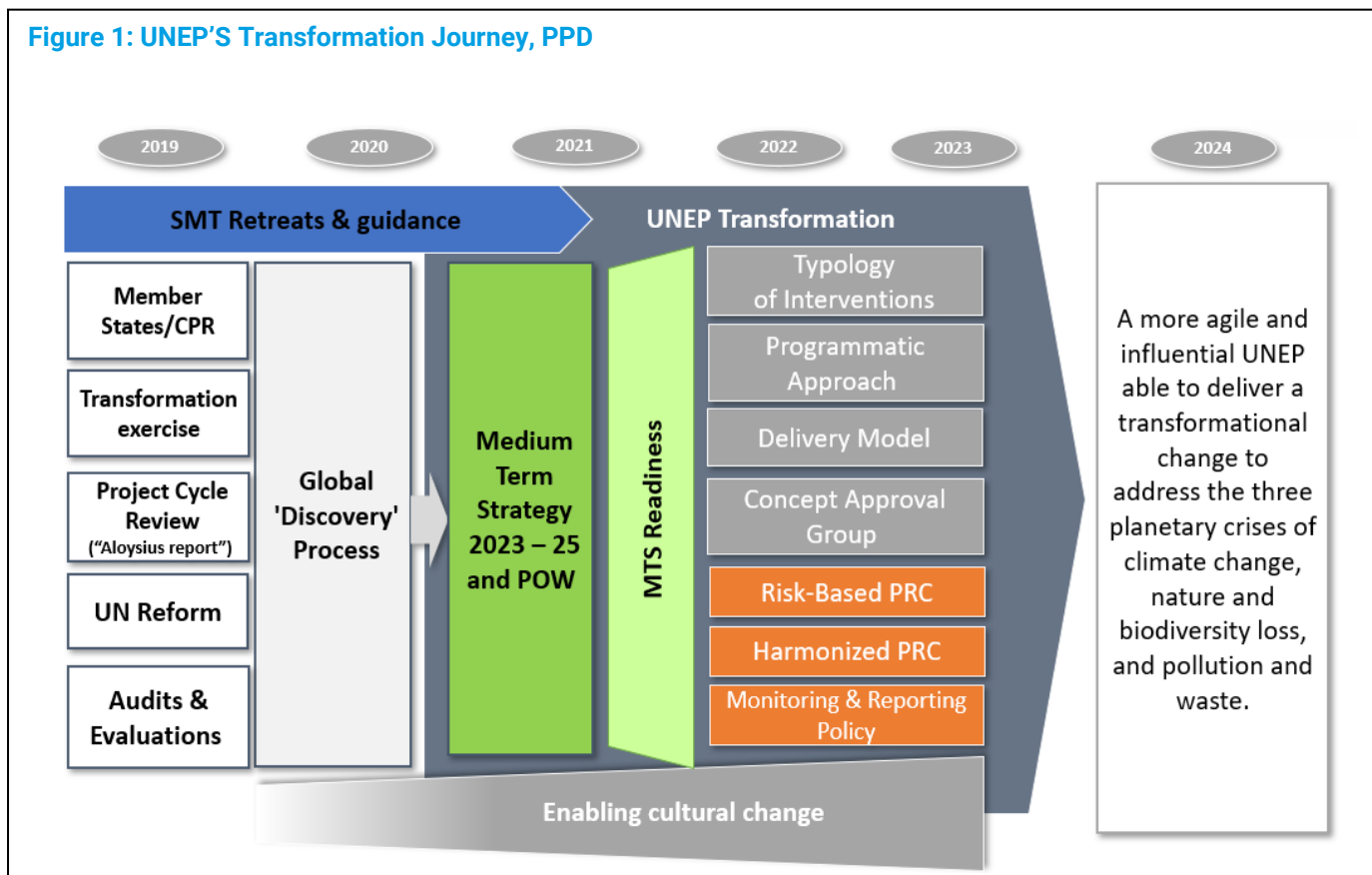


## INCEPTION REPORT

### Formative Evaluation of the UNEP Delivery Model and associated Programmatic Approach

*(Delivery Model Policy, 2022)*

Figure 1: UNEP'S Transformation Journey, PPD



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## List of Acronyms and Abbreviations

CCA	Common Country Analyses
DM	Delivery Model
EA	Expected Accomplishment
EOU	Evaluation Office of UNEP
IPLC	Indigenous Peoples and Local Communities
IPMR	Integrated Planning, Monitoring and Reporting Tool
MTS	Medium Term Strategy (4 years' duration)
PA	Programmatic Approach
PCP	Programme Coordinating Project
CA 1	<i>Adaptation &amp; Resilience (SMA 148560)</i>
CA 2	<i>Decarbonization (SMA 148607)</i>
CA 3	<i>Science and Transparency (SMA 147863)</i>
NA 1	<i>Conservation, Restoration and Sustainable Use of Biodiversity (SMA 157481)</i>
NA 2	<i>Governance Accountability for Biodiversity (SMA 167368)</i>
NA 3	<i>Mainstreaming Biodiversity and Ecosystem Services (SMA 164823)</i>
CPA 1	<i>Circularity in Sectors (SMA 137795)</i>
CPA 2	<i>Pollution and Health (SMA 146723)</i>
CPA 3	<i>Towards Zero Waste (SMA 137838)</i>
ScP 1	<i>Science for Policy and Action (SMA 182935)</i>
Env Gov 1	<i>Environmental Governance (SMA 165708)</i>
F&E 1	<i>Finance and Economic Transformations (SMA 151386)</i>
DT 1	<i>Digital Transformations (SMA not yet assigned)</i>
OIOS	Office of Internal Oversight Services
POW	Programme of Work (2 years' duration)
PPR	Programme Performance Report
PRC	Project Review Committee (internal UNEP committee that approves new projects)
ProDoc	Project Document (must be reviewed by PRC before any project can be undertaken, with the approval of the managing division director)
QBR	Quarterly Business Review
RO	Regional Office
SDG	Sustainable Development Goals
SMT	UNEP's Senior Management Team
SP	Subprogramme
TD	Technical Division
TOC	Theory of Change
TOR	Terms of Reference
UNCT	UN Country Team
UNEP	United Nations Environment Programme
UNSDCF	UN Sustainable Development Cooperation Frameworks

# 1 BACKGROUND

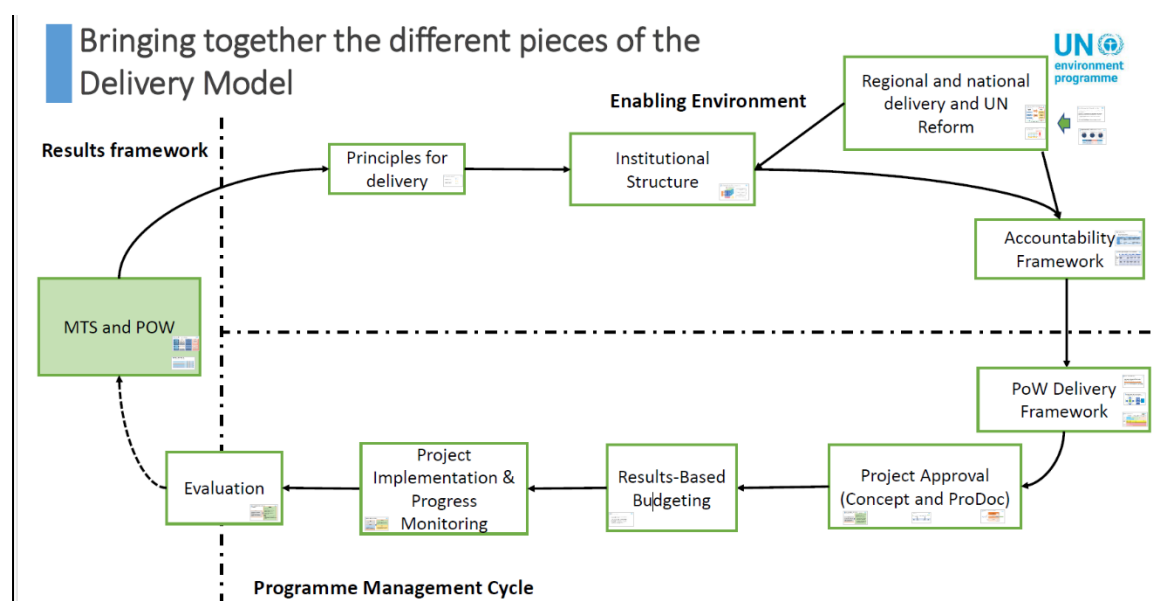
## 1.1 Objectives and Scope of the Evaluation

1. The Medium-Term Strategy (MTS 2022-25) sets out UNEP’s strategic vision and is operationalised through two Programmes of Work (POW 2022-23, extended to 2025). A new Delivery Model (DM) policy was approved in 2022 and describes the roles, responsibilities and processes intended to deliver the MTS. The approved policy also included a request that the Evaluation Office undertake a formative evaluation of the new Delivery Model and its associated Programmatic Approach (PA).

2. This formative evaluation is intended to provide findings on the design of the new Delivery Model and the Programmatic Approach as well as to derive insights from the early phases of implementation. The primary objective of the evaluation is to provide information to UNEP on indications of progress and/or challenges early in the implementation process to inform management decision-making so that adaptations can be made to maximise the likelihood of success in achieving the POW and MTS results.

3. The scope of the evaluation includes all programme and project activities that have been included in the POW for UNEP in 2022-23 and the MTS 2022-25 including the elements and processes depicted in Figure 2 below.

Figure 2: Elements and Processes Relevant to the Delivery Model and Programmatic Approach



Source: Presentation to Senior Management Team, dated Nov 2022.

## 1.2 Key Components of the Evaluand

4. UNEP’s MTS 2022-25 sets out the strategy for UNEP’s work to further its mission to “provide leadership and encourage partnership in caring for the environment by inspiring, informing and enabling nations and peoples to improve their quality of life without compromising that of future generations” over the four years to 2025. The MTS places the three environmental crises of climate change, biodiversity loss and pollution at the heart of UNEP’s work with a clear emphasis on delivery through UN Reform.

5. The POW and Budget (2022-23) details UNEP's results framework for the biennium towards a set of 2025 outcomes. It outlines the means of measuring the effectiveness of UNEP in its direct, enabling, and influencing roles, and defines a timebound trajectory that aligns the organization with the 2030 Agenda.

6. **The Delivery Model (DM):** The DM was designed to operationalise the MTS, including its first POW. The Model is reflected in the 'Policy for One UNEP Delivery for Better Collaboration and Country Support', Sept 2022 (hereinafter DM Policy). The DM reflects a process whereby UNEP delivers its POW at the Regional and National levels in a coordinated One UN and One-UNEP approach taking fully into account the needs identified by regional fora, regional collaborative platforms and, at the national level, by the Common Country Analyses (CCA) and UN Sustainable Development Cooperation Frameworks (UNSDCF).

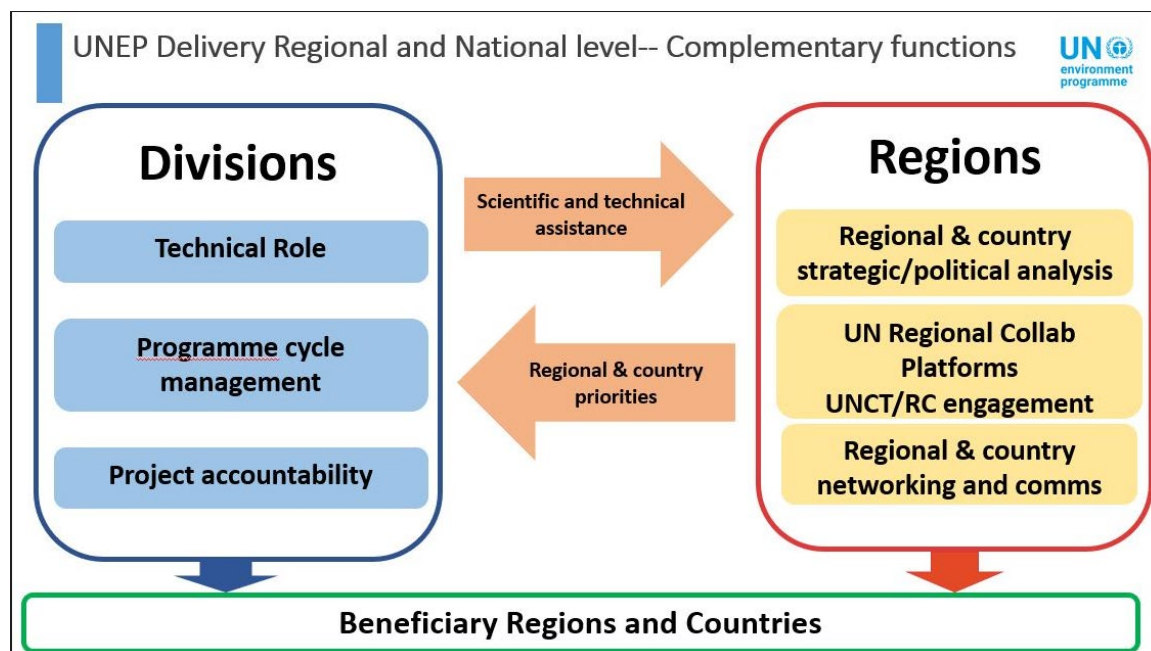
7. The main aim of the DM is to assist UNEP in operating in the most efficient and effective way possible, drawing on the collective strengths of all its Regional Offices and Divisions. Clear roles and responsibilities, which are the preconditions for accountability and ensure a 'line of sight' from project conception through to delivery, have been set out. See also [Figure 3](#).

- **Regional Offices (ROs)** provide thought leadership and coordination for UNEP's work as it relates to regional and national priorities and subsequently guide the technical work of the project design and implementation process, enriching it with regional and national perspectives. Each Regional Office is expected to lead and keep a watching brief on each of the countries in their region, to engage in regular dialogue with senior government counterparts, Regional Collaborative Platforms, Issue-based Coalitions, UN Country Teams (UNCTs) and Resident Coordinators, and to be familiar with the overall environmental setting in the countries of their region. Based on this dialogue, and with the Regional Offices' understanding of the socio-political and economic context, the Regional Offices will identify priorities for UNEP support at the regional and country level.
- **Technical Divisions (TDs)**<sup>1</sup> provide sectoral and technical depth and thematic coherence for UNEP's work. They are directly accountable for project implementation, progress monitoring, and reporting. The Regional Offices will engage in regular dialogue with the Divisions on regional and national priorities and then work hand-in-hand on project design, implementation and resource mobilization. This will be complemented by the transformational processes promoted at the global level, led by the Technical Divisions, in view of addressing the global environmental challenges, as well as strategic south-south alliances across regions. It is noted that a critical role of the Technical Divisions is to support linking together of national/regional analysis with global analysis for systemic approaches to global issues to be developed.

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<sup>1</sup> This includes the Divisions of Economy, Ecosystems, Law, Science and the new Climate Change Division, as well as the Chief Digital Officer and the Digital Transformation and Finance and Economic Transformation Subprogrammes, respectively.

Figure 3: Delivery Model: Complementary Functions



8. **The Programmatic Approach (PA):** A programme<sup>2</sup> is a group of synergistic projects<sup>3</sup> contributing to a common outcome and managed in a coordinated way to obtain benefits not available from managing the projects individually. A group of synergistic projects can, within a programme, contribute to common outcomes and be managed in a coordinated manner.

9. The DM includes an enhanced 'programmatic approach'. The PA is not new to UNEP but rather an evolution from the earlier 'Programme Framework' construct. In the past, the focus was more on 'quality on entry', placing emphasis on both the design and results alignment of each cluster of work, but there were few management arrangements to promote coordination and synergy across projects within each Programme Framework. The new 'Programmatic Approach' aims to build on this by also including 'quality during implementation' where management and coordination actions need to be taken during implementation to realize interdependent benefits.

10. Implicit in the enhanced approach is a strong emphasis on learning and adaptive management, which goes beyond monitoring and evaluation of performance. During the transition to the new DM in the change management workshops, the Policy and Programme Division (PPD) is reported to have encouraged the divisions and regions to co-create, challenge each other to think differently, and approach tasks from different angles. The PA responds to two of the OIOS 2019 recommendations, namely that UNEP lacks a coherent strategic approach and that the fragmented funding model leads both donors and staff to suboptimal solutions. It is also responds to Audit and Evaluation Recommendations highlighting that UNEP's project portfolio is fragmented; UNEP's funding allocations [to

<sup>2</sup> UNEP Glossary of Results Definitions, 2023

<sup>3</sup> A project is a set of time-bound interventions with a specific funding envelope that addresses a defined set of results within an identified implementation context or geographic area. The main components of the project must be interlinked/interdependent to achieve the project outcome(s) (UNEP Glossary of Results Definitions, 2023)

projects] are not aligned to strategic priorities and that there is a lack of cohesiveness and coordination and synergies<sup>4</sup>.

11. The development of Programmes below the Subprogramme level is expected to address the gap between project-level outcomes and the results<sup>5</sup> reflected in the POW as well as to strengthen synergies and complementarities among Subprogrammes. The Programmes are expected to provide a 'clear line of sight' from projects to the POW results framework.

12. The PA envisages a total of 13 Programmes being housed under UNEP's seven Subprogrammes (see Figure 4) and delivering on one or more of the three strategic objectives of the MTS. The three Thematic Subprogrammes (Climate Action, Nature Action, and Chemicals and Pollution Action) have been established to directly deliver the strategic objectives of the MTS. The Enabling and Foundational Subprogrammes will, in an integrated manner, deliver programmes that support and enhance UNEP's work across the three strategic objectives as well as fulfilling their foundational and enabling functions.

**Figure 4: 13 Programmes Delivering the Three Strategic Objectives**

Climate stability	Living in harmony with nature	Towards a pollution-free planet
Science & Transparency in climate (Approved by CAG)	Conservation, Restoration, and Sustainable use of Biodiversity (Approved by CAG)	Pollution and Health (approved by CAG)
Adaptation & Resilience (Approved by CAG)	Mainstreaming Biodiversity and Nature Across Sectors and Systems (submitted to CAG Sec)	Towards zero waste (approved by CAG)
Decarbonisation (Approved by CAG)	Governance and Accountability for Biodiversity (submitted to CAG Sec)	Circularity in sectors (approved by CAG)
Science-Policy Interface (under development)		
Environmental Governance (submitted to CAG Sec)		
Finance and Economic Transformations (Approved by CAG)		
Digital Transformations (submitted to CAG Sec)		

13. To implement this approach, no separate programme documents were envisaged, but the programmatic intentions would be captured in Programme Coordination Projects (PCPs). Each PCP should fulfill the coordination, management and planning functions of a Programme, be led by a Programme Manager and be created as normal projects in the Umoja Integrated Planning, Monitoring and Reporting Tool (IPMR). It is noted that a PCP should not duplicate or replace Delegations of Authority for individual project management, but rather is intended to support strategic coherence across projects. A PCP will include a budget dedicated to managing the overall coordination functions of the Programmes including the functions listed below:

- Enhance impact of projects through coherent and coordinated delivery within a programme;
- Serve as an incubator and catalyst for the development of new projects within a programme;

<sup>4</sup> The United Nations Environment Programme Paradox: External versus Internal Social Responsibilities.

<sup>5</sup> POW results are referred to as: Direct Outcomes, 2025 Outcomes and 2026-2029 Outcomes.

- Support resource mobilization for strategic projects within the programmes;
- Build and manage strategic programmatic partnerships;
- Enhance external communication of key topics of the MTS/PoW related to the programme;
- Provide ad hoc technical *surge* support to countries through the Regional Offices and;
- Set the governance, accountability and core staff resources for the coordination, implementation, and monitoring of the Programme.

### 1.3 Intended Benefits of the Delivery Model and Programmatic Approach

14. The primary expected benefits of the DM and, implicitly, the PA were identified as: greater strategic alignment; results focused management of resources; streamlined reporting and the creation of programme teams, creating a community of practice or network around a common objective.

15. Beyond descriptive text, the evaluation team has not found a concise or consistent set of results (often referred to as 'benefits') or performance indicators associated with the DM and PA. There are a set of 15 Key Performance Indicators (KPI) for operational excellence that are reported on in the Quarterly Business Report (QBR), but these are not specific to the features of the new Model and Approach. Reference to either explicit or implied benefits are found in various formulations across documents and, for the purposes of this formative evaluation, the evaluation team has compiled, in ANNEX II: compilation of expected benefits of the delivery model, the benefits referred to in a presentation to the SMT in August 2022. While there is some concentration of ideas around the list below, there is also mention of expected benefits that may receive less attention (e.g. better value for money, stronger quality of implementation, phase out of less-aligned projects etc):

#### High-level Benefits:

- Focus on the triple planetary crises of climate, nature loss and pollution and on the most game-changing solutions;
- Teamwork to deliver as one UNEP so that the whole is greater than the sum of its parts;
- Accountability to ensure a clear line of sight from results to delivery.

#### Programme Delivery and Impact:

- Focus on clear, compelling results- the 'big' issues;
- Accountability aligned with thematic expertise;
- Drives culture change in UNEP [*towards leadership style reflecting 5 principles*];
- Focus on pillars and integration across subprogrammes;
- Help to focus UNEP's 'offer';
- UNEP project management in line with UN Reform;
- Leadership involvement in programme/project approval;
- Better programme coherence.

16. Throughout this report the PCPs are referred to through an abbreviation based on the Subprogramme to which they belong (Climate Action/CA; Nature Action/NA and Chemicals and Pollution Action/CPA plus a digit<sup>6</sup> referring to the PCP itself – see [List of Acronyms and Abbreviations](#)).

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<sup>6</sup> Digits are assigned alphabetically by the first word of the PCP title (i.e. CA 1 refers to Adaptation & Resilience; CA 2 refers to Decarbonization and CA 3 refers to Science and Transparency)



## 2 EVALUATION OVERVIEW

### 2.1 Introduction

17. The present evaluation concerns a formative process, which is an evaluation during the development or implementation of a programme or other type of evaluand, in this case UNEP's organizational transformation process. Formative evaluations intend to improve the ongoing process of the evaluand and to enhance the results that it can be expected to generate.<sup>7</sup> Thus, the evaluation concerns a constructive effort to inform the on-going transformation process, which is in the early stages.

### 2.2 Evaluation Criteria and Questions

18. The formative evaluation will be guided by a set of evaluation criteria including: strategic relevance, effectiveness, efficiency and monitoring, reporting and evaluation. These reflect the criteria included in the Terms of Reference (TOR) of the evaluation, with the addition of strategic relevance, in order to ensure coverage of issues related to UNEP's strategic direction in relation to the adoption of the DM and PA. On the other hand, the criterion of accountability was removed as a separate criterion given that the transformation process is in an early stage, with some aspects of accountability included under the evaluation criterion of efficiency. Details of the evaluation questions for each of the evaluation criteria are presented in [Table 1](#) below.

**Table 1: Evaluation Criteria and Related Questions**

Evaluation Criteria	Evaluation Questions
1. Strategic Relevance	To what extent will the introduction of the Delivery Model and the Programmatic Approach provide UNEP with a more strategically oriented programme towards the realization of the MTS and POW results (i.e. providing a clear 'line of sight' in terms of addressing the three global environmental crises)?
2. Effectiveness	To what extent, and in what ways, will the i) Delivery Model and ii) Programmatic Approach improve UNEP's ability to demonstrate improved programmatic performance and results at the POW level?
3. Efficiency	To what extent and in what ways will the i) Delivery Model and ii) Programmatic Approach improve UNEP's ability to achieve greater results with the same level of resources?
4. Monitoring, Reporting and Evaluation	To what extent will the i) Delivery Model and ii) Programmatic Approach facilitate UNEP's systematic monitoring, preparing to report on and evaluating the results from the Delivery Model and the Programmatic Approach?

### 2.3 Evaluation Approach

19. The evaluation will make use of a theory-based approach. An initial set of assumptions was included in the TOR and these have been further expanded during the inception phase of the evaluation, informed by a desk review, including UNEP documents

<sup>7</sup> This contrasts with *summative evaluation*, which is conducted after completion of a programme or after the stabilization of an ongoing transformation process and not meant to inform the details of the programme itself but rather its continuation, expansion or replication. Scriven, Michael, *Evaluation Thesaurus*, Fourth Edition, 1991.

relating to the DM and PM, and the conducting of semi-structured interviews with a small set of participants selected from across the organization (for an overview of persons interviewed during the inception phase, see annex VII: RESPONDENTS AT INCEPTION).

20. The evaluation will assess the extent to which the initial set of assumptions are holding, or emerging, and gather evidence that supports such assessment and, in this way, inform UNEP's ability to transform the organisations towards the effective implementation of the new DM/PA.

21. The evaluation will make use of a participatory approach. The focus on a wide array of UNEP stakeholders will enable the inclusion of perspectives from a variety of organizational positions and will provide the opportunity to validate evidence across different informants, enhancing the validity of the findings.

22. During the inception phase, use was made of an exploratory approach, getting a first impression of the transformation process from a variety of informed perspectives and identifying key pathways of questioning. The main data gathering phase will make use of a more formalized and systematic data gathering approach, guided by the evaluation criteria, questions and evaluation framework (see ANNEX IX: EVALUATION FRAMEWORK) and use of a variety of evaluation methods for data collection and analysis.

## 2.4 Stakeholder Mapping

23. For the selection of stakeholders for primary data gathering, a stakeholder mapping has been conducted. Results are presented in [Table 2](#) below.

**Table 2: Key Stakeholders and their Roles in the Transformation Process**

Key Stakeholders	Role in Transformation Process
1. Executive Director	Holder of the institutional vision and leadership
2. Members of the SMT/Division and Regional Directors	Institutional, political and technical leadership and accountability for results
3. PPD/CSD Delivery Model Project Team	Policy development and technical assistance/change champions
4. DRIs of PCPs	Monitoring of results at PCP level; coordination of implementation and development of synergies within the PCP
5. Global Sub-programme Coordinators	Reporting results at Subprogramme level; coordination of implementation and development of synergies across the Subprogramme
6. Change Champions	Facilitate the implementation of UNEP's Delivery Model across UNEP, helping colleagues to understand, appreciate and enact this new way of working
7. Regional Sub-programme Coordinators	Gathering national and regional, prioritized information at Subprogramme level; co-creating concepts for the PCPs
8. Heads of Branches and Units	Providing DRI staff; co-creating concepts for the PCPs and implementing projects within the PCPs and resource mobilisation
9. Project Managers	Co-creating concepts for the PCPs and implementing projects within the PCPs
10. CSD Budget Unit and FMOs	Facilitate new resource allocation strategies.

## 2.5 Evaluation Methods

24. The evaluation will make use of a mixed methods approach, including the gathering and analysis of qualitative and quantitative data from multiple sources. Important methods will include desk review, online semi-structured interviews and focus group discussions with a variety of relevant stakeholders at UNEP headquarters, regional and other offices, as well as brief case studies of good practices identified so far. The use of multiple methods will allow for triangulation of findings across these methods and enhance the validity of the findings.

25. Online interviews will include head and members of the UNEP Senior Management Team, Division Directors, Regional Directors, Deputy Directors, head and staff of PPD, Global and Regional Subprogramme Coordinators and Direct Responsible Individuals of PCPs as well as heads of key coordination units, including the Budget Unit in Corporate Services Division. Moreover, a selection of heads of Branch and Units, project managers and FMOs will be invited to interviews.

26. Selection criteria for interview and focus group participants include a substantive engagement with the new DM/PA and/or responsibility for substantive elements of PCPs. Moreover, some participants will be selected based on extensive institutional knowledge. In the selection of participants, representation of POW scope and UNEP's geographic footprint will be ensured.

27. Small scale case studies will be conducted on good practices identified so far in the transformation process and in the implementation of the new DM/PA. Case studies aim to highlight the conditions under which good practice is emerging, the process of their implementation and the results that are expected to be obtained through them. For an overview of evaluation methodologies used and their characteristics, see [Table 3](#) below.

**Table 3: Methodologies for Data Gathering and their Characteristics**

Method	Description	Objective	Comments
<b>Desk Review</b>	Study and review of selected documents relevant to the design and implementation of the new DM/PA approach	To gain a strong foundation of knowledge on the background and context as well as documented details of the new approach, the implementation process and results achieved so far through secondary sources	Desk review has been started in the inception phase and will be continued throughout the data gathering phase of the evaluation
<b>Semi-Structured Interviews</b>	Virtual individual interviews with selected stakeholders guided by a list of topics for discussion, tailored to type of stakeholder concerned	To gather qualitative and, where appropriate, quantitative data on DM/PA design and implementation from selected stakeholders throughout the organization	Topics for discussion informed by the desk review and guided by the evaluation matrix
<b>Focus Group Discussions</b>	Virtual interviews with selected peer groups of UNEP stakeholders to the DM/PA transformation process	To gather perspectives from peers to the DM/PA transformation process	Conduct of focus group discussions will enable a larger group of UNEP staff to participate in the evaluation

Method	Description	Objective	Comments
<b>Small-Scale Case Studies</b>	An in-depth exploration of good practice examples in terms of their design, implementation and initial / expected results	In-depth exploration of what appears to be working well in order to be able to inform the next steps in the implementation of the DM/PA	Focus on good practices identified during the inception phase as well as during the main data gathering process
<b>E-mail Communication</b>	Focused e-mail messages	To address specific gaps in data and information to be obtained from specific persons and stakeholders	As needed

28. Towards the end of the data gathering process, a validation meeting will be held in which the evaluation team will present its findings and initial conclusions of the formative evaluation in order to validate the findings and to receive feedback on the preliminary conclusions. This meeting will inform the development of the evaluation report, including the evaluation recommendations.

## 2.6 Methods for Data Analysis

29. The analysis of the primary and secondary data gathered will be guided by the evaluation criteria and questions as included above. Moreover, the following means will be used in data analysis:

- **Qualitative Content Analysis:** the conduct of systematic text analysis to assess qualitative data relevant to the evaluation through a step-by-step process of dividing the material into content analytical units, making use of analytical categories, further specified through feedback loops.
- **Quantitative Analysis:** Analysis of quantitative data, making use of quantitative parameters with descriptive statistics analysis, including analysis of secondary quantitative data and relevant project and programme related data.
- **Theory of Change/Results Framework Analysis:** Analysis of Theories of Change (TOCs) and results frameworks of the Programmes, including the logical sequence between initiatives, their direct outputs, and the more indirect outcome level changes and results of the Programme, i.e. the 'line of sight', including the strength of the causal chains that link initiatives to programme level results. This analysis will provide a framework for assessing to what extent programme implementation is likely to follow a results-based management approach, informed by a stepped approach of monitoring of indicators identified at the various levels of change.
- **Partnership / Stakeholder Analysis:** Identification of stakeholders and their relationship to the introduction of the new DM/ PA. Focus will be on UNEP staff, partners and related stakeholders in terms of their involvement in the transformation process.
- **SWOT Analysis:** Looking at strengths and weaknesses in terms of internal capabilities of the new approach, while looking at opportunities and threats to highlight external factors. Strengths and opportunities will be used to assess aspects to be further developed and reinforced, while weaknesses and threats will

identify those internal as well as external issues that need to be addressed and mitigated against.

30. Based on the evaluation criteria and questions, an evaluation framework was developed, which operationalizes each of the evaluation criteria and questions through the identification of a set of informed assumptions used to gather substantiating evidence to address the questions. Moreover, sources of information and methods of data collection are specified for each of the evidentiary issues. The evaluation framework provides guidance to the data gathering and analysis process and is presented in Annex IX.

## 2.7 Evaluation Process and Timeframe

- **Inception Phase:** The exploratory phase of the evaluation in which, based on the TOR, the setup of the evaluation was further specified, including the methodological approach and the evaluation framework, to inform the remaining phases of the evaluation. As part of the inception phase, the Inception Report was prepared, which outlines the details of the evaluation approach and process.
- **Data Gathering Phase:** Informed by the Inception Report, the evaluation team gathers all relevant data needed for the evaluation in a timely fashion, making use of the methods described in para 2.5. At the end of the data gathering phase, a validation meeting will be conducted in order to validate the findings of the evaluation and discuss the initial conclusions.
- **Analysis and Reporting Phase:** In this phase the evaluation team focuses on analysis of all the primary and secondary data gathered during the inception and data gathering phases of the evaluation and develops the draft and final evaluation reports, informed by comments from stakeholders on the draft version of the report.
- **Evaluation Use Phase:** In response to the Evaluation Report, UNEP's Senior Management Team (SMT) is expected to prepare a management response to the evaluation, outlining the extent to which they agree with conclusions and recommendations and in which a clear management follow up to the recommendations is presented. The Evaluation Report and Management Response are communicated to relevant stakeholders.

## 2.8 Evaluation Team

31. The evaluation team consists of four evaluation experts, including two external consultants and two members of the UNEP Evaluation Office. This provides the opportunity to combine external with internal perspectives on the process of adoption of the new DM/PA. Given the distinct locations of the evaluation team members, most of the work will be conducted virtually, making use of Microsoft Teams. As both external evaluators have worked on previous UNEP corporate evaluations, they have been exposed to UNEP as an organization and its internal functioning before the adoption of the new DM/PA.

## 2.9 Evaluation Limitations

32. Several limitations of the present evaluation have been identified, which include the following:

- In the context of project cycle management, UNEP is in the very early days of project design/implementation within the new context of a programmatic approach. This means that there are likely to be several pieces of legacy work (i.e. work UNEP is contractually committed to but is earmarked for phasing-out) still evident within the PCPs and;
- Given the magnitude of the changes UNEP expects to drive through the DM, and the need for formative findings to be generated within a reasonable time period, it will not be possible to carry out an exhaustive study. Priorities are reflected in the four evaluation criteria and related questions outlined above and included in the evaluation matrix presented in Annex IX.

## 2.10 Evaluation Deliverables and Dissemination

33. The formative evaluation process will provide three deliverables:

- **Inception Report** (this document): in the Inception Report the evaluation team sets out its understanding of the evaluand and its current status. As the DM and PA do not lend themselves to a results framework, this report is structured around the key features of, first, the DM and, second, the PA. The content of the Report is derived from a reading of background documents and some preliminary discussions with a small sample of people who have played discernible leadership/contributory roles in the early stages of DM Policy adoption.

Several annexes are presented in this report, which illustrate some of the descriptive analyses carried out during the inception (e.g. review of the MTS/POW indicators, CAG template, TOCs, PCPs etc)

- **Draft/Final Report:** the Final Report will be structured around the evaluation criteria set out above ([Table 1](#)). Against each criterion the evaluation team will summarise its findings in relation to the overall evaluation question and the assumptions that underpin the change processes associated with the DM and PA, and the realisation of their intended results.

The Final Report will include an Executive Summary, main Findings and Recommendations.

- **Presentation:** a summary presentation will be prepared and delivered, in the first instance, to UNEP's SMT. A similar presentation will be delivered through a webinar to all those who contributed to the evaluation process.

## 3 DELIVERY MODEL

### 3.1 Regional and Divisional Roles and Responsibilities

34. At present, defining regional and divisional roles and responsibilities varies across the organization. While there is a clear expectation in the DM for Regional Offices (RO) to focus on intelligence gathering rather than substantive engagement in project implementation (see [Figure 3](#)), the evaluation team heard of differences in interpretation and initial take up of these roles. There are indications that some divisions have centralized programming efforts, while others have involved ROs in early discussions, promoting a sense of ownership and collaboration.

35. It is noted that the first workshop of UNEP's UN Country Team Focal Points (UNCT FP) took place in Nairobi during 6-8 November 2023. A total of 94 UNEP colleagues, out of which 82 joined the meeting, including UNCT FP from all regions, as well as members of the UN Reform Advisory Group.

36. Initial discussions with key UNEP personnel involved in the various Subprogrammes revolved around the complexities and challenges surrounding new regional and divisional roles and responsibilities. One emerging theme was the need for clarity and alignment in defining these roles to ensure effective coordination and implementation of the Programme's objectives. This aligns with the Programme's strategic goal of fostering collaboration and synergy among its various components. Specifically, stakeholders highlighted the importance of clearly delineating the responsibilities of regional offices and divisions within the new DM.

37. One area that will be explored further in the primary data collection phase are discrepancies in perceptions regarding the level of autonomy and decision-making authority between regional offices and divisions. On the one hand, ROs may look for greater autonomy to address region-specific challenges, while on the other, Technical Divisions (TD) may see a greater need for providing centralized guidance based on their specialized expertise.

38. Another challenge that has been noted at this stage is that staff in existing full-time positions are expected to assume additional and substantial responsibilities. In addition the need to clarify effectively the boundaries between potentially overlapping roles has the potential to affect both efficiency and effectiveness.

### 3.2 Co-creation of Projects

39. Co-creation of projects is a cornerstone within the DM and PA. This collaborative approach envisions various stakeholders working together to design and develop projects, ensuring they are technically sound and well-aligned with regional and country-level priorities. However, early indications are that the journey towards effective co-creation within UNEP is a complex one, marked by both challenges and opportunities.

40. Regional Offices possess strong relationships and in-depth knowledge of regional and country-specific needs. They are crucial in stakeholder engagement, securing buy-in from governments and other partners. Technical Divisions (TD), on the other hand, contribute technical expertise and knowledge relevant to their programmatic areas. Ideally, co-creation fosters synergy between these entities, ensuring projects are technically feasible and address the specific challenges faced by countries within a region.

41. Examples of successful co-creation were already mentioned, particularly in terms of TDs showing a clear understanding and commitment to collaborative project development. However, there are challenges in implementing this approach consistently across the organization and a need for a cultural shift to promote co-creation effectively.

42. Indications of the current status will be followed up during the primary data collection phase and include:

- Application of co-creation principles: while some divisions are already actively engaging ROs in the design phase, others are still following a more traditional, top-down approach.
- Inclusion of ROs from the initial stages of project development: in these early days there are cases where ROs are only involved in reviewing project documents, at their later stages of development, limiting their ability to contribute their valuable regional insights. There was also mention of good inclusion, based on planning discussions, from some TDs.
- Coordinated implementation spread across divisions: as can be expected in the early stages of a major change, there are indications of some confusion around the actual operationalisation of synergistic approaches and co-creation and these can be associated with issues of ownership and accountability.

### 3.3 Resource Allocations

43. By strategically allocating resources towards the three planetary crises, UNEP aims to maximize its environmental impact and make contributions towards achieving its global environmental goals. In March 2022, at its 50th anniversary, UNEP launched three new thematic funds to address Climate Stability, Living in Harmony with Nature, and a move Towards a Pollution-Free Planet. The Funds aim to shift the balance away from rigidly earmarked funding towards improved income distribution and resource allocation for bigger impact. Operationalized in October 2022, and with a current value of USD 15m<sup>8</sup>, the Thematic Funds are managed by a dedicated Secretariat hosted by the Corporate Services Division (CSD) which provides operational, programmatic and resource mobilisation support. Furthermore, the Secretariat is tasked with coordinating the Steering Committee of the Funds and developing tools and resources for their roll-out and sustainability.

44. Indications of the current status will be followed up during the primary data collection phase and include:

- Readily available, comprehensive and triangulated data on environmental needs and priorities across different regions: under the DM and PA resources are expected to be directed towards Programmes with the highest potential for environmental impact. This approach considers various factors such as regional and country-level priorities, alignment with UNEP's overall strategy, and the potential for long-term sustainability. Without these data, making informed decisions about where to allocate resources to achieve the most significant impact becomes difficult.
- Funding flexibility: the ability to direct funds towards identified regional and national priorities implies a greater proportion of unearmarked funding, whereas the most

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<sup>8</sup> Divisional Workshop, Industry and Economy, June 2023 (slide 114).



recent Pipeline Analysis from the CAG (see para 50) suggests that, at this early stage in operationalising the new DM, the funding pipeline is currently heavily dominated by vertical funding (e.g. the GEF, GCF and bilateral partners etc).

- Balancing effectiveness with equity: on the one hand, there is a need to ensure equitable distribution of resources across all regions, regardless of their environmental challenges. On the other hand, allocating resources solely based on equity might not necessarily lead to the most impactful environmental outcomes.
- Funding partner resource allocation priorities and strategies: there may be pressure to direct resources towards donor objectives and goals, which may differ from UNEP's priorities. Added to this is the prevalence of short-term funding cycles where donors provide funding for specific projects with limited durations.
- Expertise in resource mobilisation: identifying and pursuing funding opportunities, including from non-traditional and/or new regional sources, requires experience and expertise which may not be located at the levels expected by the DM.
- Competition with the broader UN system: UNEP must compete with other UN agencies for funding from the same donors, potentially hindering its ability to secure its needed resources.
- Transparent and timely resource allocation: effective project implementation is dependent on efficient and effective disbursement mechanisms and need to match expectations (i.e. when UNEP asks about regional and national priorities, there needs to be a timely and appropriate response if raised expectations are to be met).

### **3.4 Leadership/Management Style**

45. A set of desired leadership and management principles were identified during the transformation process and represent a key aspect of the cultural shift UNEP intends to make. These are: coherent strategic leadership; aligned entrepreneurship; systemic collaboration and partnership; integrated capability development and operational excellence.

46. The leadership and management styles within divisions and regions vary, impacting the early implementation of the DM. Effective leadership fosters collaboration, innovation and a culture of continuous improvement. However, challenges arise when there is a lack of clarity in roles and responsibilities, resistance to change, or a persistent top-down management approach.

47. Challenges that emerged during initial discussions and which will be further explored through primary data collection are:

- Managing the flow of decision-making: before the introduction of the DM the perception is of decision making flowing from Headquarters and from Technical Divisions. The intention is to make a substantial change to be lead by regional priorities, with only a few examples of how this might be operationalised.
- Adequate communication and transparency from leadership: at present it appears that the priorities for clear communication relate to programme priorities, resource allocation decisions, and overall organizational direction.

- Staff empowerment: at present it is unclear if and how staff in existing roles and positions will be enabled to take on new management and leadership roles within their spheres of operation.

### **3.5 Concept Advisory Group**

48. The TOR for the Concept Advisory Group (CAG) were developed in November 2022 and in the course of 12 months, between December 2022 and 2023, the current set of 13 PCPs were developed and approved.

49. Apart from the approved PCP documents, the evaluation team were provided with two presentations (Sept 2023 and Feb 2024) on the highlights of an analysis of the pipeline of concepts reaching the CAG. These presentations show that the composition of approved concepts is being monitored and descriptive analysis provides information on: the alignment of concepts against the MTS Outcomes/POW Direct Outcomes and the Subprogrammes; funding sources and patterns of concept financial values and geographic coverage and implementing country analysis. This information can be applied to many questions and, at the moment, the analysis seems to address the question: *'what is the nature of the group of concepts being approved'*.

50. At present (Feb 2024) the MTS/POW pipeline is strongly geared towards Climate and Nature Action; project concepts tend to be country specific and 80% are directed towards lower and upper middle-income countries and the pipeline is dominated by vertical funds (46.6% of funds in the form of GEF grants);

### **3.6 Risk-based Project Review Committee**

51. The DM refers to risk taking that is aligned with the strategy as part of the understanding of 'aligned entrepreneurship'. The role of ensuring that political, financial and implementation risks are managed is assigned to the Technical Division Directors (DM Policy, pg 8) and the role of helping to identify risks is assigned to the Directly Responsible Individual (DRI) (DM Policy, pg 9). Risks are expected to be addressed through CAG and Project Review Committee (PRC) meeting and approval processes.

52. Specifically, the PRC meetings for projects identified as facing high risks should be chaired by the Deputy Executive Director, those facing medium level risks chaired by the Director of PPD and those considered to be operating in a low risk context, chaired by PPD or the PRC Secretariat Focal Point. Insights into how this process is emerging will be sought during the primary data collection phase of this formative evaluation.

## 4 PROGRAMMATIC APPROACH

### 4.1 POW Results and Indicators

53. The status of POW results and indicators within UNEP reflects the organization's progress in achieving its strategic objectives and desired outcomes. Effective monitoring and evaluation of POW results provide valuable insights into program performance, highlighting success areas and identifying improvement areas. This involves establishing clear and measurable indicators that align with program goals, tracking progress against these indicators, and using the data to inform decision-making and resource allocation.

54. Several factors contribute to successfully developing POW results and indicators within UNEP. These include stakeholder engagement to ensure buy-in and ownership of programme goals and indicators, capacity building to enhance staff skills in monitoring and evaluation, and data collection and analysis to accurately track progress and assess results. Additionally, establishing a robust monitoring and evaluation framework with defined roles, responsibilities, and timelines helps ensure accountability and transparency in reporting.

55. Despite these efforts, challenges may arise in developing POW results and indicators within UNEP. These challenges may include data availability and quality issues, insufficient capacity for monitoring and evaluation, and the complexity of measuring environmental outcomes. Limited resources and competing priorities may also challenge effective monitoring and evaluation efforts, requiring strategic prioritization and resource allocation.

### 4.2 Programme Coordinating Projects

56. Although, there is no mention of the Programmatic Approach in the final version of the DM Policy, the approach is considered an intentional part of the change process. The draft version of the DM (9 August 2022) included *'a programmatic approach in UNEP, whereby results are delivered through the vehicle of 13 programmes that cut across teams and subprogrammes'*. While the DM could be considered as addressing the 'how' of the transformation process, the PA could be viewed as the 'what' of the same process. In terms of changes from before MTS 2017-21 to the current MTS 2022-25 this concerned a move from project portfolios at the level of seven Subprogrammes, towards a programmatic approach delivering on the three strategic objectives of the organization in an integrated way through the thirteen Programmes. Each Programme is represented by its own Programme Coordination Project (PCP) assigned to an adjusted<sup>9</sup> set of seven Subprogrammes.

57. As part of the Inception Phase, the evaluation team reviewed each of the thirteen PCPs, including results framework and TOC of the programme, coordination and management arrangements, resource mobilization, monitoring, reporting and evaluation, knowledge management, communication and outreach and budget and workplans as well as existing and project concepts included in the programme. The review applied a qualitative approach, assessing the contents of the PCPs making use of a list of key content topics and comparing the details provided across the PCPs.

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<sup>9</sup> In the MTS 2022-25 the seven Subprogrammes include the new Digital Transformations Subprogramme as a Foundational Subprogramme and re-classification of three previous Subprogrammes (Environment Under Review, Environmental Governance and Resource Efficiency) to Enabling (Science Policy and Environmental Governance) and Foundational (Financial and Economic Transformations) Subprogrammes. The Resilience to Disasters and Conflicts Subprogramme was re-classified as a Branch level operation, while the remaining three Subprogrammes (Climate Change, Healthy and Productive Ecosystems and Chemicals, Waste and Air Quality) were renamed as Climate Action, Nature Action and Chemicals and Pollution Action.

58. It needs to be taken into account that the thirteen PCPs represent a diverse set of Programmes. It includes PCPs from Thematic as well as Foundational and Enabling Subprogrammes which all play different roles in the achievement of the organizational objectives. PCPs also differ considerably in terms of their size, both in terms of initiatives covered as well as financial resources. Also, in organizational aspects there are differences, with the Digital Transformations Subprogramme, for example, not housed in a single Division, unlike the other Subprogrammes. Notwithstanding these differences, the PCPs ask the same issues to be identified for each of the Programmes. In the review of the PCPs, their differences were taken into consideration (for details, see ANNEX IV: ).

59. The main findings of the review of the thirteen PCPs include:

- i. The quality of the PCPs varies considerably, both across the PCPs but even more so within each of the PCPs in terms of the quality across the items covered. This means that, at present, no one PCP stands out as a good practice model. However, there are parts of many PCPs that provide examples of good practice in terms of identification of issues concerned and providing ways for the design and implementation of a programmatic approach. Thus, there are many opportunities for learning across the thirteen programmes in terms of development and implementation of a PCP.
- ii. Though PCPs are meant to enhance coordination across UNEP, in the design of each of the PCPs of the Thematic Subprogrammes, these only focus on the contribution to the outcome area of that Subprogramme, with only one exception in which contributions to other thematic subprogrammes are identified. This limits the way in which the linkages between the Thematic Subprogrammes are made explicit in the setup of their PCPs.
- iii. PCPs in terms of their results framework make use of the MTS 2022-25 outcome areas and the POW Direct Outcomes and indicators, making a selection that fits the specific Programme. This, however, has not necessarily led to strong causal result chains given that the combined set of indicators are related to POW Direct Outcomes and MTS Outcomes without identifying the causal relations between individual indicators, Direct Outcomes and MTS outcomes.
- iv. While there is some clarity in terms of the expected contribution of project concepts to the achievement of the overall programme objectives, such relations remain unclear for existing projects. This, while the number of existing projects usually far outnumber project concepts, has left gaps in understanding how the initiatives as part of the PCP are meant to contribute to MTS results.
- v. The ways in which programmes are organised into components is usually not made explicit in the PCP design, while such details could make aspects of the rationale of the programme explicit and inform the setup of its causal results framework. In terms of the projects that are part of a PCP, it is not made clear to which component these (mainly) contribute, leaving gaps in the understanding of how the PCP is meant to produce results.
- vi. While linkages between Subprogrammes are identified in several of the PCPs, this is usually not reflected in the results framework, nor are the management arrangements acknowledged, apart from joint participation in the Programme Steering Committees.
- vii. While partnerships are identified in the project concepts, which are vital for project implementation, usually no details are provided on the comparative advantages of

partners and the roles that they are expected to play in the projects concerned, which makes it difficult to assess the strategic relevance of the partnerships.

- viii. Though details on resource mobilization, programme monitoring, reporting and evaluation, knowledge management and communication and outreach are provided, there have been no clear resource mobilization strategies, detailed M&E plans, knowledge management strategies and communication and outreach strategies annexed to any of the PCPs. In most of the PCPs these essential aspects of the PCPs are to be developed in the first year of programme implementation.
- ix. A variety of ways to enhance synergy has been identified in the various PCPs, including collaborative approaches, support to global and regional Multi-national Environmental Agreements (MEA), interdisciplinary cooperation, strategic partnerships, knowledge sharing, alignment with strategic objectives, and shared robust monitoring and evaluation mechanisms. There has been substantial integration of MEAs and GEF initiatives in the PCPs.
- x. Each PCP describes its programme management and coordination structure in a narrative and with a diagram. Typically, each PCP will have a large<sup>10</sup> Project Steering Committee which will meet biannually, with frequent mention of a physical meeting once a year. There are substantial similarities in the descriptions of roles and the diagrams, albeit in different forms, represent similar functions. It is noted that the roles described are all additional to the roles already held by existing position holders; there is potential for considerable overlaps either between roles (e.g. Heads of Branch, GSPCs, Unit Heads as DRIs and GEF Portfolio Managers) or between 'core' and 'PCP' roles (e.g. Heads of Branch overseeing work in the Branch and work that extends beyond that Branch).
- xi. Targeting of the project concepts appears uneven with often no clear justification of a focus at global, regional and country level and the combination of these levels within the Programme. This makes it more challenging to understand the responsiveness of the programmes to the specific country, regional and global level needs.
- xii. Gender and other social issues and concerns are only included in a piecemeal manner in the PCPs which leaves a gap in terms of ensuring that programmes at a minimum do not negatively affect the livelihoods and rights of women and other vulnerable groups, and at best contribute to improve the social and economic conditions of these groups in addition to environmental gains.

### 4.3 Theories of Change

60. Four types of Theory of Change (TOC) are discussed in this section: the 3 TOCs for the Thematic Subprogrammes; the 9 PCP TOCs that are assigned to the Thematic Subprogrammes; the 4 PCP TOCs that are assigned to the Foundational and Enabling Subprogrammes and project level TOCs from projects approved in 2023/24. The section also describes the inter-relationships between TOCs.

61. Based on a document review, this set of TOCs show a great deal of variation in form, results levels and content. More descriptive detail is given in ANNEX VI: DESCRIPTIVE

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<sup>10</sup> Members of the PSC include staff from across Divisions/Branches as well as Regional SPCs.

NOTES ON THE THEORIES OF CHANGE ASSOCIATED WITH THE MTS (2022-25). The main data collection phase of the evaluation will seek further insights into seven main features of the TOCs:

- i. **Thematic Subprogramme TOCs:** There is no indication of causal pathways between POW Direct Outcomes and MTS Outcomes in the three Thematic Subprogramme TOCs (*i.e. all the Direct Outcomes are expected to contribute, as a whole, to all the MTS Outcomes*).
- ii. **All PCP TOCs:** Programmes are organised into Components, and only sometimes refer to Programme Outcomes. There is no consistent<sup>11</sup> indication of causal pathways between Programme Components/Outcomes and the POW Direct Outcomes.
- iii. **Thematic Subprogramme TOCs and their associated PCP TOCs:** The inter-relationships<sup>12</sup> between the PCP TOCs and the TOCs of the three Thematic Subprogrammes themselves do not reflect the expected conscious synergy (*i.e. these PCP TOCs are mostly<sup>13</sup> assigned to POW Direct Outcomes related to the Thematic Subprogramme to which the PCP belongs (see ANNEX V: OCCURRENCE OF POW DIRECT OUTCOMES IN EACH PCP THEORY OF CHANGE)*).
- iv. **Thematic Subprogramme TOCs and the single PCP TOCs for Foundational and Enabling Subprogrammes:** The inter-relationships between the TOCs of the three Thematic Subprogrammes and the single PCPs of the Foundational and Enabling Subprogrammes do not reflect the expected conscious synergy (*i.e. there are six POW Direct Outcomes that have no work under the Foundational and Enabling Subprogrammes assigned to them in their TOCs, namely 1.4, 2.5, 2.12, 3.2, 3.8 and 3.9*).
- v. **Project TOCs:** There is no indication of causal pathways between Project Outcomes and Programme Components/Outcomes (*i.e. in the Concepts within the PCP document and in the ProDocs of recently approved projects, the Project Outcomes are assigned to POW Direct Outcomes/MTS Outcomes, and not Programme Components/Outcomes*).
- vi. **PCP TOC Timeframes:** The timeframes of the PCP TOCs are not clear. The PCP budgets indicate a mid-point of 3 years and an end after 5 years but more clarity is needed around how these timeframes relate to: a) project durations, b) the POW duration and c) the MTS duration.
- vii. **PCP TOCs and Results Alignment Tables:** The status and inter-relationship between the Results Alignment Table and the TOC in the PCP documents is unclear as they are not always consistent. In three instances information had to be extracted from the Results Alignment Table or SP TOC within the PCP document to complete this exercise (Env Gov, Circularity in Sectors and Towards Zero Waste). This ambiguity may have an impact in future assessments of PCP performance.

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<sup>11</sup> In CPA 2 there are some directional arrows between the Programme Outcomes and an unknown results level, but these are then absorbed into broader, non-causal paths at the next level. In NA 1, NA 2 and NA 3 an attempt has been made to link Programme Outcomes to a selection of POW Direct Outcomes but the existence of a Programme Objective in between these two levels undermines the causal thinking.

<sup>12</sup> In only four instances does a PCP under one Thematic Subprogramme contribute to a POW Direct Outcome associated with a different Thematic Subprogramme.

62. Based on the documentation available at the inception stage, the designs of the PCP TOCs more closely correspond with the definition of a *portfolio*<sup>14</sup> than a *programme*<sup>15</sup>. This is because there are no links, from a results perspective, between the project and programme level outcomes. The common outcomes are at the level of the POW and there is, therefore, no indication (from a results perspective and within the PCPs), of *'benefits not available from managing the projects individually'*. The projects within the PCP do, however, *'share a common characteristic relevant to the organization's strategic objectives'*. The nature of the synergistic relationships between projects also needs further consideration (e.g. the extent to which external coordination mechanisms can forge synergies if not supported, or driven, by causal pathways and integrated results mapping).

#### 4.4 Typology and Levels of Interventions

63. The DM introduces a new typology of interventions that is intended to empower UNEP to: 'focus its efforts on interventions that deliver results, leverage its comparative advantage, offer value for money, and adhere to UNEP's mandate' (DM, pg 10). The typology is also expected to support dialogue with Member States on what work UNEP is implementing and to provide a framework for qualitative and quantitative reporting of results.

64. The four categories of intervention are: A) Generation and dissemination of science-policy knowledge; B) Technical support, capacity building and advisory services; C) Advocacy and Outreach and D) Inter-governmental and interagency processes. The three levels of intervention are: 1) Direct; 2) Enabling and 3) Influencing. For further details see [Table 4](#) and [Table 5](#) below.

**Table 4: Typology of UNEP Interventions**

Types of Interventions	Details
<b>A) Generation and dissemination of science-policy knowledge</b>	Including through scientific networks, coalitions and platforms, substantive advocacy, technical materials, and databases and digital materials
<b>B) Technical support, capacity building and advisory services</b>	Including through policy and regulatory development, demonstration and pilot testing innovative solutions and technologies, scaling up activities with partners, and training events
<b>C) Advocacy and Outreach</b>	Including outreach programmes and special events, and information materials
<b>D) Intergovernmental and interagency processes</b>	Including conference and secretariat services, the provision of Secretariats of Multilateral Environmental Agreements (MEAs), and support for 'One UN' processes

Source: UN Environment Programme, UNEP Delivery Model, Policy for One UNEP Delivery for Better Collaboration and Country Support, September 2022.

<sup>14</sup> *Portfolio*: A group of projects and/or programmes that share a common characteristic relevant to the organization's strategic objectives (e.g., funded by the same donor, operating in the same thematic area etc.). UNEP, 2023

<sup>15</sup> *Programme*: A group of synergistic projects contributing to a common outcome(s) and managed in a coordinated way to obtain benefits not available from managing the projects individually. UNEP, 2023

**Table 5: Levels of UNEP Interventions**

Levels of Interventions	Details
<b>Direct</b>	UNEP plays a direct role, setting the scene for transformational change through science driven global advocacy, capacity development and stakeholder mobilization, to upscale innovative solutions through partnerships and networks
<b>Enabling</b>	UNEP enables others to initiate systemic change by supporting policymaking, changes in behaviours and attitudes, development of norms and standards, and institutional strengthening
<b>Influencing</b>	UNEP influences others to achieve social, economic and political transformational change through strengthened global norms and standards

Source: UN Environment Programme, UNEP Delivery Model, Policy for One UNEP Delivery for Better Collaboration and Country Support, September 2022.

65. At the inception stage of this formative evaluation, the evaluation team has seen material on the types and levels of intervention in the powerpoints used in the Divisional and Regional workshops. The slides note that the ‘joint development’ feature of the DM (i.e. co-creation between Technical Divisions and Regional Offices) is only a requirement for projects falling under type B (Technical support, capacity building and advisory services). We assume that the other types of projects will be delivered through the corporate projects to be developed by Regional Offices and funded through an allocation from the Environment Fund. This understanding will be explored further during the primary data collection phase.

66. Only one PCP document, for the Digital Transformation PCP, has organised its planned work according to these types and levels. This PCP describes 4 outputs, consistent with the four types of intervention in Table 4 and provides a diagram (p.10) that indicates that their work under type B will be Direct; work under type A will be Enabling and work under the other two types will be Influencing.

67. Within all the PCP documents, under the Pipeline of Projects, the project concept templates ask for an indication of the type of project that is being proposed. At this stage in the formative evaluation process it is not clear a) how a decision is made when a project has components that fit under all three types of intervention; b) how this will be used to ‘frame’ results reporting and c) how these levels will have a bearing, if any, on the design, approval and implementation of projects.

68. At the inception phase it is also not clear what the three levels of interventions represent within each of the four types of interventions. In addition, the differentiation between enabling and influencing levels requires further explanation. Nevertheless, these typologies of change have been used in each of the 13 PCPs to indicate the types of intervention associated with each of the project concepts. Apart from the indication of levels of interventions for each of the projects, there is no explanation or justification provided for the typology.

#### **4.5 Monitoring, Reporting and Evaluation**

69. The Monitoring and Reporting Unit, within PPD, is currently finalising a new Monitoring and Reporting Policy – the last Policy was issued in 2010. The Policy includes reference, in its Annex 3, to roles and responsibilities related to the new DM that go beyond those outlined in the DM Policy (e.g. the roles of various Focal Points).

70. A new Monitoring and Reporting Framework is also under development, and this is expected to provide more operational guidance, for example, on what a monitoring and



reporting plan should look like etc. This is an opportunity for guidance to be specific to the new DM and PA.

71. At this point in time, it is understood that presentations on each of the 13 PCPs were made to the CPR by global SPCs at the 10<sup>th</sup> Annual Sub Committee Meeting and that, beginning in April 2024, more in-depth presentations of PCPs will be made on a gradual basis. The first two to be discussed in more depth will be the first two that were signed off, one year ago.

72. The Monitoring and Reporting Unit is responsible for the preparation and submission of regular corporate performance reports to the Member States. These include the Programme Performance Report (PPR) and the Quarterly Business Report (QBR), among others.

73. As mentioned in the DM Policy (pg 9), the global SPCs are responsible for the synthesis and reporting of regular corporate results related to their subprogramme, which includes the compilation of results for the PPR. It is understood that the data will be collected, primarily from UNEP's information system, IPMR. Project level monitoring data are reported in IPMR by Project Managers on a six-monthly basis. The Monitoring and Reporting Unit validates the results reported by the global SPCs against the 31 programmatic indicators using an excel-based validation template. For each indicator the template includes the units of measure and data sources (i.e. named projects, relevant databases, reports and surveys etc) and asks for evidence extracted from that data source. The template also prompts for a summary of how UNEP has contributed to the reported result. This validation exercise has been undertaken once since the new DM and PA were introduced.

74. Since 2021 the QBR has presented trends in performance (operational excellence) against 15 KPIs. The data are collected and presented for 7 Divisions, 7 Regional Offices and 3 Offices with 'non programmatic'<sup>16</sup> functions.

75. While the KPIs are not specific to features of the new Delivery Model, the existence of historic data allows for a comparison in performance (operational excellence) to be made going forwards as the new Model is implemented. The evaluation team, at the inception phase, has not seen any other KPIs specific to the new DM (see also para 15), although we note reference, in documents relating to change management work, to PPD a) defining benefits and success criteria and b) identifying key performance indicators.

76. On UNEP's plans for the evaluation of the DM and PA, the team for this formative evaluation notes the following:

- **Indicators:** there are 31 programmatic indicators and 21<sup>17</sup> non-programmatic indicators, but there are no indicators and/or targets for the uptake of the DM or its key features (e.g. effective co-creation of projects, UNCT engagement and effectiveness, adoption and effectiveness of new roles etc), against which progress can be measured and/or summative achievements assessed.
- **Benefits/results:** there is no clear articulation of the expected benefits of the DM and PA, against which its performance could be evaluated in the future. There are many statements of intent from the MTS to the PCPs; insights from external audit and

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<sup>16</sup> These are the Governance Affairs Office, Executive Office and Evaluation Office.

<sup>17</sup> These 21 indicators cover: Executive Direction and Management (12 indicators); Policymaking Organs (4 indicators) and Programme Management and Support (5 indicators)

evaluation processes; broad goals from the transition process etc. However, there is no core and consistent articulation of a set of results that can be associated with the DM and PA. In ANNEX II: compilation of expected benefits of the delivery model of this inception report, the evaluation team has set out their understanding of the expected results.

- **Commitments and Budget:** UNEP’s Evaluation Office is required, by the UN Secretariat directive STA/AI/2021/3, to evaluate each Subprogramme every six years. The funds for these strategic evaluations lie in the Evaluation Office budget. Under the DM and PA, additional intentions have been made that are beyond the staffing capacity of the Evaluation Office. Specifically, PCPs refer, in their budgets, to both a Mid Term Review (after 3 years) and a Terminal Evaluation (after 5 years). Most PCPs state that the Mid Term Review will be carried out by the relevant Technical Division and that UNEP’s Evaluation Office will undertake the Terminal Evaluation, often within 6 months of programme implementation. The implications of these expectations will be considered in the primary data collection phase of this evaluation.
- **Internal Structure:** the guiding text in the PCP proposal template confuses the roles of the Monitoring and Reporting Unit (monitoring and reporting) and the Independent Evaluation Office (evaluation) and combines them into a contradictory note (item II.D Programme Monitoring and Reporting): ‘A standard text will be developed with the Evaluation office to capture all monitoring and reporting requirements at programme level’. A standard text has not, to-date, been developed in conjunction with the Evaluation Office.

## 5 CONCLUSION AND TIMELINE

### 5.1 Conclusion

77. In this Inception Report the evaluation team has set out: a) its understanding of the nature and current status of the evaluand; b) various descriptive analyses of the POW indicators, PCPs and their TOCs and c) the evaluation methodology. The Report forms a foundation for the primary data collection phase which will focus on early experiences in implementing the DM and PA. Where possible the evaluation team will explore cases of emerging positive experience and will also seek informed views to contribute to recommendations on how UNEP should best move forwards.

### 5.2 Tentative Timeline

78. This inception report represents the first deliverable in the formative evaluation process. It is hoped that online interviews and focus group discussions can be scheduled during the month of May and that a validation webinar can be arranged for the last week of June. The evaluation team notes, however, the importance of widespread consultation and allowing for stakeholder feedback, and the timeline will be adjusted as necessary to maximise participation.

Inception Report Sent Out	3rd April
Inception Report Comments Due	22nd April
Interviews (wk 1 and 2)	<b>w/c 6th May/13th May</b>
Interviews (wk 3 and 4)	<b>w/c 20th May/27th May</b>
Writing Main Report	June (6 weeks)

Validation Webinar		w/c 24 <sup>th</sup> June
Zero Draft Main Report		12th July
1st Draft Main Report		9th August
Main Report Sent Out		12th August
Main Report Comments Due		6th Sept
Final Report		7th Oct
Presentation to SMT		Nov onwards

# ANNEX I: INITIAL DIAGRAMMATIC REPRESENTATION OF MTS 2018-21 AND MTS 2022-25 APPROACHES

Figure 5: Diagrammatic Representation of UNEP's Previous Approach to Programming (derived from MTS 2018-21)

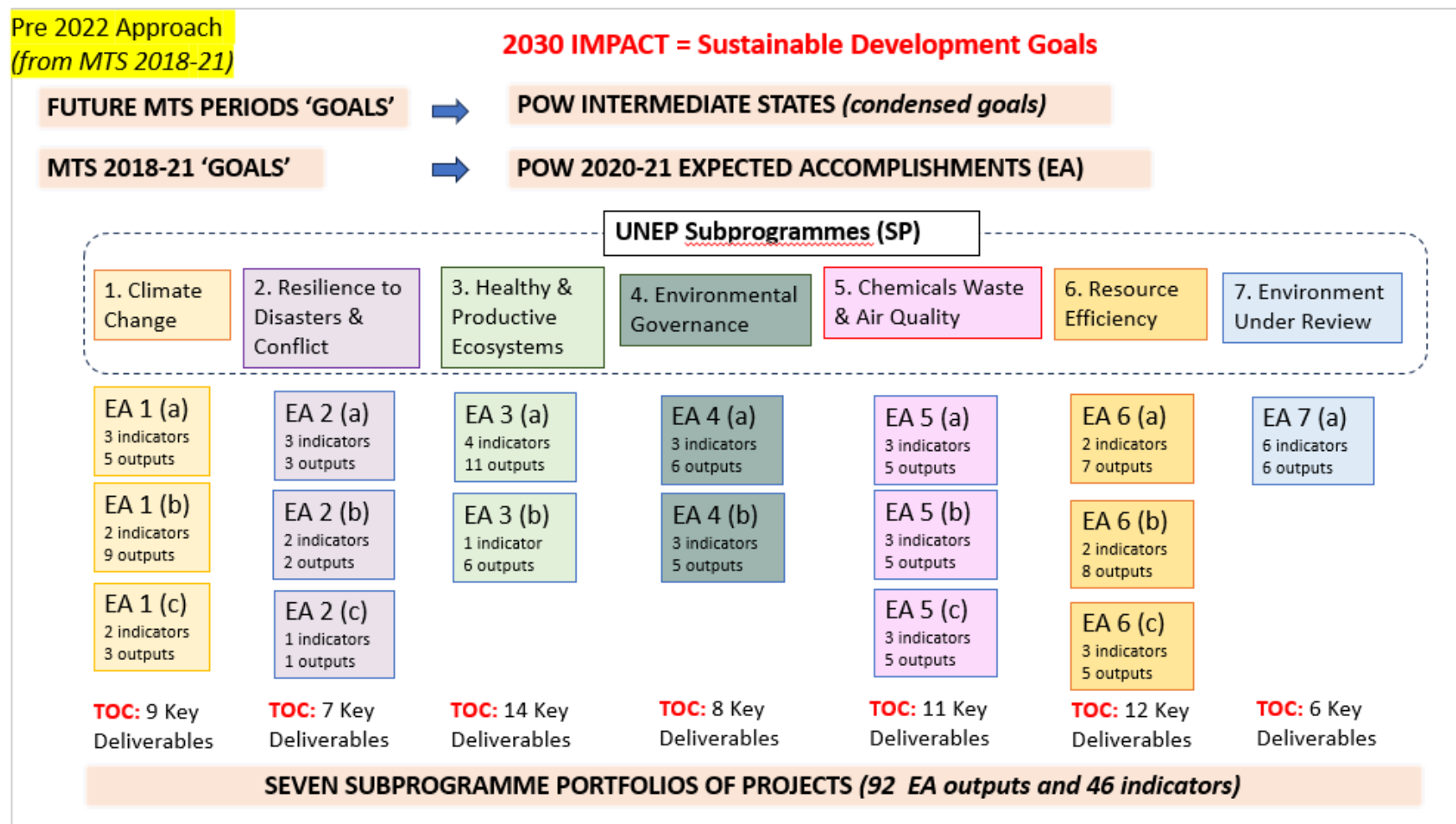
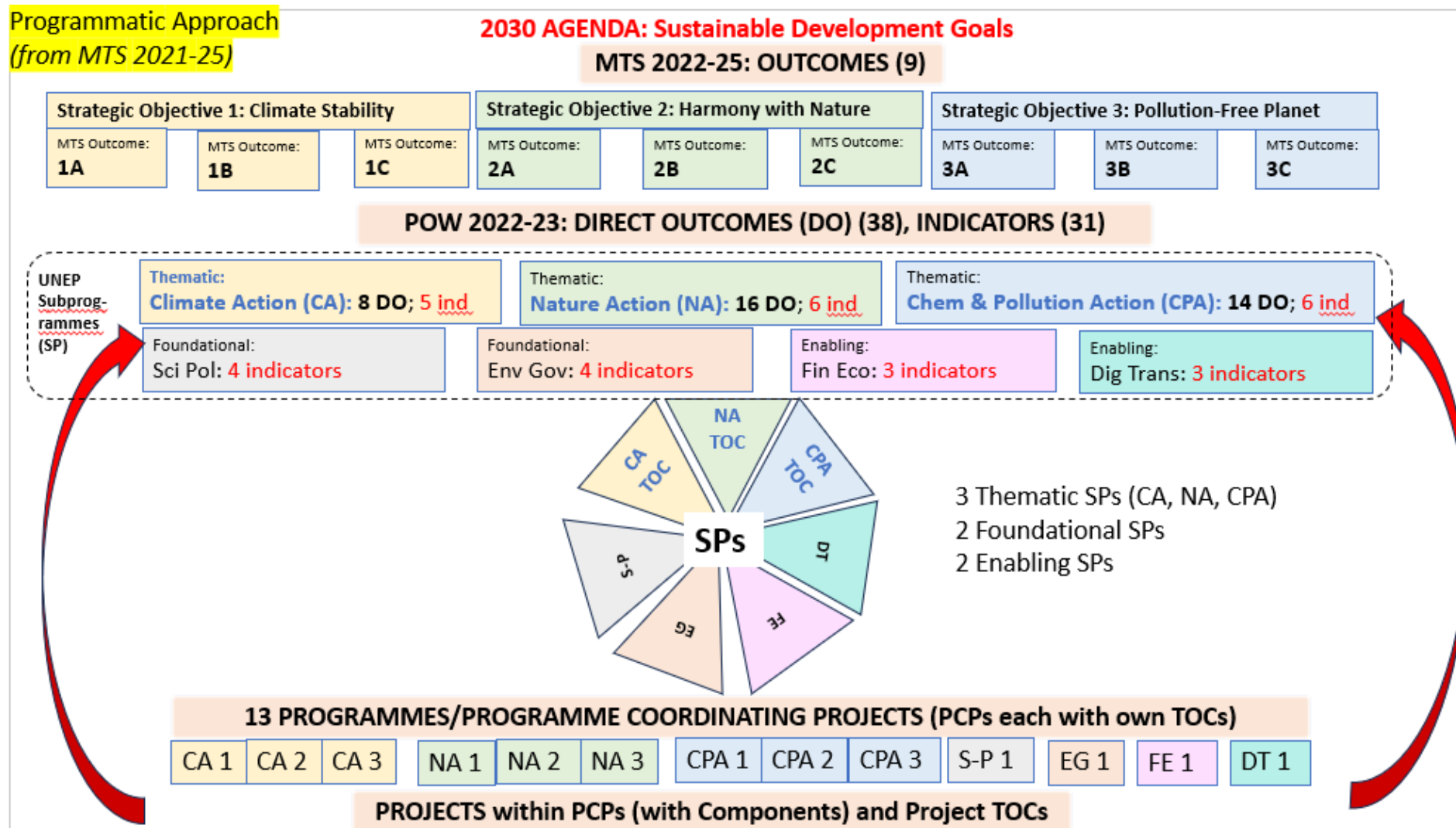


Figure 6: Diagrammatic Representation of UNEP's Current Approach to Programming (derived from MTS 2021-25)



## ANNEX II: COMPILATION OF EXPECTED BENEFITS OF THE DELIVERY MODEL

This table shows a set of expected benefits compiled from various slides in the final presentation of the Delivery Model to the Senior Management Team in November 2022.

**Table 6: Expected Benefits of the Delivery Model**

Slide	Delivery	'What is'	'What will be'	Benefits
<b>3 &amp; 9</b>	<b>Transition Process</b>			
		Siloed Entrepreneurialism	Aligned Entrepreneurship	
		Constrained Collaboration	Systemic Collaboration and Partnership	
		Stagnant System Capability	Integrated Capability Development	
		Lack of Shared Leadership	Coherent Strategic Leadership	
		Impaired Accountability	Operational Excellence	
<b>4</b>	<b>Why adjust UNEP's delivery model?</b>			
				<b>Focus on the triple planetary crises of climate, nature loss and pollution and on the most game-changing solutions</b>
				<b>Teamwork to deliver as one UNEP so that the whole is greater than the sum of its parts</b>
				<b>Accountability to ensure a clear line of sight from results to delivery.</b>
<b>10</b>	<b>Same institutional structure, sharper focus</b>			
				No change in organizational structure
				Greater focus on strategic objectives
				Clear line of sight
<b>7</b>	<b>Improved delivery and enhanced impact</b>			
	<i>Results Framework</i>	7 results areas (the subprogrammes)	7 subprogrammes deliver against the three strategic objectives	<b>Focus on clear, compelling results- the 'big' issues</b>
	<i>Implementation Accountability</i>	Shared delivery between Divisions and Regional Offices	Implementation accountability with Divisions	<b>Accountability aligned with thematic expertise</b>
	<i>Principles for Delivery</i>	No delivery principles setting out the 'characteristics' of delivery	5 guiding principles for delivery	<b>Drives culture change in UNEP [towards leadership style reflecting 5 principles]</b>
	<i>Delivery Framework</i>	Project Portfolios gather concepts at subprogramme level	Programmatic approach to delivering on three pillars	<b>Focus on pillars and integration across subprogrammes</b>
	<i>Typology of Interventions</i>	Wide range of UNEP interventions	UNEP interventions standardised and categorized	<b>Help to focus UNEP's 'offer'</b>
	<i>Programme Guidance</i>	Programme Manual	Revised Programme Manual	<b>UNEP project management in line with UN Reform</b>
	<i>Project Review</i>	Concept and Project Review Committees chaired by PPD	Concepts approved by CAG, PRC chaired by DED for high risk projects	<b>Leadership involvement in programme/project approval</b>

Slide	Delivery	'What is'	'What will be'	Benefits
	SPC Role	Focus on coordination, monitoring and reporting	Thought leadership across priority areas aligned to 3 pillars	<b>Better programme coherence</b>
<b>11</b>	<b>Projects and programmes to deliver the MTS</b>			
				Strategic alignment of initiatives improved
				Formal collaboration across organisational boundaries
				Better value for money
				Phase out of projects that don't align
<b>21</b>	<b>Responding to the Project Cycle Review – Project Design and Approval</b>			
		Focus on 'quality at entry' through extensive project review	Efforts to balance 'quality at entry' with 'quality of implementation'	<i>[Improved quality of implementation]</i>
		All projects receive same review	Risk-based approach to PRC – low risk projects require a lighter touch PRC	<i>[Greater senior level oversight of higher risk projects]</i>
		Relatively little implementation follow up after approval	Introduction of some (light touch) tools and processes: Quality enhancement reviews, peer reviews, MTRs for adaptive management Annual Divisional Portfolio Performance Reviews (DPRR) and Regional Performance Reviews (RPPR) to encourage transparency of portfolio management.	<i>[Stronger follow up after approval]</i>
<b>25</b>	<b>Moving towards high-level reporting</b>			
		Quarterly CPR reports	Yearly CPR Programme Performance Review report more closely aligned with Annual Report	Stronger story, focus on core results areas
		6 monthly Programme Performance Reports	Focus on big picture narrative around the 3 objectives – indicator monitoring included in an annex	Balance between the big picture and the granular detail
		Yearly deep dives into individual subprogrammes	Periodic deep dives into the 'programmes' (@ 15-20 of them)	UNEP's added value shown through its direct, enabling and [inspiring] work
<b>26</b>	<b>Responding to the Project Cycle Review - Evaluations</b>			
		Large number of project-level evaluations	Fewer project-level evaluations	<i>[Evaluations supporting strategic alignment and results]</i>
		Few programmatic reviews	Terminal Reviews validated by the Evaluation Office	
		Moderate response to evaluation findings	Increase emphasis on strategic evaluations	<i>[More strategic insights and recommendations]</i>

Source: Powerpoint Presentation to SMT on Delivery Model, 9<sup>th</sup> Nov 2022 (marked as Final)

## ANNEX III: DESCRIPTIVE ASSESSMENT OF INDICATORS (SMART)

The table provides an assessment of the POW/MTS indicators against the standard SMART criteria, as follows: Specific, Measurable, Achievable, Relevant, and Time-bound.

### Specific:

- Is the objective clearly defined and unambiguous?
- Does it answer the questions: What, Who, Where, and Why?
- Is there clarity on what needs to be achieved?

### Measurable:

- Can progress or success be quantified or objectively measured?
- Are there concrete criteria for measuring progress?
- Is there a way to track and monitor performance?

### Achievable:

- Is the objective realistic given the available resources, time, and constraints?
- Is it feasible to accomplish the objective?
- Are the necessary skills and capabilities in place to achieve it?

### Relevant:

- Does the objective align with broader goals and objectives?
- Does it contribute directly to the overall mission or vision?
- Is it meaningful and important in the context of the project or organization?

### Time-bound:

- Is there a specific timeframe or deadline for achieving the objective?
- Is the timeframe realistic and achievable?
- Does setting a deadline create a sense of urgency and help prioritize tasks?

Table 7: Review of MTS/POW Indicators

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
<b>CLIMATE ACTION SUBPROGRAMME INDICATORS</b>							
i. Number of national, subnational and private-sector actors that adopt climate change mitigation and/or adaptation and disaster risk reduction strategies and policies with UNEP support	Number of national, subnational and private-sector actors that have adopted climate change mitigation and/or adaptation and disaster risk reduction strategies and policies with UNEP support	December 2021 baseline: (tbc) Progress expected by December 2022: +15 Progress expected by December 2023: +40	It specifies the types of actors involved in adopting climate change mitigation/adaptation and disaster risk reduction strategies and policies.	The indicator quantifies the number of actors adopting strategies and policies, which is measurable.  However, it doesn't provide information on how	The set targets (+15 by December 2022 and +40 by December 2023) seem ambitious, particularly without an established baseline. Without knowing the starting point, it's challenging to	The indicator aligns with UNEP's mission on environmental sustainability and resilience, which is relevant. However, ensuring that the strategies and policies being adopted are also	Has a clear timeline with targets for progress.  <b>Note: the assumption for all indicators and targets is that the timelines</b>



Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
				<p>the measurement will be conducted or what constitutes 'adoption'. This lack of clarity could lead to difficulties in accurately measuring progress.</p> <p>In addition, it is unclear how policies at such different levels can be meaningfully added together.</p>	<p>assess the feasibility of these targets. Additionally, the indicator doesn't address potential barriers to adoption or UNEP's capacity to provide support.</p>	<p>aligned with broader climate change and disaster risk reduction goals is essential.</p> <p>Which Policies and Strategies do we determine to be most relevant?</p>	<p><b>indicated in the POW (2022- 23) determine the time frame. However, as the POW was extended it is assumed the targets are now set for 2025.</b></p>
<p>ii. Amounts provided and mobilized in US\$ per year in relation to the continued existing collective mobilization goal of the US\$100 billion commitment through 2025 with UNEP support</p>	<p>a. United States dollars per year invested by countries or institutions for climate action b. United States dollars of decarbonised assets</p>	<p>(a) December 2021 baseline: (tbc) (b) December 2021 baseline: (tbc) Progress expected by December 2022: +50 million +50 billion Progress expected by December 2023: +150 million +150 billion</p>	<p>The indicator specifies the amounts provided and mobilized in US dollars per year, along with two specific components: (a) United States dollars per year invested by countries or institutions for climate action and (b) United States dollars of decarbonised assets.</p>	<p>The indicator quantifies the amounts provided and mobilized in US dollars annually, making it measurable. However, attribution of this mobilisation to UNEP will remain a challenge.</p>	<p>The set targets appear ambitious, particularly for component (b), with a baseline to be determined. Their achievability would depend on the capacity of countries and institutions to invest and mobilize funds for climate action and the availability of decarbonized assets. Without established baselines, it's difficult to assess the feasibility of these targets.</p>	<p>The indicator is highly relevant to the collective mobilization goal of the US\$100 billion commitment to climate action, a significant global priority.</p>	<p>Has a clear timeline with targets for progress.</p>

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
iii. Number of national, subnational and private-sector actors reporting under the enhanced transparency arrangements of the Paris Agreement with UNEP support.	Number of reports produced by national, subnational and private sector actors for the United Nations Framework Convention on Climate Change or in accordance with the guidelines of the Framework Convention on Climate Change or another Multilateral Environmental Agreement	December 2021 baseline: (tbc) Progress expected by December 2022: +20 Progress expected by December 2023: +40	It specifies the types of actors (national, subnational, private-sector) and the actions (reporting under enhanced transparency arrangements of the Paris Agreement).  However, it lacks specificity regarding the exact content and quality of the produced reports and it is not clear how UNEP's role in increasing the number of actors reporting will be established.  'Reporting' would not, in isolation, be an indicator of an outcome. Further verification would be needed to confirm action has been taken.	The indicator quantifies the number of reports produced, clearly measuring progress.  However, it doesn't provide information on how the quality or effectiveness of the reports will be assessed.  It is unclear how reports from such different actors can be meaningfully added together.	The indicator doesn't consider potential challenges that national, subnational, and private-sector actors may face in producing reports, such as limited resources, capacity constraints, or political barriers.	The indicator is highly relevant as it aligns with the transparency goals of the Paris Agreement and contributes to global climate change mitigation efforts.	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
<b>QUALITATIVE INDICATORS FOR CLIMATE ACTION SUBPROGRAMME</b>							
iv. Positive shift in public opinion, attitudes and actions in support of climate action as a result of UNEP action	Knowledge, attitude and practices studies National public opinion surveys (e.g., Eurobarometer) Pew Research Centre research Yale Program on Climate Change Communication UNEP Finance Initiative Climate and Clean Air Coalition report Climate Technology Centre and Network reports		The indicator lacks specificity in defining a "positive shift" in public opinion, attitudes, and actions.	Measuring shifts in public opinion, attitudes, and actions can be subjective and challenging.  How will the shift be attributed to UNEP's actions?  Have baseline measurements been established?	While UNEP actions can contribute to raising awareness and promoting climate action, directly influencing public opinion, attitudes, and actions on a large scale may be challenging.	Promoting positive shifts in public opinion, attitudes, and actions is relevant to UNEP's mission of promoting environmental sustainability.	A clear timeline is not set
v. Positive shift among private sector actors in support of climate action as a result of UNEP engagement			The indicator lacks specificity in defining what constitutes a "positive shift."	Measuring a "positive shift" in private sector attitudes and actions is inherently difficult.  Have baseline measurements been established?	UNEP's influence may be limited compared to other factors, such as market forces and government policies	Promoting climate action in the private sector is undoubtedly relevant to UNEP's mission.	A clear timeline is not set
<b>NATURE ACTION SUBPROGRAMME INDICATORS</b>							
i. Number of national or subnational entities that, with UNEP support, adopt integrated approaches to address environmental and social issues and/or tools for valuing, monitoring and	a. Number of national or subnational entities that adopt or adapt economic, regulatory or decision-support tools for valuing, monitoring and sustainably managing biodiversity  b. Number of national and subnational entities that adopt integrated approaches to addressing environmental	December 2021 base-line: (tbc) Progress expected by December 2022: +8 Progress expected by December 2023: +30	While the indicator is specific about the actions being measured, it could benefit from clearer definitions of what constitutes "integrated approaches" and "tools" to avoid ambiguity.	The indicator provides measurable criteria by quantifying the number of entities adopting integrated approaches or tools. However, the measurement may be subjective, especially	The indicator does not address potential barriers or challenges entities may face in adopting these approaches and tools, such as lack of awareness, technical capacity, or funding constraints.	The indicator aligns with UNEP's mission to promote environmental sustainability and biodiversity conservation. Addressing environmental and social issues through integrated	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
sustainably managing biodiversity	and social issues, including health			regarding the effectiveness and comprehensiveness of the adopted approaches.		approaches and effective tools is crucial for achieving sustainable development goals.	
ii. Number of financial, public- and private-sector entities whose financial decisions and risk management frameworks take biodiversity and ecosystem services into consideration, and the increase in financial flows towards ecosystem management as a result of UNEP support.	a1. Number of financial institutions that have a set of biodiversity targets for their impact a2. The number of public- and private-sector entities considering biodiversity and ecosystem services in their financial decision-making and risk management frameworks. b1. Increase in inclusive wealth of countries, and in particular natural capital, as a result of public and private investment in nature b2. United States dollars unlocked for investment in support of sustainable ecosystem management	December 2021 base-line: (tbc) Progress expected by December 2022: (a) +19 (b) 0 Progress expected by December 2023: (a) +42 (b) 200 million	It clearly defines the target audience and the desired outcome. It doesn't specify how "inclusive wealth" is measured or what aspects of natural capital are included.	It is measurable by counting the number of entities that meet the criteria and with a clear unit (US dollars). However, increased inclusive wealth is difficult to measure as it is a broad concept.	The financial target's attainment in two years depends on the program's resources and the scale of investments being leveraged.	The indicator is relevant to the program's goals if it aims to promote consideration of biodiversity in financial decision-making.	Has a clear timeline with targets for progress.
iii. Number of countries and national, regional and subnational authorities and entities that incorporate, with UNEP support, biodiversity and ecosystem-based approaches into development and	a. Number of countries, national, regional and subnational authorities and United Nations agencies, funds and programmes (bi-lateral, multilateral, global, regional and local) that use common approaches to mainstreaming biodiversity in their development and sectoral plans, policies and processes;	December 2021 base-line: (tbc) Progress expected by December 2022 (for units of measure a-c): +40 Progress expected by December 2023	Target audience, desired outcomes and types of approaches are specific. Units of measure can be streamlined as it is quite broad.	The indicator is measurable by counting the number of entities that incorporate the specified approaches. It is unclear how reports from such different levels can be meaningfully added together	The indicator does not address potential barriers or challenges that entities may face in incorporating biodiversity and ecosystem-based approaches into their plans and policies, such as capacity constraints	The indicator is highly relevant to the program's goals of promoting biodiversity integration and ecosystem-based approaches.	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
sectoral plans, policies and processes for the sustainable management and/or restoration of terrestrial, freshwater and marine areas	b. Number of countries and national, regional and subnational authorities that use ecosystem-based approaches to sustainably manage terrestrial, fresh-water and marine areas, including those making commitments in support of ecosystem restoration; c. Number of countries and national, regional and subnational authorities that use ecosystem-based approaches to disaster risk reduction interventions for enhanced resilience.	(for units of measure a-c): +97		and/or de-duplicated (regional actions may double count national actions?)	or competing priorities.		
iv. Increase in territory of land and seascapes that is under improved ecosystem conservation and restoration	Number of hectares of terrestrial and marine area reported as being under <b>improved</b> management.	December 2021 baseline: (tbc) Progress expected by December 2022: 0 ha Progress expected by December 2023: 1,440,000 ha	It defines what will be measured (increase in territory under improved management) and uses a relevant unit (hectares). However, it does not specify what is "improved management".	The indicator is measurable by tracking the number of hectares reported under improved management.  However, it may be challenging to accurately measure the "improvement" in ecosystem conservation and restoration. There is no baseline. How will the improvement be attributed to UNEP?	The target of 1,440,000 hectares seems ambitious but potentially achievable depending on the programme's scope and resources.	The indicator directly relates to the program's goals of improving ecosystem conservation and restoration.	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
<b>QUALITATIVE INDICATORS FOR NATURE ACTION SUBPROGRAMME</b>							
v. Positive shift in public opinion, attitudes and actions in support of biodiversity and ecosystem approaches	Progress is expected by December 2023: The public will take action and have a positive attitude in support of biodiversity and ecosystem approaches.		The indicator lacks specificity in defining what constitutes a "positive shift" and how 'progress' will be discerned and/or measured.	The indicator is not currently measurable. It is not clear if there is a baseline and attribution to UNEP will be challenging.	Attainability is difficult to assess due to the lack of specifics	The indicator is relevant to the program's goals if it aims to raise public awareness and support for biodiversity.	Clear timeline not set
vi. Positive shift in the private sector in support of biodiversity and ecosystem approaches	Progress expected by December 2023: In decision-making, the private sector considers impacts on biodiversity and ecosystem services.		The indicator lacks specificity in defining what constitutes a "positive shift" and how 'progress' will be discerned and/or measured.	The indicator is not currently measurable. It is not clear if there is a baseline and attribution to UNEP will be challenging.	Attainability is difficult to assess due to the lack of specifics	The indicator is relevant to the program's goals if it aims to raise public awareness and support for biodiversity.	A clear timeline not set
<b>CHEMICALS AND POLLUTION SUBPROGRAMME INDICATORS</b>							
i. Number of governments that, with UNEP support, are developing or implementing policies, strategies, legislation or action plans that promote sound chemicals and waste management and/or the implementation of Multilateral Environmental Agreements and the existing framework on chemicals and waste	Number of governments developing or implementing relevant policies, strategies, legislation or action plans with UNEP support	December 2021 baseline: (tbc) Progress expected by December 2022: +55 Progress expected by December 2023: +55	Clearly identifies target audience and outcomes. Can be clearer on addressing types of MEAs and chemicals and waste framework being addressed.	The indicator is measurable by counting the number of governments that meet the criteria.  There is, however, a considerable difference between 'developing' and 'implementing'. Only formally adopting or implementing should be considered an	Achievability is difficult to assess without more context on the programme's resources and the current baseline (number of governments already developing such policies)	The indicator is relevant to the program's goals of promoting sound chemicals and waste management and implementation of MEAs.	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
				<p>outcome level result.</p> <p>There is a danger of double counting, first for a government developing a plan and then implementing it.</p> <p>There is no baseline.</p>			
<p>ii. Number of governments developing or implementing policies, strategies and mechanisms to prevent or reduce waste and ensure environmentally sound waste treatment or disposal, including in the context of disaster or conflict-related environmental emergencies, with UNEP support</p>	<p>Number of governments developing or implementing relevant policies, strategies and mechanisms, including in response to humanitarian and environmental emergencies, with UNEP support</p>	<p>December 2021 baseline: (tbc) Progress expected by December 2022: +5 Progress expected by December 2023: +7</p>	<p>Clearly identifies target audience and outcomes.</p>	<p>The indicator is measurable by counting the number of governments that meet the criteria.</p> <p>There is, however, a considerable difference between 'developing' and 'implementing'. Only implementing should be considered an outcome level result.</p> <p>There is a danger of double counting, first for a government developing a plan</p>	<p>Achievability is difficult to assess without more context on the program's resources and the current baseline (number of governments with such policies).</p>	<p>The indicator is relevant to the program's goals of promoting sound waste management practices, including in emergency situations.</p>	<p>Has a clear timeline with targets for progress.</p>

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
				and then implementing it.  There is no baseline and attribution to UNEP will be challenging, especially in emergency contexts.			
iii. Number of policy, regulatory, financial and technical measures developed with UNEP support to reduce pollution in air, water, soil and the ocean	Number of air pollution, soil pollution and freshwater and marine pollution reduction measures developed with UNEP support, including gender and social measures	December 2021 baseline: (tbc) Progress expected by December 2022: +14 Progress by December 2023: +33	The indicator specifies the focus on developing policy, regulatory, financial, and technical measures to reduce pollution in multiple environmental domains: air, water, soil, and the ocean. It clearly outlines the desired actions and the areas of pollution reduction	Counting the total number of policy, regulatory, financial and technical measures may not be the most informative metric.	Achievability is difficult to assess without more context on the program's resources, political will and the current baseline	Relevant to UNEP's pollution agenda.	Has a clear timeline with targets for progress.
iv. Reduction in releases of pollutants to the environment achieved with UNEP support	Fewer tons of harmful pollutants and waste, including those covered under Multilateral Environmental Agreements	December 2021 baseline: (tbc) Progress expected by December 2022: +1,200 Progress expected by December 2023: +1,100	It clearly defines the desired outcome (reduction in pollutant releases) and mentions the unit of measure (tons). It doesn't specify the types of pollutants being targeted	Measurable by tons. However, there is no baseline. Making it difficult to measure.  There is no baseline	Achievability is difficult to assess without more context on the programme's resources and the current baseline.	It's directly relevant to the programme's goals of pollution reduction.	Has a clear timeline with targets for progress.



Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
<b>QUALITATIVE INDICATORS FOR CHEMICALS AND POLLUTION ACTION SUBPROGRAMME</b>							
Change in action by the private sector and civil society on pollution prevention and control as a result of UNEP action  Progress in the chemicals- and pollution-related aspects of the 2030 Agenda on which UNEP focuses its work	Progress expected by December 2022: Knowledge of pollution status, trends and impacts and available response options is shared. Progress expected by December 2023: Stakeholders step up pollution commitment and action.  Progress is expected by December 2022: Methodologies have been developed and pilot tested for analysing real-world situations and progress on the pollution dimension of the 2030 Agenda. Progress expected by December 2023: Results narratives are generated for three impact indicators related to releases of pollutants to the environment.		The indicator lacks specificity in defining what constitutes a "change in action and progress."	The indicator is not currently measurable.	Achievability is difficult to assess due to the lack of specifics	It's directly relevant to the program's goals of pollution reduction.	The assumption is that the timelines indicated in the POW (2022- 2023) determine the time frame.
<b>SCIENCE-POLICY FOUNDATIONAL SUBPROGRAMME</b>							
i. Number of countries and national, regional and subnational authorities that, as a result of UNEP support, have strengthened their capacity to develop sound environmental data, statistics, scientific assessments and early warning systems	Number of countries and national, regional and subnational authorities (bilateral, multilateral, global, regional and local) that have developed sound environmental data, statistics, scientific assessment and early warning systems with UNEP support	December 2021 baseline: (tbc)  Progress expected by December 2022: +10  Progress expected by December 2023: +15	Target audience and outcomes identified. It doesn't distinguish between entirely new capacities built and existing ones that were strengthened. However, 'capacity to develop' is not an outcome level result unless that capacity is demonstrated.	Counting the number of countries/authorities is a quantifiable metric. However, it is difficult to add the different levels and there is danger of duplication (e.g. a subnational action being reflected again at national level)	The achievability will depend on the resources allocated to platform development, outreach activities, and potential capacity-building programs.	Relevant to UNEP's Science-Policy subprogram	Has a clear timeline with targets for progress.
ii. Number of relevant global, regional and national forums,	Number of countries and regional, national and subnational authorities	December 2021 baseline: (tbc)	It defines the target audience (forums,	It doesn't specify how "use" is measured (e.g.,	The achievability will depend on the resources allocated	The indicator helps demonstrate the value and impact	Has a clear timeline with

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
institutions and Governments using data, statistics, scientific assessments and early warning and foresight systems provided by UNEP for catalysing policymaking and action	(bilateral, multilateral, global, regional and local) that use data, statistics, scientific assessments and early warning and foresight systems made available through UNEP platforms	Progress expected by December 2022: +10 Progress expected by December 2023: +10	institutions, governments) and the desired outcome (using UNEP data for policy and action).	downloading data, citing reports, referencing in policy documents).	to platform development, outreach activities, and potential capacity-building programs.	of UNEP's data and systems in influencing real-world environmental policy and action.	targets for progress.
iii. Number of United Nations agencies and Multilateral Environmental Agreement secretariats using data and statistics on environmental trends and assessments identified through UNEP to catalyze policy recommendations	Number of United Nations agencies and Multilateral Environmental Agreement secretariats using data and statistics on environmental trends and assessments identified through UNEP to catalyze policy recommendations	December 2021 baseline: (tbc) Progress expected by December 2022: +5 Progress expected by December 2023: +10	It defines the target audience (UN agencies and MEA secretariats) and desired outcome (using UNEP data for policy recommendations) . It doesn't specify how "use" is measured	Counting the number of users is a quantifiable metric.	The achievability will depend on the resources allocated to platform development, outreach activities, and potential capacity-building programs.	The indicator helps demonstrate the value and impact of UNEP's data and systems in influencing real-world environmental policy and action.	Has a clear timeline with targets for progress.
iv. Number of United Nations country teams using data and statistics on environmental trends and assessments identified through UNEP to catalyze policy recommendations	Number of United Nations country teams using data and statistics on environmental trends and assessments identified through UNEP to catalyze policy recommendations	December 2021 baseline: 15 Progress expected by December 2022: +30 Progress expected by December 2023: +60	Identifies audience UN country teams- and outcomes - to utilize the data and statistics for catalyzing policy recommendations. .	Uses a quantifiable metric (number of UN country teams).	The achievability will depend on the resources allocated to platform development, outreach activities, and potential capacity-building programs	The indicator helps demonstrate the value and impact of UNEP's data and systems in influencing real-world environmental policy and action.	Has a clear timeline with targets for progress.
<b>ENVIRONMENTAL GOVERNANCE FOUNDATIONAL SUBPROGRAMME</b>							
i. Number of countries supported by UNEP under the Montevideo	Number of countries (including vulnerable disaster and conflict-	December 2021 baseline: (tbc)	Identifies audience and outcomes. Can be clearer in	The number of countries is a quantifiable metric.	The achievability will depend on the resources allocated	Highly relevant to UNEP's core mission of	Has a clear timeline with

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
Programme in developing and implementing environmental rule of law and related technical and institutional capacities to address internationally agreed environmental goals	affected Member States) supported by UNEP to strengthen environmental institutions	Progress expected by December 2022: +36 Progress expected by December 2023: +28	specifying the type of support (legal training, policy development, institutional strengthening)  'Developing' and 'implementing' are different actions – only implementing is an outcome level result.	However, the metric can be stronger, i.e., the number of countries with strengthened capacities through UNEP support.	to platform development, outreach activities, and potential capacity-building programs	promoting sound environmental management and supporting countries in fulfilling their environmental commitments.	targets for progress.
ii. Number of international legal agreements or instruments advanced or developed with UNEP support to address emerging or internationally agreed environmental goals	Number of international legal agreements and instruments advanced or developed with UNEP support to address emerging or internationally agreed environmental goals	December 2021 baseline: (tbc) Progress expected by December 2022: +1 Progress expected by December 2023: +2	Identifies the desired outcome (advancing legal agreements) and partially specifies the role of UNEP (support). Doesn't specify the level of UNEP's support (e.g., leading negotiations, providing technical expertise).	Counting the number of agreements is a quantifiable metric. However, a distinction should be made between ""advanced"" or ""developed"". How is a distinction made between 'advanced' or 'developed'?	The achievability will depend on the resources allocated to platform development, outreach activities, and potential capacity-building programs	Highly relevant to UNEP's core mission of promoting sound environmental management and supporting countries in fulfilling their environmental commitments.	Has a clear timeline with targets for progress.
iii. Number of plans, approaches, strategies, policies, action plans or budgeting processes of entities at the national, regional and global levels that include environmental goals as a result of UNEP support	Number of plans, approaches, strategies, policies, action plans and budgeting processes of entities at the national, regional and global levels that include environmental goals as a result of UNEP support	December 2021 baseline: (tbc) Progress expected by December 2022: +35 Progress expected by December 2023: +30	Identifies audience and outcome. Doesn't specify the type of environmental goals or the level of detail within the plans.	Counting the number of plans is a quantifiable metric, but no verb is provided (approved, implemented?)	The achievability will depend on the resources allocated to platform development, outreach activities, and potential capacity-building programs	Highly relevant to UNEP's core mission of promoting sound environmental management and supporting countries in fulfilling their environmental commitments.	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
iv. Number of entities at the national, regional or global levels that UNEP has supported in developing integrated approaches and tools for enhanced coordination, cooperation and synergies for the coherent implementation of Multilateral Environmental Agreements	Number of entities developing integrated approaches and tools for enhanced coordination, cooperation and synergies for the coherent implementation of Multilateral Environmental Agreements, with UNEP support	December 2021 baseline: (tbc) Progress expected by December 2022: +15 Progress expected by December 2023: +25	Identifies audience and outcomes. Doesn't specify the type of entities (government agencies, NGOs) or the nature of the integrated approaches developed.	Counting the number of entities is a quantifiable metric, but 'developing' is not an outcome level result.	The achievability will depend on the resources allocated to platform development, outreach activities, and potential capacity-building programs	Highly relevant to UNEP's core mission of promoting sound environmental management and supporting countries in fulfilling their environmental commitments.	Has a clear timeline with targets for progress.
<b>FINANCE AND ECONOMIC TRANSFORMATIONS ENABLING SUBPROGRAM</b>							
i. Number of economic, finance, industry and trade policies, practices, partnerships and initiatives put in place or implemented to enable just transitions.	Number of economic, finance, industry and trade policies, practices, partnerships and initiatives	December 2021 baseline: (tbc) Progress expected by December 2022: +20 Progress expected by December 2023: + 20	Identifies the target areas (economic, finance, etc.) and desired outcomes (just transitions). Doesn't distinguish between entirely new mechanisms or existing ones strengthened for just transitions.	Counting the number of policies and initiatives is quantifiable. However, "it is not clear how "just transitions"" will be enabled. How will the term 'just' be defined and measured?	Achievability is difficult to assess without more context on the program's resources and the current baseline	Relevant to UNEP's efforts to promote a just transition on a global scale.	Has a clear timeline with targets for progress.
ii. Number of business alliances, principles, practices, standards or frameworks established or adopted with UNEP support to enhance	Number of relevant business alliances, principles, practices, standards and frameworks (disaggregated by industry sector and size)	December 2021 baseline: (tbc) Progress expected by December 2022: +15 Progress expected by December 2023: +15	Focuses on business-related mechanisms for environmental sustainability. Doesn't distinguish between entirely new initiatives or existing ones	Counting the number of business alliances, principles, practices, standards, or frameworks that are adopted is quantifiable.	Achievability is difficult to assess without more context on the programme's resources and the current baseline	Relevant to UNEP's efforts to promote a just transition on a global scale.	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
environmental sustainability			strengthened with UNEP support.	How are 'established' or 'adopted' differentiated. Established may not be an outcome level result.			
iii. Number of consumer information tools and measures, educational approaches and advocacy and awareness-raising events and products that inform decision-making, choices and changes in behaviour towards enhanced environmental sustainability, developed with UNEP support	Number of relevant consumer information tools, measures, educational approaches and advocacy and awareness-raising events and products that inform decision-making, choices and changes in behaviour	December 2021 baseline: (tbc) Progress expected by December 2022: +30 Progress expected by December 2023: +20	Identifies outcomes.  Doesn't specify the type of information tools, educational approaches, or the depth of behaviour change	It involves a quantifiable measure - counting the number of tools and activities. However, it does not indicate how those items that have informed actions will be distinguished from those that do not inform decision-making, choices, and changes in behavior towards enhanced environmental sustainability  How will those items that have informed actions be identified and isolated from those that do not inform actions?	Achievability is difficult to assess without more context on the program's resources and the current baseline	Relevant to UNEP's efforts to promote a just transition on a global scale.	Has a clear timeline with targets for progress.
<b>DIGITAL TRANSFORMATIONS ENABLING SUBPROGRAMME</b>							
i. Number of digital platforms deployed as	Number of relevant digital platforms deployed	December 2021 baseline: (tbc)	Identifies the target area (digital	Counting the number of	Achievability is difficult to assess	Relevant to UNEP's efforts of	Has a clear timeline with

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
a result of UNEP support for automatically monitoring global progress against climate, nature and chemicals and pollution targets to support transparency, predictive analytics and risk identification		Progress expected by December 2022: +4 Progress expected by December 2023: +2	platforms) and desired outcome (monitoring environmental progress). It doesn't specify the type of platforms (global, regional, thematic) or the functionalities beyond deployment (data quality, accessibility).	platforms is quantifiable.  The term 'deployed' will need specification before it can be measured. The interpretation should be at an outcome level.	without more context on the program's resources and the current baseline.	integrating digital transformation in programs.	targets for progress.
ii. Number of business alliances, partnerships and networks leveraging environmental data and digital transformation approaches to incentivize environmental sustainability and a circular economy within financial markets	Number of relevant business alliances, partnerships and networks	December 2021 baseline: (tbc) Progress expected by December 2022: +3 Progress expected by December 2023: +2	Audience and outcome identified. Doesn't differentiate between existing alliances strengthened or entirely new ones formed.	Counting the number of alliances/networks is quantifiable	Achievability is difficult to assess without more context on the program's resources and the current baseline	Relevant to UNEP's efforts of integrating digital transformation in programs.	Has a clear timeline with targets for progress.
iii. Number of digital applications and engagement platforms created with UNEP support to support electronic governance and enhance public participation in environmental	Number of relevant digital applications and engagement platforms	December 2021 baseline: (tbc) Progress expected by December 2022: +4 Progress expected by December 2023: +2	Identifies audience and outcomes.  Long winded/broad and covers a lot of functionalities.  Doesn't distinguish between the type	Counting the number of applications/platforms is quantifiable.  The audiences are mixed – both at a public sector/governance	Achievability is difficult to assess without more context on the program's resources and the current baseline	Relevant to UNEP's efforts of integrating digital transformation in programs.	Has a clear timeline with targets for progress.

Indicators	Unit of Measure	Baseline & Targets	Specific	Measurable	Achievable	Relevant	Time-bound
<p>monitoring, consensus-building, decision making and digital transformation linked to climate, nature and chemicals and pollution actions, including the reduction of environmental digital technology inequalities in impact chains, consumer behaviours and policymaking</p>			<p>of applications /platforms or the level of public participation they enable.</p> <p>Indicators are most beneficial when they are precise to measure progress effectively.</p>	<p>level and at the level of public participation. Not clear how these can be added together meaningfully.</p> <p>Unclear how 'digital technology inequalities in impact chains' can be measured.</p>			

## ANNEX IV: OVERVIEW OF RESULTS OF PCP ASSESSMENTS

### a) Introduction:

- i. PCPs consist of two to five components which are identified as components or as outcomes in the various PCPs.
- ii. The PCPs of the thematic subprogrammes contribute to some or all of the outcomes of the thematic subprogramme concerned, except for the PCP on Conservation Restoration and Sustainable Use in Biodiversity of the Nature Action subprogramme, which includes also one of the outcomes of Climate Action. In each of the PCPs of the Foundational and Enabling subprogrammes some outcomes of each of the three thematic subprogrammes are contributed towards, except for the Science for Policy and Digital Transformation subprogrammes, which PCPs are contributing to all outcomes of all of the thematic subprogrammes.
- iii. POW direct outcomes are identified in all PCPs, selecting from the set of direct outcomes identified in the TOC of the thematic subprogrammes, which also goes for the POW indicators, selected from the set of indicators identified in the POW / MTS
- iv. The number of projects included in the PCPs varies considerably, from 3 to 25 concepts and 16 to 159 existing projects. The PCP on Conservation Restoration and Sustainable Use in Biodiversity has the highest number of existing projects.
- v. All PCPs include a Theory of Change though the setup of the TOC and their quality vary considerably (see separate analysis on the TOCs of the PCPs).

### b) Programme Summaries:

- i. Summaries provide useful key details on the PCPs
- ii. Programme objectives at times have been focused on UNEP and are formulated in terms of UNEP's role in support of the three environmental crisis enhanced, or the enhanced effectiveness of UNEP programmes and support to address aspects of the three crisis. While this can be useful for the Foundational Subprogrammes, it appears less useful in one of the thematic subprogrammes, where it is used in the PCP of the Climate Action Subprogramme.
- iii. Scope of the PCPs is mostly explicitly provided with several of the PCPs appearing to have a relatively broad scope, which may dilute the focus of the programme. This goes for example for the Mainstreaming Biodiversity and Ecosystem Services PCP, where the three components encompass ecosystem health; food systems and economic systems which is a broad focus and refers to substantive amounts of UNEP's work. In several instances, there are no clear details provided on the geographical scope of the PCPs, whether at country, regional and global levels, and how any of these levels are interconnected. There is no attention to what the PCPs do not cover, which could more clearly indicate the boundaries of the scope of the programmes.
- iv. Clarity in terms of Identification of priorities varies across the programmes. Even when priorities are identified, the rationale is not always provided. However, good examples of prioritization include the PCP on Circularity in Sectors, which focuses on high impact sectors with significant chemicals and pollution footprints (with data generated through UNEP SCP Hotspot Analysis tool) and where UNEP has built expertise and partnerships, including electronics, plastics, textiles and mining. Also the priorities of the Science Policy and Finance and Economy PCPs are clearly identified with the rationale made explicit.
- v. Regional and country priorities are identified in only few of the PCPs, including in the Finance and Economy and the Adaptation and Resilience PCPs. Mostly, however, geographical focus is not made explicit, nor justified.



### **c) Programme Contents:**

- i. Programme results are not always identified in line with UNEP results definitions. In the Climate Change Action PCPs focus is primarily on enhanced UNEP support rather than development results. At times outcome level results are actually outputs, i.e. changes within the management control of the programme, rather than intermediate level changes to which the programme contributes. Also other terms are not always used consistently with UNEP definitions, including the terms drivers and assumptions in the Theory of Change.
- ii. The results frameworks are mostly well aligned with the UNEP MTS and POW results though level of alignment varies across, as well as within, the PCPs, with many having some limitations in terms of the usefulness of related indicators. In one instance the same four indicators were assigned to each of the programme components, which does not provide sufficient specificity to track change. In another case, components of the PCP appear similar and it would be difficult to decide which project belongs under which component.
- iii. The PCP Towards Zero Waste includes a classification of projects by their contribution to direct outcomes, such as regional and national policy shifts towards sound waste management and the establishment of monitoring and evaluation mechanisms. This structure provides a clear line of sight from activities to the intended impacts, aligning with the UNEP's strategic objectives and the broader SDGs.
- iv. Though all PCPs make use of a selection of POW direct outcomes to link to MTS outcomes, with a selection of POW indicators included, the causal pathways concerned are usually not made explicit, but taken for granted and do not always live up to closer scrutiny of the specifics of the Programme. Partly this originates from the use of several direct outcomes to feed into multiple MTS outcomes without establishing the causal pathways concerned. The same goes for the POW indicators, with a number of indicators usually used to cover various direct outcomes, without specifying which indicator relates to which direct outcome.
- v. Relationships between the programme and projects are usually better identified for the project concepts than for the existing projects. While project concepts include linkages to MTS outcomes, POW direct outcomes and POW indicators, the causal linkages are taken for granted rather than explained. For existing projects, POW outcomes and POW indicators are provided without further details. With the existing project usually outnumbering the project concepts, this leaves substantial gaps in terms of the results chains from projects to PCP related outcomes and the contribution of the PCP to subprogramme outcome levels. In some PCPs project concepts the Theory of Change is included, which is a useful approach to provide a basic indication of where these initiatives fit within the results chain. Little attention is paid to project contributions to SDGs.
- vi. One could argue that if the results relations between the projects of a PCP and the wider PCP objectives are not made explicit, the PCP would be more of a portfolio rather than a programme. Insufficient details on the results-based linkages across the whole of existing and concept stage projects also leaves one to wonder how one would be able to identify opportunities for synergy across these initiatives.
- vii. PCPs under a thematic subprogramme mostly make use of indicators from the respective subprogramme only. This means that there is limited identification of cross subprogramme contributions, while there are clear cross linkages and overlaps between the thematic subprogrammes.

### **d) Programme Structure:**

- i. Each of the programmes is divided in components which are also referred to at times as outcome areas. Though there may be an implicit logic to such subdivision, the rationale behind the carving up of the programme in its components is usually not made explicit. Nor is it explained why the combination of components is the most optimal way to reach the

objectives of the programme. This limits the understanding of one of the key aspects of the programme and the focus on the components concerned. The provision of a rationale for the structure of the programme could also enhance the understanding of the results chain which is closely linked with the structure.

- ii. While the PCPs provide details on each of the components of the programme, there is less attention to the connections across the programme components and how these are coordinated within the programme. Linkages are assumed but not explained.
- iii. In the Towards Zero Waste PCP, the components appear at different result levels. While three components focus on the intermediate level, including capacity development, monitoring and mobilization of finance and partnerships, the fourth component focuses on reducing and recycling waste from high impact sectors, something that the other components supposedly also contribute towards. This provides an uneven results chain with different levels of results as programme components.
- iv. While for the projects that are part of a programme, project level results are mapped to the MTS outcomes and POW direct outcomes, there is usually no reference to the programme components that each of the projects contributes towards. Exceptions concern the Pollution and Health PCP, which identifies which projects fall under which component as part of the TOC diagram and the Towards Zero Waste PCP, where the TOC diagram indicates to which outputs (which are actually the programme components) each of the planned projects contribute.
- v. Relations with other sub-programmes are included in many of the PCPs. The Circularity in Sectors PCP provides multiple linkages with other subprogrammes, including its linkage with Climate Action and Nature Action subprogrammes. However, mostly the coordination and management arrangement of such interconnections are not sufficiently made clear beyond joined participation in the Steering Committee of the PCPs. The Environmental Governance PCP provides details on collaborative support and coordination opportunities with other subprogrammes. Moreover, some of the proposed projects are conducted in coordination with other subprogrammes and divisions. While the Digital Transformation PCP relates to POW direct Outcomes of all three thematic subprogrammes, these linkages are not explicitly detailed.

**e) Programme TOC:**

- i. See separate analytical piece (ANNEX VI: DESCRIPTIVE NOTES ON THE THEORIES OF CHANGE ASSOCIATED WITH THE MTS (2022-25)).

**f) Programme Coordination:**

- i. This section provides outline of roles of the DRI and GSPC, Role of Divisions and Regional Offices, Coordination mechanisms and Programme governance structure. Roles and responsibilities are provided in line with the DM policy document.
- ii. When multiple division are involved in a PCP, their role and responsibilities are not necessarily spelled out.
- iii. What is less clear is in particular the role of the DRI in the case of the foundational and enabling subprogrammes, where there is only one PCP and where the role of the DRI and the Global Sub Programme Coordinator may largely overlap.
- iv. Connections with UNCTs are provided in various PCPs.
- v. Apart from the Steering Committee, there is no clear means or mechanism identified that can be used for the identification and follow up on opportunities for synergy across the various projects and components of a PCP as well as across PCPs and subprogrammes

- vi. In the PCP of Environmental Governance, the suggestion is made to have, in addition to the DRI, several PCP coordination project managers working at the implementation level of the PCP. It is not clear whether these would be the Regional Subprogramme Coordinators.

**g) Strategic Partnership Identification:**

- i. Partnerships are identified within and outside of the UN system as well as with the UNCT through the UN Resident Coordinator system and includes government, civil society, academia and in some cases parliamentarians as partners.
- ii. While multiple partners are identified, there is usually no identification of the most strategic ones and no details on comparative advantages are provided nor are the roles of partners usually specified. At times a generic expectation of partners is included, like enhancing cost effectiveness, upscaling of results achieved so far or disseminating results, leveraging expertise, resources, and networks to advance the programme's objectives more effectively and efficiently.
- iii. The Circularity in Sectors PCP includes details on private sector engagement while the Digital Transformation PCP details the rationale for partnerships.
- iv. Linkages are at times made to global level partnerships like the UNFCCC COP27 Global Waste Initiative, the World Water Quality Alliance, the Global Methane Pledge, the Plastic INC processes, and other waste MEA initiatives.
- v. More specific details on the rationale of partner selection and the roles of partners are provided in the PCP Towards Zero Waste on Adaptation and Resilience PCPs. The Finance and Economy PCP pays attention to the roles of partners and their comparative advantages.
- vi. The PCP of Governance and Accountability for Biodiversity clearly articulates the roles of partners and their comparative advantages. It identifies key strategic partners for each component of the programme and highlights how these partners contribute to the cost-effectiveness and overall success of the programme. Additionally, it specifies the reasons for engaging with these partners, such as their expertise, resources, and networks, which align with the objectives and outcomes of the programme
- vii. At times target groups of interventions have been identified either in more generic terms or in the details of the project concepts included in the PCP. In few cases vulnerable groups have been identified, like in the Conservation Restoration and Sustainable Use in Biodiversity PCP, which mentions Indigenous People and Local Communities (IPLCs). The PCP on Circularity in Sectors pays attention to beneficiaries in sections that cover details on gender and indigenous peoples. This is also one of the few PCPs that identifies possible negative impacts of the programme, in this case the possible negative effects of circularity-related changes for women and indigenous people.
- viii. The PCP of Finance and Economy identifies a wide range of partners, including government agencies, businesses, financial institutions, civil society organizations, academia and researchers, consumers and youth.

**h) Resource Mobilization:**

- i. Though PCPs do pay attention to resource mobilization, there usually is no resource mobilization strategy or plan in place yet, which is often meant to be developed as part of the first year of programme implementation. Often details on present funding sources are provided, at times supplemented with possible donors like for the Towards Zero Waste PCP, while the Science Policy PCP focuses on ways to secure funding for the programme.
- ii. The PCP of Digital Transformation includes mobilization of in-kind support from private sector coalitions in addition to mobilizing resources from multilateral and bilateral donors.
- iii. Roles in terms of resource mobilization between PCP, division, regional office and subprogramme are not made clear.

- iv. While no totals of the whole financial envelop of the programmes are provided, the financial needs of the PCP as coordination project are provided.
- v. Most of the PCPs do not provide details on risks vis a vis unsecured funding, except for the circularity PCP, which points to possible global shifts away from interest in circularity and the Science policy PCP, which identifies the risk of a shortfall in funding, which could affect other areas of work given the foundational character of the subprogramme.
- vi. Human resource needs are normally not included or estimated with the exception of the Science Transparency PCP which mentions the inclusion of budget dedicated to managing the overall coordination functions as well as a P3 level support staff position to assist the DRI position. In addition, a communications position and assistance researcher reporting position is budgeted for. While usually no budget for the DRI position is included, in some cases support staff for the DRI is included, like for the Science Transparency PCP.

**i) Programme Monitoring, Reporting and Evaluation:**

- i. Details on programme monitoring, reporting and evaluation is provided in most cases, including responsibilities concerned, often making use of a (partially) standard text.
- ii. For the Environmental Governance PCP, previous evaluation results have been incorporated in the PCP design. An M&E Plan is attached in an annex, which focuses on M&E activities, parties responsible and timeframes concerned. There is no attention to M&E capacity development as part of the plan. Also, the Towards Zero Waste, Pollution and Health and Circularity in Sectors PCPs include an annex with M&E activities identified.
- iii. While MTRs are to be managed by the Divisions, evaluation of the PCPs appears to be expected from the Evaluation Office.
- iv. Often it is mentioned that monitoring activities of the PCP are regarded to be able to contribute significantly to the tracking of relevant global indicators.
- v. In some PCPs mention is made of a programme supervision plan as part of a standard text, though no explanation of such a plan is provided.
- vi. There is usually limited attention to project level monitoring, reporting and evaluation and how this is linked with the monitoring, reporting and evaluation of the programme. Also, no or limited, attention is paid to capacity development needed to address PCP level monitoring, reporting and evaluation, which is a new phenomenon.

**j) Knowledge Management Strategy:**

- i. In various PCPs a number of activities are provided to enhance knowledge development and for sharing of knowledge, which, however, does not add up to a comprehensive knowledge management (KM) strategy. In some instances, reference is made to the need for development of a knowledge management strategy during the first year of PCP implementation.
- ii. The Pollution and Health PCP seeks linkage with wider UNEP managed data sets and to feed project data into UNEP wide data efforts to inform project implementation while the Towards Zero Waste PCP aims to link KM activities to the KM and data portals of the UNEP Environment Situation Room. The Digital Transformation PCP makes mention of knowledge platforms which are to inform policy dialogue and development of new knowledge products.
- iii. There is usually no relation made between the KM initiatives and the TOC in terms of existing knowledge gaps in the TOC that the KM strategy could address.

**k) Communications and Outreach Strategy:**

- i. Communication and outreach activities are included in several of the PCPs, though this does not amount to a strategy as such. Often there is no tailoring of information to specific

audiences. In several instances, development of a communications strategy is included in the early stages of programme implementation.

- ii. Though support from the communication division is mentioned, it is not clear whether the division is meant to work with each of the thirteen PCPs separately or whether this would be organized differently.
- iii. Reference is made to linking with existing communication strategies, like the Communication Strategy for Beat Pollution under the Towards Zero Waste PCP.

#### **l) PCP Performance Assessment:**

- i. This section of the PCP makes use of a table provided in the PCP template, which includes the following functions: Programme Management and Coordination, Strategic Partnerships, Programme Portfolio Design, Resource Mobilization, Knowledge Management, Communication and Outreach and Programme Monitoring & Reporting. For each of these functions, standard indicators are provided with details to be filled on Milestones on the indicators reached after 1 year, 3 years and 5 years of implementation.
- ii. The format of the assessments allows for comparison of results across PCPs. On the other hand, the format does not allow for the specific aspects of each of the PCPs.

#### **m) PCP Budget and Work Plan:**

- i. This section of the PCP makes use of a table provided in the PCP template, which includes six of the seven PCP Performance assessment components, at the exclusion of knowledge management. For each of the components, activities are to be identified for which annual budgets can be allocated for a five-year period. It is not clear why knowledge management was excluded in terms of budget and work plan, which seems to be an important aspect of the programmatic approach, enhancing opportunities for learning and creation of synergy across the initiatives within a programme.

#### **n) Governance, Coordination and Management Mechanisms:**

- i. In terms of overall steering mechanisms of the PCPs, reference is usually made to the Programme Steering Committee (PSC) which will be established and oversees programme implementation. The PSC is envisioned as a key governance mechanism to guide the programme's strategic direction, monitoring programme implementation and ensure alignment with UNEP's broader strategic objectives. The DRI is mentioned to serve as the secretary to the PSC, providing administrative support. PSCs are to meet twice a year. PSCs are composed of UNEP staff, including Global Sub-programme Coordinator, representatives of Technical Divisions, Regional Offices and Regional Sub-programme Coordinators. The Towards Zero Waste PCP mentions the possibility to include representatives from partner organisations and stakeholders, ensuring a broad representation of interests and expertise. The Circularity in Sectors PCP highlights the importance of existing coordination structures to inform the steering of the PCP.
- ii. In addition to the PSC, PCPs mention the roles of the DRI and the GSPC in terms of overseeing programme implementation, with the DRI looking at day-to-day management and the GSPC role more at a distance. One of the PCPs mentions the role of the GSPC in terms of coordinating knowledge management. While the roles of the GSPC and the DRI can be differentiated for the three thematic subprogrammes, who each have three PCPs with each their own DRI, this differentiation is more challenging for the Enabling and Foundational subprogrammes, who have each one PCP only and where the roles of DRI and GSPC seem to overlap.
- iii. Some of the PCPs mention the role of the RSPC in terms of their inputs to programme implementation and their contribution in terms of their linkages with the UNCTs and country priorities and needs, providing inputs into the Common Country Assessment and UN

Sustainable Development Cooperation Framework processes. There are no details provided on the means of coordination across the three PCPs within each of the thematic subprogrammes.

- iv. In terms of enhancing synergies, the Decarbonization PCP mentions that synergies with global and regional MEAs are one of the drivers of the programme. Several of the PCPs mention that at Programme inception, the PCP DRI and the GSPC will develop a Programme supervision plan, which will be communicated to the Programme partners and other UNEP programmes to ensure synergies across UNEP. In some of the PCPs synergies are pursued through dedicated project level activities, including in the Circularity in Sectors PCP
- v. For the Science and Transparency PCP from Climate Action, a core group has been identified to work on a framework that establishes common grounds to develop knowledge and find synergies between teams to harmonize UNEP's work on climate data and transparency, with further details on composition of this 'core group' referred to as UNEP climate transparency advisory team in a footnote, mentioning names only, not designation. The Towards Zero Waste PCP mentions as key approaches to foster synergies: Integrated Project Design, Cross-Component Coordination, Shared Resources and Expertise and Communication and Knowledge Sharing.
- vi. The Science Policy PCP mentions collaborative approaches, interdisciplinary cooperation, knowledge sharing, alignment with strategic objectives, and robust monitoring and evaluation mechanisms as ways to enhance synergies. The Finance and Economy PCP mentions fostering of synergies at the project level through strategic partnerships, coordination mechanisms, and shared objectives, with projects being designed to be interlinked with other initiatives within the programme, enhancing the overall coherence and impact. The document mentions specific roles for divisions and regional offices to ensure coordination and to enhance synergies with ongoing UNEP activities. The Digital Transformation PCP references the need to develop synergies with all other PCPs as well as with external partners, and MEA Secretariats, highlighting the role of both the DRI and the GSPC in this respect, together with RSPCs.
- vii. Monitoring arrangements are included in most PCPs with roles of the PSC, DRI and GSPC and the use of an adaptive management approach. Monitoring focuses on process issues, with less attention to results-based monitoring at the level of the programme. Mid-term and end of programme evaluation are included, with the MTR the responsibility of the Division concerned and the independent terminal evaluation conducted under the responsibility of the Evaluation Office. The Pollution and Health PCP includes M&E details in an annex. The Science Policy PCP specifies that the Global Subprogram Coordinator of the Science Policy subprogramme monitors the program's resource mobilization and financial management of the programme. The Global Subprogram Coordinator moreover, is indicated to coordinate the monitoring, reporting, and analysis of results and impacts of the program.
- viii. Integration of MEAs varies across the PCPs and across the PCPs of the thematic subprogrammes, while there is reference to MEAs in all of the Foundational and Enabling Subprogrammes. In the Decarbonization PCP there is clear attention to MEAs as they are identified as one of the drivers for change and with attention to the CC Paris Agreement and NDC action plans at country level. In the Governance and Accountability for Biodiversity PCP attention to MEAs includes organizing MEA consultations on the implementation of the Global Biodiversity Framework (GBF), facilitating cooperation and synergies among MEAs, supporting capacity-building and training on MEA-integrated approaches, and engaging with MEAs at country level. Additionally, the Programme collaborates closely with the CBD Secretariat and other biodiversity-related MEAs to ensure coherence in implementation efforts and to leverage synergies across different environmental agreements.
- ix. The Pollution and Health PCP mentions strengthening of partnerships with a variety of MEAs, including the Stockholm Convention and the Regional Seas Convention and the UNECE regional Convention In Long-range Transboundary Air Pollution. This also goes for the

Towards Zero Waste PCP, which refers to a strong integration with MEAs in terms of alignment with their objectives, support to their implementation and supporting of synergies across MEAs. The PCP includes close cooperation with MEA Secretariats, contributing to MEA reporting and compliance and incorporation of MEA principles and guidelines in the programme and project concepts. In terms of the Science Policy PCP, MEAs play a crucial role in shaping international environmental governance, and the objectives of the Programme seem to be aligned with their objectives and priorities.

- x. There is substantial Integration of GEF projects in most of the PCPs. In the Adaptation and Resilience PCP for example, of the 65 existing projects, 32 are GEF funded while in the Science and Transparency PCP, 15 out of 18 existing projects are GEF funded, which also goes for 10 of the 13 project concepts included in the PCP. From the 158 existing project of the Conservation Restoration and Sustainable Use in Biodiversity PCP, 138 are GEF funded. Also, in the Pollution and Health and Towards Zero Waste PCPs, GEF funds a large proportion of the projects. GEF is also important in terms of funding of projects under the PCPs of the Foundational and Enabling Subprogrammes.
- xi. Explanation of subject specific terminology varies across the PCPs. There is explanation of specific terminology in the Finance and Economy PCP. While the Towards Zero Waste PCP appears to employ subject-specific terminology relevant to waste management, pollution reduction, and environmental sustainability, terms are not explained in the document. The Circularity in Sectors PCP on the other hand does include a short glossary of definitions to clarify the meaning of key terms in the context of the PCP.

**o) Existing Projects:**

- i. This section of the PCP makes use of a table provided in the PCP template. Details on existing projects in the table include: Umoja ID, Project Title and funding source, Project end date, POW Outcomes, POW Indicators and Approved Project budget (\$).
- ii. Number of existing projects varies widely from 1 (Digital Transformations) to 65 (Adaptation/Resilience PCP) with hugely varying total budgets.
- iii. There are no details provided on the roles and responsibilities of UNEP for each of the existing projects, though details on roles and responsibilities of UNEP are, for several of the PCPs, provided in other parts of the text.

**p) Project Concepts:**

- i. The template provided does not require provision of data regarding knowledge management, which could be a way to identify opportunities for learning within and across projects of the programme.
- ii. The number of project concepts included in the PCP varies from 3 (Digital Transformation PCP) to 19 (Decarbonization PCP).
- iii. Sufficient information on results is usually provided in the project concepts included in the PCPs with a focus on outcome level changes with less attention to output level results.
- iv. In many of the PCPs, details are provided on the rationale of each of the individual project concepts, highlighting aspects of the relevance of the initiatives.
- v. Though in many of the PCP there is clear geographic targeting, there usually is no justification of the combination of country, regional and global level initiatives. Moreover, in multi-country initiatives, there is often no specific justification for the selection of countries. Nevertheless, there are exceptions, with one decarbonization project for example focusing on countries where fossil fuels benefit from government subsidies and the Towards Zero Waste PCP focusing on countries with increased quantities of debris and waste.
- vi. Key partners and stakeholders are identified in most of the projects, but comparative advantages are normally not specified and the selection of partners is usually not justified. At

times partners are classified in groups in terms of their role in the initiative including in terms of implementation, technical support or financing. The Nature Action, Towards Zero Waste and Finance and Economy PCPs provide justification for partners selection. Only one of the project concepts of the Decarbonization PCP provides details on the roles of each of the partners based on their comparative advantage and capacities. Due to the lack of information in other PCPs one cannot assess the coherence of the partnership approaches.

- vii. Most of the project concepts have indicative budget estimates and sources of funding identified. Some funding sources still need to be confirmed. Not all project concepts of the Decarbonization, Pollution and Health, Towards Zero Waste and Finance and Economy PCPs include details on funding sources.
- viii. In most of the PCPs, no details on human resource needs are provided, not for the overall PCP, nor for the individual project concepts. Only in the Environmental Governance PCP some details are provided with in addition to the DRI as project manager, there is the inclusion of a team of project manager(s) to manage the PCP in practice.
- ix. In terms of human resources for the Digital Transformation PCP, within each division, two Digital Transformations focal points will be formally identified, which is outlined in the SMT-approved Digital Transformations Institutional Strategy. The focal points will have a primary reporting line to their divisional hierarchy as well as a secondary reporting line to the Chief Digital Officer. They are to coordinate the development of a division digital transformation workplan in line with the PCP, monitor and report on output level results and participate in Steering Committee meetings.
- x. In some instances, complementarities across PCPs are included, with some of the project concepts of Decarbonization PCP contributing to results in Nature Action and Pollution Action subprogrammes. However, no further details on synergies and how to maximize these are included in this case. In the Science and Transparency PCP of the Climate Action subprogramme one of the project concepts is led by the science division rather than the Climate Action Division. The Circularity in Sectors PCP identifies some complementarities across the project concepts within the PCP. The Environmental Governance PCP includes linkages with other subprogrammes while the need for synergies is referred to in many of the on-going and planned projects. The Finance and Economy PCP describes complementarities and synergies with projects in other programmes. It outlines mechanisms for more systematic as well as ad hoc coordination across UNEP Divisions and Regional Offices and with global and regional partnerships to enhance results.
- xi. Upscaling is aimed for in several of the initiatives, though not always based on a pilot project approach. In the Conservation Restoration and Sustainable Use in Biodiversity PCP, one of the project concepts is incremental in terms of geographical coverage, with a focus on Brazil in year one and adding Colombia and Mexico from year 3 onwards. Another project concept focuses on SIDS-to-SIDS peer learning to expand best practices in 'blue' economy. Also, one of the projects in Governance and Accountability for Biodiversity PCP mentions the potential for upscaling, contributing to the expansion of the UN Common Approach to Biodiversity and Nature-based Solutions. One of the projects in the Pollution and Health PCP is identified as a pilot project but no mention is made of upscaling in this case.

**q) Regional Dimension:**

- i. The regional dimension of UNEP's work in the PCPs varies in terms of the project concepts included. The regional dimension is made explicit in the Towards Zero Waste PCP where it includes a geographical focus, regional strategies and targets, strategic partnerships at regional level and regional capacity building and policy support. In the Governance and Accountability for Biodiversity PCP, regional engagement is very pronounced while this is much less the case in the Conservation Restoration PCP.
- ii. The geographical spread varies across the PCPs, with Digital Transformation PCP only operating at the global level. Science Policy, Towards Zero Waste, Circularity in Sectors,



Conservation Restoration and Sustainable Use in Biodiversity , Governance and Accountability for Biodiversity and Decarbonization PCPs cover global, regional and country levels. Others covering mostly global and regional levels.

- iii. The responsiveness of the Programme to region- and/or country-specific needs and priorities varies and is often not made sufficiently clear. There does usually not appear to be a clear targeting strategy. Exceptions concern the Towards Zero Waste PCP, which demonstrates responsiveness to region- and country- specific needs and priorities through various strategies, including engagement with UN Country Teams (UNCTs) and through Regional Offices with support from RSPCs. In the Conservation Restoration and Sustainable Use in Biodiversity PCP, nine of the project concepts include a clear rationale for the project, based on identification of specific needs in the contexts concerned.

**r) Gender related issues:**

- i. There is in most of the PCP no or minimal mention of gender and other social development issues. Standard mention is made in some of the PCPs that the periodic assessments of the Programme performance will include the environment and social safeguards put in place by UNEP. In several of the PCPs gender considerations are mentioned in the TOC or otherwise but without further details on its use throughout the design and implementation of the programme. The Circularity in Sectors PCP pays more focused attention to gender in a section on Gender, indigenous people and human rights analysis, though with limited follow up. In the Towards Zero Waste PCP, formal and informal waste sector workers, including women and youth, and waste technology developers are identified as stakeholders in the narrative of the TOC, though there is no further reference made to them and no further details of their inclusion in the programme provided. The Digital Transformation PCP makes mention of the gender digital divide. Gender parity, inclusion and diversity are referred to as considerations regarding the development of capacities of knowledge partners.

## ANNEX V: OCCURRENCE OF POW DIRECT OUTCOMES IN EACH PCP THEORY OF CHANGE

The table below shows where POW Direct Outcomes appear within the TOCs of the 13 PCPs.

The numbers **1**, **2** and **3** refer to the presence of the POW Direct Outcomes in each of the PCPs that are assigned to the three Thematic Subprogrammes (i.e. CA 1, CA 2 etc).

**X** and **X** refers to the presence of the POW Direct Outcomes in a Foundational (green) or Enabling (blue) PCP TOC.

Two main reflections are:

- 1) Some POW Direct Outcomes (1.4, 2.5, 2.12, 3.2, 3.8 and 3.9) are not reflected in any of the four Foundational and Enabling PCP TOCs (i.e. these POW Direct Outcomes are expected to be achieved without foundational or enabling contributions).
- 2) In all but four instances, the three PCPs associated with each of the Thematic Subprogrammes refer to POW Direct Outcomes also associated with that same Thematic Subprogramme (i.e. little indication of contributions across the Thematic Subprogrammes).

POW Direct Outcomes	Climate Action	Nature Action	C/Poll Action (NOT IN TOCs of CPA1/CPA 3) <sup>18</sup>	Sci-Pol	Env Gov (NOT IN TOC) <sup>19</sup>	Fin/Econ Trans	Dig Trans
				Foundational		Enabling	
	3 PCP	3 PCP	3 PCP	1 PCP	1 PCP	1 PCP	1 PCP
<b>Climate Action</b>							
1.1	1, 3	1		X	X		X
1.2	1, 2, 3			X	XX	X	
1.3	3			X			X
1.4	1, 2						
1.5	1, 2					X	X
1.6	2		1				X
1.7	1, 2, 3				X		X
1.8	1, 3					X	X
<b>Nature Action</b>							
2.1		2, 3		X	X		X
2.2		1, 3		X		X	X
2.3		1, 3		X			
2.4		2			X		
2.5		3					
2.6		2, 3				X	
2.7		1, 3		X			X
2.8		1			X		
2.9		2		X	XX		X
2.10			1				X

<sup>18</sup> Information derived from Results Alignment Table for Circularity in Sectors and, for Towards Zero Waste, from the TOC of the Thematic SP for Chemicals and Pollution Action, with highlighted POW Direct Outcomes.

<sup>19</sup> Information derived from Results Alignment Table

2.11		1, 3			XX		
2.12		3					
2.13		1			X		
2.14		1, 2, 3		X	XX		X
2.15			1	X		X	X
2.16		1, 2, 3		X			
<b>C/Poll Action</b>							
3.1			2, 3		X		
3.2			2, 3				
3.3			1, 3	X	X		
3.4			2	X	X		X
3.5			2, 3		X		
3.6			1, 3	X			
3.7			3	X			
3.8			3				
3.9			1, 2				
3.10			2	X	X		
3.11			2, 3				X
3.12			1				X
3.13			2	X	XXX	X	X
3.14			1, 2			X	

## ANNEX VI: DESCRIPTIVE NOTES ON THE THEORIES OF CHANGE ASSOCIATED WITH THE MTS (2022-25)

### A) TOCs (3) for Thematic Subprogrammes

**Results Levels:** include 2030 Outcomes; 2026-29 Outcomes; 2025 (MTS) Outcomes and (POW) Direct Outcomes.

- i. The TOCs adopt their 2030 Outcome Statements from the MTS;
- ii. There is no indication of the causal pathways between POW Direct Outcomes and MTS Outcomes (i.e. all the Direct Outcomes are expected to contribute, as a whole, to all the MTS Outcomes).
- iii. Of the 9 MTS Outcomes, 3 are governed by common outcome level verbs (*adopted, implemented and reduced*); 4 are governed by verbs that require further definition to be evidenced (*enhanced, optimised and improved*); 1 implies the need for action to be demonstrated (*increased capacity*) and 1 is at an output level (*established*).
- iv. In the 38 POW Direct Outcomes a range of verbs are used including those common at an outcome level (*integrated into, informed by, aligned with, apply, sustainably managed/governed, decreases, reduced, adopted and upscaled*); those that require further definition to be evidenced (*strengthened, enhanced, catalysed, shifted towards/away, addresses, contribute to, internalised in, maximised, advanced, improved and mainstreamed*); those that imply the need for action to be demonstrated (*enhanced/strengthened capacity*) and those that are at an output level (*generated and shared, are supported*).
- v. Some of the POW Direct Outcomes have multiple verbs that represent different types of change that may, or may not, occur simultaneously (*accounted for and internalised in; prevent, halt and reverse; governed sustainably and holistically; valued, monitored and sustainably managed*).
- vi. At both MTS and POW level, the outcome statements often do not make it clear where (i.e. among which stakeholder group) the change will take place, such that it could be evidenced (e.g. illegal and unsustainable use of biodiversity decreases; global plastic pollution is reduced).

### B) PCP TOCs (4) for the Foundational and Enabling Subprogrammes

**Results Levels:** Varied in terms of design, results levels and content.

*Note:* As there are no Subprogramme TOCs for the foundational and enabling subprogrammes, and as each subprogramme only contains one PCP, the single PCP TOCs represent the full scope of each of these Subprogramme TOCs.

- i. Of the 4 PCP TOCs none include a 2030 Outcome; three include 2025 MTS Outcomes and POW Direct Outcome levels.
- ii. Three of the PCP TOCs include an Intermediate State and Impact statement in between the Programme level outcomes and the POW Direct Outcome level (EG 1, F&ET 1 and DT 1). This runs counter to UNEP's results definitions and challenges the time continuum of a Programme to the POW, the MTS and UNEP's longer-term goals.

- iii. None of the PCP TOCs include Programme Objectives while all four of them include Programme Outcomes. The appropriateness of the Programme Outcomes statements as outcome level changes are varied, with F&E T coming closest to standard practice. The F&E T Programme Outcomes do pose some challenges in terms of measuring change (e.g. increasingly aligned and accelerated).

### **C) PCP TOCs (9) for the Thematic Subprogrammes**

#### **Results Levels: Highly varied in terms of design, results levels and content.**

- i. Of the 9 PCP TOCs for Thematic Subprogrammes, the majority (6) include the 2030 Outcome, 2025 MTS Outcome and POW Direct Outcome levels. Three do not include the 2030 Outcomes (CA 2, CPA 1 and CPA 3) and two do not include POW Direct Outcomes (CPA 1 and CPA 3).
- ii. There is no indication of the causal pathways between the selected POW Direct Outcomes and the selected MTS Outcomes (i.e. all the Direct Outcomes to which the PCPs are expected to contribute, contribute to all the MTS Outcomes the PCP addresses).
- iii. Two of the PCP TOCs include an Intermediate State and Impact statement in between the Programme level outcomes and the POW Direct Outcome level (CPA 1 and CPA 3). This runs counter to UNEP's results definitions and challenges the time continuum of a Programme to the POW, the MTS and UNEP's longer term goals.
- iv. There are only 4 instances (see ANNEX V: OCCURRENCE OF POW DIRECT OUTCOMES IN EACH PCP THEORY OF CHANGE) where a Thematic Subprogramme contributes to the POW Direct Outcome associated with another Thematic Subprogramme (i.e. the majority of the PCP work contributes to its associated Thematic Subprogramme).
- v. There are 6 POW Direct Outcomes (1.4, 2.5, 2.12, 3.2, 3.8 and 3.9) that do not anticipate any contributions from any of the Foundational or Enabling Subprogrammes (see ANNEX V: OCCURRENCE OF POW DIRECT OUTCOMES IN EACH PCP THEORY OF CHANGE).
- vi. In their Results Alignment Tables, Thematic Subprogrammes do refer to some indicators from Foundational or Enabling Subprogrammes, but this contribution is not evident in the TOC as the Foundational and Enabling Subprogrammes do not provide POW Direct Outcomes.
- vii. Climate Action PCPs do not include Programme Outcomes; Nature Action PCPs include secondary TOCs that refer to a Programme Objective and Programme Outcomes and two of the three Chemicals & Pollution Action PCPs include Programme Outcomes.
- viii. The nature and status of a Programme Objective (NA 1, NA 2 and NA 3) is not clear. Conceptually this Objective is beyond the results level of a Programme Outcome yet they could be read as being beyond the POW Direct Outcome level, which would bring confusion between a Programme Objective and the MTS Outcome.
- ix. Where Programme Outcome statements are given, they include a range of change verbs similar to those outlined in bullets in Section A of this Annex, above. In some cases it is unclear which change, in a sentence referring to multiple connected changes, would be evaluated to reflect UNEP's performance (e.g. Economic systems

are transformed – *change 1* – to incentivise – *change 2* - the adoption of – *change 3* - pro-nature outcomes).

#### **D) Project TOCs**

**Results Levels: Highly varied in terms of design, results levels and content.**

- i. Of the 7 Project TOCs reviewed<sup>20</sup>: none include a 2030 Outcome; three include 2025 MTS Outcomes; none include POW Direct Outcome levels and one includes Programme Outcomes, although the causal pathway is unclear. (Marine Freshwater).
- ii. All the projects include Project Outcomes and one includes a Project Objective.

#### **E) Inter-relationship between TOCs**

##### **a) PCPs to SPs:**

Given the emphasis on synergy, the evaluation team considered the combined contributions being made to each of the Thematic Subprogrammes by their sets of 3 Thematic PCPs.

- i. Looking at each set of 3 PCPs underpinning each Thematic Subprogramme, the causal reasoning behind the distribution and concentration of effort is not clear. Some POW Direct Outcomes receive contributions from one, or sometimes no, PCP while other Direct Outcomes receive contributions from all the PCPs<sup>21</sup> (see ANNEX V: OCCURRENCE OF POW DIRECT OUTCOMES IN EACH PCP THEORY OF CHANGE). This raises questions about the level of coordination in the planned effort.
- ii. In a review of the Foundational and Enabling Subprogramme PCPs it appears that none of them are expected to contribute to 6 of the POW Direct Outcomes in the Thematic Subprogrammes. This is surprising given their cross-cutting nature of these four subprogrammes.

##### **b) Projects to PCPs:**

The following description reflects the evaluation teams understanding at the inception stage of the Formative Evaluation, and based on a small, ad hoc sample of recently approved project documents with TOCs.

- i. In most cases the project TOCs do not indicate which Programme Outcome (or Component) they are expected to contribute to.
- ii. In one out of the 7 project TOCs (Marine Freshwater project), there is reference to 2 of the Outcomes from the Programme/PCP ( (NA 1). However, it is not clear how the causal pathway between the Project Outcomes and the Programme Outcomes relates to another pathway in the TOC, which indicates the Project Outcomes leading to Intermediate States 1 and 2, as well as Impact.

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<sup>20</sup> 2 projects from Circularity in Sectors (One Textiles and One Plastics); Marine Freshwater project from Conservation, Restoration and Sustainable Use; One Health project from Mainstreaming Biodiversity; ISWM project from Towards Zero Waste: Environmental Treaties project from Environmental Governance and Ethiopia LDCF project from Adaptation and Resilience.

<sup>21</sup> In Climate Action two POW Direct Outcomes (1.3 and 1.6) are mapped to only one PCP while two Direct Outcomes (1.2 and 1.7) are mapped to all three PCPs; in Nature Action two Direct Outcomes (2.10 and 2.15) are not mapped to any of the PCPs while two (2.4 and 2.14) are mapped to all three and in Chemicals and Pollution Action many of the Direct Outcomes (6 out of the 16) are mapped to just one PCP while none of them are mapped to all three.]



## ANNEX VII: RESPONDENTS AT INCEPTION

### People Consulted during the Inception

Name	Position	Gender
Elizabeth Mrema	Deputy Division Director	F
Kathleen Creavalle	Director, Corporate Services Division (a.i.)	F
Tim Kasten	Director, Policy & Programme Division	M
Ebrahim Gora	Deputy Director, Policy & Programme Division	M
Rosemary Mukasa	Monitoring & Reporting, Policy & Programme Division	F
Sheila Aggarwal-Khan	Division Director, Industry & Economy	F
Juan Bello	Regional Director, Latin America and the Caribbean	M
Andrea Brusca	Deputy Regional Director, Latin America and the Caribbean	F
Marieta Sakalian	Global Subprogramme Coordinator, Nature Action	F
Makiko Yashiro	Regional Subprogramme Coordinator, Nature Action, Asia & the Pacific	F
Djaheezah Subraty	Directly Responsible Individual, Circularity in Sectors PCP	F
Jessica Troni	Directly Responsible Individual, Adaptation & Resilience PCP	F
Steve Webb	Change Management Consultant	M
Ruth Gichuhi	Change Management Consultant	F



## ANNEX VIII: KEY DOCUMENTS CONSULTED

Category	Document
Terms of Reference	Terms of Reference for the Formative Evaluation of the UNEP Programmatic Approach
Medium-Term Strategy	For people and planet: the UNEP strategy for 2022–2025
	Medium Term Strategy 2018-21
Programme of Work	For People and Planet Annex I: UNEP Programme of Work and Budget for 2022-23
	UNEP POW 2020-21
	UNEP POW 2018-19
Delivery Model Policy	Delivery Model Policy, 2022
Programme Coordination Projects (PCP)	<i>Adaptation and Resilience Programme Coordination Project</i>
	<i>Circularity In Sectors Programme Coordination Project</i>
	<i>Conservation, Restoration and Sustainable Use of Biodiversity Programme Coordination Project</i>
	<i>Decarbonization Programme Coordination Project</i>
	<i>Digital Transformations Programme Coordination Project</i>
	<i>Environmental Governance Programme Coordination Project</i>
	<i>Finance and Economic Transformations Programme Coordination Project</i>
	<i>Governance and Accountability for Biodiversity Programme Coordination Project</i>
	<i>Mainstreaming Biodiversity Programme Coordination Project</i>
	<i>Pollution and Health Programme Coordination Project</i>
	<i>Science and Transparency Programme Coordination Project</i>
	<i>Science for Policy and Action Programme Coordination Project</i>
	<i>Towards Zero Waste Programme Coordination Project</i>
	Diagram of Programmatic Approach
	CAG Terms of Reference
	CAG Meeting No 1_CAG Secretariat
	CAG No 1 Agenda
	CAG No 1 Meeting Minutes
	Secretariat Summary Report_CAG Meeting
	CAG No 2 Meeting minutes
	CAG No 2 Agenda
	CAG Secretariat Summary Report
	CAG No 3 Agenda
	CAG No 3 Meeting minutes (adopted)
	CAG Secretariat Summary Report
	CAG3 Conservation Restoration PCP screening
	CAG3 FET PCP screening
	CAG No 4 Agenda
	CAG No 4 Meeting minutes (for adoption)
	Summary Report CAG Meeting No 4
	CAG No 5 Agenda
	CAG 5 Secretariat Summary Meeting Report
	CAG No 6 Agenda

	CAG No 6 Meeting minutes
	CAG 6 Secretariat Summary Meeting Report
	CAG No 7 Pipeline Analysis Report
	CAG No 7 Agenda
	CAG 7 Secretariat Summary Meeting Report
	Subprogram Theories of Change
	MTS and POW - Elements Contributing to Theories of Change
PCP and Delivery Model (DM)	UNEP Annual Report 2023
	Programme Performance Report 2022
	Quarterly Report to 162 <sup>nd</sup> Meeting of the Committee of Permanent Representatives
	Quarterly Report to 163 <sup>rd</sup> Meeting of the Committee of Permanent Representatives
	Quarterly Report to 164 <sup>th</sup> Meeting of the Committee of Permanent Representatives
	Quarterly Business Review (QBR) Overview
	2023 Q4 UNEP QBR Report
	UNEP Quarterly Business Review Presentation
	2023 Q4 UNEP QBR Corporate Report
	Review of the Sub-Programme Coordination Function of UN Environment - FINAL REPORT. December 2016
	Programmatic Approach to Deliver the PoW – an overview
	FAQs UNEP Programmatic Approach
	Onboarding the Programmatic Approach through ‘One-UNEP’ engagement between Regional and Divisional Offices
	FORMATIVE – DELIVERY MODEL & PROG APPROACH Meeting 1: ‘Getting on the Same Page’
	FORMATIVE – DELIVERY MODEL & PROG APPROACH Meeting 2: ‘Getting Started’
	FORMATIVE – DELIVERY MODEL & PROG APPROACH Meeting 3: ‘Roles for Inception’
	FORMATIVE – DELIVERY MODEL & PROG APPROACH Meeting 4: ‘Confirming Roles for Inception’
	FORMATIVE – DELIVERY MODEL & PROG APPROACH Meeting 5: ‘Interviews and Tasks’
	FORMATIVE – DELIVERY MODEL & PROG APPROACH Meeting 5: ‘Interviews and Tasks’
	10th ASCM - Ag. It. 3A - PPT A - Climate Stability
	10th ASCM - Ag. It. 3A - PPT B - Living in Harmony with Nature
	10th ACSM – Ag. It. 3A – PPT C – Towards a Pollution-Free Planet
	10th ASCM - Ag. It. 3A - PPT D - Science Policy
	10th ASCM - Ag. It. 3A - PPT E - Environmental Governance
	10th ASCM - Ag. It. 3A - PPT F (FET) & G (Digital Transformation)
	Historical Institutional Perspective
DM and Workshops	Frequently asked questions: UNEP’s Delivery Model Policy for One UNEP Delivery for Better Collaboration and Country SubDivisional Workshop. March 2023
	Implementing UNEP’s Delivery Model- Africa Regional Office Workshop, Windsor Golf Hotel & Country Club, 18th – 19th September 2023

	Implementing UNEP's Delivery Model- Industry and Economy Division, Paris 7th - 8th June, 2023
	Delivery Model workshop - Regional Subprogramme Coordinators: Delivering as One UNEP! Subprogramme Coordination Unit, Policy and Programme Division. 9th – 10th November 2023, Windsor Golf Hotel & Country Club (Oak Room)
	UNEP Delivery Model Workshops - 2024
	UNCT Focal Point Workshop 2023
	Delivery Model Change Plan – Sequencing. 2023
	Delivery Model CSD Components Only
	UNEP DM for 2022-25 MTS Final Draft for SMT Discussion
	DM - TOR for Change champions in regional offices
	UNEP Delivery Model Project Design and Delivery at Regional and National Levels Draft Proposed Process 30/11/21
	UNEP Delivery Model: Agreeing the Scope and scale of the Change Management intervention
	Delivering UNEP's Results Through Enhanced Focus on Quality December 18 2020
	Elements of UNEP Delivery Model for MTS 2022-25
	UNEP Summary Outcome Report of Senior Management Team (SMT) Retreat February 3-5, 2020 Nairobi
	Key priorities for 2021 to ensure 'MTS-readiness' by 1 January 2022
	Draft Version for Approval at 24 January SMT Meeting
	SMT readiness guidelines 210215. A short guide on the 2021 work plan adopted by Senior Management to gear towards Medium-Term Strategy 2022-2025 and how to engage in its delivery.
	UNEP SMT Retreat February 2-5, 2020. Nairobi, Kenya
	SMT Meeting Notes December 6 2021

## ANNEX IX: EVALUATION FRAMEWORK

Sub Question	Sources of information	Methods of data collection
<b>Strategic Relevance: <i>Broadly considers....</i> To what extent will the introduction of the Delivery Model and the Programmatic Approach provide UNEP with a more strategically oriented programme towards the realization of the MTS and POW results (i.e. providing a clear 'line of sight' in terms of addressing the three global environmental crises)?</b>		
<b>Q A.1</b> In what ways has the potential for UNEP's Strategic Relevance been enhanced through use of the new Delivery Model (DM)	Dpt. Exec Dir Division Directors Regional Directors PPD Director Dpt. PPD Director Chief of Staff	Desk review Semi-structured interviews E-mail communications
<b>Q A.2</b> In what ways has the potential for UNEP's Strategic Relevance been enhanced through use of the Programmatic Approach (PA)	Dpt. Exec Dir PPD-Gender Division Directors Dpt. Div Directors Regional Directors PPD Director Dpt. PPD Director Chief of Staff	Desk review Semi-structured interviews E-mail communications
<b>Q A.3</b> Which features of the DM and PA support the establishment of a clear 'line of sight'* from local to regional and global interventions and in terms of addressing the three global environmental crises	Dpt. Exec Dir Division Directors Regional Directors PPD Director Dept PPD Director Head of Strategic Operations	Desk review Semi-structured interviews E-mail communications

Sub Question	Sources of information	Methods of data collection
<b>EFFECTIVENESS: <i>Broadly considers....</i> To what extent, and in what ways, will the i) Delivery Model and ii) Programmatic Approach improve UNEP's ability to demonstrate improved programmatic performance and results at the POW level?</b>		
<b>Q B.1</b> What evidence is emerging that systems are being put in place to enable implementation of the Programmatic Approach across the organisation	Dpt. Div Directors Dpt. Regional Directors GSPCs DRIs/Ch Sci/Ch Dig Off RSPCs Heads of Branch Heads of Unit Project managers	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications
<b>Q B.2</b> To what extent are PCPs, in both their design and early implementation, showing to be an effective means to generate synergy across initiatives included within a programme and across programmes	GSPCs DRIs/Ch Sci/Ch Dig Off RSPCs Heads of Branch Heads of Unit Project managers PPD CAG-PRC Unit	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications
<b>Q B.3</b> What evidence is emerging that enhanced coordination across the projects within a programme and across programmes is feasible and practiced	GSPCs DRIs/Ch Sci/Ch Dig Off RSPCs Heads of Branch Heads of Unit Project Managers PPD CAG-PRC Unit	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications
<b>Q B.4</b> What evidence is emerging that UNEP's programmatic engagement with countries and UNCTs has been/is likely to be enhanced	PPD-UNCT Development Coordination Unit / UNCT Focal Points Regional Directors	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications

Sub Question	Sources of information	Methods of data collection
	RSPCs UN Resident Coordinators (ex-UNEP)	
<b>Q B.5</b> What evidence is emerging that UNEP is adapting its partnership approach to the new DM/PA in terms of its engagement with partners at global, regional and country levels	Regional Directors GSPCs DRIs/Ch Sci/Ch Dig Off RSPCs Heads of Branch Heads of Unit Project Managers PPD CAG-PRC Unit	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications
<b>EFFICIENCY: Broadly considers... To what extent and in what ways, will the i) Delivery Model and ii) Programmatic Approach improve UNEP's ability to achieve greater results with the same level of resources?</b>		
<b>Q C.1</b> What evidence is emerging that UNEP's programmatic efficiency has been enhanced through adoption of the new DM/PA?	CSD Budget Unit Fund Management Officers Dpt. Div Directors Dpt. Regional Directors DRIs/Ch Sci/Ch Dig Off GSPCs PPD UNCT/Dev Coordination Unit	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications
<b>Q C.2</b> What evidence is emerging that human resources have been structured and capacitated in line with the new DM/PA?	Corporate Services Div CSD Budget Unit Division Directors Regional Directors DRIs/Ch Sci/Ch Dig Off Chief of Staff GSPCs	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications

Sub Question	Sources of information	Methods of data collection
	RSPCs	
<b>Q C.3</b> What evidence is emerging that resource mobilization and fund allocation has been adapted to the new DM/PA?	Head of Major Donors Partnerships Unit CSD Budget Unit Fund Management Officers Division Directors Regional Directors GEF Coordination Unit GCF Coordination Unit DRIs/Ch Sci/Ch Dig Off RSPCs	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications
<b>Q C.4</b> What evidence is emerging that other enabling systems have been implemented for the operationalization of the new DM/PA?	Division Directors Regional Directors PPD Director Corporate Services Div Fund Management Officers DRIs/Ch Sci/Ch Dig Off PPD CAG/PRC Unit	Desk review Semi-structured interviews Small scale case studies E-mail communications
<b>MONITORING, REPORTING &amp; EVALUATION (MR&amp;E): <i>Broadly considers...</i> To what extent will the i) Delivery Model and ii) Programmatic Approach facilitate UNEP's systematic monitoring, preparing to report on and evaluating the results from both: i) Delivery Model and the new ii) Programmatic Approach?</b>		
<b>Q D.1</b> In what ways has MR&E been integrated into the design and transformation process of the DM/PA, enabling assessment of the process and results at aggregate levels of PCPs and subprogrammes?	PPD – M&R Unit GSPCs Divisional M&R Officers Dpt. Div Directors Dpt. PPD Director PPD - Head of Strategic Operations PPD - CAG/PRC Unit	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications

Sub Question	Sources of information	Methods of data collection
<b>Q D.2</b> What evidence is emerging that results-based management is used as part of the Programmatic Approach, informing adaptive management?	PPD – M&R Unit GSPCs DRIs/Ch Sci/Ch Dig Off Divisional M&R Officers Dpt. Div Directors Heads of Unit Project Managers	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications
<b>Q D.3</b> What evidence is emerging that knowledge management is enhanced to inform organizational development?	PPD – M&R Unit GSPCs DRIs/Ch Sci/Ch Dig Off Dpt. Div Directors Heads of Unit Project Managers	Desk review Semi-structured interviews Focus Group Discussion Small scale case studies E-mail communications