as a result of UNEP interventions.	25 million US\$	50 million US\$	<p>EA:</p> <p>1- at a high level in the causal pathway (impact level objective) and to a large extent beyond UNEP's control. UNEP can only make contributions in line with this result.</p> <p>2- The EA includes the means to achieve it: improved land use, reduced deforestation and reduced land degradation. The first two are at the outcome level (behavioural change); the last one is at the impact level.</p> <p>IoA:</p> <p>1- The IoA is based on the strategy to achieve the EA and does not indicate the extent to which the EA has been achieved. It assumes that amounts invested in land use, land use change and forestry interventions towards reduction in GHG emissions is a good proxy for measuring carbon sequestration gains. Surely not all investments are successful?</p> <p>2- It is hard to determine to what extent increased investment amounts can be solely attributed to UNEP interventions. This requires an evaluative approach.</p> <p>UoM: the UoM corresponds well with the IoA, but same comments as for the IoA</p> <p>Baseline/target: unclear where these amounts are coming from. Same comment as for EA(c)</p>

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan '10)	Target (Dec '11)	Remarks
<p>(e) National-level policymakers and negotiators, civil society and the private sector have access to relevant climate change science and information for decision-making. [DEWA]</p>	<p>(i) Increased number of visits to and downloads from UNEP web pages for information provided on its work in the area of climate change.</p>	<p>Number of UNEP climate related web pages viewed</p>	<p>45,000</p>	<p>64,800</p>	<p>EA: is at the output (or, at best, the intermediate outcome) level. The improvement of access to information does not require any behavioural change (as is e.g. the case for decision-makers to enact a policy change) even though it requires the production of other outputs (reports etc.) appropriate to the target audience.</p> <p>IoA:</p> <p>1- It does not measure the EA but indicates how often one of the outputs from UNEP work (info provided on the website) is opened or downloaded.</p> <p>2- It assumes that the number of visits to and downloads from web pages (which could be by anyone) indicate access by policymakers and negotiators to relevant CC science and info: it is possible that a large number of web hits can be recorded without reaching key target audiences such as decision-makers in key target countries for UNEP. 3- It also assumes that the info on UNEP webpages is relevant CC science and information for decision making.</p> <p>The types of policy and policy-related documents would need to be defined in advance of each biennium.</p> <p>UoM (i) is incomplete: it doesn't measure the number of downloads which is actually a better proxy of access to documents than the number of hits on a website</p> <p>Baseline/target: had there been 45,000 hits on climate related UNEP web pages by January 2010? Why are we hoping to achieve exactly 19,800 more by the end of the biennium?</p>
		<p>Number of integrated climate related assessments cited in and sector specific responses incorporated into local, national and regional development plans.</p>	<p>5</p>	<p>14</p>	<p>UoM (ii): It is assumed, but not specified, that the "integrated climate related assessments" are UNEP products. The indicator also assumes that the citation reflects positive influence on such plans. This is an evaluative issue as citations can be 'negative' or 'positive'. Citations may also be used to support pre-existing beliefs and policy positions.</p> <p>Baseline/target: On what are these numbers based? There is no clear link with the targets for the POW Outputs under this EA that, for instance, include only 2 assessments.</p>

3. Programme Frameworks, Programme of Work Outputs and Projects

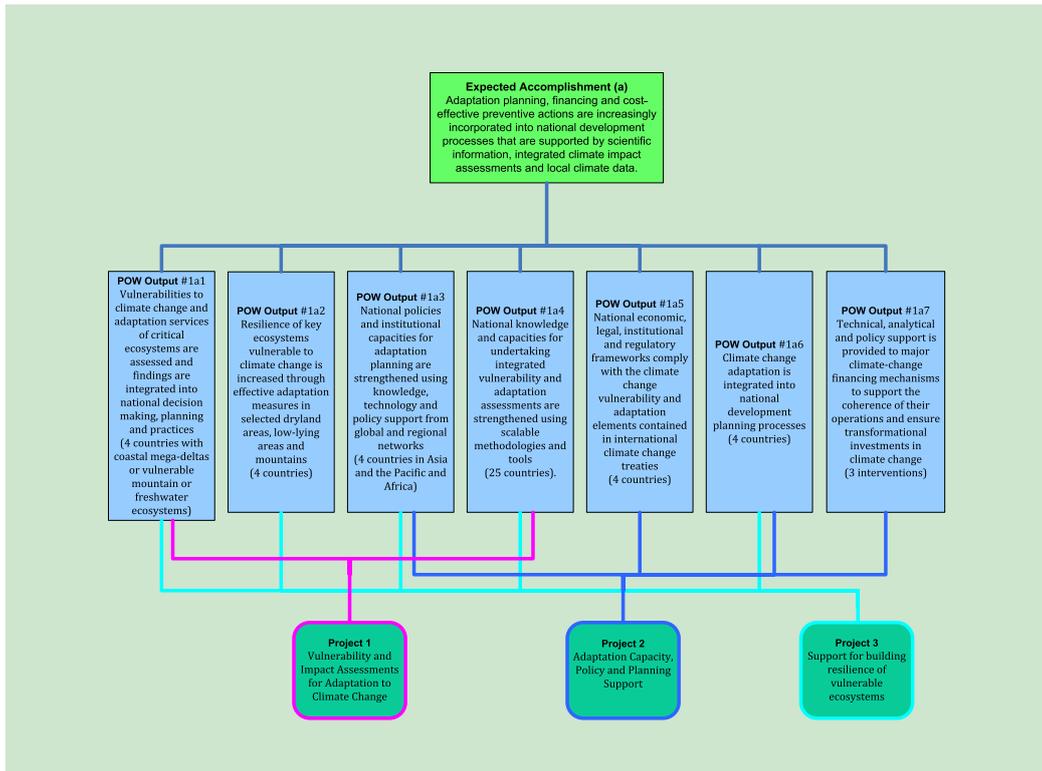
UNEP's Sub-programme on Climate Change is arranged around four programme frameworks (PFs), one for each EA except for EA(b) and (c) which are lumped together in the 'mitigation' PF. Each PF is articulated into a number of PoW Outputs and expected to be delivered through a limited number of project interventions.

The Programme Framework Documents provide an overview of (i) the PF's EA(s) with Indicator of Achievement, PoW Outputs and corresponding 'accountable division'; (ii) the overall approach and main intervention areas of UNEP under the PF; (iii) the contribution of the PF to UNEP cross-cutting goals (Bali SPA, South-South Cooperation, MDG No.7, Gender etc.); (iv) main, intended external partners and internal partnerships between divisions; and (v) Project concepts.

Overall comments on the PF Documents:

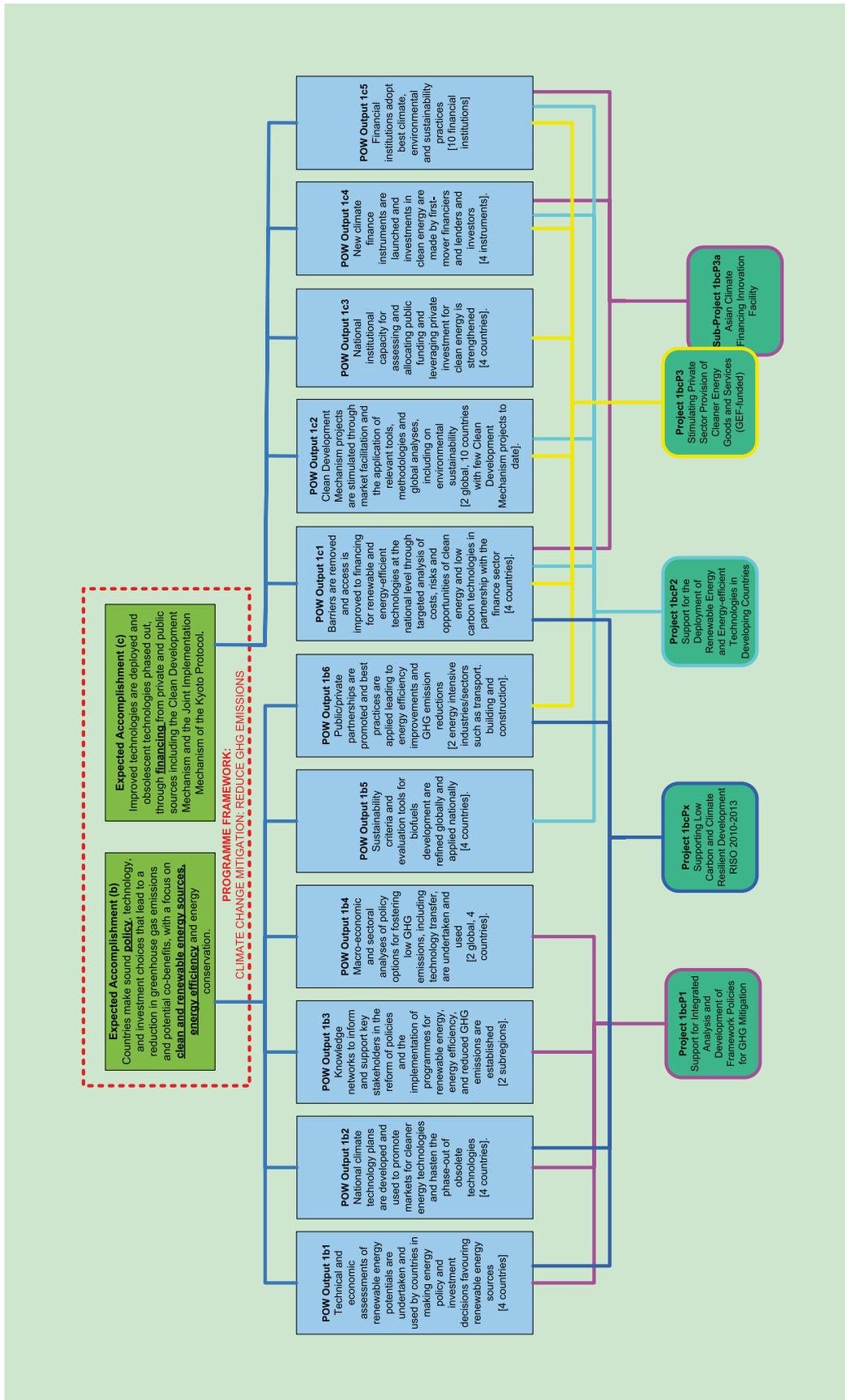
1. The baseline situation and gaps and needs analysis – to which the interventions proposed under the PFs are expected to respond – is generally weak. The justification of the projects is mostly based on internationally agreed priorities (e.g. the areas of focus for CC adaptation action spelled out in the Bali Action Plan) and the mandate or previous experiences of UNEP.
2. There is no discussion of the causal linkages between PoW Outputs and the EA(s). The PF Documents present the main areas of interventions making reference to the proposed projects, but they do NOT make reference to the PoW Outputs (even though there is often an implicit correspondence – see the more detailed analysis below of the separate PFs and, in particular, of the projects under the Mitigation PF). The documents explain in a few paragraphs how the areas of intervention or projects link up with global priorities and UNEP's mandate/comparative advantage.
3. Most PF Documents provide a short narrative on the relationship between the different projects proposed – focussing on their complementarities (NOT on collaborative links). Project concepts added to the PF Documents do not provide any additional information on these relationships.
4. External partnerships to deliver the EA(s) are quite well spelled out: in all PF Documents key actors and partners are listed with a few lines on their role in the partnership with UNEP.
5. Internal partnerships, i.e. contributions from and collaboration arrangements between Divisions to deliver the EA(s), are not adequately developed: in two PF Documents the discussion of these contributions/collaborations is limited to a list of Divisions involved with a few lines on their respective roles in the PF; in one PF Document it is limited to a list of Divisions without comments (EA(a)); and in one PF Document it is not even mentioned that the delivery of the EA involves several Divisions (EA(e)).

a) Programme Framework 1 – EA (a)



- The PF for EA(a) is structured around 7 PoW Outputs (PoWOs) expected to be delivered via 3 projects.
- **EA(a) appears to be adequately covered by the PoWOs and projects under the PF.** A Theory of Change analysis of the PF, without going into the details of each project, indicates that the main strategy within this PF is the strengthening of national capacities to undertake CC vulnerability assessments (the focus of project 1 via PoWOs #1a4 and #1a1), and conduct adaptation planning and measures (the focus of project 3 via PoWOs #1a3 and #1a2). CC financing mechanisms are expected to be strengthened by project 2 (via PoWO #1a7). We have not studied the project documents in detail to ascertain whether project outputs comprehensively match all PoWOs.
- The PoWOs under EA(a) are pitched at very different levels. Only one (#1a7) is actually an output.
- Three PoWOs are at the intermediary outcome (#1a4) or outcome (#1a1 and #1a3) level but contain an output statement as the means or ‘first step’ to achieve the outcome. E.g. PoWO #1a1 mentions that vulnerabilities to climate change and adaptation services of critical ecosystems will be assessed (the output) and that findings will be integrated into national decision making, planning and practices (the outcome).
- Two PoWOs are at the outcome level (#1a5 and #1a6) without any output statement. PoWO #1a2 is at the objective/impact level but also mentions the outcome through which the impact is expected to be achieved.
- **Following from the above, at least 5 out of 7 PoWOs are pitched at the same level or a higher level than the EA. UNEP cannot be held solely accountable for achieving**

b) Programme Framework 2 – CC Mitigation: Reduce GHG Emissions – EA(b) & (c)



them and to assess UNEP's performance in achieving these PoWOs an attribution analysis is required. This calls for an evaluative approach and is very hard to do on an ongoing basis as part of performance monitoring.

- The PF on CC mitigation comprises 2 EAs (b and c) expected to be achieved through 11 PoWOs delivered via 4 projects (one of which has a sub-project).
- **The focus of EA(b) is on influencing government decisions regarding public investment in renewable energy/more efficient energy technologies. The focus of EA(c) is to stimulate private sector investment in the same technologies.**
- **EA(b) appears to be adequately covered by the PoWOs and projects, but 2 PoWOs are arguably closer to EA(c) than EA(b).** The main strategy to achieve EA(b) is the sharing of information and advice on technology and policy options (via knowledge networks), the preparation of technical, economic and sectoral assessments and the development of national climate technology plans. This is largely covered by PoWOs 1b1 through 1b4, expected to be produced by Project 1bcP1.
- PoWO 1b5 (to be delivered exclusively by Project 1bcP2) adds work on rationalizing the production of biofuels which is arguable more a private sector investment matter and might therefore better fit under EA(c). PoWO 1b2 on national climate technology plans to promote markets for cleaner technologies and hasten phase-out of obsolete technologies should contribute to achieving EA(b) as well as EA(c). The way PoWOs are presented under each EA doesn't allow for showing links to multiple EAs. PoWO 1b6 on strengthening public/private partnerships could influence public investment choices, but there is also a case for placing PoWO 1b6 under EA(c) as public/private partnerships should certainly aim at leveraging private sector investment. PoW 1b6 is mentioned in the project overview table of Project 1bcP3 but no further mention is made to it in the project document.
- **EA(c) also appears to be adequately covered by the PoWOs and projects under the PF.** The main strategy here is to improve the availability of private sector funding for renewable/more efficient energy technologies, through new financing mechanisms (including Clean Development Mechanisms) and better climate, environmental and sustainability practices by financial institutions. The key project to deliver EA(c) is the GEF-funded Project 1bcP3 with its sub-project 1bcP3a.
- **PoWO 1c3 should contribute to EA(c) as well as to EA(b). It refers to building national institutional capacity for assessing and allocating public funding (an element of EA(b)) and leveraging private investment (an element of EA(c)).** As the tabular logical framework structure of the POW doesn't allow planners to show how PoW Outputs can be linked to multiple EAs, it would have been preferable to split the PoWO in two.
- **Two projects (1bcPx and 1bc P2) are presented as complementary to the two core projects (1bcP1 and 1bcP3) carrying the PF, but do in fact much of the same.** Project 1bcPx outputs are well aligned to PoW Outputs, but the project seems to be designed mainly for the administrative and managerial advantages of isolating the activities of a specific executing partner with guaranteed funding from Denmark and Norway (the UNEP RISO Centre in Denmark). Apart from that, there is no obvious reason why the outputs and activities under this project could not have been integrated in the projects 1bcP1 (mainly) and 1bcP3.
- Project 1bcP2, appears to be a collection of disparate items with little relation to each other (ranging from the development of energy performance and vehicle fuel efficiency standards

over integrating sustainable mobility considerations into urban management and land use plans and assessments of the abatement potential of 2 non-conventional technologies and bio-energy potentials to global advocacy and awareness raising campaigns to build support for a ‘Green Economy’). It seems to be the ‘parking lot’ project of the PF, in which ongoing activities for which it was not worth the effort to design separate projects have been ‘parked’.

- **Most (9 out of 11) PoWOs under EA(b)&(C) contain an output-level statement, but most also emphasize the intermediate outcome (5), outcome (3) or even impact level objective (1) to which that output is expected to contribute.** E.g. POW Output 1b2 states that “national climate technology plans are developed (the output) and used to promote markets for cleaner energy technologies (an intermediate outcome) and hasten the phase-out of obsolete technologies (an outcome). **UNEP cannot be held solely accountable for achieving these intermediate outcomes, outcomes and impact level objectives and to assess UNEP’s performance in achieving these PoWOs an attribution analysis is required. This calls for an evaluative approach and is very hard to do on an ongoing basis as part of performance monitoring.**

c) Programme Framework 3 – EA(d)

Expected Accomplishment	PoW output	Project
EA(d): Increased carbon sequestration occurs through improved land use, reduced deforestation and reduced land degradation.	PoWO 1: Mapping and assessment of land-use change, biodiversity, forest loss and carbon stocks, and associated capacity-building, are undertaken to provide the knowledge base for reducing emissions from deforestation [four assessments]	Project 1: Readiness and Implementation Support Package for REDD plus and other Land Based Emissions
	PoWO 2: Tools for examining and modeling greenhouse-gas emissions and carbon stocks from deforestation, land use change, forest and land cover degradation are developed and tested [four countries]	
	PoWO 3: Legal, regulatory and institutional frameworks governing land use and forestry are strengthened to promote greenhouse-gas emission reduction from deforestation and land use change [four countries].	
	PoWO 4: Lessons from the development of monitoring and evaluation systems, payments for ecosystem services and carbon markets are used to support the development of readiness in a number of relevant developing countries and to provide support to global processes.	

- **PF 3 and EA(d) are expected to be delivered through 4 PoWOs, produced by one single project.** As mentioned above, the EA comprises elements of the environmental impact expected from the programme (increased carbon sequestration and reduced land degradation, the latter also being a cause of the first) and the means to achieve them (improved land use and reduced deforestation) which are at the outcome level – more appropriate for an EA.
- If one only looks at PoWOs, there appears to be several intermediary outcomes missing between the outputs and the EA. Mapping, assessments, modelling tools, institutional frameworks and ‘readiness’ of a number of developing countries do not directly lead to improved land use and reduced deforestation, let alone increased carbon sequestration and reduced land degradation.
- But looking at the project document, it becomes somewhat clearer: project output C (linked to PoWO 3) is expected to go beyond the preparation of the formulation of forest sector transformation investment plans, to connecting them with investors and supporting their implementation. PoWO 3 appears as a milestone under project output C and, as explained

in the project narrative, this is expected to address also the drivers of deforestation from outside the forest sector.

- The project document acknowledges that the move from REDD Readiness to REDD transformation via output C is a long term process – we expect far beyond the PoW 2010-2011.

d) Programme framework 4 – EA(e)

Expected Accomplishment	PoW output	Project
EA(e): National-level policymakers and negotiators, civil society and the private sector have access to relevant climate change science and information for decision-making.	PoWO 1: A science-based assessment is undertaken and publicized to increase awareness of climate change and its impact on specific sectors and promote the integration of climate change concerns into policy making [2 assessments].	Project 64: Scientific support package for global and national climate change information
	PoWO 2: Capacity-building with respect to customizing climate change data, information and scenarios is provided at the national and subregional levels to strengthen climate change policy planning [4 countries].	
	PoWO 3: Climate change negotiators and stakeholders charged with implementing climate-related multilateral environmental agreements are equipped with scientific information relevant to their negotiations [3 groups of negotiators].	
	PoWO 4: Advisory and support services are provided to major groups to demonstrate how climate change can be integrated into their operations [3 services].	None
	PoWO 5: Awareness-raising, outreach, education and training for major groups and the broader public are conducted to promote climate awareness [3 engagements].	Project 1eP3: Climate Communication, Education and Outreach Package
	PoWO 6: Successful climate change programmes are communicated to key stakeholders to promote replication of best practices and success stories.	

- PF 4 and EA(e) are expected to be delivered through 6 PoWOs, produced by 3 projects. As noted above, the EA is at a low level, intermediate outcome at best as it does not imply a behavioural change.
- There is no project to deliver PoWO 4 – support to major groups to demonstrate how climate change can be integrated into their operations.
- Two projects are expected to equip CC negotiators charged with implementing climate-related MEAs with relevant scientific information
- There is complementarity between the PoWOs in this PF with PoWO 1 being the CC assessment, PoWO 2 to build capacity with respect to customizing climate change data for policy planning purposes, PoWO 3 and 5 to communicate scientific information to CC negotiators and other stakeholders; and PoWO 6 to promote replication of best practices and success stories in CC mitigation and adaptation.
- PoWO 4 is to support ‘major groups’ in integrating CC into their operations: it is very vague on who these ‘major groups’ are and there is no project document to find that out.
- All PoWOs are at an output level and should be straightforward to monitor.

4. Summary of findings and trends across project documents²³

a) Project design and quality of log-frame (including performance indicators)

- In most projects, the project outcome is one of the two EAs, which are at a high level and require attribution analysis (=evaluation) to assess UNEPs performance.
- Usually, there is sound causal logic from project outputs to project outcomes.
- But intermediary states between project outputs, PoWOs and the EA are sometimes not considered, and the activities or outputs needed to move from output to the EA are then often missing. Most frequently ignored or under-developed are communication/dissemination, policy advice or capacity building activities. (e.g. for Project 1bcP1 to move from project output B/PoWO 1b1 to the EA(b), the policy advice/capacity building step is missing to enable countries to make sound policy, technology, and investment choices on the basis of the stock-taking and modeling outputs of the project; for project 1bcP3a it is unclear how the project intends to move from the output (support to financial institutions) to the outcome (increased financing to alternative energy projects). The ‘implementation’ part is missing.)
- Project outputs are sometimes formulated as activities (e.g. in Project 1bcP2 outputs are formulated as design of policy approaches, launching of awareness campaigns, assessment of bio-energy potential etc.).
- Level of detail in presenting project activities is heterogeneous but often insufficient to understand what exactly the projects intends to do and whether the activities are likely to deliver the outputs and drive the outputs to the outcome/EA (e.g. the description of activities in Project 1bcP1 and 1bcPx is particularly superficial).
- Sometimes activities are missing to achieve a project or PoW output (e.g. Project 1bcP1 to deliver PoWO 1b4: no activities to deliver the 2 global assessments of policy options for fostering low GHG emissions; For Project 1bcP2, activities in support of adoption are missing for project output A and testing of the approach is missing for output D).
- Milestones are usually key activities/phases in the production of project outputs
- Project documents present indicators for EAs and project outputs, but not for PoWOs. This means that for PoWOs in this PF no indicators have been defined in any strategic or planning document.
- Some indicators are not set at the same levels as outputs/outcomes they are intended to measure. They either measure the achievement of a (necessary) step before the actual output is delivered or the achievement of a result or change beyond the output or outcome (e.g. Output E of Project 1bcP3a is the design and implementation of assistance programmes. Its indicator – an increase in energy investment – is at a much higher level in the causal chain).
- In those cases where project output indicators refer to a baseline (e.g. Project 1bcP3 mentions a 15 % increase above the baseline for some outputs) the project documents do not mention whether the baseline will be determined by the project: if this is not the case, it will be impossible to measure achievement of the target.
- Quantitative targets for project outputs often appear not to match targets for project outcomes/EAs (e.g. For Project 1bcP1, project outputs usually target 4 countries while the

²³ Findings in this section are based on the analysis of the 5 projects contributing to PF 2 – CC Mitigation, which includes EA(b) and (c).

project outcome is expected to be achieved in 10 countries. Maybe the intention is to work in 10+ countries with a different ‘mix’ of components but this is not clear from the project description.)

- Sometimes the means of verification of indicators is inappropriate (e.g. For Project 1bcP2 the means of verification of indicator for the project outcome is inadequate: ‘Policy’ can be found in legislation but its ‘implementation’ cannot be found there; or for Output F: “Policy statements in various countries” are not the best means to verify the “number of countries where integrated assessments of bio-energy have been conducted through a multi-stakeholder process”).
- No projects propose indicators at the milestone level, which would have been useful for monitoring of progress. The milestone is considered to be the indicator itself.

b) Critical success factors and risks

Note: Both critical success factors and risks are factors that are expected to significantly influence the achievement of project outcomes, impact and sustainability. Critical success factors are performance drivers over which the project has a reasonable level of control. Risks, however, are largely outside the control of the project and assumptions are made on the probability of their occurrence.

- For all risks identified, the project document format requires details on impact severity, likelihood of occurrence, a risk management strategy & safeguards and by when and whom the risk will be dealt with. For critical success factors, however, the project document does not require any details on how will be dealt with critical success factors. A simple list suffices.
- Project design documents quite often mix up critical success factors and risks. The most problematic is when a risk is listed as a critical success factor, because then the project document does not need to present how the project will deal with it (it is assumed that it is part of the project’s intervention logic). (E.g. for Project 1bcP3 ‘investor uncertainties’ is referring to unstable investment environments and fragmented energy policies which should be formulated as risks and not as critical success factors).
- Critical success factors and risk management are often not explicitly built into the project activities and outputs, and come as additional measures. (E.g. For project 1bcP2, the mobilization of funding for investments beyond initial support by UNEP and the private sector is very important to enhance the sustainability of project results but is hardly addressed in the project intervention logic.)
- A critical success factor that is often missing is the ability of the project to mobilize its funding. In many cases, more than half a year after the expected starting date still 0% of funding had been secured.
- Some risks are inherent to all UNEP projects and should therefore not be repeated in all project documents (e.g. ‘UNEP and UNON admin support fails to expand commensurate with growth of UNEP’s programme’).

c) Strategy to sustaining outcomes and benefits – intended catalytic and replication effects

- In most project designs, sustainability is not explicitly articulated. Exit strategies are never mentioned. The general assumption seems to be that project outputs and outcomes will, by themselves, be sustainable or provide sustainability to higher-level changes.

- Typically, projects seek strong stakeholder involvement in assessments, planning and policy processes, which should increase ownership of results and possibly contribute to socio-political sustainability.
- Catalytic role or replication effects are also hardly ever explicitly mentioned or developed in project design documents, even though projects often deliver demonstrations of approaches or changes in a only few countries that are expected to be replicated somehow in a larger number of countries (E.g. Projects 1bcP3 and 1bcP3a focus on raising awareness and helping ‘first-movers’ to invest in clean energy. It is not clear how the projects will ensure that experiences and information are distributed to enable replication beyond these ‘first movers’.)
- Some projects have outputs intended to promote dissemination of best practices and lessons learned (E.g. for Project 1bcP1, best practices drawn from the project should be disseminated through the climate change knowledge networks strengthened by the project through output D, involving 16 countries).
- Capacity building (mostly through training of individuals, but also sometimes through institutional support e.g. to ‘Centers of excellence’ in Project 1bcP2) of national and regional stakeholders is a relatively common means for increasing sustainability and/or enabling replication. How these stakeholders are to fund the continuation of the work post-project is never addressed, so financial sustainability remains a big question mark.
- In some cases, sustainability considerations appear at the level of critical success factors (e.g. In Project 1bcP1 commitment to long-term policy planning by governments is considered as a critical success factor of the project: government climate change agencies will be involved in all stages of the project to ensure government ownership).

d) Project governance model, Supervision arrangements, and Partnerships

Note: In the current project document format project governance structures (PMU, supervision arrangements, SC etc.) are presented under Section 6 under title “Organization and Management”. The capacities, interests and needs of stakeholders should be presented under “Stakeholder Analysis” and the roles and responsibilities of partners under “Partnership Analysis”.

- In most project documents, project organisation and management receive minimal attention (E.g. in Project 1bcP1 only the role of DTIE Energy Branch is summarily described and nothing is said about the project governance structures (PMU, Steering Committee etc.).
- The ‘firewall’ separation between management and supervision/oversight is generally absent or very thin.
- DTIE is expected to provide overall supervision of the projects in the PF. There is often a lack of clarity on the responsibilities of other UNEP divisions, in particular the DRC.
- Several projects strongly depend on external partners (public and private) for execution of activities and delivery of outputs. In most cases, the presentation of those partners in terms of capacities and roles & responsibilities is very vague (exception is Project 1bcP3a).
- The stakeholder analysis is weak in most projects: only a tentative list of stakeholders is provided without any analysis of their needs, motivations, capacities and experiences

e) Financing

- There is little consistency in how project budgets are presented. Budget break-downs are done differently across projects. In most cases, budgets are not broken down to the activity level.

In some, they are not broken down per component, which makes it difficult to know where resources are expected to be spent.

- Most project budgets have not been secured yet, more than six months into their expected implementation period – an exception is Project 1bcPx which receives most funding from Denmark and Norway.

f) Gender

- Gender issues are generally dealt with in generic manner. There is a compulsory section on gender in the project documents, but these often just state that “gender considerations are incorporated into project design”, and that “the implementation of the project will consider gender equality issues”, without ever mentioning concretely how gender elements, and in particular the potential role and contributions of women, are going to be incorporated in project interventions.
- No project includes activities, outputs or outcomes with explicit gender equity elements.
- Poor women and children are described as among the main victims of climate change, so it is assumed that any improvements in terms of CC adaptation or mitigation would ultimately benefit them. This is of course not necessarily true.

g) Capacity development and knowledge management

- Most projects are expected to build capacities at country level, and have at least one capacity building component or output (e.g. Project 1bcP1 contains a knowledge network component where ‘technical support’ will be provided to regional networks of national climate change focal points).
- Most projects remain vague about target groups of capacity building and, in particular, about their capacity building needs
- The Bali Strategic Plan is not referred to in any project document.
- The main aspect of Knowledge Management present in the projects is awareness raising and the dissemination of best practices and lessons learned (P1, P2...).
- As for all types of activities, the level of detail is usually poor and what exactly the capacity building, awareness raising or dissemination activities will entail is rarely spelled out (E.g. For Project 1bcP1 it is not explained how and what kind of ‘technical support’ will be provided; for Project 1bc3 sharing experiences and information over a network of public sector funding bodies is expected to increase the capacities of national public funding bodies to leverage private investment for clean energy. However, the project document doesn’t specify how this will be done: what is the nature of the network, how will information be disseminated, who will be in charge of the management of the network, are sustainability issues considered etc...).
- Project 1bcPx is exceptional in the sense that it explicitly seeks to ensure that knowledge products are “better institutionalized and are strategically disseminated to target audiences in developing countries”. KM and outreach aspects are prioritized and there are dedicated resources in the budget.

h) Monitoring & Evaluation

- Most projects do not present even a basic M&E plan, let alone a costed one. The same text under seems to be used for all DTIE projects – there is hardly any customization to the specifics of each project
- Baselines are ignored or it is unclear how they have been established
- Project milestones are often activities put in a chronological order and not adequate for monitoring progress towards achieving the project outputs and outcomes
- Issues with the project logical framework and indicators have been flagged under section “Project design and quality of log-frame (including performance indicators)” above.
- Evaluation is under-budgeted across the board (E.g. For Project 1bc2 an overall budget of \$35,000 is included for evaluation which does not seem to be adequate because of the disparate nature of the project activities. There are 7 disconnected sub-projects, all across the globe: US\$5,000 per sub-project is clearly insufficient.)

B. SUB-PROGRAMME ON DISASTERS AND CONFLICTS

1. Sub-programme Strategy

- The UNEP Medium Term Strategy for 2010-2013 states the objective of the Sub-programme on Disasters and Conflicts as to “minimize the threats to human well-being from environmental causes and consequences of conflicts and disasters”. Within the Sub-programme, UNEP will address the environmental dimensions of disasters and conflicts and emphasize its importance as a prerequisite to sustainable development;
- The Sub-programme evolves around four main goals, namely; disaster risk reduction through sustainable natural resource management; scientific assessments to identify environmental risks to human health, livelihoods and security following conflicts, disasters and industrial accidents; environmental post-crisis recovery programmes; and cooperation for peacebuilding to transform the risks of conflict over resources into opportunities for peace in war-torn or fragile societies;
- The D&C Sub-programme’s focus derives from the global increased demand for environmental support in conflict and disaster response, UNEP mandate and UNEP comparative advantages such as UNEP being the only UN agency with a mandate to respond specifically to environmental issues in conflict and disaster situations;
- The D&C Sub-programme closely links with other UNEP sub-programmes. The Programme strategy documents identify both, thematic and operational linkages but yet do not explicitly map them out.
- The importance of partnerships and linkages to other actors and funding sources in the field of disasters and conflicts is well identified. UNEP regional offices, other UN bodies, International financial institutions, INGOs and private sector are mentioned as among the key actors. Organizations are listed, their main competencies are described, and the importance of the partnerships is explained. The roles and responsibilities are specified to a varying extent under individual projects.

- UNEP Medium Term Strategy provides the overall objective and EAs for the D&C Sub-programme. However, how and where the PoW outputs are derived, is not explained.
- The causal links between the EAs, PoW outputs and the planned activities are not explicitly described, but the links can be derived from reading the Programme Frameworks. The same can be stated for the relationship between the Sub-programme goals and the Expected Accomplishments.

Goal	Description	EA
1. Disaster risk reduction	UNEP works to prevent and reduce the impacts of natural hazards on vulnerable communities and countries through sustainable natural resource management.	(a) Enhanced capacity of Member States in environmental management in order to contribute to natural and human-made disaster risk reduction
2. Assessment	To inform local populations, decision-makers and recovery efforts, UNEP conducts field-based scientific assessments to identify the environmental risks to human health, livelihoods and security following conflicts, disasters and industrial accidents.	(b) Rapid and reliable environmental assessments following conflicts and disasters as requested ...and further... (c) The post-crisis assessment and recovery process contributes to improved environmental management and the sustainable use of natural resources
3. Recovery	In the aftermath of a crisis, UNEP implements environmental recovery programmes through field-based project offices to support long-term stability and sustainable development in conflict and disaster-affected countries.	(c) The post-crisis assessment and recovery process contributes to improved environmental management and the sustainable use of natural resources
4. Cooperation for peace-building	UNEP aims to use environmental cooperation to transform the risks of conflict over resources into opportunities for peace in war-torn or fragile societies.	All EAs contribute to cooperation for peacebuilding indirectly

2. Expected Accomplishments, Indicators of Achievements and Units of Measures

- The Strategy for DC Sub-programme is focused on defining the rationale, scope, objectives, and actors of the SP and describing the actions designed to deliver the EAs;
- The Strategy includes a short description on how key projects contribute to EAs. However they do not describe the linkages between EAs and PoW outputs. The Programme Framework 2, which combines the EA(b) and EA(c) also recognizes the link between the two EAs, describing that they are “intrinsically linked, forming two steps – one in the short to medium term, the other in the medium to long term – of a single approach”;
- The SP strategy also briefly mentions the thematic and operational links to other Sub-programmes and to UNEP institutions;
- The EA(c) seems to be on a higher level than the EAs(a) and (b) making them as consecutive steps in a causal pathway with EA(a) and (b) leading to EA(c). However, it is a prerequisite of RBM practice not to mix different types of results at a single level in a results planning framework;
- The Expected Accomplishments do not directly reflect the Sub-programme’s aims to strengthen environmental cooperation for peacebuilding - the fourth goal is not directly linked to the framework and the causal link can be derived only by reading through the lines of the strategy documents;
- The EAs are formulated in a way that includes the means by which UNEP is to achieve them. The formulation of the EAs should be more focused on the impact than the means to achieve the impact.

- Most Indicators of Achievements quantitatively measure success through e.g. “the increased percentage of...” without specifying – as they should- which organizations they refer to. Units of measure should clearly reflect this.
- Some indicators and units of measure have attribution problems, which affects their validity. For example increased investment in disaster risk reduction or increase in relief and crisis recovery funding are not necessarily only a consequence of UNEP’s intervention and UNEP’s contribution to this can only be assessed through an in-depth evaluative process.
- Only one of the four indicators has a set baseline. This questions their usefulness as, for example, it is not possible to measure the ‘percentage of increase in funding’ without a baseline which it can be measured against.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Dec. 2010)	Target (Dec 2011)	Remarks
(a) Enhanced capacity of Member States in environmental management in order to contribute to natural and human-made disaster risk reduction	(a) Investment in combined disaster risk reduction and natural resource management schemes in countries targeted for UNEP assistance is increased.	Percentage increase in funding for risk reduction capacity by assisted countries	USD 2.5 million	10 per cent increase over Dec. 2009 figures	<p>The Expected accomplishment sets out the result “natural and man-made disaster risk reduction” and the means of achieving it through “enhanced capacity of member states in environmental management”. Good practice in results statements is to exclude the means by which the result is attained. The means of by which the desired result is achieved should be captured at lower levels. ‘Theory of change’ diagrams are helpful in distinguishing between different levels of result (output, outcome, intermediate outcomes, and intended impacts), and the processes that lead to their achievement.</p> <p>The indicator needs to be more precise; it is not clear what is meant by ‘member states’ and whose capacity has been increased, does Member States refer only to the Government level or also to private sector?</p> <p>In addition, the indicator should stand alone and not include a description on how the impact is achieved. Capacity building should be in the activities leading to the impact.</p> <p>The causal relationship between the indicator of achievement, its means of measure, and the Expected Accomplishment is uncertain. There is also an attribution question; results measured by looking at financial investment are not necessarily due to UNEP’s intervention. UNEP’s contribution can only be assessed through an evaluative approach. Evaluation would need to first determine that any increase in investment is due to the work of UNEP, and, secondly, examine evidence that a “percentage increase in funding for risk reduction capacity” has “contribute[d] to natural and man-made disaster risk reduction”.</p> <p>Rather the indicator should look at enhanced environmental management capacity of key disaster risk reduction institutions in each member state. The indicator could look at institutions specified in the projects and measure whether their instruments include knowledge and tools provided by UNEP.</p>

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(b) Rapid and reliable environmental assessments following conflicts and disasters as requested	The percentage of identified acute environmental risks that are mitigated in the post-conflict and post-disaster relief period increases.	Ratio of assessments conducted to number of post-conflict and post-disaster operations	tbd	90	<p>The EA focuses on the output level with the completion of rapid and reliable environmental assessments, whilst the indicator looks at the "percentage of identified acute environmental risks which are mitigated in the post-conflict and post-disaster relief period". Using percentages introduces a tacit assumption that all mitigation efforts are of the same magnitude and extent and that in all cases, the magnitude and extent of success is the same. Mitigation is regarded as an 'all or nothing' phenomenon. The standard to determine whether a risk has been mitigated is not specified in the 'means of measurement'. An additional assumption is that mitigation efforts are made as a result of UNEPs efforts, whereas it is perfectly possible that environmental risks in post conflict / disaster relief responses might have 'happened anyway' due to the actions of other actors. The indicator should be re-assessed.</p> <p>The means of measurement does not match the indicator. The "ratio of assessments conducted to number of post- conflict and post-disaster operations." Is an indicator and is a much better measure of the EA as stated.</p>

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(c) The post-crisis assessment and recovery process contributes to improved environmental management and the sustainable use of natural resources	(i) The percentage of inter-agency post-crisis needs assessments and early recovery plans that identify, prioritize and cost environmental damage and needs increases.	(i) Percentage of recovery plans by United Nations entities with environmental components in supported countries.	tbd	90	<p>The indicator does not capture UNEP intervention. It could include - recovery plans implemented with UNEP engagement that identify, prioritize and cost environmental damage and needs.</p> <p>The current Unit of Measure includes a tacit assumption that UN agencies would not include environmental components in recovery plans without UNEP involvement. The role of UNEP in prompting such change would need to be established through an evaluative approach.</p>
	(ii) The percentage of the total long-term relief and crisis recovery funding focused on environment and natural resource management and associated livelihood projects increases.	(ii) Percentage increase in funding within relief and recovery operations provided for environmental and livelihood projects.	tbd	10	<p>The indicator assumes funding increases will always generate improved environment management and the sustainable use of natural resources. It is not clear how increased funding is attributable to UNEP interventions. If we monitor the percentage increase in funding for environmental and livelihood projects (how defined?) within relief and recovery operations, how can we be sure that such increases are due to UNEP?</p>

3. Sub-programme Frameworks and Programme of Work Outputs

- UNEP's Sub-programme on Disasters and conflicts is arranged around two Programme Frameworks, the first one entailing the Expected Accomplishment (a) and the second one the Expected Accomplishments (b) and (c). Both programme frameworks are articulated into a number of Programme of Work (PoW) outputs.
- The first Programme Framework focuses on UNEP's work in addressing vulnerability to conflicts and disasters from environmental factors and covers the prevention components of the D&C programme of work for 2010-2011.
- The second Programme Framework focuses on UNEP's work in post-crisis situations, including the identification of risks to human health, livelihoods and security from the environmental impacts of conflicts and disasters, the integration of environmental needs and priorities into recovery, peacebuilding and development planning, and capacity-building for improved environmental management to support long-term stability and socio-economic development. It covers the response aspects of the disasters and conflicts programme of work 2010-2011.
- The first Programme Framework encompasses five PoW outputs which are all contributing to the EA(a). Five projects were designed and approved by PRC to deliver the PoW outputs.
- The link between EA(a) and PoW outputs is straightforward and logical.
- Two of the projects are contributing to more than one PoW output, and PoW outputs i-iv have more than one project contributing to them. However, since the PoW outputs are all interrelated, it would be impractical to try to force them to be otherwise.
- The project logframes differ in terms of whether EA or PoW output is mentioned. Two out of the five approved projects have used PoW output in the logframe, in which cases also indicators and UoMs are defined. The three projects which have listed EA in the logframe do not define indicators for PoW outputs, in which case it is not possible to measure the achievement of the PoW outputs or assess the progress from the project outputs to the EA. If PoW outputs are not included in the project logical frameworks, the causal pathways from project outputs to PoW outputs are only captured to some extent through the project document narratives.. The projects which have not included PoW outputs in the logframe, have however identified project outcomes with indicators and means of verification which will assist in assessing the project's contribution to EAs. The indicators, however, have attribution problems and will not be able to differentiate UNEP's contribution from other influencing factors. The indicators are either quantitative and measuring '...increased percentage of...' or '... number of...' which will not assess the quality of the project outcomes as such, or unclear in terms of what is actually being measured e.g. behavioural change. In addition, no baseline has been set, which undermines the usefulness of the indicators.
- PoW outputs i, ii and iii are set on a different level than PoW outputs iv and v. Where PoW outputs i, ii and iii are concentrated on delivering, developing and disseminating assessments, tools etc., the PoW outputs iv and v are concentrated on enhanced capacity and improved preparedness. Thus, PoW outputs i, ii and iii could be seen as conducive to the realization of PoW outputs iv and v.
- The project briefs in Programme Framework documents identify (but not clarify) links to other EAs and even to other SPs (CC and EM). However, mention of these links is missing from the approved project documents.

a) Programme Framework 1 – EA(a)²⁴

Expected Accomplishment	PoW output	Project		
(a) Enhanced capacity of Member States in environmental management in order to contribute to natural and human-made disaster risk reduction	(i) Early warning and risk assessments delivered, and communicated widely, at global, regional and national levels to determine where environmental factors are contributing to risk from natural hazards and human-made disasters [4 assessments]	Environmental management for disaster risk reduction	Environmental cooperation for peacebuilding (Phase II)	Environment and security (ENVSEC) initiative (Phase II)
	(ii) Policy toolkits and education modules demonstrating best practices in reducing risks from natural hazards and human-made disasters through improved environmental management developed, communicated and taken up by UN Agencies and Member States [3 institutions or countries]			Environment and security (ENVSEC) initiative (Phase II)
	(iii) Policy support and pilot projects in vulnerable countries to catalyze practical action towards reducing risk from natural hazards and human-made disasters [5 countries]			National capacity development for improved environmental emergency response
	(iv) National preparedness to respond to and mitigate acute environmental risks caused by emergencies improved through capacity-building measures and risk information [6 countries]			Building capacity for industrial risk reduction and emergency preparedness in developing countries - APELL
	(v) Risk reduction for industrial accidents enhanced by strengthening capacity on preparedness at national and local levels, including through legal frameworks [6 countries]			

²⁴ The list of projects is based on the Programme Frameworks, Sub-Programme Fact Sheet and projects approved by PRC by the time of the evaluation in May 2011.

b) Programme Framework 2 – EA(b) & EA(c)

Expected Accomplishment	PoW output	Project (approved by PRC)	Project (not approved)
(b) Rapid and reliable environmental assessments following conflicts and disasters as requested	(i) Environmental expertise for emergency response coordinated and mobilized to identify and mitigate acute environmental risks to human health stemming from specific emergencies and related secondary risks [12 interventions]	Environment, humanitarian action and early recovery	Coordination and mobilization of international assistance to environmental agencies (UNEP response phase 1)
	(ii) Field-based environmental assessments conducted to identify environmental risks to human health, livelihoods and security, and environmental needs integrated within national recovery plans and appeals and United Nations recovery activities in post-crisis countries [4 projects]	Environmental Assessment of Oil Impacted Sites in Ogoniland, Nigeria continuing from 2008-2009	Post-crisis environmental assessment (UNEP response phase 2)
	(iii) Environmental considerations integrated within relief and recovery policies, practices and appeals [4 projects]	Environment, humanitarian action and early recovery	
	(iv) Network of UNEP experts and associated institutions established and trained to contribute to emergency response missions, environmental assessments, and real-time technical assistance to crisis-affected countries [1 network]	Environment, humanitarian action and early recovery	

Expected Accomplishment	PoW output	Project (approved by PRC)	Project (not approved)
<p>(c) The post-crisis assessment and recovery process contributes to improved environmental management and the sustainable use of natural resources</p>	<p>(i) Environmental policy and institutional support provided to post-crisis countries [4 countries]</p>	<p>Capacity-building and institutional development programme for environmental management in Afghanistan (Phase III (ongoing) & IV)</p> <p>China post-disaster site contamination assessment and sustainable reconstruction programme</p> <p>UNEP Country Programme for the Democratic Republic of the Congo</p> <p>Support to the environmental rehabilitation of the Occupied Palestinian Territories</p> <p>UNEP Integrated Environment Programme in Sudan (Phase II); continuing from 2008-2009</p> <p>UNEP Country Programme for the Democratic Republic of Congo; continuing from 2008-2009</p> <p>Nepal Environmental Early Recovery Programme; continuing from 2008-2009</p> <p>Development of an Environmental Quality Monitoring System for Lebanon; continuing from 2008-2009</p> <p>UNEP Country Programme for Haiti</p>	<p>Support to the environmental rehabilitation of Iraq</p> <p>Post-crisis environmental recovery (UNEP response phase 3)</p> <p>Institutional strengthening and regional collaboration for environmental management in Rwanda</p> <p>Post-crisis environmental recovery (UNEP response phase 3)</p>
	<p>(ii) Environmental clean-up projects catalysed at sites contaminated by hazardous substances and wastes as a result of conflicts and disasters [4 projects]</p>	<p>China post-disaster site contamination assessment and sustainable reconstruction programme</p> <p>Support to the environmental rehabilitation of the Occupied Palestinian Territories</p>	<p>Post-crisis environmental recovery (UNEP response phase 3)</p>
	<p>(iii) Ecosystem restoration and management projects catalysed for sites damaged by conflicts or disasters [4 projects]</p>	<p>Capacity-building and institutional development programme for environmental management in Afghanistan (Phase III (ongoing) & IV)</p> <p>Support to the environmental rehabilitation of the Occupied Palestinian Territories</p> <p>UNEP Country Programme for the Democratic Republic of the Congo</p> <p>UNEP Integrated Environment Programme in Sudan (Phase II) continuing from 2008-2009</p> <p>UNEP Country Programme for the Democratic Republic of Congo; continuing from 2008-2009</p> <p>Nepal Environmental Early Recovery Programme; continuing from 2008-2009</p> <p>UNEP Country Programme for Haiti</p>	<p>Post-crisis environmental recovery (UNEP response phase 3)</p> <p>Institutional strengthening and regional collaboration for environmental management in Rwanda</p>
	<p>(iv) Sustainable building and construction guidelines implemented on a pilot basis as a contribution to the efficient use of resources in crisis-affected countries [4 pilots]</p>	<p>China post-disaster site contamination assessment and sustainable reconstruction programme</p>	<p>Post-crisis environmental recovery (UNEP response phase 3)</p>

Expected Accomplishment	PoW output	Project (approved by PRC)	Project (not approved)
	(v) Environmental considerations integrated into UN peacebuilding and recovery activities in post-crisis countries and regions.	Capacity-building and institutional development programme for environmental management in Afghanistan (Phase III (ongoing) & IV) UNEP Country Programme for the Democratic Republic of the Congo UNEP Integrated Environment Programme in Sudan (Phase II) continuing from 2008-2009 UNEP Country Programme for the Democratic Republic of Congo; continuing from 2008-2009	Post-crisis environmental recovery (UNEP response phase 3) Institutional strengthening and regional collaboration for environmental management in Rwanda
	?	Sustainable Building and Construction in Disaster-affected Countries	
?	?	Capacity-building, in cooperation with the Secretariat of the Basel Convention, for hazardous waste management in Côte d'Ivoire, and the monitoring and control of transboundary movements of hazardous waste and chemicals; continuing from 2008-2009	

- The Programme Framework 2 encompasses EAs (b) and (c) since they are intrinsically linked and form two consecutive steps – short term to medium term, and the medium to long term – of a single approach.
- A total of ten projects were designed under the programme framework 2, from which three were designed to contribute to EA(b) and seven to EA(c). From these projects, only one project contributing to EA(b) has been approved by the PRC (by May 2011), making it the single project which is to deliver all four PoW outputs under EA(b). From the seven projects designed to contribute to EA(c) four have been approved by PRC (as of May 2011).
- The **EA(b)** is straightforward and responds to requests for technical assistance in countries where critical ecosystems or natural resources have been degraded or destroyed by conflicts or disasters. The projects contributing to EA(b) were designed to deliver field-based assessments to identify environmental risks to human health, livelihoods and security; to mobilize and coordinate international emergency response and identification of acute environmental risks; and to provide technical support to build capacity to integrate environmental considerations into UN humanitarian coordination system. However, only the project focused on UN humanitarian coordination system has been approved.
- The PoW output (ii) and the EA(b) are the same. However, the project contributing to PoW (ii) has not been approved and the link between the other PoW outputs (i, iii, iv) and the EA(b) is not so evident. Thus it is not clear how the EA(b) will be achieved. On the other hand, the delivery of PoW outputs i, iii and iv will not be captured if the performance is only assessed through the achievement of EA(b).
- The PoW output iii (environmental considerations integrated within relief and recovery policies, practices and appeals) would not only seem to be on a higher level than the other PoW outputs (i expertise for emergency response coordinated and mobilized; ii assessments conducted; iii network established and trained) but also the EA(b).
- Umbrella projects are designed to accommodate the demand driven projects which respond to e.g. industrial accidents, conflicts or environmental disasters. Setting of targets and indicators (e.g. 4 post-crisis environmental assessments) for demand driven activities is bound to be artificial.

- The **EA(c)** is very general and on a high level, which is bound to cause attribution problems when assessing its achievement. Even though the PoW outputs are relevant, the causal pathways between the PoW outputs and EA(c) are not clear.
- The projects designed to contribute to EA(c) are focused on developing methods for emergency response, strengthening institutions, strengthening communication, and developing recovery programmes encompassing environmental governance, environmental clean-up, ecosystem rehabilitation, sustainable reconstruction, and peacebuilding based on the outcomes of the environmental assessment (under EA b).
- Most of the PoW outputs had several projects which were designed to contribute to their achievement and respectively several projects were contributing to more than one PoW output. However, since the PoW outputs are all interrelated, it would be impractical to try to force the projects only to contribute to one single PoW output.
- Only EAs (not PoW outputs) are listed in the project logframes and thus there are no indicators for PoW outputs, and because the PoW outputs have more than one project contributing to them, setting indicators might even be problematic. However, due to this, the next level of progress assessment from the projects is the very high level EA(c). The projects have identified project outcomes with indicators and means of verification which will assist in assessing the project's contribution to EAs. The indicators however have attribution problems, since for every project they are only quantitative and measuring '...the percentage of...' or '... increase in...' which will not assess the quality of the project outcomes as such, and will not be able to differentiate UNEP's contribution from other influencing factors. In addition, no baseline has been set, which undermines the usefulness of quantitative indicators.
- The project briefs in Programme Framework documents identify (but not clarify) links to other EAs and even to other SPs (EG, CC and EM). However, mention of these links is missing from the approved project documents.

4. Summary of findings and trends across project documents²⁵

a) Project design and quality of log-frame (including performance indicators)

- Project activities are in line with PoW outputs and Expected Accomplishments. In few cases, however, activities are stated on a too general level to be able to assess their role and relevance (e.g. 'field assessment' or 'inputs to ...');
- The projects under D&C sub-programme differ greatly in terms of formulation of project outputs and possible outcomes. Some projects have formulated outputs which are feasible and realistic. In many cases, however, the project outputs are pitched on a too high level, making them more of outcomes (or even higher) than outputs. Project outputs should be more tangible and realistic in terms of what UNEP is able to deliver and the time it takes to do that. Pitching outputs on a too high level is neither practical nor helpful in the process of monitoring the projects performance and steering it towards impact achievement. In cases where the outputs are pitched too high, the indicators which they are assessed against are also not measurable (e.g. the extent to which a certain action is being implemented). Thus reaching too high in terms of formulating outputs or outcomes does not do justice for the projects;

²⁵ Findings in this section are based on the analysis of projects contributing to EA 1.

- The causal pathways between project outputs and PoW outputs are seldom considered and the project documents fail to identify the necessary intermediate states to move from project outputs to PoW outputs and beyond. Also the links between PoW outputs and Expected Accomplishments are not always clear and straightforward. The Logical frameworks do not define indicators for PoW outputs, which is problematic in terms of measuring progress. In many cases, the EAs are pitched on a very high level where it is impossible to measure UNEPs contribution right after the project ends (if ever), thus making it an unhelpful tracking tool;
- Most milestones are below the project output level which allows only examining the causal pathways from activities to project outputs but not further to the outcome level. In order to assess what happens between the project output level and the outcome, milestones should be identified for the time *after* the project outputs have been delivered. This would also help to identify the impact drivers;
- Performance indicators are mainly quantitative (e.g. ‘number of policies’ ‘percentage of ...’) which is often not sufficient in measuring the quality (timeliness and relevance) or the actual enhancement of capacities of stakeholders. Also, the indicators usually have an attribution problem, since performance is measured at a level where it is impossible to grant success for a specific entity;
- Requiring a project to have one single ‘home’ may not adequately represent the intended causality of a project. Projects which do not clearly link to an EA (or even to a sub-programme) may be ‘classified’ there nevertheless, because that EA seems the most closely related. A side-effect of this requirement may be that links to other relevant EAs may not be clearly articulated in the project document let alone in the logical framework. Unless each EA framework includes a list of projects that secondarily contributes to it, its synergies and linkages among projects within the PoW may be de-emphasized, ignored or lost;
- Similarly, in some cases, the projects are contributing to several PoW outputs, but only one output is defined in the Logical Framework. Causal connections to and synergies with other parts of the PoW may receive insufficient emphasis in project management, reporting and evaluation and there is a risk that the contribution will be overseen when projects are evaluated doing no justice for the project.

b) Critical success factors and risks

- Project documents do not properly distinguish between critical success factors (which are under control of project management) and risks (which are not) and similar issues are raised in project documents as both, risks and critical success factors. For example lack of partner capacity and commitment should not be a risk since it can be avoided by proper selection of partners and ensuring that capacity of partners is enhanced to enable them to implement the project. Similarly, overall security of the country of implementation cannot be a critical success factor;
- Critical success factors are generally well identified but not appropriately addressed. The project documents do not define which actions the project will take to ensure that the critical success factors are met. Primary challenges that projects have to face are: unavailability of most of project financial resources at the time of approval; collaboration among UN, UNEP and at the country level, political dialogue and communication;
- Risks are related to external circumstances, such as political stability and support, and security issues in post-conflict situations;

- Most projects have adequately assessed risk mitigation measures, e.g. continuous communication, maintaining linkages, efficient inclusion of partners in planning and implementation and use of binding causes, such as MoUs.

c) Strategy to sustaining outcomes and benefits – intended catalytic and replication effects

- Most of the projects do not indicate any explicit strategy to sustaining outcomes and benefits;
- Exit strategy and handover to national partners are almost never thought out, which can be considered problematic considering the purpose and scope of the SP. Some project documents, however, have stated that exit strategy will be developed later on and the programme framework 2 emphasizes the need for a handover strategy;
- Linking with national plans and responding to national development policies and processes have been mentioned as means to promote sustainability. Whilst this will be good for country ownership, it is not sufficient to ensure that the project will be handed over adequately when the funding ends;
- Information products and communication strategy are sometimes considered as a means to ensure sustainability. However, information dissemination is usually planned as web-based platforms and audio-visual tools, which might not be the most practical way in especially post-disaster and post-conflict countries. In some cases, closure workshops and dissemination events are planned;
- Strong and continuous involvement of the stakeholders, training of Trainers (ToT) and steady work over time with selected institutional arrangements all work for capacity development, sustainability and replication.

d) Project governance model, Supervision arrangements, and Partnerships

- Project governance models are generally well defined. However, due to the demand driven nature of some of the activities designed under D&C Sub-programme, it has not been possible to define the roles and responsibilities in relation to specific outputs and components upfront. The project will require a high degree of flexibility from the divisions and could cause planning insecurity;
- Implementation of the projects will heavily rely on partners such as Governments, International and National Organizations, Research institutes, and NGOs. Whilst the list of partners is generally thorough, the roles and responsibilities are not clearly defined. Rather the project documents focus more on defining who the partners are and why they have been selected. In addition, delivering the intended activities and outputs with numerous partners can also cause attribution problems in terms of what can be attributed to UNEP's intervention alone;
- Similarly, stakeholders are usually only listed without defining their roles or analysing their contribution to the projects;
- Supervision arrangements do not include a set-up of Project Steering Committees, however the Disasters and Conflicts Advisory Committee, chaired by the Sub-programme coordinator, will provide strategic guidance and review the progress of each of the sub-programme's projects.

e) Financing

- Several of the approved projects have not secured funding, either partly or in full (as in May 2011);
- Capacity to mobilize adequate funding for the implementation of the projects is a major concern and identified both, as a risk and a critical success factor. However, the project documents generally fail to identify ways to promote and ensure resource mobilization;
- In general, the projects had set aside a budget for communication and dissemination of project outputs. It should be, however, ensured that this would be a common practice throughout the projects.

f) Gender

- Most project documents recognize the importance of gender aspects in post-conflict and post-disaster management and state that attention will be paid to include women into all participatory processes of the project and to target men and women equally in outreach activities, workshops etc. Some project documents mention that a gender mainstreaming checklist has been used for the project design. However, the level of details is low and thus it is not clear how the projects will implement gender considerations in practice;
- Better knowledge of the effects of environmental emergencies on women in comparison to men could help with the design of gender sensitive responses to environmental emergencies. A meaningful integration of the gender aspect in disasters and conflicts prevention and adaptation would require an assessment of gender-related issues in the projects' target locations that ask for specific interventions.

g) Capacity development and knowledge management

- Capacity development is a major factor of the projects designed under D&C Sub-programme. The various projects aim to, for example, build capacity of governments, private sector and communities on natural resources management, preparedness and risk reduction, environmental emergency response, integrating environmental considerations within the UN humanitarian coordination system, environmental legislation, creating tools and information, and supporting dialogue. This will be done, among others, through establishment of expert networks, providing training and technical assistance, and organizing workshops;
- The Programme Frameworks explicitly state that the projects will be in accordance with the Bali Strategic Plan for Technology Support and Capacity Building by strengthening the capacity of countries through capacity-building and technology support, and enhancing the availability and access to information. However, the Bali Strategic Plan is only mentioned in a few project documents, although in most cases, the projects do contribute to it;
- Similarly, the Programme Frameworks identify the project's contribution to South-South Cooperation through strengthening institutional linkages and networks and facilitating the sharing of information. However, also South-South Cooperation is explicitly mentioned only in few project documents whereby it is promoted by communication and regional knowledge transfer and exchange. However, most projects would represent an opportunity to promote South-South Cooperation;
- Majority of the projects aim at producing and disseminating information and promoting knowledge sharing among stakeholders. However, most projects lack a thorough knowledge

management strategy, or a plan how information will be disseminated. Also, it is not always clear how the project management expects information products to be used;

- Replicability concerns are seldom reflected in project documents or budgets in an explicit manner (with the exception of the APELL project). Some projects are focused on identifying and sharing best practices and lessons learned but more attention should be given in effectively distributing knowledge.

h) Monitoring & Evaluation

- Projects' M&E plan includes standard half-yearly financial and progress reporting. Monitoring is done against milestones, which in most cases coincide with the completion of a project activity. Monitoring is included among project management activities, and – as such – it is not budgeted;
- Generally, the projects do not include a baseline study, mainly because they are demand driven and will be implemented as a response to a possible disaster;
- None of the reviewed project documents had planned or budgeted mid-term evaluations and terminal evaluations were generally under budgeted.

C. SUB-PROGRAMME ON ECOSYSTEM MANAGEMENT

1. **Sub-programme Strategy**

- UNEP's Sub-programme on Ecosystem Management aims to help countries use the ecosystem approach to enhance human well-being. The UN ecosystem approach is an integrated strategy for managing land, water and living resources that recognizes the strong linkage between ecosystem services and human well-being. The Ecosystem Management sub-programme focuses on ecosystem services of climate regulation, water regulation, natural hazard regulation, energy, freshwater and nutrient cycling;
- Ecosystem Management Programme (EMP) links with other sub-programmes and the linkages are briefly explained in the sub-programme strategy.
- To make the Ecosystem Management Programme framework operational, a four-step process is proposed to progressively incorporate the concept of ecosystem services for human well-being into development planning and processes (see table below). Two major components are identified to address gaps and needs along this path: i) developing and testing tools and methodologies for ecosystem services, and ii) incorporating ecosystem services into development planning and investment;
- The EMP framework indicates three objectives/EAs. The programmatic document however does not make specifies what the relationship between the EMP components and EAs is. The same document does not as well illustrate the causal link between PoW Outputs to EAs, nor does it specify in detail how projects contribute to the first.
- The focus of UNEP's work under the EMP and the strategic priorities identified are mainly justified by global needs, UNEP's mandate and UNEP's comparative advantage and strong partnerships. The EMP is guided by a conceptual framework based on the he findings from the Millennium Ecosystem Assessment (MA) and an analysis of the major degraded ecosystem services identified by the MA. The rationale behind the EMP is well described.

- UNEP Medium Term Strategy provides the overall objective and EAs for the EMP. However, how and where the PoW outputs are derived, is not explained. The causal links between the EAs, PoW outputs and the planned activities are not explicitly described, but the links can be derived from reading the Programme Framework.
- The EMP strategy emphasises the importance of partnerships in ensuring the implementation of the sub-programme. UNEP regional offices, UNDP, International financial institutions, and donors are mentioned as supporting partners, and INGOs, research institutes and other UN bodies, among others, are listed as implementing partners. Yet, the strategy does not present their expected roles or responsibilities.

Goal	Description	Component	EAs
1. Making the case – Understanding and accepting an ecosystem approach	To engage countries and other stakeholders in a dialogue on ecosystems and development. UNEP to promote the ecosystem management approach and explain its advantages for development	Developing and testing tools and methodologies for ecosystem services	(a) The capacity of countries and regions to increasingly integrate an ecosystem management approach into development and planning processes is enhanced (b) Countries and regions have the capacity to utilize ecosystem management tools (c) The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services is enhanced
2. Generating the knowledge - Assessing and developing knowledge systems for ecosystems	To provide place based and policy relevant information to guide the mainstreaming of ecosystem considerations into national and regional development planning. UNEP to develop and test tools and methodologies for national governments and regions to restore and manage ecosystems and biodiversity		
3. Turning knowledge into action - implementing ecosystem management tools to improve delivery of ecosystem services	To design place based management interventions to improve delivery of ecosystem services by addressing drivers and improving equity of service delivery. UNEP to help national governments integrate ecosystem services into development planning and investment decisions	Incorporating ecosystem services into development planning and investment.	
4. Monitoring and Evaluation – refining intervention strategies	To ensure optimal delivery of ecosystem services. UNEP to provide technical assistance to develop indicators, facilitate review against established baselines, and build capacity to develop feedback mechanisms		

2) Expected Accomplishments, Indicators of Achievements and Units of Measures

- The three EAs are very closely related: a number of projects contribute to PoW Outputs under different EAs. The linkages among them could have been pondered better though. The ultimate objective of the Sub-programme is mainstreaming the Ecosystem Management approach in the development and implementation of policies and projects. UNEP support could be better classified according to its nature: i) policy work (including on legal framework), ii) provision of tools and mechanisms (including guidelines and normative materials, as well as monitoring and assessment tools), and iii) set up of networks and partnerships. Awareness and communication work cuts across.

- The linkages among EAs, indicators of achievements and units of measures are not well pondered. The ability to identify changes in ecosystem services thanks to UNEP integrated assessments cannot, for example, be used as an indicator of the country's increased capacities to use (all kind of) ecosystem tools. Similarly, an increase in the country's budget allocation to ecosystem service does not necessarily mean that the country's capacity to realign its programmes and funds towards ecosystem priority areas is increased;
- Indicators for EAs which all refer to the development of capacities are (in two out of three cases) pitched at a too high level. The validity of the IoA/UoM is in these cases curtailed by issues of attribution. A plethora of different actors may lay behind the inclusion of ecosystem services into planning document or the increase in budgetary resources;
- One Indicator of Achievement for each EA is not always sufficient to capture the full contents of the EA.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(a) The capacity of countries and regions to increasingly integrate an ecosystem management approach into development and planning processes is enhanced	(i) The number of national development planning processes that recognize and consider ecosystem services as a component for development increases	Number of national planning instruments that consider the relationship between ecosystem services and development	3	10	<p>According to the Theory of Change (TOC) the impact should stand alone and should not include a description on how the impact is achieved. The EA should be phrased as an achievement and everything that is needed to get there (e.g. capacity building) should be in the activities leading there. Hence EA(a) could read: "Targeted states and regions increasingly apply an ecosystem management approach into development and planning processes."</p> <p>If the EA mentions regions the indicator cannot only look at national planning processes. In addition, the indicator assumes that all development planning processes are at the national level, whereas many countries may have several sub-national planning processes that are relevant to development. In such circumstances this raises questions about which 'development planning processes' to assess for 'recognition' and 'consideration' of ecosystem services. The indicator assumes that inclusion of ecosystem services in development planning can be solely attributed to UNEP intervention.</p> <p>The use of verb 'consider' for both the IoA and the UoM is not appropriate. How could UNEP measure whether a country is 'considering' the relationship between ecosystem services and development?</p> <p>Proposed indicator: "Percentage of countries that acknowledge UNEP's role in influencing development planning processes to include ecosystem services as a component of development". Proposed means of measurement: Analysis of development planning documents for reference to / citation of UNEP, Surveys of policy actors within such processes to establish UNEP's role in influencing development plans.</p>
(b) Countries and regions have the capacity to utilize ecosystem management tools	(i) The number of countries able to identify changes in ecosystem services through integrated assessment increases	Number of countries conducting ecosystem assessments using tools promoted by UNEP	25	31	<p>The linkage between the indicator and the expected accomplishment is unclear. Is an increase in the number of countries able to identify changes in ecosystem services a good correlative proxy for the capacity to use ecosystem management tools? We understood integrated assessment to be something different than 'ecosystem management tools'.</p> <p>The link between the EA and the unit of measure is, however, clear.</p>

(c) The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services is enhanced	(i) National budgetary allocations to address priority ecosystem services in medium-term budgetary frameworks increase	Number of countries with an increase in national budgetary allocations to address priority ecosystem services in countries targeted by UNEP	n/a	6	<p>The link between the Expected Accomplishment and the indicator and UNEP intervention includes a tacit assumption that increasing budgetary allocation to 'address priority ecosystem services' reflects an increase in the 'capacity of countries and regions to realign their environmental programmes'.</p> <p>The indicator would be difficult to measure as budgetary allocations supporting ecosystem services might fall across several sectors (e.g. budgetary allocations for the maintenance of water quality in key catchment may come from several national ministries such as agriculture, forestry, planning, trade and industry etc)</p> <p>'Priority ecosystem services' need to be clearly defined. Again, even though certain countries may be targeted by UNEP we cannot automatically assume that any increased budgetary allocation to ecosystem services is caused by UNEP. Evidence supporting such a causal relationship would need to be examined through an evaluative approach.</p>
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------	-----	---	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

3. Sub-programme Frameworks and Programme of Work Outputs

- The Ecosystem Management (EM) Sub-programme has three EAs, which are all under one Programme Framework. Each EA is articulated into a number of Programme of Work (PoW) outputs. The EAs are closely related (almost overlapping) and projects are often contributing to two or three of them which might have been the reason for the decision to use only one PF.

a) Programme Framework 1 – AE(a)

Expected Accomplishment	PoW output	Project
(a) The capacity of countries and regions to increasingly integrate an ecosystem management approach into development and planning processes is enhanced	(i) Tools for ecosystem assessment and management for sustainability of water regulation and purification services are developed and demonstrated in water-stressed countries [4 countries]	Tools and methodologies for assessing and maintaining freshwater ecosystems – approved, key project
	(ii) Pilot projects for the restoration of terrestrial ecosystems are implemented to balance food provisioning, carbon sequestration and timber and fuelwood services in severely degraded ecosystems [2 projects]	Tools and methodologies for terrestrial ecosystem restoration (not approved) – not approved, key project Mau Forest – community based integrated forest resource conservation and management project 2 (COMOFORM-2) - approved, not in PF Haiti regeneration initiative development and support programme - approved, not in PF Innovative approaches towards rehabilitating the Mau Ecosystem - approved, not in PF
	(iii) Methodologies for determining social and economic costs and benefits of ecosystem services accruing from land use change in national and transboundary context (Three food insecure countries)	Tools and methodologies for terrestrial ecosystem restoration – not approved, key project Spain – UNEP partnership for LifeWeb initiative - approved, not in PF
	(iv) Regional policies and laws supporting ecosystem management are initiated and reviewed (3 transboundary ecosystems where requested by concerned countries)	Promoting cooperation and participatory development of laws and policies for ecosystem management – not approved, key project
	(v) Dialogue on sustainable management of national and transboundary natural resources is facilitated (6 countries)	Promoting cooperation and participatory development of laws and policies for ecosystem management – not approved, key project Spain – UNEP partnership for LifeWeb initiative - approved, not in PF
	(vi) A global outreach strategy to promote the sustainable use of ecosystem services for the achievement of development objectives is implemented (one strategy)	Making the case for ecosystem services – a global outreach and communication package – approved, key project Knowledge management, information sharing and learning (doc in intra but not signed) – not approved, key project Great Apes Survival Partnership (GRASP) – an innovative tool to improve livelihoods through the conservation of great apes as flagship species - approved, not in PF

- As noted above, EA(a) should be better formulated as: “Targeted states and regions increasingly apply an ecosystem management approach into development and planning processes.” The development of capacities is a means to this end;
- UNEP support under this EA includes: support to governance mechanisms, development and use of assessment tools (including in pilot projects), contribution to the revision of policy and legislative frameworks, communication and awareness;
- Some PoW Outputs are defined according to the thematic area they cover (e.g. water regulation of restoration of terrestrial ecosystems), others by type of support provided/desirable output (e.g. regional policies and laws, facilitation of dialogue on the sustainable management of national resources). As work by thematic area generally includes more than one type of support (and contributes to more than type of output), it would have been advisable not to create separate PoW Output for it;

- The list of approved projects differs quite significantly from that in the original Programme Framework, making unclear the actual programme of work is and difficult any judgement on the causal bottom-up flow from project to PoW Outputs. A number of projects in the original plan do not appear on intranet among projects presented to the PRC;
- The link between the two projects working on preserving the Mau Forest ecosystem is unclear;
- Project objectives go in any case further than developing capacities to integrate an ecosystem approach into development and planning of interventions, to cover implementation (e.g. pilot projects – PoW a2). This is generally (although not always) acknowledged in project documents: links to PoW outputs under EA(b) and (c) are correctly defined. If EA(a) had been defined as suggested (see first bullet point in this list), it would have been clearer that the use of tools and policy support/realignment (EA(b) and (c) now) are intermediate states to it;
- Communication and awareness work is either general/global in scope or project specific. It is not clear how UNEP overall contribution to a better understanding of the importance of adopting an ecosystem approach would be measured;
- As of June 2011, only 2 out of the 7 projects in the PF document contributing to EA(a) have been approved. 6 additional projects, not included in the original PF, have been signed and implemented.

b) Programme Framework 1 – EA(b)

Expected Accomplishment	PoW output	Project
(b) Countries and regions have the capacity to utilize ecosystem management tools	(i) National-level capacity for assessing biodiversity critical to ecosystem functioning and resilience is developed (6 biodiversity-rich countries)	Biodiversity and ecosystem functioning – <i>approved, key project</i> Great Apes Survival Partnership (GRASP) – an innovative tool to improve livelihoods through the conservation of great apes as flagship species - <i>approved, not in PF</i> Building a global network of ecological corridors as a strategy for biodiversity to adapt to climate change - <i>not approved</i>
	(ii) Impact analysis of major infrastructure and agricultural projects on biodiversity and the functioning of ecosystems is incorporated into project design and delivery (3 countries)	Evaluating impacts of large infrastructure on ecosystem services – <i>not approved, key project</i>
	(iii) Integrated marine management mechanisms are developed and networks of marine protected areas are promoted to increase the sustainability of fishing and the stability of coastal and marine habitats (4 ecosystems covered by the regional Seas Conventions and programmes)	Integrated marine and coastal environment and resource management for human well-being - <i>approved</i> Haiti regeneration initiative development and support programme - <i>approved, not in PF</i>
	(iv) Intra-regional and cross-sectoral cooperation mechanisms are enhanced with an eye to joint programming for ecosystem management in transboundary mountain and forested ecosystems (3 transboundary ecosystems)	Promoting cooperation and participatory development of laws and policies for ecosystem management – <i>not approved</i> Building a global network of ecological corridors as a strategy for biodiversity to adapt to climate change – <i>not approved</i>
	(v) Pilot projects in highly agrarian economies to evaluate the benefits and trade-offs for sustainable food production are implemented to enhance ecosystem resilience and food production (3 food-insecure countries)	Evaluating the trade-offs and benefits of sustainable food production systems – <i>not approved, key project</i> Sustainable food production: utilizing trade-off analyses to devise direct payment programmes to farmers for adoption of EBM in agri-food ecosystems - <i>approved, not in PF</i>
	??	Land health surveillance for targeting sustainable land management interventions in Sub-Saharan Africa – <i>not approved</i>

- As noted in the EA analysis above, the EA should have been more precisely formulated as “countries and regions use ecosystem management tools”. As noted for EA(a), the development of capacities is a means to an end;
- The analysis of prodocs for projects contributing to EA(b) confirms the existing complementarities among the EAs of the EMP. It is often the case for these projects (e.g. the Land Health Surveillance and the Ecological corridors ones) to contribute to EA(b) and PoW Outputs under EA(a) and EA(c);
- PoW outputs are defined by technical area they cover (e.g. biodiversity, water management, mountain and forested ecosystem, food production) and pitched at different level. The majority of the EMP projects under this EA cut vertically across the four EMP phases to create awareness, produce and divulgate tools and methods for assessments, and mainstream EM concepts in national planning and laws. The way PoW themselves are formulated alludes to going beyond the development of capacities to use tools, to include management planning, cooperation mechanisms and pilot initiatives. The link with EA is thus however not always clear and PoW outputs are pitched at higher level than EA;
- The link between the EMP and other UNEP Sub-programmes is well identified in the case of the “Integrated marine and coastal management for human well-being” project. The contribution of the project’s outputs to activities within the Climate Change Sub-programme (vulnerability assessments and EbA demonstrations) is well captured in the project’s Annex 3, and also in the log-frames of those CC projects it is contributing to. Here and elsewhere, the link with EG activities (assessments and policies) is less acknowledged. In particular, EMP inputs to EG discussions (e.g. at the CBD) are not adequately considered. Synergies are still easier to be realized when the projects are managed within the same division (DEPI in this case);
- As of June 2011, only 1 out of the 5 projects contributing to EA(b) in the PF document has been approved, including some defined as “key” for the achievement of the PoW outputs. 7 additional projects, not included in the original PF, have been signed and implemented. As for the “Land health surveillance” project, these are sub-project stemming from the not-approved ones.

c) Programme Framework 1 – EA(c)

Expected Accomplishment	PoW output	Project
(c) The capacity of countries and regions to realign their environmental programmes and financing to address degradation of selected priority ecosystem services is enhanced	(i) Tools and methodologies for valuing ecosystem services are developed, pilot tested and incorporated into national systems for accounting, planning and management (6 countries)	Estimating and incorporating ecosystem values into national planning, accounting and investment decisions – <i>not approved, key project</i> Great Apes Survival Partnership (GRASP) – an innovative tool to improve livelihoods through the conservation of great apes as flagship species - <i>approved, not in PF</i> Incorporating the value of forest-related ecosystem services into national accounts - approved, not in PF
	(ii) Mechanisms to enhance inter-sectoral coordination and multi-stakeholders participation in integrating ecosystem considerations into national development processes are institutionalized (6 countries)	Integration of sustainable ecosystems management in national development processes - <i>approved, key project</i>
	(iii) Collaboration with international financial institutions on integrating ecosystem services into their global and country strategies is enhanced (3 institutions, 3 countries)	Integrating ecosystems into financial sector operations – <i>not approved</i>
	(iv) Pilot approaches for equitable access to, and sharing of benefits from ecosystem services are mainstreamed into national processes (3 countries where payments for ecosystem services are underway)	Developing and integrating approaches for equitable sharing of benefits from ecosystem services – <i>not approved, key project</i> Building a global network of ecological corridors as a strategy for biodiversity to adapt to climate change – <i>not approved</i>
	(v) Technical support is provided to member States on strengthening the science-policy interface on biodiversity and ecosystem services	Strengthening the science-policy interface on biodiversity and ecosystem services – <i>not approved, key project</i> Building a global network of ecological corridors as a strategy for biodiversity to adapt to climate change – <i>not approved</i> Haiti regeneration initiative development and support programme - approved, not in PF
	?	Haiti Southwest sustainable development project - <i>approved, not in PF</i>

- As noted for EA(a) and (b), the development of capacities is a means to an end; also here, the EA should have been more precisely formulated as “countries realign their environmental programmes and financing to address degradation of selected priority ecosystem services”. As a consequence, the EA is pitched on a lower level than many of the PoW outputs. For example, the PoW output “Tools and methodologies for valuing ecosystem services are developed, pilot tested and incorporated into national systems for accounting, planning and management” goes beyond the enhanced capacities. In addition, the links between PoW outputs and EA(c) are not always clear. It is not clear what is meant by “countries and regions” and thus it is not possible to assess how “collaboration with international financial institutions” contributes to “enhanced capacities of countries and regions”:

- PoW outputs under EA(c) share similar features with PoW outputs under other EAs, thus making them closely linked. The PoW outputs are concentrated on delivering, testing and incorporating tools and methodologies, enhancing coordination and collaboration, executing pilot projects and providing technical support to strengthen the science-policy interface.
- The list of approved projects differs significantly from the list of planned projects in the Programme Framework. Several projects introduced in the PF, do not appear within the projects which went through PRC review. This makes assessment of the causal linkages from projects to PoW outputs challenging;
- As of June 2011, only one of the five projects in the PF has been approved by PRC, from which some were identified as key projects in the Sub-programme fact sheet. An additional 7 projects were designed to contribute to EA(c), from which 4 have been approved by PRC. There are no approved projects which would contribute to PoW outputs (iii) and (iv).
- Several projects extend across the PF and contribute to more than one EA. The study of the project documents confirms the complementarities in most cases. For example, the project “Haiti Southwest sustainable development” contributes to EA(c), and PoW outputs 312 (under EA(a)) and 323 (under EA(b)).

4. Summary of findings and trends across project documents²⁶

a) Project design and quality of log-frame (including performance indicators)

- The structure of logical frameworks varies a great deal among the accepted projects for EM Sub-programme; some logical frameworks indicate both, the EA and PoW output that the project contributes to, and also define indicators for the PoW outputs. Some logical frameworks only indicate the EA and some have identified a project outcome with indicators;
- Project outputs are in some cases, formulated as a summary of the milestones or activities. In addition, outputs within a single project are often pitched at different levels.
- The causal pathways between project outputs and PoW outputs are seldom considered and many project designs seem to be lacking necessary intermediate states to move from activities and project outputs to PoW outputs. For example, measures to ensure coordination and stakeholder participation might be lacking;
- Similarly the quality of indicators varies; sometimes the indicators for project outputs are pitched on a higher level than the outputs, e.g. project output is about providing guidance and indicator is measuring “integration of ... considerations into development ... strategies...”. Where as in some other cases, the indicators are ‘SMART’ and well defined. In some cases, the Logframe provides a multitude of indicators that are not indicators but rather a repetition of milestones and outputs. Indicators can be derived from them, however, and defined for the PoW Output level;
- Performance indicators are mainly quantitative (e.g. ‘number of...’) which is often not sufficient in measuring the quality (timeliness and relevance). Also, the indicators usually have an attribution problem (e.g. ‘increased engagement’) since performance is measured at a level where it is impossible to grant success for a specific entity. In some cases, the indicators are rather outcomes (e.g. “... data supports ... planning and monitoring of results”);

²⁶ Findings in this section are based on the analysis of projects contributing to EA(c).

- The usefulness of the Means of Verification also varies, from well defined MoVs to ones that are not really measuring the indicators;
- Project activities are, in most part, in line with PoW outputs and EAs. However, generally activities are very broadly defined (e.g. a “a campaign on ...” without, however, defining how the campaign will be undertaken, to whom it is focused etc.) making it difficult to assess how the activities will contribute to achieving the PoW outputs and EAs;
- Milestones are generally below the project output level and sometimes rather reformulated activities or outputs than milestones. Thus, they can only be used to track the progress towards outputs but not beyond, towards the higher goals. Only in very few cases, do the milestones extend beyond the completion of activities;
- In some cases, several milestones within a same project are scheduled to be met simultaneously. The simultaneity of milestones could be contributed to the fact that one project output can incorporate to several projects;
- In some cases, the projects are contributing to several PoW outputs, but only one output is defined in the Logical Framework. Causal connections to and synergies with other parts of the PoW may receive insufficient emphasis in project management, reporting and evaluation and there is a risk that the contribution will be overseen when projects are evaluated doing no justice for the project.

b) Critical success factors and risks

- In general, project documents do not properly distinguish between critical success factors (which are under control of project management) and risks (which are not); some critical success factors are prerequisites outside the control of the project (e.g. political settlement of the socioeconomic crisis of Mau, partner cooperation and commitment to the project) and should better be listed under risks. Similarly some risks are in the control of the project and should rather be listed as CSFs (e.g. Failure of post planting care program, limited interaction from key stakeholders);
- In some cases, risks are articulated at activity level and there is a dependence on other projects being completed on time, this is a pre-requisite;
- The likelihood and impact severity levels of risks might not always be appropriate;
- Means to control critical success factors are not always identified. In cases when they are, effective information sharing and communication are often listed;
- Risk management strategies are usually well identified.

c) Strategy to sustaining outcomes and benefits – intended catalytic and replication effects

- Sustainability issues are discussed in project documents and the importance is recognized. However, most of the projects do not show any explicit strategy how to sustain the outcomes and benefits. The delivery of the project objectives (POW outputs and the EA) is often seen as a critical determinant for sustainability;
- The projects generally involve various stakeholders and execute activities together with local partners. This is likely to promote sustainability;

- Most projects do not have a replication strategy, but replication is mentioned to occur through the lessons learned which will feed into activities of similar projects. Sharing of lessons learned could be used as a replication approach;
- In some cases, a communication plan is included but it is not clear in terms of means and targets (why, to whom, how).

d) Project governance model, Supervision arrangements, and Partnerships

- Project governance models are generally well defined, with roles and responsibilities specified in relation to single outputs and components. However, the relationship between HQ Divisions and Regional Offices remains, in most cases, unclear;
- The implementation of UNEP projects relies heavily on partners (Governments, Regional Organizations, and academia). The list of sub-contractor partners is generally thorough, although the level of details regarding their involvement varies from case to case. Sometimes the Project document focuses more on “who the partners are” than on “what their competencies are, what are their roles, and what are their expected contributions to the project implementation”;
- In general, partnerships are well defined, whereas stakeholder analysis is incomplete;
- Stakeholders are usually broadly defined and the analysis of their needs and assessment on how they will be affected, or how they will contribute to the project are seldom discussed;
- Some projects include the set-up of Project Steering Committees. However, there are several projects where supervision arrangements do not include SCs or similar structure.

e) Financing

- Project budget breakdowns follow the same format making them easy to compare;
- The budgets do not include budgets at the activity level, but only by component, such as training, personnel, equipment etc;
- Not all projects have a secured budget at the time of project approval.

f) Gender

- Most of project documents mentions that special attention will be paid to gender equality issues without providing sufficient details on how this will be incorporated into the planned activities and without providing any real significance to the project design;
- Some project documents describe actions focused on gender issues, e.g. development of women’s groups, building women’s capacity to participate in project implementation, and setting aside funds to support women scientist through a research attachment programme. However, the project logical frameworks do not include considerations on how these actions will be incorporated into the project design. They should be incorporated into project activities;
- Women are generally considered more as vulnerable victims of environmental changes than possible actors in the solution.

g) Capacity development and knowledge management

- All UNEP projects aim, to different extents, at developing capacities through the organization of workshops and training sessions, the production of information and tools, supporting dialogue and creating an enabling environment for policy making;
- Most projects have strong links to the Bali Strategic Plan for Technology Support and Capacity Building. In some projects, the link is articulated in the project documents and in others, the link is clear but not explicitly described;
- In general, the projects have no explicit knowledge management strategy, but knowledge management is described to occur through e-learning via internet, exchange visits etc. Some projects aim to promote linkages to existing knowledge networks. Some projects plan to undertake scientific studies, but there is no information on the use and dissemination of the results;
- South-South Cooperation is never explicitly mentioned, although some projects represent a real opportunity for it, especially with regard to knowledge sharing and distribution of experiences from adoption of best practices;

h) Monitoring & Evaluation

- Projects' M&E plan includes standard half-year financial and progress reporting. M&E plan does not take into consideration the specific characteristics of individual projects;
- Some projects include an adequate plan to conduct a baseline study, but some projects do not consider this at all;
- Indicators are generally not SMART; Milestones are generally on activity/output level but do not track progress beyond;
- Monitoring has not been budgeted. Each project has a budget line for evaluation, and the amounts vary from sufficient to insufficient.

D. SUB-PROGRAMME ON ENVIRONMENTAL GOVERNANCE

1) Sub-programme Strategy

- UNEP's Sub-programme on Environmental Governance aims at promoting "informed environmental decision-making to enhance global and regional environmental cooperation and governance". The Sub-programme has four goals, each one related to an Expected Accomplishment;

Goal	Description	EA
1. International cooperation	To help States cooperate to achieve agreed environmental priorities, and support efforts to develop, implement and enforce new international environmental laws and standards	(a) The United Nations system, respecting the mandates of other entities, progressively achieves synergies and demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements
2. Strengthened national laws and institutions	To work with States and other stakeholders to strengthen their laws and institutions, helping them achieve environmental goals, targets and objectives	(b) The capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions is enhanced

Goal	Description	EA
3. International policy setting and technical assistance	To promote the integration of environmental sustainability into regional and national development policies, and help States understand the benefits of this approach. UNEP also supports the establishment and strengthening of institutional arrangements to manage transboundary natural resources	(c) National development processes and UN common country programming processes increasingly mainstream environmental sustainability
4. Access to sound science for decision-making	To influence the international environmental agenda by reviewing global environmental trends and emerging issues, and bringing these scientific findings to policy forums	(d) Improved access by national and international stakeholders to sound science and policy advice for decision making

- The strategy for the EG Sub-programme defines the scope of the Sub-programme, its objectives, items covered, issues at stake (needs and gaps), and UNEP comparative advantages. UNEP work in this area is based on its mandates as defined by the UN General Assembly and the UNEP Governing Council (Nairobi Declaration). UNEP comparative advantages in policy formulation and institutional capacity development also derive from its mandate.
- The EG Strategy provide a quite detailed narrative on the focus on UNEP's activities under each EA and lists key intervention areas corresponding to PoW Outputs. The causal logic linking activities, PoW Outputs and EA can be derived by reading through the lines of the document, although PoW Outputs are never explicitly mentioned. The strategy does not discuss the relationship between EAs and PoW Outputs. Cross-referencing to outputs in other Sub-programmes is deferred: programmatic arrangements and responsibilities are supposed to be defined at a later stage;
- The role of partners is widely acknowledged. Inter-governmental bodies, MEA Secretariats, National Governments, UNDP and other UN bodies, research institutes are mentioned both as collaborators for operational activities and as target of (institutional and scientific) capacity development activities. Yet, the strategy does not present any overview on their expected role, nor a more detailed list of key partners is included.

2. Expected Accomplishments, Indicators of Achievements and Units of Measures

- The EG Sub-programme includes four Programme Frameworks, one for each EA. The Programme Framework Documents provide an overview of (i) the PF's EA with Indicator(s) of Achievement, PoW outputs and corresponding accountable divisions; (ii) the PF logic and its relationship with other sub-programmes; (iii) the PF structure and mention of projects contributing to the EA; (iv) a description of key actors in the field and of PF partnerships; (v) information about the geographical scope of activities; (vi) a few lines on internal management arrangements and reporting lines, and; (vii) project concepts;
- Some overall comments on the PF documents:
 - As noted in the above paragraphs on this Annex, UNEP areas of work within the EG Strategy are to a significant extent defined by its mandates. EG projects are at the core of UNEP mandate and the justification for them is mostly based on continuing work and UNEP internationally agreed areas of interventions and comparative advantage;
 - There is no discussion of the causal linkages between PoW Outputs and EAs. The PF documents present the main areas of intervention making reference to the proposed

projects, and seeing in most cases a direct contribution to EAs. Synergies and complementarities among PoW Outputs are not well reasoned upon (see, for example, the causal relationship between PoW Outputs 4a1 and 4a2 under EA(a)). Only the PF for EA(c) mentions the contribution of PoW Output 4c4 (work on trans-boundary natural resources) to PoW Output 4c1, 4c2, and 4c3;

- External partnerships to deliver the EAs are quite well spelled out: in all PF documents key actors and partners are listed, although the role they are expected to play could have been developed and explained further;
- Internal partnerships mostly refer to partnership within the UN system. Only the PF for EA(d) includes a description of the contribution from, and collaborating arrangements between, Divisions to deliver the EAs. Such arrangements are developed at project level only.
- All Indicators of Achievements quantitatively measure success through “the increased number of...” without specifying – as they should- which policies, policy issues, and organizations they refer to. Units of measure should clearly reflect this, by listing what the Expected Accomplishment targets;
- Attribution issues curtail the validity of most of the indicators and units of measure. UNEP may not always be the only/main actor behind the formulation of international and national environmental policies and laws. In addition, determining whether UNEP support has caused Governments to draft policies and legislative proposals can only be established through an evaluative approach and it is not good for accountability purposes;
- Mention of UNEP assessments and information products in other Organizations’ documents (including UNDAF) cannot be used as a proxy for mainstreaming environment in the implementation of development programmes, as it assumes a certain causality which might not be valid;
- The way EA(c) is formulated does not reflect UNEP work on institutional mechanisms to address transboundary natural resources management, which is however measured through the indicator of achievement (iv);
- The formulation of the EA(d) seems to be pitched at a too low level (improved access to sound science and policy advice).

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(a) The United Nations system, respecting the mandate of each entity, progressively realizes synergies and demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements	(i) Increased number of common environmental policies agreed upon and decided by UNEP GC/GMEF, the governing bodies of other UN agencies, the conferences of parties to multilateral environmental agreements, and their secretariats	Number of environmental policy issues targeted by UNEP that are addressed in a complementary manner by other UN agencies and MEAs	6	8	The indicator and means of measurement need to be more specific. They should specify which common environmental policy issues and which UN agencies (the most relevant). The unit of measure includes a tacit assumption that policy issues are addressed in a complementary manner are simply due to UNEP targeting them. In certain cases, some UN agencies or MEAs might be the 'prime movers' in achieving policy coherence. In any case, what constitutes 'a complementary manner' needs to be defined. The defined set of (5 – 10) policy issues should be established for each biennium – based on the environmental issues for which greater coherence is sought.
	(ii) Increased number of inter-agency partnerships and joint initiatives in the field of environment	Number of instruments spelling out roles and responsibilities between UNEP and other agencies to tackle issues of common interest in a transversal and complementary manner.	25	30	A larger number of partnerships and joint initiatives is considered better than a smaller number of the same. This may be true to a certain level, but very large numbers of different interagency partnerships / initiatives could also be indicative of a lack of coherence unless such partnerships and joint initiatives all work in a synergistic manner. The indicator could be improved if partnerships were tied to the EMG, which is a high level forum to help foster coherence across UN agencies on environment issues. The unit of measure attempts to improve the indicator by placing emphasis on the role of UNEP in such joint initiatives. The UoM would need to specify defined substantive partnerships / initiatives planned in the PoW period.
	(iii) Increased number of environmental issues addressed under the Environment Management Group, Chief Executives Board and United Nations Development Group	Number of issues addressed and decisions taken by EMG, CEB and UNDG to promote common actions that were proposed by UNEP, and implementing measures initiated by UN agencies.	6	8	The current UoM is suitable for use as the indicator for the EA.
	(iv) Increased number of coordination activities between MEA secretariats and UNEP under the umbrella of UNEP	Number of joint activities and projects	20	25	The indicator needs to be better targeted, e.g. : "The number of additional targeted coordination activities between MEA secretariats and UNEP under the umbrella of UNEP" The UoM should then become a list of five targeted joint activities and projects.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
<p>(b) Enhanced capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions</p>	<p>(i) Increased number of States undertaking initiatives to strengthen laws and institutions for the implementation of priority environmental goals and targets as agreed at the relevant United Nations summits and conferences and the conferences of parties of multilateral environmental agreement</p>	<p>Number of policies and legislative proposals drafted by Governments as a result of UNEP support.</p>	<p>12</p>	<p>16</p>	<p>This indicator appears to measure country compliance and not UNEP's performance. It should rather attempt to measure the influence of UNEP on strengthening national laws and institutions.</p> <p>The current UoM attempts to establish the link between UNEP activities and legislative proposals drafted by governments. A performance indicator that attempts to monitor UNEP's role in policy formulation is doomed to failure; the attribution issues associated with UNEP actions are considerable. Determining whether UNEP support caused governments to draft policies and legislative proposals can only be established through an evaluative approach.</p>
	<p>(ii) Increased number of international organisations that consider the policy guidance of UNEP in the area of environment, including the principles of the Bali Strategic Plan for Technology Support and Capacity Building.</p>	<p>Number of UNEP targeted international (sub-regional, regional or global) organizations that have applied UNEP guidance.</p>	<p>10</p>	<p>15</p>	<p>The IoA and UoM refer to project activities, but do not match with the EA.</p> <p>Details of the 'guidance' that is to be adopted at 'sub-regional, regional and global levels' needs to be specified. If such 'guidance' varies according to the levels, then the UoM should specify the guidance that is to be adopted at each of the levels.</p>

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(c) National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in their implementation	(i) Increased number of national development policies and other national policy instruments containing policy elements to address environmental dimension of sustainable development	Number of countries requesting support from UNEP with national development plans and strategies that include environmental sustainability.	18	25	It is difficult to assess UNEP's contribution to national development policies and other national policy instruments. The indicator does not measure the result of UNEP's intervention, but perhaps the cumulative effect of many actors. It is not a good indicator for accountability purposes. The UoM is actually an indicator at the input level – requests for UNEP support are being taken as a proxy for policy influence. This assumption may not be justified.
	(ii) Increased reference to all UNEP-supported national and sub-national environmental assessment in appropriate development plans including UN Common Country Assessment plans and UN Development Assistance Frameworks	Percentage of UNCCA / UNDAF incorporating references to environmental assessments supported by UNEP	36	52	The indicator attempts to measure the influence of UNEP on UNCCAs and UNDAFs. However, it is questionable whether a reference to UNEP environmental assessments in planning documents provides sufficient evidence that environmental sustainability has been mainstreamed into implementation as the Expected Accomplishment requires. From the UoM, targets and baselines, it is implied that these are total numbers for both UNCCAs and UNDAFs. This needs to be clearly specified along with intended target countries.
	(iii) Increased percentage of United Nations development assistance frameworks in countries where UNEP has intervened incorporating environment as a key component	Number of UNDAFs incorporating environment in countries where UNEP intervened	36	52	The indicator is similar to (ii) above. It captures UNEP influence on the UNDAF planning process, but the tacit assumptions are that a) the environment components of the UNDAF would not be there without UNEP involvement and b) that there is certain causality between reference in the UNDAF planning document and actual implementation. These assumptions may not be valid.
	(iv) Increased number of mechanisms to address competing interests over shared natural resources and transboundary environmental issues in countries targeted by UNEP	Number of inter-sectoral policy dialogues convened by UNEP to discuss competing interests over natural resources	2	4	The indicator and UoM seem to imply a focus on national governments more than UN common country programming processes. The indicator needs to specifically define which two mechanisms UNEP intends to help put in place during the biennium and in / between which target countries. The UoM is actually an indicator at the output level. UNEP could 'convene an inter-sectoral policy dialogue', and this would be captured in such an indicator, without there being any policy agreement and actual implementation. It is not clear who would participate in such policy dialogues.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(d) Improved access by national and international stakeholders to sound science and policy advice for decision-making	(i) UNEP-led or UNEP-supported environmental assessments have undergone a multi-stakeholder peer review and contain a summary for policymakers	(i) Percentage of integrated environmental assessments peer reviewed by external multi-stakeholders	85	90	The EA, indicator and UoM are focused at an output level. It is expected that UNEP will publish sound advice for decision making that has undergone peer scrutiny. In contrast to many of UNEP's EAs and associated indicators, this one is pitched at a too low a level.
	(ii) Increased number of visits to and downloads of UNEP-led or UNEP-supported environmental assessment reports on the UNEP website	(ii) Number of web visits to and downloads from users external to UNEP of integrated environmental assessments reports	135,000	150,000	There is an assumption that those visiting the web-page are policy makers or groups active in policy processes. This is unlikely. Whilst the number of web visits and downloads from UNEP websites may be indicative of the general relevance and utility of UNEP's integrated environmental assessment reports, any casual linkage to policy decision making is weak. Such influence could only be established through evaluative approaches.

3. Sub-programme Frameworks and Programme of Work Outputs

UNEP's Sub-programme on Environmental Governance is arranged around four frameworks, one for each Expected Accomplishment, and each articulated into a number of Programme of Work (PoW) outputs.

4. Programme Framework 1 – EA(a)

Expected Accomplishment	PoW output	Project
The United Nations system, respecting the mandate of each entity, progressively realizes synergies and demonstrates increasing coherence in international decision-making processes related to the environment, including those under multilateral environmental agreements	(i) Emerging environmental problems of broad international significance and existing gaps in environmental regimes will be identified by the Governing Council based upon environmental assessment and analytical inputs	Global environmental agenda setting to strengthen international cooperation in the field of environment
	(ii) Policy guidance to set the direction and improve the coordination of actions on issues identified by the Governing Council is considered in other intergovernmental deliberations (GA and 3 UN bodies or conferences of parties to multilateral environmental agreements)	
	(iii) UN entities and UN inter-agency bodies consider general policy guidance of the UNEP Governing Council and findings of major international environmental assessments in the design and delivery of their interventions through the Environment Management Group, the Chief Executives Board and the UNDG (3 UN entities and/or inter-agency bodies)	
	(iv) The needs and activities of multilateral environmental agreements and their secretariats are supported through advanced cooperative mechanisms (two arrangements)	Support for multilateral environmental agreements
	(v) Environmental priorities of multilateral environmental agreements are identified and mainstreamed to ensure coherence across the UN system (four thematic areas)	
	(vi) Effective policy exchange and development and priority setting by countries are supported through regional ministerial and other environmental forums (four forums)	Support to regional and sub-regional ministerial forums for policy exchange and priority setting

- The way EA(a) is formulated neglects the lead role UNEP is expected to play in setting the global environmental agenda, and focuses only on synergies and coherence among UN bodies. In addition, it does not reflect UNEP policy work with inter-governmental bodies other than UN (e.g. African Union, G8, G20) and regional bodies;
- PoW Output (i) is set at lower level than PoW Output (ii) and (iii), and it is actually conducive to their realization;
- PoW output (vi) is not reflected in any Indicator of Achievement for EA(a). It is worth noting that the only project so far approved by PRC falls under the umbrella of PoW Output (vi). The lack of inclusion of this PoW among EA(a) IoA has important implications in terms of monitoring results;
- PoW outputs are vague about which institutional arrangements, fora, thematic areas UNEP work in the biennium 2010-11 intends to focus on;
- As there is a one-to-one relationship between projects and PoW output, indicators for PoW and project success coincide. As these projects are multi-component, it would have been advisable in some cases to break down project outputs more;

- Quantitative indicators (number of) for PoW outputs do not capture the quality of support to inter-governmental bodies and institutional mechanisms. In particular, the indicator used for PoW/project output (i)²⁷ does not allow measuring the quality of UNEP support to the GC in terms of environmental information for decision making. Similarly, indicators for PoW/project outputs (iv) and (v) are not conducive to assess the relevance of UNEP support to MEAs Secretariats' needs;
- It is not clear how many regional and sub-regional ministerial fora UNEP has planned to support in this biennium (four to six, according to different sources);
- As of May 2011, only the “Support to regional and sub-regional ministerial forums for policy exchange and priority setting” project has been approved by the PRC.

a) Programme Framework 2 – EA(b)

Expected Accomplishment	PoW output	Project
Enhanced capacity of States to implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions	(i) National and international environmental law and institutions are strengthened through the implementation of the fourth Programme for the Development and Periodic Review of Environmental Law [five issue areas]	Enhancing States' capacity to strengthen and implement environmental law
	(ii) Legal and policy instruments are developed and applied to achieve synergy between national and international environment and development goals [six countries; one sub-region]	
	(iii) Countries' legislative and judicial capacity to implement their international environmental obligations is enhanced through implementation of policy tools [three regions, focusing on developing countries and countries with economies in transition]	
	(iv) Capacity of government officials and other stakeholders for effective participation in multilateral environmental negotiations is enhanced [three regions, focusing on developing countries and countries with economies in transition]	
	(v) Inter-sectoral and inter-governmental forums for policy dialogue between major groups and multiple sectors of Governments on emerging environmental issues are facilitated [four forums]	Engaging major groups for policy dialogue

- The first four outputs (corresponding to the project “Enhancing States' capacity to strengthen and implement environmental law”) appear to be in line with the EA;
- The “Engaging major groups for policy dialogue” project seems to have ultimate objectives other than the strengthening of capacities of States and reinforcement of laws and institutions. As the PRC noted, the project looks like a mixture of services the Major Groups Branch can provide. It aims to enhance inter-sectoral policy dialogue at global level, enhance the participation of major groups in events such as the “Global Major Groups and Stakeholders Forum”, and produce/facilitate the implementation of guidelines for promotion of partnerships. The link with EA(b) is not clear;
- The two projects show significant overlaps with other EG projects (e.g. between the outreach activities for major groups and the communication stand-alone activity);

²⁷ The “number of environmental policy issues targeted by UNEP that are addressed in a complementary manner by other UN agencies and MEAs

- Focus on specific areas, inter-governmental fora and selected countries remains unclear. Here too, quantification is not conducive to adequately measure the relevance and quality of UNEP support to countries and institutional mechanisms;
- As of May 2011, the “Enhancing States’ capacity to strengthen and implement environmental law” project was not yet approved by the PRC.

a) Programme Framework 3 – EA(c)

Expected Accomplishment	PoW output	Project
National development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in their implementation	(i) The capacity of UNCTs to integrate environmental sustainability into UNDAF and other national planning processes is strengthened through provision of environmental information and data (20 UNCTs in One UN pilot and roll-out countries)	Integrating environmental sustainability issues into UNDAFs and UN common country programming processes
	(ii) Environmental sustainability is fully integrated into UNDAF (5 countries)	
	(iii) Environmental sustainability is integrated into national and sectoral development planning processes (8 national processes);	UNDP/UNEP Poverty Environment Initiative
	(iv) Regional and subregional institutional arrangements are facilitated to address common interests in shared natural resources and transboundary environmental issues in accordance with priorities and strategies identified by the relevant regional or sub-regional intergovernmental bodies and forums, or by the countries concerned	Institutional arrangements for the governance of shared natural resources and transboundary environmental issues

- As noted above, there is an implicit assumption that integrating environmental sustainability issues into development planning will entail mainstreaming in implementation. This may be valid for UNDAFs, as one of the objectives of the project “Integrating environmental sustainability issues into UNDAFs and UN common country programming processes” is to “provide support to Governments and UNCTs to develop UNDAF results matrix containing specific outcomes/outputs on environmental issues”. The next PoW should focus on follow-up work, i.e. working through UNCTs to ensure that environment is mainstreamed in the implementation of sustainable development projects;
- The indicators for PoW outputs 431 and 432 (project 1) are Indicators of Achievement for EA, which were actually set at output level;
- The quality of UNEP support to the development of UNCTs’ capacities is measured through the “number of UN country analyses or UNDAFs referring to UNEP-supported environmental assessment and related data and information”. The quality and use of other forms of support (UNDG guidance note and training) to UNCTs will be measured through survey reports but they won’t be reflected in the indicator “number of training courses to UNCTs delivered with the support of UNEP” and “number of UNDG guidance notes rolled out”;
- UNEP technical support to implement and deliver specific environment outputs is only measured in terms of seed funds disbursed in the biennium. Ongoing contribution to UNCCP implementation is measured through other EAs, as relevant. However, the amount of seed funds disbursed cannot be used as a proxy for the quality of UNEP technical support to implementation;

- There is no coherence in the number of target UNCCA/UNDAF: 16 according to the MTS, 20 according to the Programme framework document;
- PoW output (iv) is not reflected in the formulation of the EA, but measured through Indicator of Achievement (iv). As elsewhere, Indicators of Achievement at PoW and project output level do not measure the quality of UNEP support to policy dialogues and the legal/policy services provided.
- As of May 2011, two out of three projects have been approved by the PRC. The USD 33 million PEI project does not appear in the Programme Framework any longer. In the absence of a published PEI project document, EO cannot comment on PoW output 3.

c) Programme framework 4 – Expected Accomplishment D

Expected Accomplishment	PoW output	Project
Improved access by national and international stakeholders to sound science and policy advice for decision-making	(i) Global, regional, sub-regional and thematic environmental assessments, outlooks, indicator reports, and alerts produced, communicated and used by decision-makers and relevant stakeholders in decision making in national and international policy processes	Fifth GEO integrated environmental assessment Regional, sub-regional, and thematic environmental assessments, outlooks, alerts and indicator reports Outlook reports on the State of Marine Biodiversity in the Regional Seas ²⁸
	(ii) Multi-disciplinary scientific networks more strategically connected to policy makers and development practitioners to integrate environment into development processes (six networks)	Multidisciplinary networks to integrate environment into development processes
	(iii) Institutional and technical capacities of Governmental and partner institutions in environmental monitoring, assessment and early warning demonstrated to support national decision-making (20 countries)	Regional-level and national-level capacity building in the area of environmental monitoring, assessment and early warning to support international decision-making

- PoW outputs (i) and (iii) are set at a higher level than the EA, for the first goes as far as information not only being accessible to decision makers and stakeholders but also used, while the third refers to the development of capacities of Governmental and partner institutions, to which the improved access will ultimately contribute;
- It is not clear what “demonstrated” in the formulation of PoW Output (iii) actually means;
- The Fifth GEO report will be finalized in 2012 and, as such, it will contribute to the achievement of PoW output (i) only to a certain extent. Project activities include up-reach and communication to specific target audience, which - according to the current Prodoc – will not be measured through any indicator;
- The scattered objectives of the project “Regional, sub-regional and other thematic environmental assessments, outlooks, alerts and indicator reports” – one for each of the 13 outputs – are well in line with PoW output (i);
- The objectives of the project “Outlook reports on the State of Marine biodiversity in the Regional Seas” rather go beyond the PoW output (i) – with which they fit – as they more broadly include various forms of support to the Regional Seas Programme. Some of the project outputs should be also linked to PoW output (iii). In addition, measuring the quality

²⁸ Not in the original Programme Framework

of the “the recommendations on policy responses contributing to the conservation of marine biodiversity in the regions” through “the number of countries initiating actions in accordance with recommendations” will require an evaluation approach;

- As of May 2011, the project “Multidisciplinary networks to integrate environment into development processes” has not been presented yet to the Project Review Committee.
- The “Corporate communications, outreach and branding” stand-alone activity has been inserted, following advice by the PRC, under this Programme Framework, contributing to PoW Output (i)²⁹. The activity however aims at providing communication and public information support for the implementation of the whole Sub-programme and repackaging the information on Environmental Governance for use by the GC, the governments, and other external partners and stakeholders (EA(a)). This activity also intends to develop an institutional identity to position UNEP as the principal body of the UN in the field of environment and in support of its mandate to serve as an authoritative advocate for the global environment. As such, the activity should better be seen a cross-cutting service to UNEP. There is a risk of duplication in monitoring communication results;
- The activity document mentions “effective corporate communications, outreach and branding to key audiences” as an outcome, together with the EA. Corporate communication is a conducive factor for improving access by stakeholders to information (EA(d)). However, its role in forging partnerships and strengthening UNEP position is measured at a project output level, using indicators at wrong level. Finally, the activity objective “processes for internal and external communication are strengthened” should not be measured only in terms of “awareness of UNEP’s key messages” but also looking at the other side, i.e. how DCPI work serves the Organization objectives and activities.

5. Summary of findings and trends across project documents³⁰

a) Project design and quality of log-frame (including performance indicators)

- With few exceptions, project activities are in line with PoW outputs and Expected Accomplishments. However, the link between project outputs and PoW outputs/Expected Accomplishments is not always clear and straightforward;
- The log-frame template considers both PoW outputs and EA as project outcomes: some project outputs are directly linked to PoW outputs, others are set at higher level. The Theory of Change behind the project design has been seldom considered;
- Project outputs should be more realistic, in terms of what UNEP is able to deliver and the time needed to achieve the objectives;
- Milestones are defined only for project activities, and mostly coincide with the last step in the production of outputs;
- Activities and target number are often not consistent throughout the project document;
- Performance indicators are in some cases linked to outputs UNEP is not responsible for; in other cases, they are not measurable in the project time frame (e.g. adoption of policy recommendations in national development planning documents);

²⁹ The activity had originally been inserted under the Programme Framework 1 – Expected Accomplishment A.

³⁰ Findings in this section are based on the analysis of projects contributing to EA(c) and (d), excluding the stand-alone activity on Corporate Communication.

- Performance indicators related to the production and distribution of information products are generally well defined. However, they are mostly quantitative measures and they do not usually assess the quality (timeliness and relevance) of support provided nor the actual enhancement of capacities of stakeholders.

b) Critical success factors and risks

- Project documents do not properly distinguish between critical success factors (which are under control of project management) and risks;
- Critical success factors are generally well identified and appropriately addressed. Primary challenges that projects have to face are: unavailability of most of project financial resources at the time of approval; inter-organizational collaboration among HQ Divisions and between them and Regional Offices; UNEP engagement in activities at country level; adequate involvement of partners.
- Risks are rather related to external circumstances, such as financial stability and political will.
- The incapacity of partners to deliver is sometimes mentioned among the risks/critical success factors. Few project documents however mention any binding clause in contracts as risk mitigation strategy. Enough time devoted during the project planning phase to carefully select partners is likely to significantly reduce the risk of poor delivery.

c) Strategy to sustaining outcomes and benefits – intended catalytic and replication effects

- Most of the projects do not show any explicit strategy to sustaining outcomes and benefits. Information products are sometimes presented to stakeholders in workshops, after which results at policy and decision-making levels are expected to follow;
- Strong and continuous involvement of the stakeholders, training of Trainers (ToT) and steady work over time with selected institutional arrangements all work for capacity development, sustainability and replication;
- Exit strategy and handover to national partners are almost never thought out. UNEP is however considering moving towards a more continuous review of the state of global environment (UNEP live platform), with continuing data collection and longer-term collaboration with partners.

d) Project governance model, Supervision arrangements, and Partnerships

- Project governance model are generally well defined, with roles and responsibilities specified in relation to single outputs and components. As noted in the critical success factors section, the relationship between HQ Divisions and Regional Offices remains critical and often not defined in details, as demanding are the tasks assigned to Regional Offices given the limited availability of resources;
- Project managers are responsible for activities' delivery and project coherence. As projects often include different and un-related components, the role of project managers is more that of administrative supervisors;
- Supervision arrangements do not include the set-up of Project Steering Committees;
- The implementation of UNEP projects relies heavily on partners (Governments, Regional

Organizations, and academia). The list of partners is generally thorough, although the level of details regarding their involvement varies from case to case. Sometimes the Prodoc focuses more on “who the partners are” than “what their role in, and expected contribution to, project implementation will be”. In the case of UN joint activities, how the UNEP is going to collaborate with other UN resident agencies in countries is not much detailed.

- Stakeholders are usually broadly defined: the analysis of their needs and how they are going to be affected/contributed to the project are seldom analysed.

e) Financing

- As noted above, the capacity to mobilize adequate funding for the implementation of project activities is the main critical success factor. Some of the projects have opened budget lines with minimum amounts (e.g. 100/200 USD), in the hope that funds will be raised;
- Most of project budgets have been revised and significantly curtailed (as much as 50%) after PRC revision. In some cases, it is not clear how the budget reduction affected the scope of the project and/or the prospective effectiveness of some of the activities;
- Some budget proposals do not include a line for communication and project outputs' dissemination activities.

f) Gender

- Most of project documents mentions that attention will be paid to gender equality issues, in data collection/analysis and policy formulation, without any detail being provided though. It sometimes looks like gender is paid lip-service;
- Women are generally considered more as vulnerable victims of environmental/climate changes than possible parts of the solution. Gender balance within project team(s) is thought to be a solution for gender-sensitive decision making, which may not be necessarily the case.

g) Capacity development and knowledge management

- All UNEP projects aim, to different extents, at developing capacities through the organization of workshops and training sessions, the production of information and tools, supporting dialogue and creating an enabling environment for policy making;
- The Bali Strategic Plan for Technology Support and Capacity Building is briefly mentioned in most of the project documents, although how the project will contribute to it is seldom made clear;
- South South Cooperation is never explicitly mentioned, although UNEP projects represent a real opportunity for it, especially with regard to sharing experience among science networks;
- The majority of the projects aiming at producing sound science for policy making plan to disseminate information products through workshops and conferences. However, as noted above, most projects (with the notable exception of GEO5) lack a thorough Knowledge Management strategy, including details on how project management expects information products to be used by policy makers;
- Replicability concerns are seldom reflected in project documents and budgets. In a few cases, lessons learnt papers are produced and distributed to interested stakeholders. For replicability, significant attention should also be put on the involvement of stakeholders in data collection and analysis.

h) Monitoring & Evaluation

- Projects' M&E plan includes standard half-year financial and progress reporting. Monitoring is done against milestones, which in most cases coincide with the completion of a project activity. Monitoring is included among project management activities, and – as such – it is not budgeted;
- Almost no projects include a baseline study or a capacity needs assessment. Only in the case of the “Integrating environmental sustainability issues into UNDAFs and UN common country programming processes “ project, a previous external review of UNDAFs is said it will be used as baseline;
- Mid-term evaluations are planned for the majority of projects, but – as it happens with terminal evaluations – they are seriously under budgeted.

E. SUB-PROGRAMME ON HARMFUL SUBSTANCES AND HAZARDOUS WASTE

1. Sub-programme Strategy

UNEP's Sub-programme on Harmful Substances and Hazardous Waste aims at minimizing the impact of harmful substances and hazardous wastes on the environment and human beings so that, in line with the objectives of the Johannesburg Summit, by 2020 chemicals are produced and used in ways that lead to the minimization of significant effects on human health and the environment.. The Sub-programme has four goals, three of which are related directly to an Expected Accomplishment.

Goal	Description	EA
1. Awareness raising, outreach and communications	With a view to assist countries in raising awareness at local and national levels and increase their capacities for sound management of chemicals and hazardous waste within a life-cycle approach, UNEP with relevant MEA Secretariats will strengthen the capacity of its regional office to carry out its regional support activities.	(a) States and other stakeholders having increased awareness, capacities and financing to assess, manage and reduce risks to human health and the environment posed by harmful substances and hazardous waste;
2. Sound science for decision-makers: early warning, monitoring and assessment	To support the development and implementation of coherent international actions on sound management of chemicals and waste and in pursuit of its leading role in setting the international environmental chemicals and waste agenda, UNEP, in close cooperation with relevant MEAs and relevant Divisions such as DEWA, DEPI and DTIE and international scientific bodies will provide its scientific and technical services at the international community. In addition to the delivery of a global outlook on harmful substances and hazardous waste, UNEP will continue to provide the necessary secretariat management support to the SAICM process and its related regional networks. UNEP will also focus its scientific and technical related actions and services on reaching out Small and Medium sized Enterprises (SMEs) through its partnerships with main business and industry associations to address the issue of chemicals in products through the supply chain and to promote further corporate social responsibility. UNEP will finally concentrate its efforts on providing a coherent set of scientific and technical tools and guidelines.	(b) Coherent international policy and technical advice provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices;

Goal	Description	EA
3. Capacity building and technology support: Bali Strategic Plan to better meet the needs of governments and partners;	To support the development, evolution and implementation of internationally agreed chemical management regimes and in line with its recognized role in facilitating international negotiations, consensus and in developing global policy frameworks and internationally agreed regimes, UNEP in close cooperation with relevant MEAs, as well as DELC, DRC, DEPI and DTIE will, in addition to mobilizing intergovernmental negotiation and international actions aiming at minimizing the availability, accessibility and use of mercury, focus its work on providing needed information, tools and methodologies for addressing and controlling chemicals and waste covered by MEAs and facilitating coordinated actions at national and regional levels. To further address adequately emerging issues and to support further countries in controlling chemicals and waste of global concern, it will provide a One UNEP facilitated network of information sources on specific and emerging issues.	(c) Appropriate policy and control systems for harmful substances of global concern and trans-boundary movement of hazardous waste are developed, in place and enforced in line with States' international obligations and effective implementation of policies and regulations to curb illegal movement and indiscriminate dumping of hazardous waste.
4. Cooperation, coordination and partnerships	Cooperation with intergovernmental Organization (IGOs) should continue under the auspices of the Inter-organization Programme for the Sound Management of Chemicals (IOMC). At present the capacity of UNEP is not sufficient to ensure delivery of the plan, and UNEP will investigate the possibilities to establish partnerships at different levels to catalyze innovative efforts and address priority issues in international chemicals management. Based on the recommendations provided by the Senior Chemicals Expert Group, UNEP will also strengthen and develop partnerships with government, IGOs, private sector and NGOs with a view to increase the effectiveness of the delivery of its various functional tasks ranging from scientific assessments to policy implementation ones, through normative and capacity building related ones.	Consolidate and develop strategic partnerships with other IGOs, countries and stakeholders based on the recognition of UNEP as a technical, policy and educational action partner that is reliable and valuable in implementation efforts

2. Expected Accomplishments, Indicators of Achievements and Units of Measures

- The indicators are clearly linked to the expected accomplishment even though the Expected Accomplishments, in some cases, are not clearly defined. For example, it is not clear who other stakeholders might be. Sound management in the indicators for expected accomplishment a) needs to be defined. The Unit of measure does not reflect what the indicator is designed to measure.
- The number of networks established to support sound management of chemicals does not necessarily translate into increased capacities to assess, manage and reduce risks to human health and the environment posed by the release of hazardous chemicals. At best, it is a very indirect measure.
- There is a problem of attribution in indicator a) (iv); the number of market-based incentives and trade policies would need to be those that have such incentives and policies as a result of UNEP's intervention. What constitutes "environmentally friendly approaches"? To determine that UNEP's activities indeed led the establishment of market-based incentives and trade policies would require an evaluation. Do countries that promote one environmentally friendly approach and those who promote multiple approaches have the same weight and count as one?

- In EA(b)(i) it is not clear what types of guidelines and tools will be developed and what other “stakeholders” mean. This makes the indicator quite vague. Again do countries that apply one tool and those that apply multiple tools have the same weight? Indeed, the indicator should perhaps be stated in terms of the percentage of governments targeted by UNEP that applied a specific (or defined set) of UNEP derived guidelines
- Indicator EA(c)(i) while a good measure for the Expected Accomplishment should have explained what “being addressed at the global level” meant. To the extent that the Chemicals being on the international agenda were placed there on the initiative of UNEP, the indicator would be a satisfactory measure of the Expected accomplishment.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(a) Increased capacities and financing of States and other stakeholders to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste	(i) Increased number of countries and stakeholders demonstrating progress in implementing sound management of chemicals and hazardous waste, including having identified their needs in infrastructure strengthening	Number of countries and private sector that report to have strengthened policies, practices or infrastructure for sound management of chemicals and hazardous waste through the SAICM reporting process.	70	100	The indicator is vague, the terms 'other stakeholders' and 'sound management' need to be clearly defined. The indicator focuses on implementation of sound management of chemicals and hazardous waste which seems quite closely linked to the EAs intent of reducing risks to human health and the environment. The UoM for the EA indicator needs to be revised. Currently, the UoM is also formulated as an indicator. However, this indicator focuses on the number of private sector entities or countries reporting to have improved their policies, practices or infrastructure for sound chemicals and hazardous waste management. The 'UoM indicator' is therefore a much more indirect measure of the EA than the current EA Indicator.
	(ii) Increased number of project proposals from countries and other stakeholders having successfully been submitted to Strategic Approach to International Chemicals Management Quick Start Programme for funding of enabling activities for its implementation.	Total amount of project funding approved under Quick Start programme.	18 million US\$	30 million US\$	The EA indicator captures the role of UNEP (and the other SAICM partners) in approving funding for enabling activities. This is more of an output measure as the role of UNEP (apart from its SAICM Secretariat duties) is to jointly review and approve projects and allocate SAICM resources. The tacit assumption is that all approved budgetary allocations will yield benefits through better assessment, management and reduction of risks to human health and the environment from chemicals and hazardous waste. This assumption is rather optimistic.
	(iii) Increased number of UNEP supported subregional, regional and global networks (involving Governments and other stakeholders) established in support of sound management of chemicals and hazardous waste.	Number of networks Number of countries and private sector participating in UNEP supported networks	13 200	15 250	There is no clear linkage between the indicator and the expected accomplishment. The number of networks is not an indication of improvement in capacities to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste. The activities of networks may indirectly contribute to the EA.
	(iv) Increased number of countries that have market-based incentives and trade policies promoting environmentally friendly approaches and products aiming at reduced releases and exposures to harmful chemicals and hazardous waste.	Number of joint activities and projects Number of countries that have adopted incentives / policies.	33	43	The problem of attribution arises again; market-based incentives and trade policies that are 'counted' would need to be those that have such incentives and policies as a result of UNEP's intervention. "Environmentally friendly" approaches need to be clarified and defined. Counting countries is not sufficient as the difference between countries which are able to promote one environmental product as opposed to countries which are able to promote multiple environmental friendly products, needs to be made. To establish that UNEP action did indeed lead to the desired 'market-based incentives and trade policies' would require an evaluative approach.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(b) Coherent international policy and technical advice is provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices	(i) Increased number of Governments and other stakeholders applying UNEP guidelines and tools providing scientific and policy advice on assessment, management, replacement of hazardous chemicals and waste management.	Number of governments and private sector applying UNEP's policy advice, guidelines and tools.	50	80	It is necessary to identify and specify which key guidelines and tools, and build the indicator around them. It is also necessary to specify who the stakeholders are. Again, it may also occur that one country may apply multiple UNEP guidelines and tools, and another other only one. As measured by the current indicator however, they will both be counted as 'one' despite the differing levels of UNEP influence. The second UoM is an output measure.
		Number of guidelines.	8	12	The indicator might be articulated in terms of the percentage of governments targeted by UNEP that applied a specific (or defined set) of UNEP derived guidelines. Targeted countries should be specified in the UoM.
(c) Appropriate policy and control systems for harmful substances of global concern are developed and in place in line with States' international obligations and the mandate of each entity	(i) Increased number of chemicals of global concern being addressed at international level	Additional hazardous substance put on the international chemicals agenda.	12	3	The indicator needs to specify the meaning of 'being addressed at the international level'. This indicator is otherwise a good measure for the EA, however, the tacit assumption is that any new hazardous substance is attributable to UNEP. That UNEP caused the hazardous substance to be addressed at the international level can only be established through evaluative studies. Whilst this indicator is fairly easy to measure and monitor, it does not necessarily capture the performance of UNEP. The baseline exceeds the target?
	(ii) Increased number of countries with policies and control systems in place for implementing their international obligations with regard to harmful chemicals and waste.	(i) Number of relevant international instruments and voluntary frameworks addressing global chemical and hazardous waste issues facilitated by UNEP. (ii) Number of governments having ratified, acceded, accepted, approved or adopted relevant international instruments. (iii) Number of governments having reported on progress in implementation of relevant international instruments with UNEP support.	7	8	Indicator (i) is a good measure of UNEP contributions to the EA Number (ii) is a good indicator for the EA but the attribution to UNEP actions is uncertain. This could only be established through evaluation. The indicator, whilst measuring progress towards the EA, does not necessarily measure UNEP's performance. Indicator (iii) needs only a minor adjustment to better capture UNEP performance with respect to the EA. 'Number of governments reporting progress in implementation of relevant international instruments and acknowledging UNEP support in making such progress.
			428	936	498

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
	(iii) Increased number of measures set in place to improve synergies between the MEAs relating to chemicals and waste.	Number of UNEP facilitated activities promoting synergies in the implementation of MEAs at national and regional level		100	The EA indicator includes a tacit assumption that ever more measures will improve synergies; the additional target number is 30. The UoM is an alternative indicator pitched at the activity level. Presumably the baseline and target are with respect to the 'UoM indicator'. The original EA indicator faces attribution challenges; to establish whether new measures set in place between MEAs relating to chemicals and waste do indeed promote synergies requires an evaluative approach. Monitoring the number of new approaches does not necessarily measure 'synergy gains' or UNEP's role in introducing such new approaches.

3. Sub-programme Frameworks and Programme of Work Outputs

UNEP's Sub-programme on Harmful Substances and hazardous Waste is organized as 3 programme frameworks, one for each Expected Accomplishment, with a total of 17 Programme of Work (PoW) outputs.

a) Programme Framework 1 – Expected Accomplishment A

Expected Accomplishment	PoW output	Project
Increased capacities and financing of States and other stakeholders to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste	(i) Integrated guidance and financial instruments for mainstreaming management of harmful substances and hazardous waste in development policies are tested in pilot projects [ten countries in least developed countries and small island developing States]	Integrated guidance and financial instruments for mainstreaming and support to national programmes to manage substances and hazardous waste
	(ii) National programmes and inventories to assess and manage harmful substances and hazardous waste are implemented [seven countries in Africa, Asia and the Pacific, Latin America and the Caribbean and West Asia].	
	(iii) National and regional information networks are established and demonstrated to support regional-level actions on chemical-related priority issues [three regional initiatives].	Building capacities for environmentally sound production and use of chemicals; tools, methodologies and strategic frameworks
	(iv) Technical tools, methodologies and strategic frameworks for environmentally sound production and use of pesticides and industrial chemicals are tested [seven countries in southeast Asia, Central Asia, Latin America and the Caribbean and West Asia].	
	(v) Small and medium-sized enterprises are reached through partnerships with business and industry associations to improve the sound management of harmful substances, chemicals in products and hazardous waste	SME partnerships for sound management of harmful substances and hazardous waste

- In general, the labelling of the projects does not coincide with the PoW outputs they are designed to deliver. For example, Project 51-P4 was designed to directly deliver PoW output 515 and should have been labelled Project 51-P5 to avoid confusion.
- Only 3 of the five projects designed to deliver this Expect Accomplishment had been approved as of May 2011.
- The National Programmes designed to build the capacities of states to assess and manage hazardous substances had not been approved. This project would have contributed quite directly to the achievement of the EA which sought to increase the capacities of states to assess and reduce risks to human health and environment from hazardous substances.

b) Programme Framework 2 – Expected Accomplishment B

Expected Accomplishment	PoW output	Project
(b) Coherent international policy and technical advice is provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices	(i) The SAICM process receives adequate secretariat support, administration of the Quick Start Programme and support to regional networks.	a) Criteria and methodology of technology assessment. b) Compendium of technologies including case studies on a) destruction of hazardous waste from healthcare facilities; b) treatment and destruction of used oils and solvents tested in case study countries c) Support provided to countries for assessing and identifying technologies for the destruction of healthcare hazardous waste based on outputs A and B d) Support provided to countries for assessing and identifying technologies for the destruction of waste oil based on outputs A and B.
	(ii) Global assessments of policies and trends with respect to harmful substances and hazardous waste to inform policy makers of potential health and environmental risks and benefits are linked to use of chemicals and generation of waste products.	
	(iii) Methodologies in chemical risk assessment are adapted to specific national environmental and socio-economic circumstances [five agriculture-dependent economies and five rapidly growing industrial countries].	
	(iv) Coherent scientific and technical guidelines on the management of harmful substances throughout their life cycles are developed and tested with other intergovernmental organizations [three agriculture-dependent economies].	
	(v) Tools and methods for monitoring, evaluating and reporting progress in sound life-cycle management of harmful substances and hazardous waste are developed and tested [three countries].	

- The projects are generally designed to deliver Pow outputs that contribute to providing technical advice to states to manage hazardous substances and waste in a sound manner through better technology and best practices.
- However, projects which contribute to delivering PoW output 524 were designed for the health and industrial sectors and not for agriculture as stated in the PoW output
- An indicator which addresses the quality of the guidelines would have been useful

c) Programme Framework 3 – Expected Accomplishment C

Expected Accomplishment	PoW output	Project
Appropriate policy and control Systems for harmful substances of global concern are developed and in place in line with states' obligations.	(i) An international framework for action to minimize the availability, accessibility and use of mercury is developed.	UNEP Global Mercury programme
	(ii) Options are identified for addressing and managing chemicals, waste and related issues of multi-country, regional and global concern	Addressing risks posed by exposure to lead and cadmium
	(iii) Tools and methodologies for monitoring and controlling chemicals and waste covered by multilateral environmental agreements are tested and transferred [four countries in Africa, Asia and the Pacific, Latin America and the Caribbean and West Asia].	
	(iv) A combined technology and early warning information network on specific and emerging issues is developed and applied by countries in controlling chemicals and waste of global concern [four countries].	
	(v) Partnerships of regional and international enforcement bodies and organizations are developed and demonstrated to combat environmental crime involving substances of concern at the national level [four countries].	Combating environmental crime involving harmful substances and hazardous Waste
	(vi) The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer are subjected to tighter control.	Managing harmful substances and hazardous Waste through the Global Programme of Action in Support of Regional Seas Agreements
	Communication and information materials are developed and disseminated to raise awareness and mobilize action on the environment and health risks of harmful substances and hazardous substances.	

- While this evaluation recognizes that the projects designed under this expected accomplishment contribute to multiple PoW outputs the numbering of the projects should have made it easier to identify which Pow output the project most directly contributes to. For example Project 53-P-4 contributes to PoW output 532, 533,535 and 536. However, it most directly contributes to output 535 and could have been written as Project 53-P-5 to avoid confusion. Indeed it does not contribute to output 534 in any significant way.
- Of the seven PoW outputs 4 projects were approved. Tools and methodologies would have been covered by projects under EA(b). It does not appear as if a project to establish technology and early warning information networks was developed.
- As noted under EA(b) the Indicators of Achievement at PoW and project output level do not measure the quality of the tools, methodologies and guidelines produced.

4. Summary of findings and trends across project documents³¹

a) Project design and quality of log-frame (including performance indicators)

- With few exceptions, project activities are in line with PoW outputs and Expected Accomplishments. However, the link between project outputs and PoW outputs/Expected Accomplishments is not always clear and straightforward;
- The log-frame template considers both PoW outputs and EA as project outcomes: some project outputs are directly linked to PoW outputs, others are set at higher level. The Theory of Change behind the project design has been seldom considered;
- While PoW output 52-P-4 focuses on “Methodologies in chemical risk assessment are adapted to specific national environmental and socio-economic circumstances [five agriculture-dependent economies and five rapidly growing industrial countries]” the project itself delivers assessment guidelines for health waste and destruction technologies for waste mineral oils. The projects therefore do not seem to be aligned with the PoW output.
- Project outputs C & D are stated as activities – e.g. Support provided to countries for assessing and identifying technologies for the destruction of healthcare hazardous waste based on outputs A and B. The output itself is a guidance document. Guidance to healthcare facilities developed and tested in at least 4 countries.
- While there is a logical link between the the PoW output and part of the Expected accomplishment, how technical guidelines and assessments will translate into policy advice for managing hazardous substances globally is not evident. There seems to be some missing intermediate states
- Performance indicators related to the production and distribution of information products are generally well defined. However, they are mostly quantitative measures and they do not usually assess the quality of support provided nor the actual enhancement of capacities of stakeholders.
- Project output indicators are mostly well formulated. A few are pitched at a higher level than the Output, basically at the project objective level: e.g. Output B for 52-P5 is about development and testing of tools to measure progress indicators and providing guidance on the use of these tools.
- Some of the activities under project output 2 (Global Platform on Waste Management) do not link to the PoW output 522, as they aim more to facilitate policy dialogue and partnerships. It seems that the whole bunch of activities related to the GPWM has been inserted here: this way, the effectiveness of partnerships will not be measured;

b) Critical success factors and risks

- For the most part, critical success factors have been identified and seemed to have been adequately considered. A risk analysis table was included in most of the project documents. Some critical risks related to the ability to mobilize the required resources to undertake the projects seemed to have been understated in the current world financial environment. This is also a critical factor not only for the delivery of project outputs and outcomes but also for its sustainability.

³¹ Findings in this section are based on the analysis of projects contributing to EA(c) and (d), excluding the stand-alone activity on Corporate Communication.

- In project 52-P5, one risk, however, is that “tools and schemes are not accepted or used”, which basically means that the project objective is not achieved. The risk management strategy for this one is that the tools and schemes need to be simple and robust, as if that would be enough to ensure their use!
- As in other projects, the difference between risks and critical success factors is not fully understood, and the two are in some cases considered synonymous;
- The issue of sustainability i.e, the ability to mobilize enough resources beyond initial project funding is very important but has not been addressed at all as a critical risk factor.
- The ability to find qualified technical people to undertake the preparation of the compendia is within the control of the project and should be treated as success factor
- Risk mitigation strategies/safeguards in the table well respond to the concerns;
- The estimated impact severity for all risks is medium. However, the impacts of e.g. lack of access to key data and lack of funding might be of high severity.

c) Strategy for sustaining outcomes and benefits – intended catalytic and replication effects

- Most of the projects do not show any explicit strategy to sustaining results. Neither do the articulate an exit strategy.
- While it is clear that the tools and guidelines for monitoring and reporting need to be adopted by the COPs of the chemicals MEAs, SAICM and others to become “official” and compulsory, the Project Documents do not elaborate on how this will be achieved: The narrative in some projects referred to the diffusion of the reporting guidelines through MEAs, SAICM and the Mercury INC process, but it is not clear how this will be done.
- Information products are sometimes presented to stakeholders in workshops, after which results at policy and decision-making levels are expected to follow;
- Strong and continuous involvement of the stakeholders, training of Trainers (ToT) and steady work over time with selected institutional arrangements all work for capacity development, sustainability and replication;
- Exit strategy and handover to national partners are almost never articulated in the project documents.

d) Project governance model, Supervision arrangements, and Partnerships

- The description of Project Governance models is variable. In some cases the governance structure diagram is comprehensible and there is a fairly clear presentation of the specific roles and responsibilities of the project management functions. In other projects e.g. 52-P5, the the PRoDoc only presents a diagram with the names of the main stakeholders. There is no narrative on the project governance model and roles and responsibilities are not clearly defined.
- In some cases, the governance model, as presented in the Prodoc, clearly shows that the project is an assembling of different (some pre-existing) activities. Each component has its own governance model and thus coordination will be tricky, and not possible/relevant among all the elements;

- The role by DEWA, DELC and DCPI is not clearly spelled out. In addition, DEWA only is mentioned in the project summary table at the beginning of the project. This raises some concern especially re: the distribution/outreach strategy of the project outputs;
- Most projects will rely, to a significant extent, on inputs from consultants and already existing information sets. The lack of details concerning the linkages among different programs as about individual roles/responsibilities is in this sense a bit worrisome;

e) Financing

- The capacity to mobilize adequate funding for the implementation of project activities is the main critical success factor. Some of the projects have opened budget lines with minimum amounts (e.g. 100/200 USD), in the hope that funds will be raised; For example, development and testing of the guidelines and compendia can be accomplished within the period of the PoW. However with only 8% of the total resources mobilized at project approval in some instances, the ability to deliver the outputs within the biennium will depend on the capacity of the project to mobilize the resources early in the biennium
- Some budget proposals do not include a line for communication and project outputs' dissemination activities.

f) Gender

- Most project documents mention that attention will be paid to gender equality issues, in data collection/analysis and policy formulation, without any detail being provided though. In the area of Gender, – Women and children are seen as primary victims of harmful substances and hazardous waste and the ability to better manage the latter will reduce their negative effects on the former, but women and children are not considered as potential actors in the project.
- There is certainly a case for gender (and age) disaggregated bio-monitoring for the presence of toxins in humans but the ProDoc doesn't mention this.

g) Capacity development and knowledge management

- Most of the projects under this sub-programme aim, to varying extents, at developing capacities the production of information, methods and tools, and creating an enabling environment for policy making;
- The Bali Strategic Plan for Technology Support and Capacity Building is often mentioned in most of the project documents, although how the project will contribute to it is seldom made clear;
- South-South Cooperation is never explicitly mentioned, although UNEP projects represent a real opportunity for it, especially with regard to sharing experience among science networks;
- The compendia and guidelines to be produced are principally knowledge products. What has not been clearly addressed is how these documents would be kept up-to-date over time. No clear dissemination strategies have been articulated in the documents.

h) Monitoring & Evaluation

- No coherent M&E costed plans are provided in the project documents. Elements of a monitoring plan are included though but it seems to be planned for implementation by staff without cost implications.

- Milestones seem adequate for measuring implementation progress
- Resources, for the most part, are allocated for reporting and evaluation which seem adequate. Monitoring is not often costed in the projects
- Baseline information will be collected as part of the assessments. The indicators are SMART and targets have been included. The indicator at the Expected Accomplishment level fails to measure the policy dimensions. At the PoW Output level another indicator may be useful to measure the quality of outputs.

F. SUB-PROGRAMME ON RESOURCE EFFICIENCY/SUSTAINABLE CONSUMPTION AND PRODUCTION

1. Sub-programme Strategy

- UNEP Medium Term Strategy indicates as the overall objective of UNEP’s work on Resource Efficiency and Sustainable Consumption and Production (RE/SCP) that “natural resources are produced, processed, and consumed in a more environmentally sustainable way”, decoupling economic growth from resource use and environmental degradation;
- UNEP work on RE and SCP is based on a number of existing formal mandates by the Governing Council, the UN General Assembly, the World Summit on Sustainable Development and the Rio Earth Summit. UNEP comparative advantages are closely linked to its mandates and generally defined as “being a credible partner and a catalyst for international cooperation”;
- A number of needs and priorities assessments have been conducted in the last few years and were used as basis to define in more details key areas of interventions. These include needs assessments within the Marrakech Process, an on-line survey among governments, private sector, the science community, labour unions, NGOs and other civil society, as well as inputs derived from UNEP offices and partners at regional level. The RE/SCP Sub-programme strategy adequately defines needs and gaps for UNEP’s interventions under each EA, and then groups them in four themes (cutting across EAs): i) strengthening and communicating the knowledge base; ii) building governmental capacity; iii) consolidating and extending partnerships with business and industry; and iv) harnessing consumer choice. With the exception of the first theme (assessments) which is cross-cutting, all the others are linked to one EA in particular;
- Developing Public Private Partnerships is a key objective through-out the RE&SCP programme. The importance of partnerships with governments, other UN and development cooperation agencies, the private sector, scientific and research bodies and other civil society organisations active in the RE-SCP field for effectiveness in the implementation of activities is acknowledged. With some exceptions (e.g. cleaner production work), the Strategy does not include any detail on specific key partners and the role they expect to play.

Theme	Goals	EA
Assessments to strengthen the scientific knowledge base	To strengthen the knowledge base on RE and understand critical resource flows between economies and industries (how resources are extracted, processes, consumed, and disposed in our global economy)	a) Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains b) Increased investment in efficient, clean and safe industrial production methods through public policies and private sector action (market & investment opportunities) c) Consumer choice favours more resource-efficient and environmentally friendly products (stimulate demand)
Building capacity for policy action	To develop and roll out policy tools and instruments that accelerate the shift towards more resource efficient societies	a) Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains And to a lesser extent – b) Increased investment in efficient, clean and safe industrial production methods through public policies and private sector action (market & investment opportunities) c) Consumer choice favours more resource-efficient and environmentally friendly products (stimulate demand)
Seizing investment opportunities for new markets and technologies	To identify investment opportunities for alternative business models and improvements in some of the most resource intensive industries To facilitate knowledge exchange and stakeholder dialogue on cleaner investment criteria and best practice, by forging networks of research experts and business leaders	b) Increased investment in efficient, clean and safe industrial production methods through public policies and private sector action (market & investment opportunities)
Stimulating demand for resource-efficient goods and services	To develop consumer and producer information tools, market incentives and public-private initiatives to promote sustainable lifestyle and value chains. Bonne journee a toutes	c) Consumer choice favours more resource-efficient and environmentally friendly products (stimulate demand) And to a lesser extent – a) Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains b) Increased investment in efficient, clean and safe industrial production methods through public policies and private sector action (market & investment opportunities)

- Programme frameworks define how projects will contribute to PoW Output, without focusing on the link between the latter and EAs. The logic in delivering PoW outputs is expressed in more details for EA(b);
- Synergies between the two frameworks contributing to EA(a) are spelled out;
- Examples of how RE/SCP work will contribute to achieve UNEP priorities under other SPs are given in the RE/SCP Strategy. Programme frameworks sometimes cross-refer to activities under other EAs (e.g. synergies between RE assessments and GEO, but not with Marrakech Process and EG goals), without making it explicit though.

2. Expected Accomplishments, Indicators of Achievements and Units of Measures

- The RE&SCP Sub-programme includes four Programme Frameworks, two linked to EA(a) and one each for EA(b) and EA(c). The Programme Framework Documents provide an overview of (i) the PF's EA with Indicator(s) of Achievement, PoW outputs and corresponding accountable divisions; (ii) the PF logic and short description of how the projects fit in; (iii) a description of key actors in the field and of PF partnerships; (iv) information about the geographical scope of activities; (v) a few lines on internal management arrangements and reporting lines, and; (vi) project concepts;

- Some overall comments on the PF documents:
 - As noted in the above paragraphs on this Annex, UNEP areas of work within the RE&SCP Strategy are to a significant extent defined by its mandates. The justification for most of the projects is based on continuing work and UNEP internationally agreed areas of interventions and comparative advantage. Nonetheless, significant research to streamline and give a narrower focus to UNEP areas of interventions has been accomplished, as explained in the RE Strategy document. PFs briefly hint at it;
 - There is no discussion of the causal linkages between PoW Outputs and EAs. Distinction between PoW and project outputs is not always clear either, as the two are often pitched at the same level. The PF documents present the main areas of intervention making reference to the proposed projects, and seeing in most cases a direct contribution to EAs. As the majority of projects are linked to one PoW output only (and viceversa), the rationale for PoW outputs under EAs is assumed.
 - Synergies and complementarities among PoW Outputs are not well reasoned upon (see down below comments on cross-cutting communication work). The link between the two PFs contributing to EA(a) is spelled out;
 - External partnerships to deliver the EAs are quite well spelled out: in all PF documents key actors and partners are listed, although the role they are expected to play could have been developed and explained further;
 - Internal partnerships mostly refer to partnership within the UN system. The contribution from, and collaborating arrangements between, Divisions other than the Lead one to deliver is described at project level only. PFs do not include any detailed analysis on how divisions will collaborate in delivering the EA;
- EA(a) is set at a so high level that all the others are contributing to it;
- Attribution issues affect the validity of the Indicators of Achievement to measure UNEP performance. Policies and economic instruments by Governments and business may be influenced by a plethora of different actors. The influence of UNEP activities of the adoption of policies and instruments, as well as on consumer choice, can only be measured through an evaluative approach;
- Indicators of Achievement are only measuring some of the preconditions for the EA;
- Overall, the Units of Measure sensibly distinguish between Governmental agencies and private sector³²;
- The linkages between EA(c), its IoA and the UoM are weak. Consumer choice may be influenced both by public and private sector regulations (UoM) and UNEP information products (IoA). the EA is set a higher level than the IoA and the UoM;
- It is worth noting that UNEP is expected to influence more private companies than Governments.

32 This was suggested by the Evaluation Office in its report “Preliminary Evaluability Assessment of the Strategic Framework for 2010-2011, UNEP Evaluation and Oversight Unit, June 2008.” Unpublished document circulated to UNEP SMT and QAS.

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(a) Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains	Increased number of Governments and businesses adopting policies, economic instruments and actions for resource-efficient and sustainable products	(i) Number of governments which adopted policies, regulations or economic instruments promoting resource efficiency and/or sustainable consumption and production	20	40	The EA indicator and the 'UoM indicators' (i) and (ii) require governments and businesses to adopt policies and economic instruments. UNEP's role in contributing to such "adoption events" is not clear, and whilst it may be captured by the indicator so may the efforts of other actors. It is entirely possible that such 'adoption events' could 'happen anyway' without any UNEP intervention. The influence of UNEP activities on such adoption events can only be established through rigorous evaluation activities. Thus the indicators may measure not only UNEP's performance but also the actions of others. The 'UoM indicators' sensibly separate the private sector from the governmental 'adoption events'.
(b) Increased investment in efficient, clean and safe industrial production methods through public policies and private sector action	Increased number of Governments and businesses selecting environmentally sound technologies and more resource-efficient management practices, technologies and production methods, including for integrated waste management	(ii) Number of businesses which adopted resource efficient management practices (i) Number of governments and large-scale businesses making investments and adopting technologies favouring resource efficiency and/or sustainable consumption and production	100 20 Govts 25 comp.	300 50 Govts 100 comp.	The EA indicator and the 'UoM indicators' (i) and (ii) require governments and businesses to adopt policies and economic instruments. UNEP's role in contributing to such 'adoption events'; is not clear, and whilst it may be captured by the indicator, so may the efforts of other actors. It is entirely possible that such 'adoption events' could 'happen anyway' without any UNEP intervention. The influence of UNEP activities on such adoption events can only be established through rigorous evaluation activities. Thus the indicators may measure not only UNEP's performance but also the actions of others. IoA do not measure any public policy-related work by UNEP which aims at increasing investments in clean methods. This seems to be better reflected under EA(a). The UoM about NCPs is not adequate to measure increased investments, but only a pre-condition for it.
		(ii) Number of National Cleaner Production Centres (NCPs) adding the business case of resource efficiency and/or sustainable consumption and production to their portfolio of activities and advisory services	10	25	

Expected accomplishment (EA)	Indicator of achievement (IoA)	Unit of measure (UoM)	Baseline (Jan. 2010)	Target (Dec 2011)	Remarks
(c) Consumer choice favours more resource efficient and environmentally friendly products	Increased information and decision-making tools directing consumer choice to more sustainable products, based on sound science	Number of governments and companies adopting regulations, economic instruments or voluntary measures influencing consumer purchases	15 Govts 50 comp.	30 Govts 150 comp.	<p>The link between the provision of information and decision making tools and consumer choice specified in the EA is weak or indirect.</p> <p>The UoM, which is articulated as an indicator (and is preferable to the current EA indicator), should specify particular regulations, economic instruments and voluntary measures that were developed and promoted by UNEP.</p> <p>The influence of UNEP on consumer choice is currently assumed. The attribution of changes in 'consumer choice' to the actions of UNEP can only be established through in-depth evaluative efforts</p>

3. Sub-programme Frameworks and Programme of Work Outputs

UNEP's Sub-programme on Resource Efficiency is arranged around four Programme Frameworks, two linked to EA(a) and one each for EA(b) and (c). Each PF is articulated into a number of Programme of Work (PoW) outputs. PFs 1 and 2 – both contributing to EA(a) – are divided along an assessment-policy advice line: as assessments should be used along policy advice to influence decision-making, links between the two should be better spelled out.

a) Programme Framework 1 – EA(a)

Expected Accomplishment	PoW output	Project
(a) Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains	(i) Authoritative scientific assessments on resource use over product life cycles are developed and used to support decoupling of environmental degradation from production and consumption of goods and services (3 assessments)	Scientific assessments and reports on resource flows at the macro, meso and micro levels: sustainable resource management and life-cycle approach
	(ii) Scarcities and major environmental impacts caused by unsustainable resource flows are assessed and findings are applied in the design of policy and management practices (4 critically affected countries)	Assessing vital signs, pressures and impacts of resource flows and scarcities to inform policymaking and improve knowledge management

- The link between PoW outputs and EAs is not straightforward. There is a long way from the inclusion of the assessment findings into policy documents to RE increase and pollution reduction. Scientific assessments under Programme Framework 1 represent a basis for more policy-oriented work under Programme Framework 2 (still part of EA(a)). ToC for EA(a) would have illustrated this better.
- PoW outputs are pitched at project output level, and should rather focus on the use of assessments for policy and decision making only. E.g. PoW Output (i) is set at the same level of the outputs of the project “Scientific assessments and reports on resource flows at the macro, meso and micro levels: sustainable resource management and life-cycle approach”.
- The indicators for PoW Output (i) - “number of media clippings” and “references made [...] in discussions and decisions on establishing new policies” – are inadequate to measure the use of the assessments to support policy changes, for they rather stop at an intermediate state level, i.e. increased awareness by policy makers of assessments’ findings.
- The outputs of the project “Assessing vital signs, pressures and impacts of resource flows and scarcities to inform policymaking and improve knowledge management” are not all at the same level. It looks like the project logframe is a jigsaw of UNEP activities (environmental alerts, early warning information, Resource Efficiency: Economics and Outlook) with no clear causal link between different type of support by UNEP (information products, capacity development, policy advice);

b) Programme Framework 2 – EA(a)

Expected Accomplishment	PoW output	Projects		
(a) Resource efficiency is increased and pollution is reduced over product life cycles and along supply chains	(iii) Policy assessments and macroeconomic analysis: Integrated policy assessments, cost-benefit analyses and case studies on the economic, environmental and social gains from applying policies for resource efficiency and sustainable consumption and production are developed and disseminated to global and regional economic and trade forums and national policymakers in rapidly industrializing, emerging economies and natural-resources-dependent countries (4 forums, 6 countries)	Policy, macro-economic assessments and instruments to empower Governments and business to advance RE and move towards a Green Economy		
	(vii) Policy instruments: Regulations, economic incentives and voluntary measures promoting environmentally sound technologies and resource efficiency in the production of food and manufactured goods are designed and implemented (8 rapidly industrializing, emerging economies or least developed countries)	Technology assessments, technology policy and environmentally sound technologies to empower public and private organizations to advance RE	Law and regulatory enforcement to support RE, sustainable consumption and production and greening of national economies Policies and tools outside cities: new approaches and management tools for efficient use of natural resources in rural areas	
	(iv) Management tools at the enterprise and organizational level: best practices on resource efficiency and pollution reduction over product life cycles, focusing on water, waste and energy in food and manufactured goods are identified and piloted (4 rapidly industrializing and least developed countries)		Management tools at the enterprise level: promoting sustainable industrial production through increased resource efficiency and pollution reduction	
	(v) Policies and tools at the national level: Resource efficiency and cleaner and safer production are mainstreamed into national economic and development planning through United Nations Development Assistance Frameworks and national action plans (5 rapidly industrializing, emerging economies or natural-resource-dependent countries)		Policies and tools at the national level: mainstreaming RE aspects into national economic and development planning	
	(vi) Policies and tools at the city level: Tools and best practices, including for water and waste management for sustainable urban development, are identified and applied (8 rapidly growing large and medium-sized cities)		Policies and tools at the city level: best practices to improve waste management, water and sanitation, and energy efficiency for sustainable urban development	
	(viii) Policies in the regions: Marrakech Process pilot implementation of resource-efficient public policies and private sector management practices in key sectors at the regional and national levels is strengthened and a 10-year framework of programmes on sustainable consumption and production is elaborated (1 framework)		Policies in the Regions: developing a recognized Framework and piloting new policy and management approaches through the Marrakech Process	

- It is not clear how UNEP intends to influence through its assessments businesses and private sector stakeholders, who actually represent a key target according to the EA goals (only through the Resource Panel Steering Committee and indirectly via the media?).

- Programme Framework groups all RE policy-related work, from integrated assessments and analysis to different level policy tools. All PoW outputs go as far as implementation, but attribution issues to assess UNEP contribution to the EA remain. PoW output (iii) is placed at a lower level, for it limits itself to the dissemination of policy assessments and other type of analyses through global fora;
- Indicators for PoW outputs are different across project documents, linked as they are to outcomes of specific project activities, and pitched at different levels. This casts some questions on how the achievement of PoW outputs will be monitored;
- PoW and project outputs are often set at the same level, as PoWs are nothing but an umbrella for different activities;
- Most indicators for project outputs are ok. Some are however set at a higher level, focusing on follow-up actions by Governments to UNEP policy recommendations or support provided;
- Some project components, e.g. Green Economy partnerships to promote UN-wide and NGO engagements or the on-line mechanism on energy saving technologies – seem to have been inserted in the project for thematic connection, without adequately considering how they contribute to PoW outputs and EA. As such, their contribution is not reflected and measured through any “high level” indicator. In the specific case of GE partnership, the related project output indicator measures the success in terms of “number of countries participating in partnerships” without assessing any further the quality and objectives of these partnerships;
- The project “Law and regulatory enforcement to support resource efficiency, sustainable consumption and production and greening of national economies” is said to contribute to PoW 423 within the Sub-programme on Environmental Governance. The related EG programme framework however does not acknowledge it. Some of the project outputs indicators for this project still focus only on “number of countries” receiving support, without measuring the quality of advisory services provided by UNEP or what use is made of the developed capacities, while others go further down to the use of UNEP guidelines in the implementation of national legislation;
- Interestingly, indicators for one of the “New approaches and management tools for efficient use of natural resources in rural areas” project outputs include plans for replication of project lessons and methodology;
- The indicator for PoW output (iv) is OK, as related project outputs indicators are. As elsewhere for KM products, the dissemination and actual use of guidance on the promotion of resource efficiency and pollution reduction is not assessed;
- PoW Output (v) is about “mainstreaming RE into national planning”: it is not clear what “mainstreaming” means and how it is going to be measured;
- Indicators for PoW Output (vii) are not adequately defined, as they do not include any reference to SCP pilot projects under implementation, rather focusing only on the next 10 YFP. In addition, UNEP work in this area significantly contributes to EAs in the Environmental Governance Sub-Programme (see reference to Rio+20, for example), which is not acknowledged elsewhere;

c) Programme Framework 3 – EA(b)

Expected Accomplishment	PoW output	Project
(b) Increased investment in efficient, clean and safe industrial production methods through public policies and private sector action	(i) The business case for resource efficiency based on cost savings, competitiveness gains and new market opportunities is developed and demonstrated in the building and construction, energy and water and waste management sectors for public and private sector decision makers (8 rapidly industrializing and natural-resource-dependent countries)	Developing the business case for scaling up investment in resource-efficient, cleaner and safer technologies
	(ii) Investment opportunities in the introduction, development, transfer and application of resource-efficient, environmentally sound technologies are identified and realized (4 resource-intensive sectors such as metals, food production and building and construction)	Mobilizing the financial sector and capital markets to catalyse financing and investment opportunities for resource-efficient technologies and business practices
	(iii) The capacity of cleaner production centres and development institutions is built to demonstrate the catalytic effect of resource-efficient investment decisions by Governments and businesses (4 centres)	Building a SME network and technical support for scaling up investment in resource-efficient, cleaner and safer production
	(iv) Global multi-stakeholder partnerships on buildings, transport, mining, food production, water management or tourism are strengthened or established to demonstrate resource-efficient investments and management practices (4 partnerships)	Partnership opportunities: growing multi-stakeholder partnerships and initiatives advancing RE investments and practices along global value chains

- It is not clear why some of the SCP work at national level has been isolated within the project “Policies in the Regions: developing a recognized Framework and piloting new policy and management approaches through the Marrakech Process”.
- EA(b) contributes to EA(a). As such, the boundary between project activities contributing to the two EAs is not clear-cut. On one side, increased investments are facilitated by public policies and regulations; on the other, investments in clean and safe technologies are contributing to reduced pollution and increased resource efficiency;
- PoW Output (i) is closely related to PoW Output (iv) – EA(a), only focusing more on economic and financial implications of RE measures. The business case for RE in industries explained to Governments and private sector will contribute to enhancing the uptake of RE technologies both at enterprise and national level (PoW outputs under EA(a)). Similarly, the demonstration of EST benefits to cities adds to other city-related work under PoW Output (vi) – EA(a). All this is however not reflected in the project log-frame;
- PoW Output indicator for investment opportunities (ii) is OK. As elsewhere, project output indicators focus only on “number of” investors, banks and companies supported, without focusing on the quality of UNEP support. The establishment of RE, finance and investment fora – which are valid means to ensure the dissemination of guidelines and tools – should not only be measured in terms of number of participants, but also with reference to the knowledge and network relations they have been able to create;
- The indicator for PoW Output (iii) is the same as one of the Units of Measure for EA(b). It is actually more correctly pitched at this level. Some of the project output indicators are set at PoW level (e.g. the number of projects developed and accepted for implementation). Once again, UNEP support is only measured through quantitative indicators;

d) Programme Framework 4 – EA(c)

Expected Accomplishment	PoW output	Project
(c) Consumer choice favours more resource efficient and environmentally friendly products	(i) Regulations, public procurement and economic instruments reflecting resource and environmental costs in the consumer price of goods and services are drafted and demonstrated by public authorities (5 rapidly industrializing emerging economies or natural-resource-dependent countries)	Using pricing tools and purchasing criteria to influence the behaviour and choices made by individual and institutional consumers
	(ii) Policy and life-cycle analysis, dialogue and capacity-building activities promoting standards and voluntary measures, such as sustainability reporting, ecolabelling and certification of resource-efficient goods and services, are undertaken (1 global and 4 national-level interventions)	Internationally recognized information tools – standards, labels, reporting – to enable individual and institutional consumers to make informed choices
	(iii) The purchase of more resource-efficient and durable products is encouraged through awareness-raising campaigns, partnerships and international awards (2 global campaigns, 4 partnerships and 2 awards)	Promote resource efficiency and mainstreaming sustainable lifestyles through awareness-raising, communications media and education
	(iv) Action plans for achieving climate neutrality through changes in procurement practices, buildings and facilities management and office culture and developed and applied in the United Nations system and other public institutions (8 action plans)	Sustainable United Nations: assisting the UN and other public organizations to move towards resource-efficient and climate-neutral business practices

- PoW Output (iv) is an umbrella for same-level project outputs. In any case, a target number of partnerships is not per se a valid indicator for better and more valuable partnerships. Project outputs indicators are never set at the same level: while most focus on the number of partnerships or participants in the partnerships, others concentrate on consultative meetings held (input level) or joint activities accomplished (outcome level). Here too, the link with other PoW outputs is not pointed out (e.g. joint activities on incorporating transport planning into city development strategies contributing to PoW Output vi – EA(a)).
- EA(c) contributes to EA(a). As such, the boundary between some project activities contributing to the two EAs is not clear-cut (see, for example, all policy-related work);
- Programme framework objectives, which are clearly articulated in the related document, are poorly formulated through PoW outputs: they combine activities and project outputs, and seldom focus on outcomes.
- What is “a demonstration of regulations, public procurement and economic instrument by public authority” in PoW Output (i) is not clear. Its indicator, as in the related project document, clarifies that the objective is having new/revised regulations by public authorities to influence consumer choices. Forest products-related activities do not seem to be straightforwardly linked to PoW and EA: tools to estimate the value of national production should better be considered as inputs for revised RE national strategies and regulations (EA(a)). Other project outputs indicators are pitched at the right level and measure quality of UNEP support too (only in the case of public procurement policies, it is set at outcome level);
- PoW Output (ii) is set at project output level as an umbrella for different activities, although its indicator is at the right level. Indicators for different support and capacity development activities (project output level) within the project “Policy and life-cycle analysis, dialogue and capacity building activities promoting standards and voluntary measures” should all focus on the quantity and quality of support provided (feedback from stakeholders) rather than on the number of methods and activities implemented;
- PoW Output (iii) refers to the purchase of more resource efficient and durable products being encouraged. The boundary with DCPI work measured under the EG framework is not clear

cut, and means to achieve PoW Output should in any case not be mentioned here. As noted in the EG Sub Programme Annex, risk of duplication in monitoring results is real;

- Most of the activities of the project “Promote resource efficiency and mainstreaming sustainable lifestyles through awareness-raising, communications media and education” are conducive to PoW Output (iii). Yet, the link between the component “development of a strategy and plan on RE/SCP” and the PoW output is not clear: its contribution to PoW Output – although measured through indicator “increased number of sectoral departments in Governments and business supported to improve RE” – is not reflected in the way the PoW Output is formulated. In addition, it is also not clear whether communication support is directed only to stakeholders external to the organization (which would be OK) or to UNEP divisions as well. If this was the case, it would be advisable not to consider DCPI support as a separate element. Similarly partnership work on the promotion of sustainable markets and consumption patterns should better not be placed in isolation;
- The link between PoW (iv) and EA(c) is not clear: UNEP support to other UN agencies for the adoption of sustainable and climate neutral policies should better be placed under EA(a). Project output indicators are in line with PoW Output (iv), although the endorsement by staff of the “Greening UN network” cannot be measured by looking at links to the Sustainable UN website (this is a just a means to). Mention of gender in project output 1 is out of context.

4. Summary of findings and trends across project documents³³

a) Project design and quality of log-frame (including performance indicators)

- Expected Accomplishments are, especially in the case of EA(a), pitched at a very high level. How project activities are going to contribute to them is not straightforward;
- It seems there is no clarity/common understanding across projects on the level PoW and project outputs should be defined. Sometimes project and PoW Outputs are set at the same level, and the latter conceived as an umbrella for project activities which run in parallel with almost no linkage amongst them. Other times, PoW outputs are defined at such a high level that measuring their accomplishment during a biennium will be difficult (especially considering that the majority of projects started late) as well as measuring UNEP contribution to them will be;
- The quality of indicators varies across project documents. Indicators at project output level are generally OK, although sometimes too vague and seldom measuring the quality of support provided or the perceived usefulness of KM products by UNEP;
- As project documents have been conceived more as broad planning documents, activities are often poorly defined in details. The majority of accomplishments in the RE Sub-Programme will be achieved in the next biennium: careful consideration should be given to assist Governments in RE and SCP policies’ next implementation phase;
- Design of quality log frames should be more carefully thought of, and discrepancies with other sections of project documents (overview table, delivery plan) avoided. Means of verification are generally OK.

³³ Findings in this section are based on the analysis of projects (1,2,3,6,7,8) contributing to EA(a).

b) Critical success factors and risks

- Project documents do not adequately distinguish between project critical success factors and risks. As a consequence, mitigation strategy for critical success factors is not always spelled out;
- Most common critical success factors include: partnerships management (identification of local partners, agreement on the way to proceed, commitment/active involvement in project implementation) and internal coordination;
- Greatest risks include: global economic situation and unavailability of financial resources, lack of political will to support work by UNEP in specific areas, availability of quality data;
- Mitigation strategies are generally well defined, mostly focusing on: adequate outreach strategies, full stakeholder involvement, and collaboration with recognized organizations.

c) Strategy to sustaining outcomes and benefits – intended catalytic and replication effects

- UNEP activities under the RE/SCP Sub-Programme have high potential for replicability, if project findings were disseminated through communication and awareness activities and policy follow-up was promoted to the extent possible;
- Most of the projects do not seem to have an explicit strategy to ensure sustainability of outcomes and benefits, as well as replicability of best practices. Some projects include elements of a strategy, such as the use of different media for awareness raising, wide partnerships, ToT, preparation of tool kits and lessons learnt, linking to other initiatives. Outreach and dissemination strategies are however seldom conceived for all project activities with the same level of detail.

d) Project governance model, Supervision arrangements, and Partnerships

- Project documents generally show a fairly clear graphic representation of governance models, although there is poor consistency throughout about roles and responsibilities of various partners. For clarity, diagrams need to be accompanied by narratives;
- Project governance models seldom include Steering Committees, which – wherever present – play more of a technical guidance and advisory than supervision role. Supervision is included amongst management tasks;
- The role played by partners is not always well defined, and the list of partners not consistent throughout the project document. Similarly, how stakeholders will be affected/contribute to the project, as well as their capacities and needs, are seldom defined;
- The role of divisions other than the lead one is not spelled out. In particular, reporting lines and responsibilities of, and within, DCPI and DRC are seldom clarified.

e) Financing

- The quasi totality of project resources is unsecure at the time projects are approved. Budget is generally provided only for this biennium;
- Budget figures are not consistent throughout project documents, although quite detailed. The amount of resources assigned to staff salaries and publications is remarkable.

f) Gender

- Women are mentioned as vulnerable stakeholders for most project activities. Gender inequality will be discussed in information and tool kit products, although no details are provided;
- Gender seems to be paid lip-service in most of the project documents, and there seems to be no clarity about gender-sensitive strategies. Despite recommendations by PRC, NGOs representing women are not included among stakeholders where relevant, while in other cases – and it is unclear why – gender balance is mentioned as a criterion to identify local partners.

g) Capacity development and knowledge management

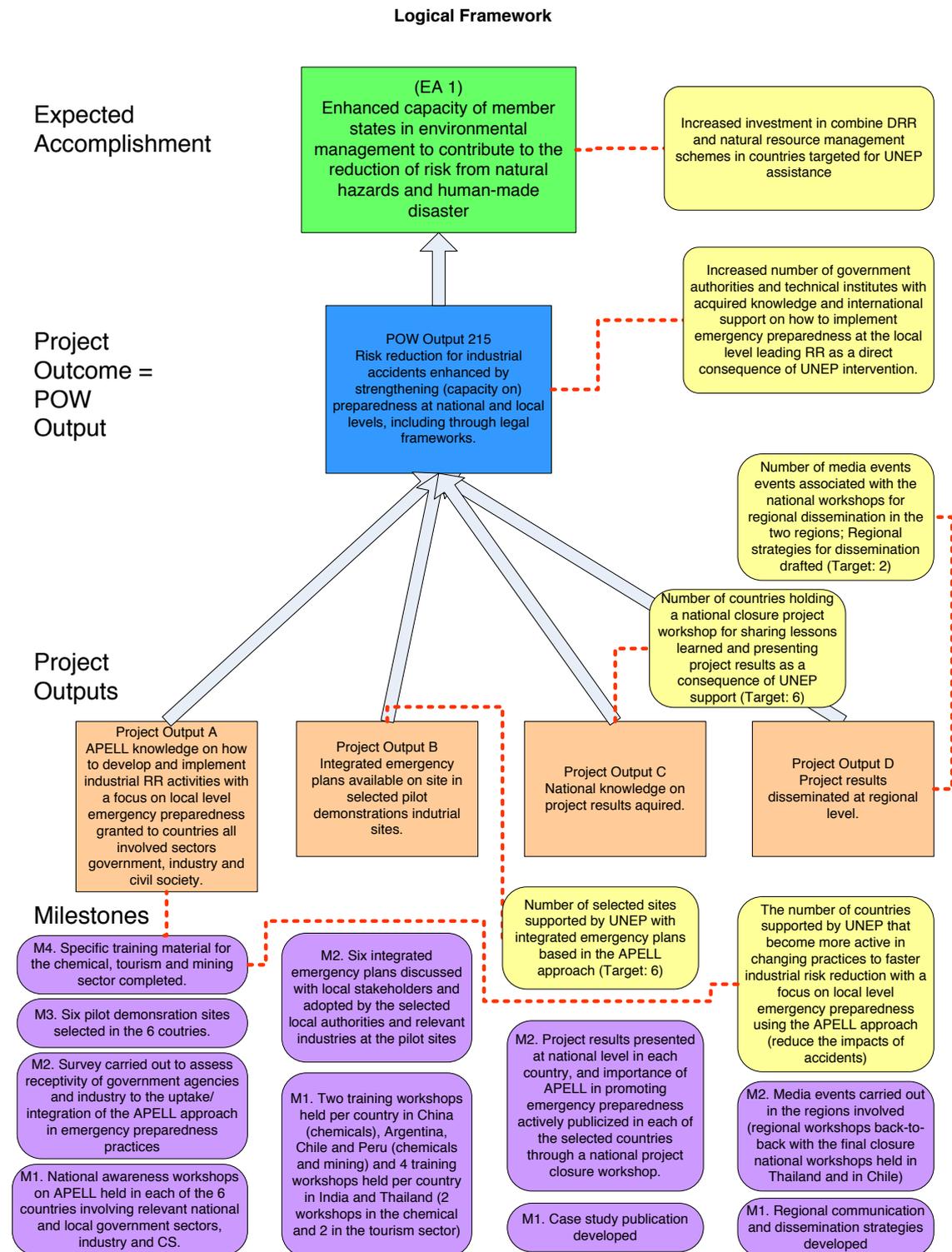
- Most project activities are about capacity development and knowledge management. They contribute to the Bali Strategic Plan, although this is not always explicitly mentioned;
- Knowledge management strategies are defined with different degree of detail. In the majority of cases, KM plan is kept vague and how project outputs are going to be disseminated is not clearly spelled out;
- The great majority of project activities could be used to enhance South South Cooperation. The latter is however rarely mentioned and no replication strategy (not even at regional level) is explored in project documents.

h) Monitoring & Evaluation

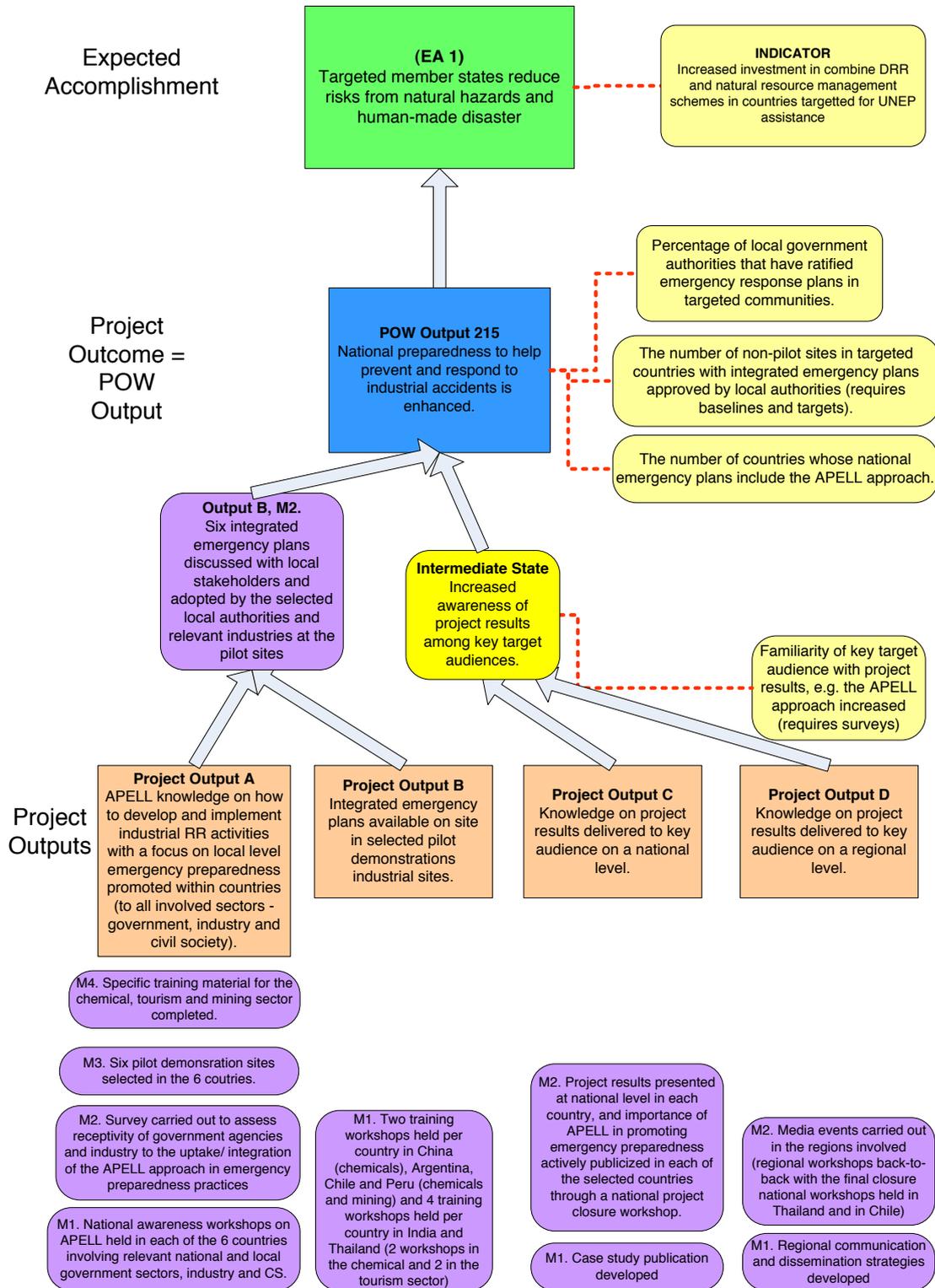
- Standard reporting by the project team is generally planned every six months. Monitoring is considered a project management task and it is not costed;
- Baselines are never mentioned;
- Milestones are sometimes too poorly defined to be useful for monitoring purposes: they never go beyond activity level and, in a few cases, refer to external events which are going to happen anyway;
- Evaluation exercises are foreseen (either at mid-term or at the end) and budgeted for. Project documents are however not always consistent about evaluation budget, which is generally low. Timing of planned evaluations is also an issue: in the case of 4-year project, final evaluation should not be planned nor budgeted in the current biennium.

VII ANNEX 4 EXAMPLES OF LOGICAL FRAMEWORKS AND CORRESPONDING THEORIES OF CHANGE

(Logical Framework) P215 'Building Capacity for Industrial Risk Reduction with a focus on Emergency Preparedness in Developing Countries- APELL'



(Theory of Change) P215 «Building Capacity for Industrial Risk Reduction with a focus on Emergency Preparedness in Developing Countries - APELL»



SP EG Project 5D - Regional-level and national-level capacity building in the area of environmental monitoring, assessment and early warning to support international decision-making

Expected Accomplishment (d)
Improved access by national and international stakeholders to sound science and policy advice for decision making

Project Outcome

Institutional and technical capacities of Governmental and partner institutions in environmental monitoring, assessment and early warning are demonstrated to support national decision-making [20 countries]

POW Output #443

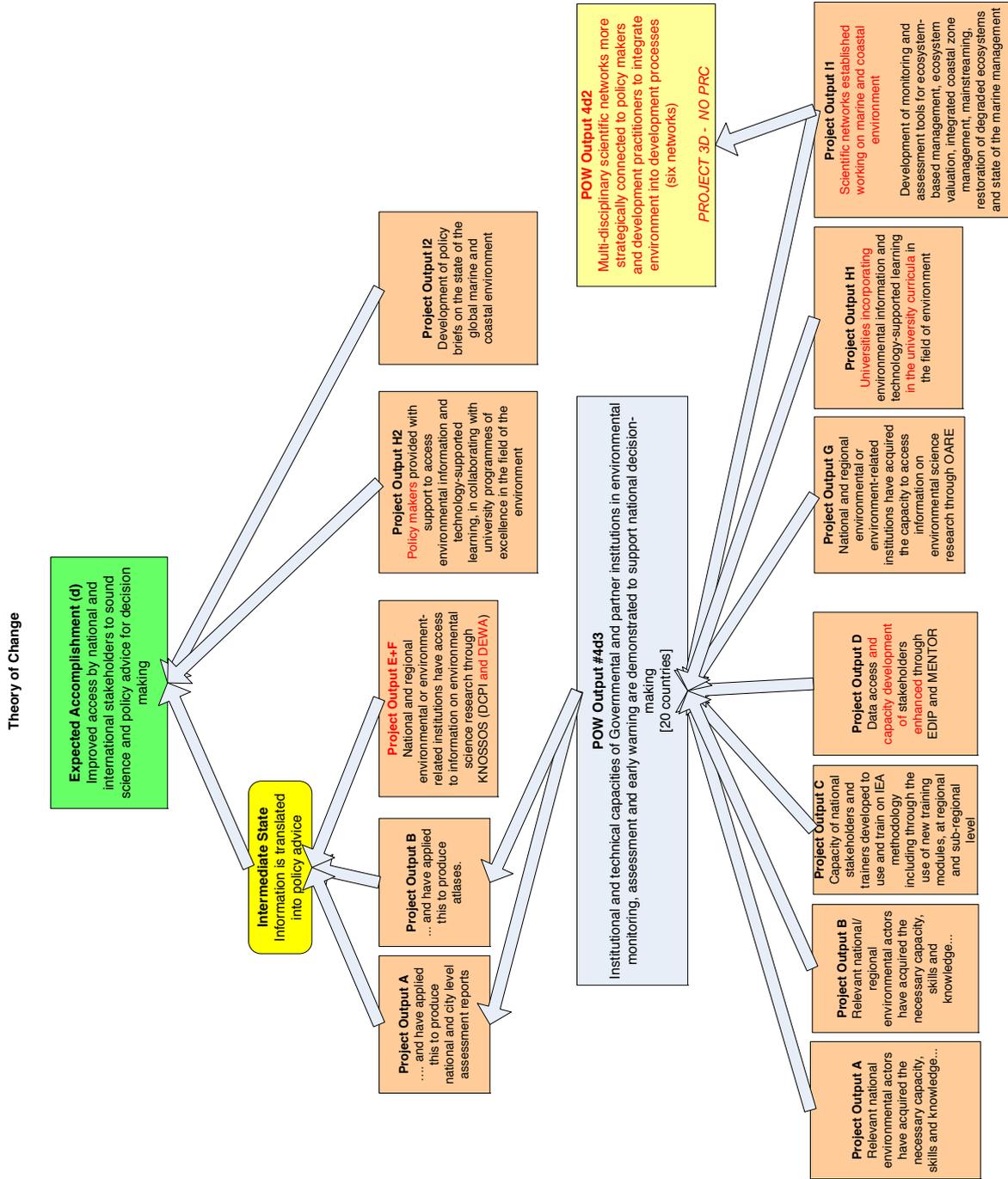
Project outputs

Project Output A Relevant national environmental actors have acquired the necessary capacity, skills and knowledge and have applied this to produce national and city level assessment reports	Project Output B Relevant national/regional environmental actors have acquired the necessary capacity, skills and knowledge and have applied this to produce atlases.	Project Output C Capacity of national stakeholders and trainers developed to use and train on IEA methodology including through the use of new training modules, at regional and sub-regional level	Project Output D Data access for stakeholders enabled through EDIP and MENTOR	Project Output E National and regional environmental or environment-related institutions have access to information on environmental science research through KNOSSOS (DEWA)	Project Output F National and regional environmental or environment-related institutions have access to information on environmental science research through OARE (DCHI)	Project Output G National and regional environmental or environment-related institutions have acquired the capacity to access information on environmental science research through OARE	Project Output H Countries provided with support to access environmental information and technology-supported learning, in collaboration with university programmes of excellence in the field of the environment	Project Output I Development of policy, monitoring and assessment tools for ecosystem valuation, integrated coastal zone management, mainstreaming, restoration of degraded ecosystems and state of the marine management
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

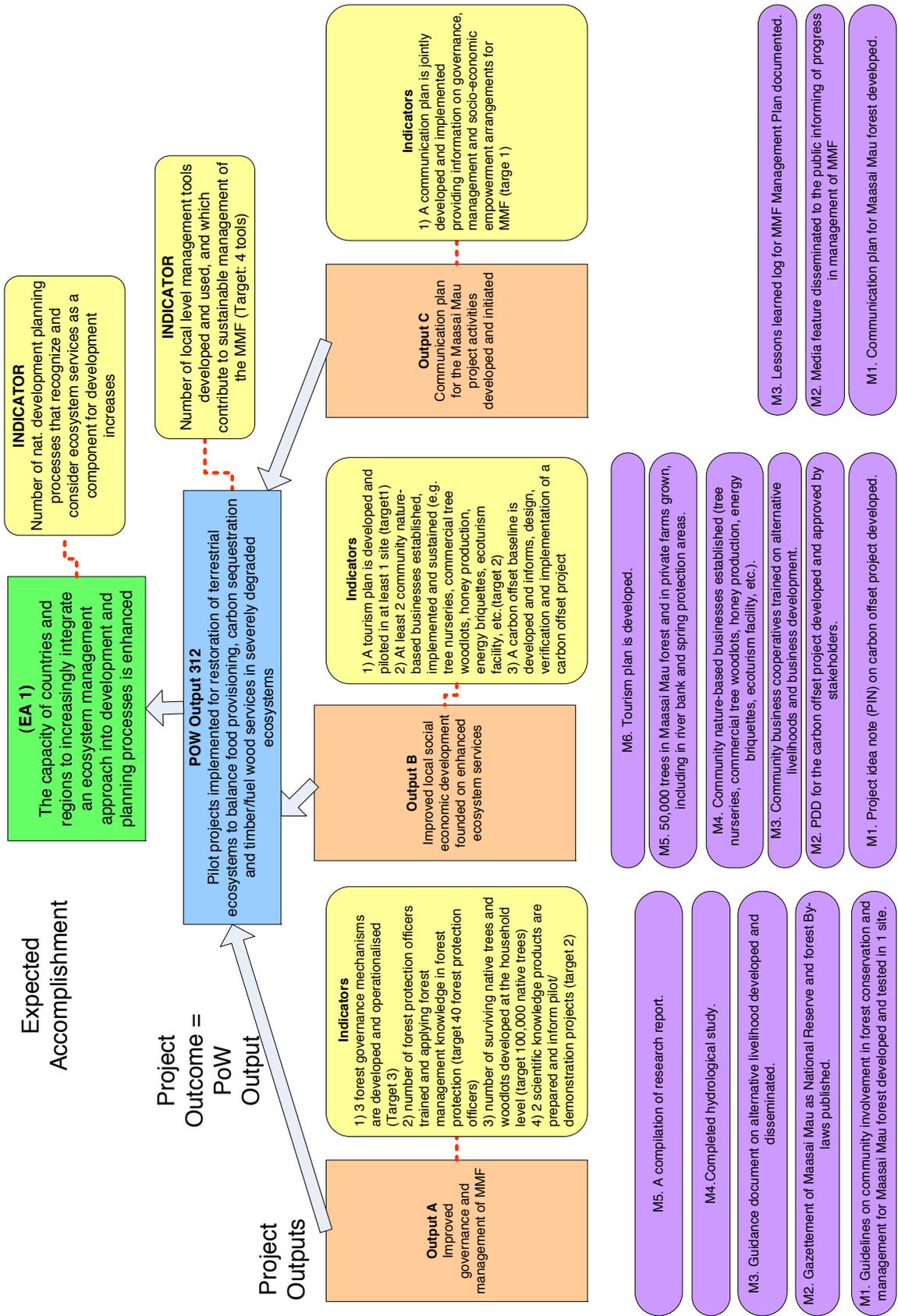
Milestones

20 national level IEA reports have been made available to policy makers at country level	Finalise Asia Pacific, Zambia Southern Africa, Caucasus and Eastern Europe regional Atlases	15 additional trainers trained through global/regional face-to-face or blended training on IEA	Feedback survey of institutions on use of skills in data collection, management and dissemination of environmental data finalised and recommendations formulated	Knowledge Centre being established by Environmental Science Ambassadors	Database built and integrated into OARE portal	Six ToT on use of OARE programme organised	1 regional training workshop for policy makers on the assessment reports in collaboration with universities organised	Collaboration with scientific programmes related to the marine and coastal environment
Inclusive strategic planning and training workshops held for all relevant environmental stakeholders involved in the production of national/city level IEA reports in at least 10 additional countries at national or city level	Translation training module in 2 additional languages	10 additional trained trainees provided training in their country, region or sub-region on IEA	MENTOR has all available related toolkits, best practices and eLearning modules uploaded as developed and provided by UNEP divisions	Knowledge Centre being used to support interactive collaborative workshops	Database published on line through OARE portal	Outreach material for promotion of OARE programme developed	1 training workshop for university professors to develop Assessment reports	Enhancing the collaboration and activities with MAES
Inclusive strategic planning and training workshops held for all relevant environmental stakeholders involved in the production of national/city level IEA reports in at least 5 additional countries at national or city level	Finalise production of a regional Atlas + the LAC one	Module on core data and indicators related to the Data Portal One UNEP Environmental Data and Indicators Platform	Report on web statistics available indicating number of clients that access platforms and Communities of practice in 2010	Knowledge Centre established and being used to support Knowledge Fairs	Research finding indexed and collected	OARE platform upgraded, tested and operationalised	1 regional training workshop for policy makers on the assessment reports in collaboration with universities organised	Enhancing the contribution to global reporting and assessment on the state of the marine environment, including socio-economic aspects
Inclusive strategic planning and training workshops held for all relevant environmental stakeholders involved in the production of national/city level IEA reports in at least 5 additional countries at national or city level	Finalise WA Water resources atlas (region) and the production of Libya atlas	10 of trained trainees provided training in their country, region or sub-region on IEA	Platform and technical tools for data, indicators, and information management fully operational	Knowledge Compass design agreed and being implemented	Research finding scanned and approved	OARE training material and translation in UN languages developed	1 training module developed based on DEWA assessment reports	Development of monitoring and assessment networks, in coordination with the UN regular process on Assessment of Assessments
		Ecosystem based IEA module with focus on ecosystem services finalised	MENTOR has all available IEA related toolkits, guidelines, best practices and eLearning modules uploaded				1 training module developed based on DEWA assessment reports	
		15 additional trainers trained through a global/regional face-to-face or blended training on IEA	Community of Practice for CC established				1 training workshop for university professors to develop Assessment reports organised	
		Review and revision of IEA training material module 5, M&E finalised					1 training module developed based on DEWA assessment reports	
		10 additional trainers trained through a global/regional face-to-face or blended training on IEA					2 regional training workshops for policy makers on the assessment reports in collaboration with universities organised	
							2 training workshops for university professors to develop Assessment reports	

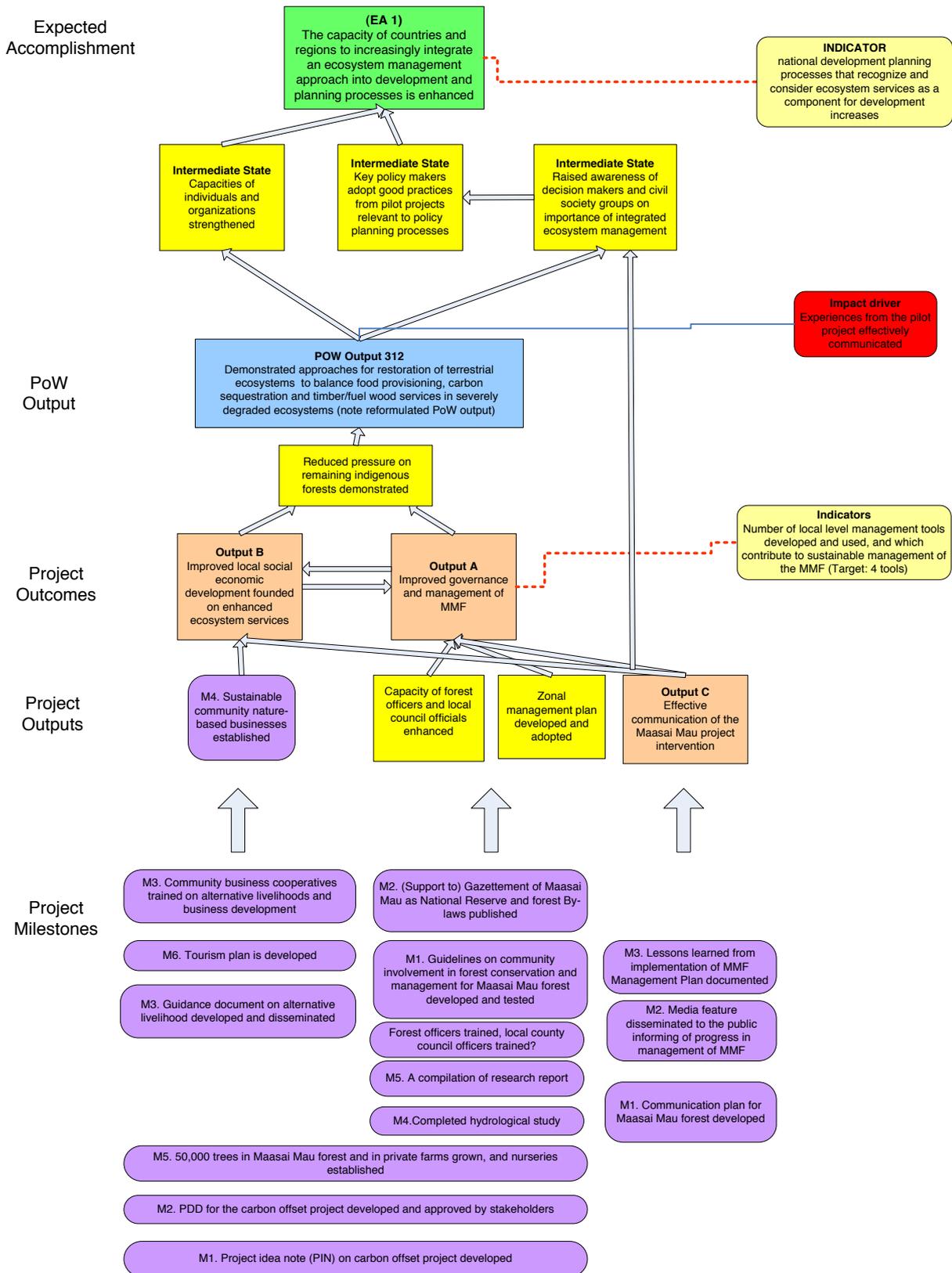
SP EG Project 5D - Regional-level and national-level capacity building in the area of environmental monitoring, assessment and early warning to support international decision-making



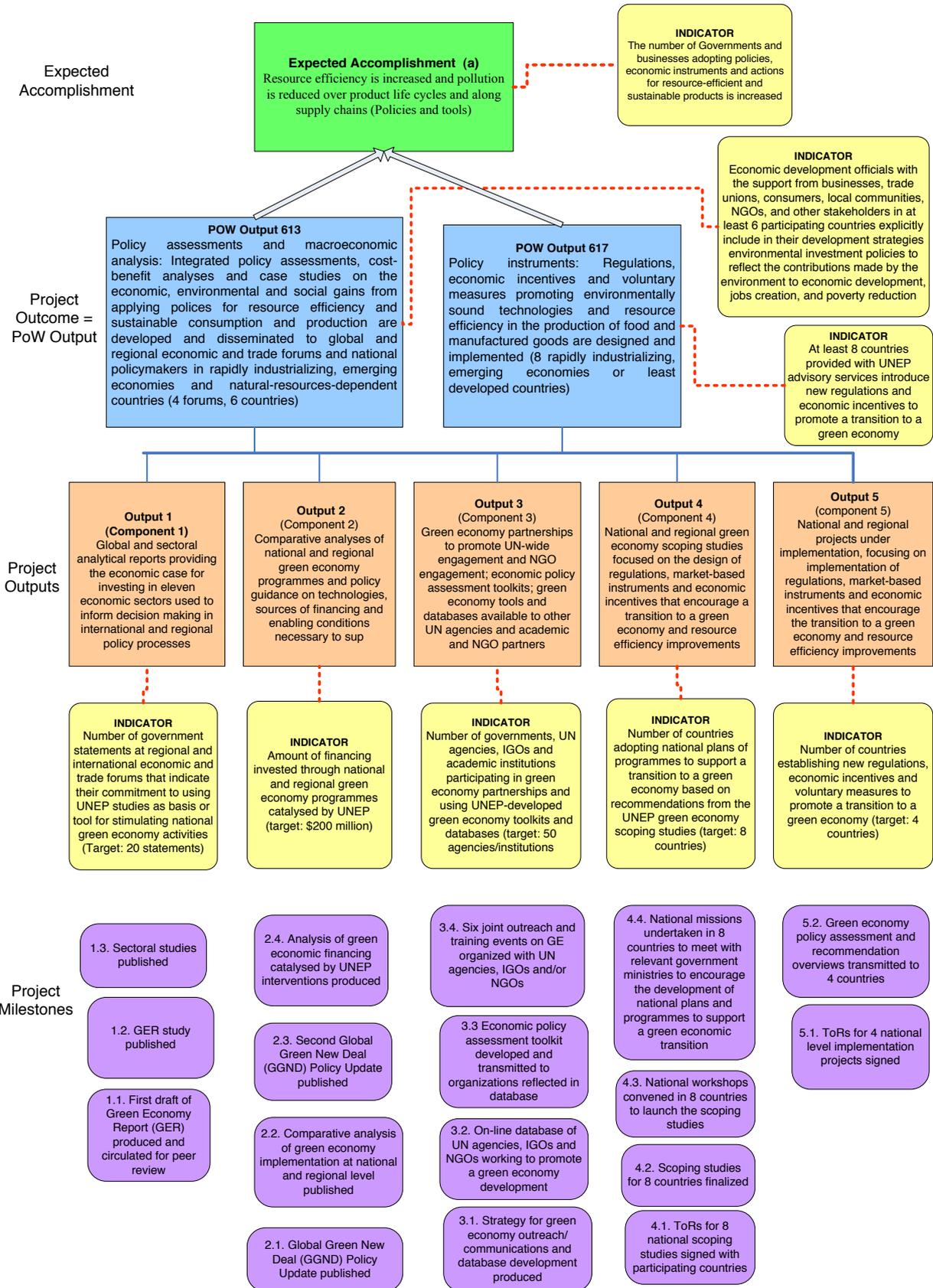
(Logical Framework) P312 'Mau forest - community based intergrated forest resource conservation and management project-2' (COMIFORM-2)



(TOC) P312 ' Mau forest - community based intergrated forest conservation and management project-2' (COMIFORM-2)



(Logical Framework) 61-P3 'Policy, macro-economic assessments and the Green Economy'



(Logical Framework) 61-P3 'Policy, macro-economic assessments and the Green Economy'



VIII ANNEX 5 TERMS OF REFERENCE OF THE EVALUATION

TERMS OF REFERENCE FOR THE FORMATIVE EVALUATION OF THE UNEP PROGRAMME OF WORK FOR 2010 -2011

1.1 Background

The Governing Council in its decision 24/9 requested the preparation of a medium-term strategy for 2010–2013 with a clearly defined vision, objectives, priorities, impact measures and a robust mechanism for review by Governments. Guided by scientific evidence, including findings presented in *Global Environment Outlook: Environment for Development (GEO4)* and priorities emerging from global and regional forums, six cross-cutting thematic priorities were identified as the basis for a strategy that would provide direction for the work of UNEP in the future and orient the programme more firmly toward achieving results. Following an extensive process of consultations between the Executive Director and the Committee of Permanent Representatives to UNEP, the UNEP Governing Council/Global Ministerial Environment Forum, at its tenth special session in February 2008, adopted decision SS.X/3, in which it welcomed the medium-term strategy and authorized the Executive Director to use it in formulating the UNEP biennial programmes of work for 2010–2011 and 2012–2013. The programme of work for 2010–2011 is therefore consistent with the medium-term strategy, using the six thematic cross-cutting priorities of the Strategy as the basis for the six proposed subprogrammes.

Within the framework of the medium-term strategy UNEP will focus its efforts during the biennium 2010–2011 on six cross-cutting thematic priorities, namely, climate change; disasters and conflicts; ecosystem management; environmental governance; harmful substances and hazardous waste; and resource efficiency and sustainable consumption and production. The six priorities are discussed further in the paragraphs below.

Consistent with its mandate and its comparative advantage, UNEP will exercise its distinctive role in environmental leadership within the preceding cross-cutting thematic priority areas by catalyzing and promoting international cooperation and action; providing early warning and policy advice based on sound science; facilitating the development, implementation and evolution of norms and standards and developing coherent inter-linkages among international environmental conventions; and delivering technology support and capacity-building services in line with country priorities.

1.2 Thematic Priorities - Subprogrammes

Climate change. Within the framework of the United Nations approach to addressing climate change UNEP will complement other processes and the work of other institutions, including the United Nations Framework Convention on Climate Change, including its Kyoto Protocol, in creating enabling environments at the national level for responding to climate change, by, among other things, promoting national legislative, economic and institutional frameworks. In doing so,

UNEP will emphasize the synergies between development and climate policies as well as the co-benefits of climate change actions and their contribution to environmental sustainability. UNEP will assist countries in adapting to the impacts of climate change by reducing vulnerabilities and building resilience in sectors of national priority. It will also contribute to mitigating climate change by supporting a transition to cleaner and renewable sources of energy and energy efficiency and by addressing deforestation and land degradation.

Disasters and conflicts. UNEP will build national capacities to minimize threats to human well-being from the environmental causes and consequences of existing and potential natural and manmade disasters and raise awareness of conflict-related risks in the context of General Assembly resolution 58/209 by adopting an integrated approach spanning three key operational pillars, namely, vulnerabilities and risk reduction, emergency response and recovery and mainstreaming environment. With respect to those pillars, UNEP will emphasize the importance of addressing environmental risks and vulnerabilities as a prerequisite to sustainable development and will seek to integrate environmental management needs into the recovery plans of relevant United Nations actors.

Ecosystem management. UNEP will facilitate a cross-sectoral, integrated approach to ecosystem management to reverse the decline in ecosystem services and improve ecosystem resilience with respect to such external impacts as habitat degradation, invasive species, climate change, pollution and overexploitation. UNEP will continue to catalyse integrated approaches to the assessment and management of freshwater, terrestrial, and coastal and marine systems. In facilitating a more integrated approach UNEP will draw upon its knowledge base and on integrated environmental assessments for more effective management of natural systems on multiple scales and across sectors through technical and institutional capacity-building. UNEP will promote adaptive management, participatory decision-making and sustainable financing through payments or investments for ecosystem services to address the drivers of ecosystem change that reverse degradation and increase ecosystem resilience.

Environmental governance. The work of UNEP in this area will be guided in particular by Governing Council decision SS.VII/1 on international environmental governance. At the global level, the UNEP secretariat will support the Governing Council/Global Ministerial Environment Forum in exercising its central role in international decision-making processes for environmental governance and in setting the global environmental agenda. UNEP will continue to support United Nations system-wide coherence and cooperation in the field of the environment, including through policy inputs on environmental governance in the United Nations System Chief Executives Board for Coordination and other inter-agency forums and through the full use of the Environmental Management Group. UNEP will cooperate with multilateral environmental agreements, and support collaboration among such agreements, in order to facilitate their effective implementation and will partner with the governing bodies and secretariats of other intergovernmental processes to enhance mutually supportive regimes dealing with the environment and related fields. UNEP will continue to promote international cooperation and action based on sound science and to support science-based policymaking; catalyse international efforts to implement internationally agreed objectives by supporting Governments in their efforts to strengthen policies, laws and institutions; support regional and subregional ministerial and other intergovernmental processes in the field of the environment; and strengthen support for the engagement of non-governmental stakeholders and civil society in environmental governance at all levels. At the national level, UNEP will support Governments in establishing, implementing and strengthening relevant processes, institutions, laws, policies and programmes in order to enhance environmental governance and thereby achieve sustainable development, including through mainstreaming of the environment into other sectoral policies and making full use of the United Nations Development Group platform.

Harmful substances and hazardous waste. As part of wider United Nations efforts to lessen the environmental and health impacts of harmful substances and hazardous waste, UNEP will focus

its efforts on enhancing strategic alliances with all stakeholders to promote chemical safety within a coherent life cycle approach and in accordance with the objectives of the Strategic Approach to International Chemicals Management adopted in Dubai in February 2006, including through supporting the development and evolution of internationally agreed chemicals management regimes. UNEP will service the Strategic Approach to International Chemicals Management process and implement its environmental component and will assist countries in increasing their capacities for the sound management of chemicals and hazardous waste. It will also support initiatives related to the management of specific chemicals of global concern such as mercury, ozone-depleting and other substances covered by multilateral environmental agreements and will address emerging issues related to chemicals and hazardous waste. UNEP will continue to participate in initiatives aimed at reducing emissions of harmful substances such as the Partnership for Clean Fuels and Vehicles.

Resource efficiency and sustainable consumption and production. UNEP will promote reforms in government policies, changes in private sector management practices and decisions, and increased consumer awareness as means to reduce the impact of economic growth and development on resource depletion and environmental degradation. UNEP will strengthen the scientific base for public and private decision-making and will advise Governments and the private sector on policies and actions aimed at increasing resource efficiency and reducing pollution based on a product-life-cycle approach. It will promote the application of environmentally sound technologies, integrated waste management and public-private partnerships for creating more sustainable product life cycles and supply chains. In addition, UNEP will increase consumer awareness of sustainable consumption and production in order to influence consumers' choices of goods and services. UNEP will support the ten-year framework of programmes on sustainable production and consumption under the Marrakesh Process and will work with its network of partners to monitor progress and to implement collaborative initiatives on resource efficiency and sustainable production and consumption.

1.3 Delivery Approach

The draft PoW shows what UNEP proposes to do in 2010-2011 at the conceptual level. It shows what outputs UNEP will deliver by the end of 2011. These outputs constitute UNEP's products and services to be used by UNEP to achieve the objectives and expected accomplishments contained in UNEP's Medium-Term Strategy and Strategic Framework. UNEP will deliver these outputs by working through partners in areas that are conceived as its comparative advantage. UNEP's comparative advantage and its tentative list of partners have been spelled out in the draft PoW. The draft PoW also shows the estimated budgetary needs to accomplish this work. The PoW specifies the data it will collect over that biennium to measure its progress towards the indicators of success spelled out in the PoW, the latter of which were agreed by the UN Committee of Programme and Coordination when it reviewed UNEP's Strategic Framework in June 2008.

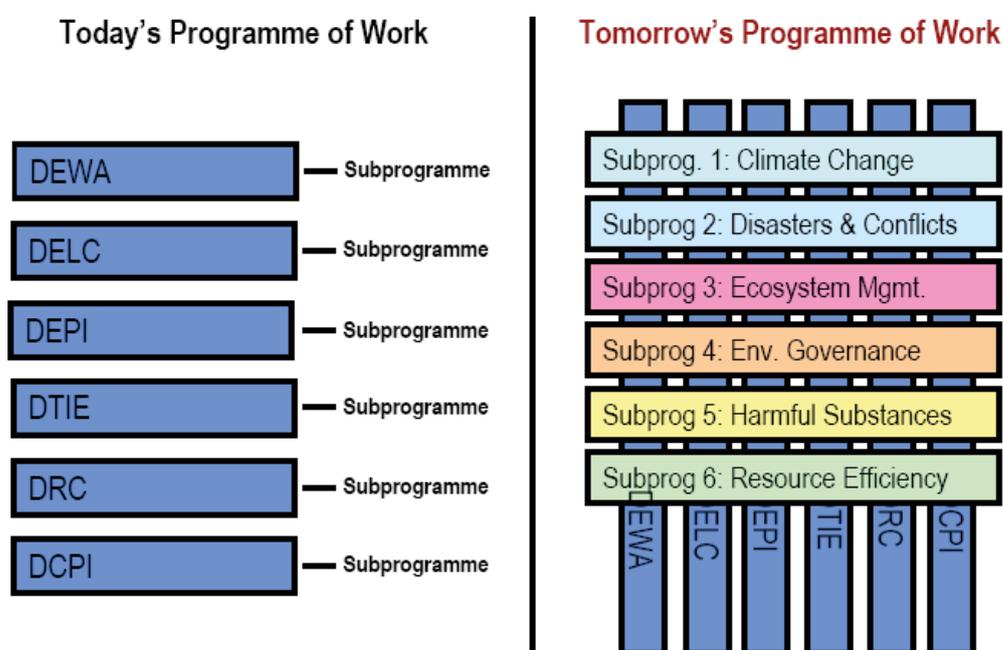
UNEP will participate in the common country programming and implementation processes as appropriate and work with and through the resident coordinator system, United Nations country teams and relevant inter-agency groups. It will pursue closer cooperation between UNEP regional offices, UNDP country offices and other centres. UNEP will seek to strengthen its involvement in the United Nations Development Group and endeavour to strengthen the environmental sustainability component of the United Nations development assistance framework process. UNEP will closely follow and incorporate the outcomes of United Nations reform processes as they unfold.

UNEP will continue to integrate gender equality and equity into all its policies, programmes and projects, giving special attention to the role of women in environmental policymaking, environmental management and early warning and disaster management. The UNEP commitment to mainstreaming gender equality and equity into its programmes will be extended to its work with partners and other agencies, funds and programmes of the United Nations system.

1.4 Governance Structure

The programme of work will be implemented through the UNEP institutional structure, consisting of the six existing divisions and a network of six regional offices, by drawing on their areas of specialization, strategic presence and capacity to deliver at the regional level. The Division of Technology, Industry and Economics will lead subprogrammes 1, 5 and 6. The Division of Environmental Policy Implementation will lead subprogrammes 2 and 3. The Division of Environmental Law and Conventions will lead subprogramme 4. The Division of Early Warning and Assessment will be responsible for the provision of a sound science base across all subprogrammes and will include among its staff a Chief Scientist. The Division of Regional Coordination will be responsible for coordinated implementation at the regional and country levels across all subprogrammes. The Division of Communications and Public Information will be responsible for outreach and the production of publications for all subprogrammes.

The POW has been developed to promote collaboration across UNEP Divisions to achieve stated objectives. Figure 1.0 illustrates the implementation modalities.

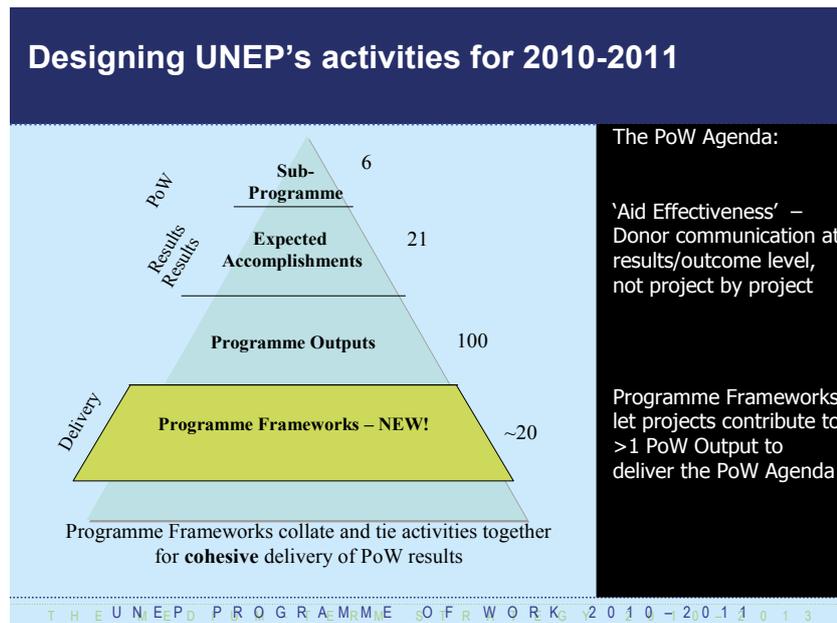


2.0 SCOPE AND OBJECTIVES OF THE EVALUATION

2.1 Evaluation Scope

As approved, the UNEP PoW involves the design of projects which will contribute to each PoW output. This cluster of projects constitutes a Programme Framework. The set of PoW outputs in turn contributes to the delivery of an Expected Accomplishment. The relation between the Programme Frameworks and Expected Accomplishments is illustrated in figure 2 below.

Figure 2: From the Programme of Work to Implementation



Within each project, outputs are designed to deliver certain defined outcomes; the outcomes are in turn expected to result in a set of long-term project impacts. Despite the linear matrix-appearance of the commonly used Logical Frameworks, these results chains are connected through a series of causal pathways that can occur simultaneously. Thus pathways are the means-ends relationships between project activities, outputs, and outcomes and the intended impacts.

The scope of the evaluation includes all programme activities that have been included in the PoW for UNEP in 2010-2011. The issues to be examined will focus on the six thematic priorities discussed in section 1.2.

2.2 Evaluation Objectives

This formative evaluation is intended to provide findings early in the first biennium, based on an analysis of the causal relationships embedded in the projects within each Programme Framework to understand whether these projects are optimally linked to the EAs. The primary objective of the evaluation is to provide information to the respective subprogrammes of the appropriateness of design and delivery of the Programme of Work early in the process when changes or adaptations can be made to maximise the likelihood of success in achieving the Expected Accomplishments.

By mapping out each project's causal pathways it will become clear how these projects are likely to contribute to the EAs and whether the interventions utilize common actors, are mutually reinforcing and converge /synergize with one another to deliver against the EAs. At the same time this analysis will highlight possible linkages from projects within a Programme Framework to other EAs. The formative evaluation will also help with the identification of performance measures, and key 'impact drivers' for use by project /programme managers in the delivery of the EAs.

2.3 Evaluation Questions

The evaluation will address the following key questions:

1. To what extent are the UNEP Programme activities and outputs appropriately linked to shared outcomes and UNEP's mandate?
2. Are the activities designed within the subprogrammes and projects likely to produce key POW outputs and contribute to the Expected Accomplishments?
3. Is risk appropriately addressed?
4. Are the performance indicators appropriate and sufficient to cover the delivery of the various components of the sub-programmes?
5. Is the governance model comprehensive, clear and appropriate for an initiative that cuts across Divisions?
6. Are roles and responsibilities clearly defined for a programme implementation model that cuts across Divisions?
7. What is the likelihood that the anticipated outcomes can be achieved within the duration of the Programme of Work? What would be the anticipated challenges and barriers to achieving the outcomes?
8. What external factors are likely to contribute to or constrain the delivery of outcomes and Expected Accomplishments?
9. To what extent has the design of UNEP interventions incorporated gender issues where they are relevant to the programme outcomes or are of key importance to the processes that aim to achieve these outcomes?
10. Is there enough evidence in the design of the interventions to show that progress will likely be made in delivering the Bali Strategic Plan on Capacity Building and Technology Support?
11. Partnerships; are they clearly defined? E.g. roles and contributions?
12. How can the programming approach for preparation of future POWs be improved?

3.0 EVALUATION METHODS

3.1 Approach

The evaluation approach will be based on the collection of evidence from multiple sources both qualitative and quantitative. Data will be collected from two key sources namely: programme/project document reviews and interviews.

- **Document Review:** Six subprogramme documents and all full project documents developed to date will be reviewed.
- **Interviews:** Interviews will be conducted with subprogramme coordinators, managing divisions, strategic/programme planners and senior management of the organization.
- **Development of Theory of Change (TOC)**³⁴ Based on the review of the programme/project documents the TOC analysis of the various projects will be undertaken to determine the causal pathways of the individual projects and the likely contribution of these projects to the Expected Accomplishments and whether the interventions utilize common actors, are mutually reinforcing and converge /synergize with one another to deliver against the EAs.

³⁴ The TOC analysis will draw on the GEF methods to Review Outcomes to Impacts (ROTI).

3.2 Limitations

- All the projects within the programme frameworks that are likely to contribute to an expected accomplishment have not been fully developed. This is likely to limit the extent to which the evaluation can make definitive statements about the likelihood that the proposed projects can, indeed, produce the results stated in the Expected accomplishment.
- Even if all the projects had been developed, the existing capacity and resources available to the Evaluation Office will not facilitate a hundred per cent coverage of the projects that make up the full scope of the programme of work. The evaluation will therefore sample at the Expected Accomplishment level; and all project associated with the achievement of a specific EA will be selected and coverage across Subprogrammes will be ensured.

4.0 EVALUATION REPORT FORMAT AND REVIEW PROCEDURES

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissenting views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) **An executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities The report should provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Evaluation Findings** providing factual evidence relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluation should provide a commentary and analysis on all key evaluation questions (Section 2.3 above).
- v) **Conclusions** of the formative evaluation providing the evaluator's concluding assessments The conclusions should provide answers to questions about the design of the UNEP interventions are considered good or bad, and whether their implementation will contribute to the achievement of the stated Expected);
- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:

- Briefly describe the context from which they are derived
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where)
- vii) Annexes may include additional material deemed relevant by the evaluator but must include:
1. The Evaluation Terms of Reference,
 2. A list of interviewees, and evaluation timeline
 3. A list of documents reviewed/consulted

The evaluation will also include any formal response/comments from the sub-programme coordinators, UNEP Senior Management Team and other UNEP staff consulted during the evaluation regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.

Evaluation Office

United Nations Environment Programme

P.O. Box 30552-00100

Nairobi, Kenya

Tel: +(254-20)-7623387

Fax: +(254-20)-7623158

Email: Segbedzi.Norgbey@unep.org

Email: eou@unep.org

URL: <http://www.unep.org/eou>

www.unep.org

United Nations Environment Programme

P.O. Box 30552 Nairobi, 00100 Kenya

Tel: (254 20) 7621234

Fax: (254 20) 7623627

E-mail: unep@unep.org

web: www.unep.org

