MOPAN 2015-16 Assessments

United Nations Development Programme (UNDP)

Institutional Assessment Report

MOPAN

Multilateral Organisation Performance Assessment Network

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Preface

ABOUT MOPAN

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

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

MOPAN 3.0 — A reshaped assessment approach

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

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

Acknowledgements

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

Roles of authors and the MOPAN Secretariat

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

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

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Acronyms and abbreviations

ADR	Assessment of Development Results
AOC	Agenda for Organizational Change
BPPS	Bureau for Policy and Programme Support
CPAP	Country Programme Action Plan
CPD	Country Programme Document
ECOSOC	Economic and Social Council (UN)
IEO	Independent Evaluation Office
IFI	International financial institution
IIA	Institute of Internal Auditors
INGO	International Non-Governmental Organisation
IPSAS	International Public Sector Accounting Standards
IRRF	Integrated results and resources framework
KPI	Key Performance Indicator
MI	Micro-indicator
MOPAN	Multilateral Organisation Performance Assessment Network
OAI	Office of Audit and Investigations
QCPR	Quadrennial Comprehensive Policy Review
ROAR	Results-oriented annual report
SDG	Sustainable Development Goal
SRM	Stakeholder Response Mechanism
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNOPS	United Nations Office for Project Services
UNRIAS	United Nations Representatives of Internal Audit Services

Executive summary

This institutional assessment of UNDP covers the period from 2014 to mid-2016. Applying the MOPAN 3.0 methodology, the assessment considers organisational systems, practices and behaviours, as well as the results UNDP achieves. The assessment considers five performance areas: four relate to organisational effectiveness (strategic management, operational management, relationship management and performance management) and the fifth relates to development effectiveness (results). It assesses UNDP's performance against a framework of key indicators and associated micro-indicators that comprise the standards that characterise an effective multilateral organisation, and gives an overall view on its performance trajectory. MOPAN assessed UNDP in 2012.

Context

UNDP

- It is the largest UN development organisation. It operates in approximately 170 counties and territories with the aim of eradicating poverty and reducing inequalities and exclusion.

- It is governed by an Executive Board made up of representatives from 36 countries who serve on a rotating basis and meet three times a year.

- It has the most comprehensive mandate among all UN agencies, including a unique mandate on democratic governance, peacebuilding and state-building.

- It is operating with a reduced volume of regular resources due to a fall in donor contributions exacerbated by a stronger US dollar. It has responded with efficiency savings and additional resource mobilisation efforts.

- It initiated a significant reform process in 2011 in order to enhance organisational effectiveness; improve internal governance; strengthen leadership, culture and behaviour; and ensure effective programme delivery.

Organisation at a glance

- Established 1965

- Expenditure: USD 5.057 billion (2015)

- Active in more than 170 countries and territories

- 7 450 staff (2016)

- Operates through:
  - New York Headquarters
  - 9 regional and liaison offices
  - About 170 country offices

Overall performance

The overall conclusion of the 2016 MOPAN assessment is that while UNDP can strengthen and improve its performance in some areas, it largely meets the requirements of an effective multilateral organisation and is fit for purpose. On the whole UNDP's interventions are relevant to the needs and priorities of partner countries and beneficiaries, and its operating model and human/financial resources support relevance and agility. Its decentralised nature is a major strength. UNDP has done considerable work to ensure the organisational architecture is congruent with the vision and associated operating model, as demonstrated by recent organisational restructuring. The strengthened regional presence means that country offices have access to relevant support services and can be responsive to the needs of the government and staff. Planning and programming appear to be increasingly based on evidence and lessons learned, although there is further scope to improve this.

UNDP is delivering results and impact in its area of comparative advantage, in particular in terms of influencing policy and building capacity. However on the basis of available evidence overall results can best be described as mixed. Despite some improvements in monitoring and reporting, and a

strong corporate commitment to results-based management, reliable data on programme results and achievements are only partially available due to weaknesses in some project results frameworks, limited outcome and impact data, and the variable quality of decentralised evaluations.

While the structural change process has improved the overall cost effectiveness of UNDP, there is evidence that efficiency is, on the whole, low across many of UNDP's country and regional programmes. Survey respondents were particularly critical of the time delays caused by UNDP's burdensome procedures. The limited available evidence casts doubt on the likelihood that benefits from many interventions will be sustained.

Further organisational improvement is underway but its full impact is yet to be realised. Nevertheless, declining regular resources and rising costs pose a key challenge, constraining the ability of UNDP to ensure global development effectiveness and make forward-looking and strategic choices and investments. UNDP is already stretched thin across a wide sectoral mandate and a very large number of countries and territories.

Key strengths and areas for improvement

Key strengths

- **Strategic plan and organisational architecture well aligned with its overarching long-term vision** and draws on its comparative advantage

- An organisational structure that **supports decentralised decision-making**

- **Top performer in the Aid Transparency Index** in 2014 and 2015

- **Commitment to the Busan Partnership principles** and the use of and alignment with country systems

- **Robust organisational systems** that are both cost and value-conscious and enable financial transparency and accountability

- A corporate **commitment to results-based management**

- A **strong independent evaluation unit** with a clear accountability system

Areas for improvement

- The challenge of implementing **ongoing organisational and operational reform,** and maintaining such a broad sectoral and geographical focus, in the context of reduced core funding

- **Strengthen procurement capacity** at the country office level

- Strengthen the s**ystematic analysis of partner (institutional) capacity and cross-cutting issues,** particularly gender, to inform programme design

- Better corporate guidance on the requirements for **developing theories of change and more consistent application** to programming

- Improve the **quality and use of decentralised evaluations, and lesson learning** more generally

- Improve the **efficiency and sustainability** of interventions

INTRODUCTION

1.1 THE UNITED NATIONS DEVELOPMENT PROGRAMME

Mission and mandate

The United Nations Development Programme (UNDP) operates in approximately 170 counties and territories with the aim of eradicating poverty and reducing inequalities and exclusion. To this end UNDP supports countries to develop policies, leadership skills, partnering and institutional capabilities, and resilience, to achieve sustainable development results.

UNDP focuses on helping countries build and share solutions in three main areas:
- Sustainable development
- Democratic governance and peacebuilding
- Climate and disaster resilience

UNDP has the most comprehensive mandate among all UN agencies, including a unique mandate on democratic governance, peacebuilding, and state-building. UNDP is the largest UN development organisation and it is the chair of the UN Development Group. Working through a network of country offices and regional service centres, UNDP is mandated to support the broader UN system and UN agencies by providing, where needed, a platform that includes human resources, IT systems and procurement services. UNDP has the dual mandate of supporting countries in their individual development challenges and managing the Resident Coordinator System. This MOPAN assessment focuses on assessing UNDP in its first role of supporting countries in their individual development challenges. It does not assess UNDP's performance in managing the Resident Coordinator System, which would require a different set of indicators.

Governance

UNDP is governed by an Executive Board made up of representatives from 36 countries who serve on a rotating basis and meet three times a year. The Executive Board is responsible for providing inter-governmental support to and supervision of the activities of UNDP, the United Nations Population Fund (UNFPA) and the United Nations Office for Project Services (UNOPS). The Board is under the authority of the Economic and Social Council (ECOSOC) and oversees and supports the activities of UNDP.

The UNDP Administrator has the rank of Under-Secretary-General of the United Nations and is also chair of the United Nations Development Group. The Administrator is appointed by the United Nations Secretary-General and confirmed by the General Assembly for a four-year term.

Organisational structure

UNDP is headquartered in New York, but it works primarily through its offices in approximately 170 countries and territories. It maintains liaison offices and regional centres, which are located in Washington, DC and in Belgium, Denmark, Japan, Switzerland, Panama, Egypt, Turkey and Fiji. UNDP employs over 7400 staff.

Strategy and services

UNDP works towards a vision of helping countries achieve the eradication of poverty and significant reduction of inequalities and exclusion. The organisation's current strategic plan covers the period 2014-17. The proposed outcomes of this strategy are:

- Growth and development that are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

- Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance

- Countries have strengthened institutions to progressively deliver universal access to basic services

- Faster progress is achieved in reducing gender inequality and promoting women's empowerment

- Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change

- Early recovery and rapid return to sustainable development pathways are achieved in post-conflict and post-disaster settings

- Development debates and actions at all levels prioritise poverty, inequality and exclusion, consistent with UNDP engagement principles

Finances

UNDP has an integrated four-year budget covering the same period as the strategic plan. This is a change from the previous approach that used two-year institutional budgets and four-year programming frameworks to support strategic plan priorities. The new approach acknowledges the synergies and linkages between development and institutional results at country, regional and global levels, and the associated resource requirements. It also recognises that institutional activities represent essential strategic enablers for the achievement of development results.

Regular resources available to UNDP for 2015 amounted to USD 704 million, a decrease of 21% from what it received in 2013 (USD 896 million). The reduction is largely due to a fall in the volume of donor contributions, and is exacerbated by a strengthening US dollar. In the 2014-15 biennium, regular resources met only 85.5% of its budget target, or USD 1.5 billion of USD 1.75 billion.

Organisational change initiatives

In 2011, UNDP initiated the Agenda for Organizational Change (AOC), a significant reform process that aimed to enhance organisational effectiveness; improve internal governance; strengthen leadership, culture and behaviour; and ensure effective programme delivery.

1.2 The assessment process

Assessment framework

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

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

Table 1: Performance areas and Key Performance Indicators

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

Lines of evidence

Four lines of evidence have been used in the assessment: a document review, a survey, interviews and consultations. These evidence lines have been collected and analysed in a sequenced approach, with each layer of evidence generated through the sequential assessment process informed by, and building on, the previous one. See Annex 2 for a list of documents analysed as part of the UNDP assessment and Annex 3 for a process map of the MOPAN assessment.

The full methodology for the MOPAN 3.0 assessment process is available at http://www.mopanonline.org/ourwork/ourapproachmopan30/.

The following sequence was applied:

- The assessment began with the collection and analysis of 80 documents including external assessments and internal management information. An interim version of the document review was shared with UNDP. It set out the data extracted against the indicator framework and recorded an assessment of confidence in the evidence for each of the Micro Indicators. UNDP provided feedback and further documentation to enable finalisation of the document review, which was completed in September 2016.

- An online survey was conducted to gather perception data and an understanding of practice from a diverse set of well-informed partners of UNDP. The survey generated a total of 176 responses drawn from 16 countries (Afghanistan, Brazil, Burkina Faso, Colombia, Haiti, India, Iraq, Liberia, Moldova, Mozambique, Nepal, Nigeria, Solomon Islands, Somalia, Tajikistan, Viet Nam), including from donor and national government representatives, UN agencies and INGOs/NGOs. An analysis of both the quantitative and qualitative survey data has informed the assessment. Annex 4 presents results of the Partner Survey.

- Interviews and consultations were carried out at UNDP headquarters in New York in July 2016, with 48 UNDP staff members, ensuring coverage of all of the main parts of the organisation. The interviews were conducted in a semi-structured way, guided by the findings and evidence confidence levels of the interim document review.

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

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

The main limitations of the report in some areas are the limited evidence of the implementation and effects on the organisational practice of UNDP of changes instigated within recent UNDP reform and improvement processes. This assessment report itself therefore represents only a snapshot view of UNDP at a particular moment in time.

1.3 Structure of the report

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

2. ASSESSMENT OF PERFORMANCE

2.1 Organisational effectiveness

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

Strategic management: UNDP's strategic plan is aligned with its overarching long-term vision, which in turn draws on its comparative advantages. Recent organisational restructuring aims to ensure that its architecture is congruent with this vision. Further reforms are planned. UNDP has a system to link resource inputs to results, ensuring strong transparency.
A strong corporate commitment to wider normative frameworks exists, and structures and mechanisms are in place to integrate cross-cutting issues, with gender being the best developed.

—— SCORING COLOUR CODES ——

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

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

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

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

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

Long-term vision evident in key strategic documents: UNDP's key strategic documents, including the 2014-17 strategic plan, articulate a clear long-term vision. UNDP's strategy and choices of programmatic focus are based on an analysis of its comparative advantages. It perceives these to be a proven ability to influence policy and build capacity and its role as an effective thought leader and advocate with the ability to connect and advance learning, knowledge, expertise and experience across regions. Its global, regional, country and thematic programmes are aligned with and contribute results to the overarching vision of UNDP's strategic plan. However, while UNDP's mandate is sometimes considered to be overly broad, it should be acknowledged that the breadth of UNDP's activities is partly a result of its need to respond to widely varying national contexts.

UNDP's strategic plan commits it to supporting the delivery of global normative frameworks including the Quadrennial Comprehensive Policy Review (QCPR) and results including Rio+20, the Millennium Development Goals and the Sustainable Development Goals.

UNDP has aligned its integrated results and resources framework (IRRF) with the 2014-17 strategic plan, and is now able to strategically assess the relationship between resources (planned and spent) and results (expected and actually achieved). This alignment also allows UNDP to show the link between development results and the financial and human resource inputs required to deliver them.

Organisational architecture congruent with vision and strategy: UNDP is implementing a comprehensive structural reform process with the objective of enabling country offices to deliver more effectively on the ground. For example, UNDP has strengthened its regional presence to ensure country offices have access to support services and in turn can respond to the needs of government and country staff. It has introduced a multidisciplinary, issues-based "development solutions" approach to the provision of policy and programme support, and this allows for greater flexibility and relevance. Additional reform is anticipated. For example, UNDP is clustering its operational functions in regional and global hubs which is expected to be a major source of further economies of scale and efficiencies.

The Executive Board initially expressed concerns that a formal benefits-realisation plan was not in place to inform the structural reform process at the outset of the change process. This has since been completed in mid-2016.

Financial framework currently supports implementation of mandate but core resources continue to decline: While UNDP's financial position appears to be relatively secure in the short term, the total of regular (core) resources available to UNDP declined from USD 896 million in 2013 to USD 793 million in 2014 and again to USD 704 million in 2015.

Reflecting the decline in regular resources, reductions have been made to both the programmatic and institutional components of the 2014-17 budget. They have not been applied equally within these components. For example, within the programmatic component, TRAC-1 and TRAC-3 allocations have been preserved, resulting in sharp reductions to TRAC-2 (flexible resources for high impact, high-leverage and high-quality programme activities) and other budget lines such as regional and global programmes and gender mainstreaming. Similarly, within the institutional component, resource allocations for United Nations co-ordination activities have been maintained, resulting in the largest reduction in recent UNDP history of the regular resources allocation to management activities.

A continuing decline in core resources will constrain the ability of UNDP to ensure effectiveness and make strategic investment decisions. While UNDP continues to do more with less, there is a limit to the extent of further efficiencies that can be achieved.

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

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

Commitment to cross-cutting issues in strategic documents, with variable operationalisation: UNDP's strategic plan articulates a clear commitment to addressing the cross-cutting issues of gender equality and women's empowerment, the environment, and good governance (interpreted as peaceful and inclusive societies for sustainable development, reduced inequality, access to justice for all and effective, accountable and inclusive institutions at all levels). Other cross-cutting issues of relevance to UNDP reflected in key strategic documentation include human rights and resilience.

UNDP's ability to operationalise its commitment to address these cross-cutting issues and deliver intended results is reflected in its mechanisms, structures and operational and programming tools, although to varying degrees across the different thematic areas.

● ***Gender equality and women's empowerment:*** Structures and mechanisms are in place to support the implementation of gender and women's empowerment across all its work. One outcome in the UNDP 2014-17 strategic plan is dedicated specifically to advancing gender equality and women's empowerment, and gender equality is integrated into the six other outcomes as well as the corresponding targets and indicators of the integrated results and resources framework. The gender equality strategy in this framework includes an accountability framework and UNDP produces sex-disaggregated data. UNDP's results-oriented annual report (ROAR) now integrates gender development results and institutional results on gender equality. Survey respondents were particularly positive with respect to UNDP promoting gender equality in its programming (see Figure 1).

The contribution of UNDP expenditure to gender equality and women's empowerment is measured through a 'gender marker', which rates projects on a four-point scale. This scale indicates the degree to which a project has contributed to the achievement of gender equality. In 2015, 35% of UNDP expenditure either made a significant or principal contribution to gender equality, a slight increase from 34% in 2014.

UNDP has invested in developing capacity for gender issues, and 48 country offices have signed up to the Gender Seal process, a certification standard that recognises performance against a set of benchmarks. Out of a sample of 28 country programme documents, 24 include specific measures to address gender inequalities and 27 have sex-disaggregated indicators.

However, despite the significant investment in strengthening UNDP's approach to and implementation of policies to improve gender mainstreaming, the extent of its influence on programming is uneven. A report on UNDP's gender equality strategy in 2015 also identified the need for improved gender analysis including dedicated resources for gender analysis at the design and evaluation phase of programming. Further refinements to the gender marker and the ROAR, as well as tools and processes to support monitoring and evaluation, are required if UNDP is to increase the quality of its gender interventions, reporting and the assessment of its contributions.

● ***Environment:*** UNDP has articulated a clear vision for all developing countries to achieve a zero carbon and environmentally sustainable future. It has an expanding country and regional programme portfolio designed to support effective environmental management and nationally owned sustainable development pathways across a range of environmental themes. Its Global Programme plays a key role in this. Regional centres and country programmes are also involved in UNDPs engagement on environmental sustainability and climate change. As co-chair of the United Nations Development Group Sustainable Development Working Group, UNDP contributes to mainstreaming environmental issues in the post-2015 agenda.

In June 2014, UNDP adopted mandatory social and environmental standards for all of its projects and programmes effective 1 January 2015. This is aimed at strengthening the social and environmental outcomes of UNDP projects and avoiding adverse impacts to people and the environment affected by UNDP projects. However, with the implementation of the standards still in its early stages compliance has been relatively low to date.

There is further evidence that environmental sustainability and climate change is not as well embedded as some of the other cross-cutting issues. For example, around 30% of survey respondents had either heard of the UNDP Climate Change strategy but knew little about it, or had never heard about it, which would indicate that it is not widely considered by partners.

- ***Good governance:*** UNDP has a clear corporate focus on good governance as a pathway to sustainable development, and has identified building inclusive and effective democratic governance as one of three specific work areas under its 2014-17 strategic plan. Stronger systems of democratic governance are one of seven outcomes of the strategic plan. In addition, outcome 5 of the strategic plan, conflict prevention, focuses on the ability of countries to reduce the likelihood of conflict and lower the risk of natural disasters including from climate change. Outcome 6 of the strategic plan also addresses UNDP's role in leading post-crisis "early recovery". This sets out how UNDP will respond rapidly to serious outbreaks of crisis and commits UNDP to ensuring that long-term development needs are reflected in such responses, in order to strengthen the transition from humanitarian interventions to development. UNDP works on this in close collaboration with the World Bank, relevant UN departments and humanitarian organisations.

  UNDP works at multiple levels to improve governance. This includes large-scale responses to specific challenges such as reforming constitutions, organising credible elections or strengthening parliaments. UNDP uses its interventions in democratic governance to promote other cross-cutting issues including advancing women's legal rights and empowerment, strengthening women's access to justice, and disaster risk reduction. UNDP is engaged in piloting projects to support Sustainable Development Goal 16, which concerns the promotion of peaceful and inclusive societies, access to justice, and the importance of effective, accountable and inclusive institutions.

  Unlike other cross-cutting issues such as gender equality and environmental sustainability, there are no specific performance indicators in the IRRF that relate to governance from a management perspective (such as the percentage of expenditure with a significant governance component). This is consistent with UNDP's view that, while governance is central to the objectives of the strategic plan, it is not considered to be a cross-cutting issue.

- ***Other cross-cutting issues:*** Key strategic documents reflect other cross-cutting issues: **human rights** as well as **resilience**, both in terms of disaster response, where the disaster is exacerbated by climate change, and in crisis prevention and recovery situations. **Youth** participation is also highlighted as a cross-cutting issue in the UNDP strategy. UNDP played a prominent role in involving youth in the Sustainable Development Goals including youth participation in peacebuilding and the implementation of the UN System-wide Action Plan on Youth. This is being supported by UNDP's Youth Global Programme for Sustainable Development and Peace 2016-20, an instrument through which UNDP implements its Youth Strategy entitled 'Empowered Youth, Sustainable Future'.

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

An illustration of aggregated partner views from across the countries

Quantitative analysis

It promotes gender equality in all areas of its work.

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

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

23	11	29
50	50	57
43	36	34
7	12	9
2		2

Total response: **125**   Total response: **109**   Total response: **132**

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

Qualitative analysis – illustrative quotes

"In our view, UNDP programs are well aligned to national priorities."

"Ambition and design of UNDP Country programmes and projects are often not in line with financial resources and based on unrealistic fund raising assumptions. This is often the reason for poor performance."

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

Operational management: UNDP's operating model is aligned to its strategic priorities. Its decentralised structure supports greater country-level relevance and faster programming responses. UNDP's resource mobilisation efforts are clearly consistent with its core mandate and strategic priorities, and ensuring adequate financial resources remains a corporate priority. While UNDP continues to be a trusted partner to governments in support of national development priorities, it is also seeking funds from the private sector and other sources.

UNDP's organisational systems enable transparency and accountability of its financial management and resource allocation decisions. UNDP's financial frameworks support mandate implementation but reductions in core funding have required cost cutting especially in staffing, and some operational areas have been affected disproportionately. Areas for improvement include strengthening procurement capacity at the country office level and strengthening the implementation and effectiveness of UNDP's risk management and control framework.

SCORING COLOUR CODES

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

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

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

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

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

Decentralised organisational structure in place: UNDP's decentralised structure provides the organisation with the flexibility to adapt to different contexts and supports greater national ownership of programmes. Consistent with UNDP's strategic vision and policies, decentralised decision making on resource mobilisation, spending and programming has enabled faster and more efficient programming. For example, country offices now have resource mobilisation plans and regular resource allocations for country-level programme activities are made within the framework of targets for resource assignments from the core (known as TRACs). Funding under the integrated results and resources framework (IRRF) outcome areas is decided at the country level, based on national need.

UNDP's decentralised structure is an outcome of the Agenda for Organizational Change (AOC) reform process initiated in 2011. It aimed to enhance organisational effectiveness; improve internal governance; strengthen leadership, culture and behaviour; and ensure effective programme delivery. Reorganisation and review of the UNDP headquarters are largely complete, but the terms of reference for each bureau have not yet been defined. A review of country offices in 2016 will make recommendations regarding UNDP's organisational structure going forward.

Shift to more flexible, multidisciplinary issues-based teams: UNDP's reforms are based upon the recognition that countries face increasingly complex and inter-connected development challenges. Accordingly UNDP is shifting from a relatively rigid, practice-based architecture to one focused on more flexible, multidisciplinary issues-based teams for development solutions. The Global Programme plays an important role in connecting UNDP country offices, the five regional centres and the global policy centres, and it has played a central role in this shift. Early benefits of this structural change include a more balanced management structure with fewer senior-level positions and a more integrated regional presence.

UNDP's development effectiveness capacity has been reinforced through the creation of a dedicated team within the new Bureau for Programme and Policy Support (BPPS) that focuses on all aspects of development impact. There is a corporate recognition that UNDP's organisational configuration will need to become increasingly dynamic and flexible to respond to new development challenges, and that UNDP needs to improve its people management capabilities, including speedier recruitment and induction programmes to support staff to become effective more quickly.

Diversification of financial resource base is needed: UNDP's resource mobilisation efforts are consistent with its core mandate and strategic priorities. UNDP is currently implementing a new resource mobilisation plan which focuses on mobilising resources that serve to protect its core revenue, enable a more co-ordinated approach to mobilising non-core resources for policy and programme activities, and diversify its resource base.

UNDP is working hard to mitigate the risks of reduced core resources by creating efficiencies, cutting costs (mainly human resources) and accessing new funding sources. Savings have not been spread evenly across UNDP's programmatic and institutional components. For example, while TRAC-1 and TRAC-3 allocations under the programmatic component have been preserved, large reductions have been applied through TRAC-2 and other budget lines including for development support services and gender mainstreaming. A continuing decline in core resources will constrain the ability of UNDP to ensure effectiveness in making strategic investment decisions.

Managing the decline in core resources: Mid-term reviews of both the strategic plan and the institutional component of the integrated budget were completed in June 2016. The reviews found that UNDP's financial position appears to be relatively secure in the short term, but the regular resources available to UNDP are trending downward and this needs to be carefully managed. Regular resources declined to USD 704 million in 2015, from USD 793 million in 2014 and USD 896 million in 2013. The Audit Advisory Committee has expressed concern about the impact of this decline and the potential risk it poses to UNDP's ability to deliver its mandate. The 2014-17 strategic plan acknowledges the decline in resources alongside rising costs but notes that UNDP has made strides in implementing Economic and Social Council (ECOSOC) resolution 2015/15, including exceeding its target for the number of agreements in place with a General Management Support (GMS) cost-recovery rate of 8% by the end of 2015.

In 2014-15, UNDP allocated 88% of its core programme resources to low-income countries and 71% to least-developed countries. Only 11% of UNDP programme resources are invested in middle-income countries (MICs), but UNDP sees these as having a large multiplier effect. It reports that for every USD 1 invested, UNDP has been able to leverage USD 24 in other resources. Multi-year core funding commitments are encouraged but remain the exception. International financial institutions (IFIs) are an important source of UNDP's development funding, accounting for a large portion of its non-core (earmarked, project-specific) funding.

Lack of sufficient procurement capacity at the country office level: The Audit Advisory Committee, an external body independent from UNDP that oversees the work of the Office of Audit and Investigation (OAI), noted that the internal control framework, particularly in the area of procurement, may be weakened by current organisational restructuring aimed at improving efficiency. This is further supported by findings in OAI's Annual Report on Internal Audit and Investigations for 2015, including weaknesses in procurement management (including procurement plans not being prepared), procurement cases not being submitted to the procurement review committees and weak justification for direct contracting for almost half of the country offices that were audited. These are recurrent issues that were already identified in previous OAI annual reports. UNDP management has responded that through implementation of the Agenda for Organizational Change process, procurement capacity is moving closer to country offices through the presence of procurement specialists who perform monitoring and compliance functions in the regional hubs, which will go some way to addressing these issues.

Performance management system and gender parity strategy in place: A robust staff performance management and development system is in place that is geared towards the achievement of the delivery of results. It is less clear to what extent this system influences decision making and affects the achievement of corporate results. An audit of the performance system in 2015 revealed that a relatively low rate of performance plans were in place in a sample of country offices. Qualitative feedback from survey respondents also indicated some concern that staff are over-stretched, which at times compromises quality (see Figure 2).

UNDP has had a gender parity strategy since 2009 that outlines specific measures to attract, retrain and promote female staff. It set the goal of reaching gender parity by 2015. While UNDP currently has a gender-balanced workforce overall, it only has limited numbers of women in senior management positions (P5 and above), such as country directors.

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

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

Transparent decision-making processes in place to guide resource allocation: UNDP has transparent decision-making processes that guide resource allocation through the three tiers of the TRAC, and a clear and transparent process for approving new projects at the country level. It is also in the process of implementing the Executive Board decision to harmonise cost classifications and implement new cost recovery rates. This will further improve the transparency and consistency of development project costing, thereby addressing a long-standing concern that core resources may have been unduly subsidising non-core activities.

In both 2014 and 2015, UNDP was rated the most transparent development agency in the world, ranked first out of 68 major aid organisations in the Aid Transparency Index.

Mixed evidence regarding the disbursement of resources: Regarding the extent to which allocated aid resources are disbursed as planned, evidence is mixed because average disbursement rates can mask large country differences as well as differences in the types of activities funded. Overall, budget utilisation rates are improving, although budget reductions may partially account for this. The slow pace of project implementation remains an issue which ultimately delays completion and closure of projects, and affects the ability of UNDP to achieve its objectives and outcomes.
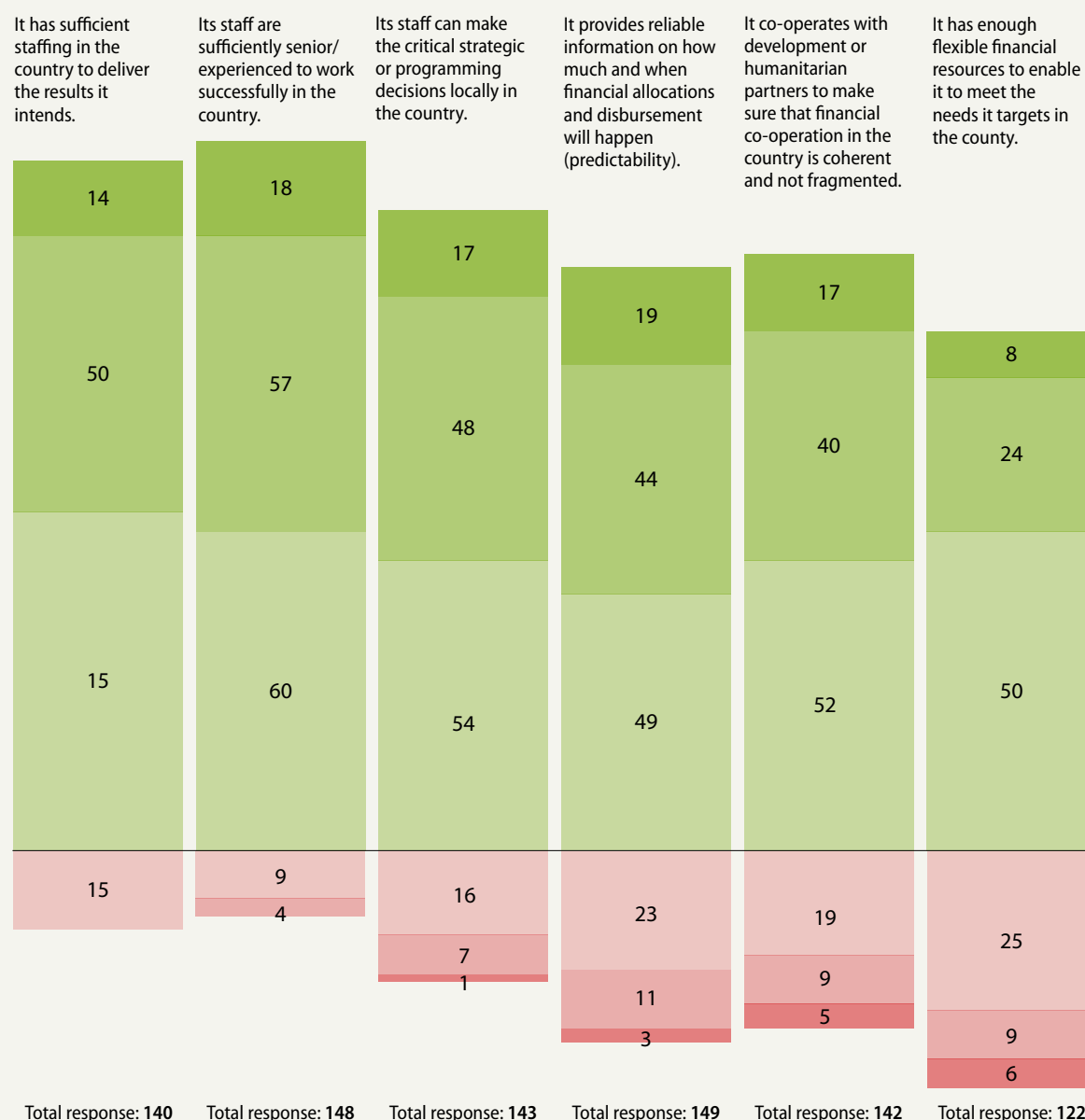
New framework links results and resources: UNDP has a clear commitment towards the principles of results-based budgeting as evidenced by the recent implementation of an integrated results and resources framework (IRRF) that will allow UNDP to strategically assess the relationship between resources and results. This will facilitate the process of continuous realignment of institutional capacities so country programmes can achieve results within the remit of the strategic plan.

Audit function highly regarded, and new quality assurance tools adopted: UNDP has an excellent external audit record that attests to its conformity to international standards. UNDP's internal audit function adheres to the International Standards for the Professional Practice of Internal Auditing, promulgated by the Institute of Internal Auditors (IIA). Quality assurance is undertaken through independent periodic peer reviews, consistent with the IIA's professional standards and practices, to assess the Office of Audit and Investigations mandate, structure, activities and resources against best practices in the internal audit industry. UNDP has adopted new quality assurance tools — at the design and appraisal stage, annually during implementation, and at the closure stage — that are designed to be evidence-based and to prompt management decisions for course correction to improve programming quality.

The Audit Advisory Committee commended the work of the Office of Audit and Investigations on performance audits and welcomed its intention to integrate a performance audit approach into country office audits, and to implement proactive investigations. Internal control mechanisms overall are sound and systems are continuously being strengthened.

Improvement required in the effectiveness of governance, risk management and control: The Office of Audit and Investigations rated the adequacy and effectiveness of UNDP's framework of governance, risk management and control in 2015 as only "partially satisfactory". The annual report revealed that only around one-third of the audit reports in 2015 had a 'satisfactory' rating; the remainder were rated partially satisfactory, unsatisfactory or were without a rating. This means that although policies, procedures and systems are generally established and functioning, they require improvement. However, it should also be noted that while a small number of audit recommendations have been outstanding for more than 18 months, an implementation rate of 85% of audit recommendations in 2015 is consistent with the target set in the IRRF and demonstrates that, broadly, UNDP takes appropriate and timely action when improvements in governance, risk management and control are necessary.

There is evidence that UNDP is able to effectively prevent, detect and investigate fraud and corruption. UNDP has undertaken several management initiatives to further strengthen its accountability and transparency within the context of its decentralised structure, and it has zero tolerance for fraud and corruption. It has a long-standing commitment to transparency, and has a number of policies and procedures in place to prevent and detect fraud and report on matters of fraud and corruption. The risk of fraud and corruption is assessed and managed in accordance with UNDP's Enterprise Risk Management Framework. Managers identify and assess the risks in their programme or project areas including the risk of fraud and corruption, and apply mitigating measures, taking due account of the level of risk involved. An independent hotline, managed by an independent service provider, has been established to receive reports of potential cases of fraud.

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

An illustration of aggregated partner views from across the countries

Quantitative analysis

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

14	18	17	19	17	8
50	57	48	44	40	24
15	60	54	49	52	50
15	9	16	23	19	25
	4	7	11	9	9
		1	3	5	6

| Total response: **140** | Total response: **148** | Total response: **143** | Total response: **149** | Total response: **142** | Total response: **122** |

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

Qualitative quotes

"In general, UNDP has technically strong staff with long tenure in the country and a good understanding of the local situation. However, they are largely not empowered to make major decisions or reverse course as a result of changes in assumption."

"Even though there is adequate staff, the level of seniority and technical expertise of staff to be able to provide on the spot technical advice is minimal and often times, there are long delays due to recruitment of technical consultants."

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

Relationship management: UNDP's interventions are aligned with national priorities and targets, and current reforms will help it respond to new development challenges more flexibly. Contextual, situational and capacity analyses are critical components of UNDP planning and increasingly applied, although the quality sometimes varies. Processes for risk management could also be strengthened further. Evidence on analysis of cross-cutting issues is mixed and inconclusive, with sustainability being a clear area of concern.

On the whole, UNDP works in coherent partnerships to harness its comparative advantages and relevance, and demonstrates a clear intent to ensure synergies and the catalytic use of resources. It works closely with partner governments, using their operational systems where appropriate, demonstrating its commitment to the Busan Partnership principles. Business practices are co-ordinated and UNDP's use of its knowledge base is a strength. Systems are in place to provide accountability to beneficiaries, including a new grievance mechanism. Areas identified for improvement include the need to strengthen the systematic analysis of partner (institutional) capacity and cross-cutting issues, particularly gender, to inform programme design, and the extent of information sharing with partners.

SCORING COLOUR CODES

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

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

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

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

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

Interventions strongly aligned with national priorities and intended results: Key strategic documents including regional and country programme documents and the UN Development Assistance Framework (UNDAF) process, convey UNDP's clear intent to promote national ownership of its interventions and to work in collaboration with partner governments. UNDP's activities are closely aligned with its strategic framework, with 87.5% of project outputs and 92% of programme expenditures linked to strategic plan outputs in 2015. This picture is reinforced through the survey and interviews where respondents indicated that UNDP had a strong alignment to national priorities and results (see Figure 3).

Contextual analysis is used to shape intervention designs: Contextual analysis is a critical component of UNDP planning and programming, and the results are used to shape intervention designs and implementation. A sample of regional strategies and country programme documents show that programming is based on a situation analysis, and there is a corporate focus on continually improving

UNDP's understanding of the development context. One issue raised in the evaluation of the strategic plan (2008-13) was that many country programmes and projects did not seem to invest enough in assessing whether the conditions are in place that would lead to a good reception of a pilot project. The qualitative feedback from the survey also suggests that UNDP could strengthen the contextual analysis underpinning the design of its interventions (see Figure 3).

Programme designs could be better informed by assessments of partner capacity: Evidence about the extent to which capacity analysis informs intervention design and implementation is mixed. The evaluation of UNDP's strategic plan for 2008-13 revealed recurring weaknesses in assessing the capacity of implementing partners, even though building national capacity is central to UNDP's mission. Currently, internal mechanisms and tools are in place that include checklists and guidelines for implementation and financial capacity assessments, as is a national implementation manual to guide a capacity assessment of potential project partners. A snapshot of country programme documents demonstrates an intention to build the capacity of local partners.

However there are concerns over the extent to which capacity assessments are actually used to inform programme design, and there is little evidence from independent evaluations that the approach outlined in the strategic plan and UNDP guidance has been systematically implemented across most of UNDP's work. The Executive Board has also expressed concern that in the absence of proper implementing partner assessments, management may not be able to detect and correct project shortcomings in a timely way and, as a result, completion of project activities could be at risk.

Corporate commitment to consider cross-cutting issues within programme designs, but room for improvement: UNDP has a clear corporate commitment to include the analysis of cross-cutting issues into intervention designs. Survey responses regarding the extent to which UNDP promotes cross-cutting issues were very positive for gender and governance, and positive for environment. However a report on UNDP's gender equality strategy in 2015 identified the need for improved gender analysis, including at the design and evaluation phases of programming. Documentary evidence revealed concerns that gender mainstreaming remains uneven and ad hoc across UNDP interventions, with capacity for implementation inconsistent and particularly weak at the field level. The qualitative feedback to the survey is mixed.

The strong commitment to sustainability is reflected in the new design quality standards, which include a criterion on sustainability and national ownership. Whether current sustainability measures are detailed and realistic is unclear, and to date there is little evidence of sustainability from UNDP interventions, with a lack of clear exit strategies identified in a number of evaluations.

Operational agility is variable: Evidence on the extent to which institutional procedures support the speed of implementation is mixed. Several Assessments of Development Results (ADRs) noted that national governments perceive UNDP systems to be more efficient and flexible than their own, while two ADRs noted that the perceived inefficiency of UNDP is leading donors to seriously question its role in management of basket funds. Qualitative feedback shows that some partners are critical of UNDP's procedures and that these procedures still cause delays.

However, by increasing delegated authority, UNDP has significantly boosted its readiness and agility in terms of its ability to respond to crisis as demonstrated during the Ebola outbreak in West Africa, the earthquake in Nepal, and the humanitarian crisis in Syria. This increasing efficiency was noted in the interviews with UNDP staff.

Risk management guides decision making, but needs strengthening: UNDP has risk management strategies in place to ensure the identification, mitigation, monitoring and reporting of risks. In the past these have not always been used to maximum effect, but enterprise-wide risk management is now a central component of UNDP's accountability framework and is used to guide decision making. However an internal audit of the enterprise-wide risk management in 2014 highlighted the need to strengthen the organisation's risk management cycle at all levels, and redesign its risk management policy, tools and practices in line with lessons learned, best practices and the changing business model of UNDP. There are signs of improvement: the Audit Advisory Committee commended the new enterprise-wide risk management policy released in January 2016. Evidence also indicates that UNDP is showing increasing awareness of risk management, with risk entries recorded by country offices and headquarters increasing to 895 in 2015 from 179 in 2012 .

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

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

Partnerships underpinned by a clear understanding of comparative advantage: UNDP's quality standards for programming require that new programmes develop priorities based on evidence of UNDP's comparative advantage with respect to its partners. This is explicitly reviewed by the Programme Appraisal Committee. The evidence demonstrates that UNDP consciously builds partnerships which respect the unique characteristics, missions and responsibilities of each partner, and that it has a clear idea of the strengths it can bring to a partnership: it sees these as the ability to connect, advance and use learning, knowledge, expertise and experiences across regions. Evidence from the survey also suggests that UNDP's interventions are based on a clear understanding of comparative advantage (see Figure 3).

UNDP has successfully employed a partnership approach when responding to development challenges. Concrete examples include UNDP's successful management of humanitarian and other crises by working in close partnership with others: 32% of all UN country teams have crisis response agreements with key partners, including the World Bank; while 36 UN country teams undertake joint risk assessments.

Partners engaged to catalyse resources and share strengths: The Global Programme is at the leading edge of global partnership building in UNDP, and serves as a catalyst for a wider transformation of ways to work with partners to achieve results in programme countries. This effort is guided by a core set of principles: engaging a broad range of partners, each contributing different perspectives, approaches, expertise and constituencies; minimising transaction costs and bureaucracy; working in a collaborative, open and flexible manner; being results-driven, with mutually agreed objectives, roles and clear time frames; utilising innovative ways to share costs and risks; employing safeguards and ensuring accountability for performance by example; and acting as a catalyst for a wider transformation of ways to work with partners to achieve results in programme countries.

Procedures require use of country systems: UNDP is committed to the use of and alignment with country systems in line with the Busan Partnership principles, with all decisions regarding the use of resources at the country level based on country demand and principles of national ownership. UNDP's programming procedures require a strategy for the use of national systems to be defined and implemented. The Project Appraisal Committee reviews the extent to which a country programme document meets this standard.

Strategy and practices give priority to synergies with partners: UNDP's strategic plan prioritises scaling up strategies to leverage resources, and country programme documents are rated on the quality of their "scaling up" strategies and their theories of change. Most survey respondents rated the prioritisation of synergies as very/fairly good. Most respondents rated the UNDP's prioritisation of working in synergy/ partnership as very good or fairly good, although many of the qualitative responses were more negative about synergies in practice.

UNDP co-ordinates its business practices with other relevant parties, particularly other UN agencies, and at the regional level with regional economic communities. It ensures its programming policies and principles are coherent with those of the United Nations Development Group (UNDG). UNDP policy and technical work are integrated and co-ordinated with UN entities at the global level, particularly where there are agreements on lead and co-lead responsibilities. UNDP expects that joint programming and the UN's Delivering as One agenda will further strengthen coherence. UNDP plays an important role in driving and funding the Resident Coordinator system.

Information sharing variable: UNDP promotes common reporting templates that comply with the International Public Sector Accounting Standards (IPSAS) among partners and member states. UNDP, together with United Nations Population Fund, has also led the development of the new Framework for Joint Internal Audits of United Nations Joint Activities. This was adopted at the United Nations Representatives of Internal Audit Services (UNRIAS) meeting in September 2014.

The extent to which UNDP shares key information with strategic and implementation partners on an ongoing basis varies. For example, results from an internal partnership survey show the majority of UNDP partners are satisfied with the level of UNDP engagement (i.e. the quality and timeliness of communication, consultation and/or engagement in key project events/meetings). However, the evidence from the survey undertaken for this MOPAN assessment is more mixed, with one-fifth of respondents rating the sharing of information as fairly, very or extremely poor (see Figure 3). Qualitative feedback indicated the dominance of negative experiences.

Mutual assessments of performance could be strengthened: There is some evidence of UNDP engaging in mutual assessments of performance but there is scope for further improvement. The majority of survey respondents said that UNDP was either excellent, very good or fairly good at conducting mutual assessments of progress with partners. An example from India clearly demonstrates UNDP's commitment to system-wide coherence. It has been agreed with the Indian government that monitoring of India's Country Programme Action Plan (CPAP) will be based on the United Nations Development Assistance Framework (UNDAF) results matrix, and regular reviews of CPAP progress will use mechanisms and tools also agreed by the government of India and UNDP. These reviews will be designed to monitor the efficient, transparent and accountable use of programme resources.

Although such regular reviews of progress are mandatory under the UNDAF review process, they are not conducted in all countries where UNDP is operating. Only 36% of countries reported that they had conducted an annual review in the last 12 months and 32% of countries reported they had conducted a mid-term review of their United Nations Development Assistance Frameworks. The data indicate areas for improvement to ensure that there are opportunities to engage with national partners to monitor progress and, where necessary, undertake corrections in implementation.

Systems and policies are in place to ensure accountability to beneficiaries: These are being implemented in all country offices, and will be embedded in the next few years. UNDP reports that most concerns and grievances that arise during country-level project design and implementation are resolved through discussion, correspondence, meetings and management decisions without formal logging or tracking. UNDP intends its country offices to continue to use their existing project management channels and procedures to resolve the vast majority of concerns that are raised.

However, in some cases concerns and grievances are not addressed through these means, and a recently introduced Stakeholder Response Mechanism (SRM) is available. The SRM, which is part of UNDP's accountability mechanism, aims to ensure individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes. The Stakeholder Response Mechanism is now online and provides information on open and closed cases, but at this point in time it is not being widely used.

UNDP has also undertaken initiatives designed to give the poor and marginalised a voice in the future development agenda, particularly through the establishment of the MY World global survey, which has reached over seven million people from 194 countries. MY World 2, currently under development, is expected to include national perception studies on progress towards the Sustainable Development Goals.

Successful deployment of UNDP's knowledge base to support policy dialogue and advocacy: UNDP's flagship publication, the Human Development Report, has been instrumental in shaping the global development debate. Country offices use the report to identify further avenues of co-operation with governments and to advocate for specific policy reforms. There is a clear corporate recognition that reforms, analysis and advocacy must be grounded in reliable data and a strong evidence base derived from policy research if UNDP is to influence policy. Several survey respondents commented positively on this issue.

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

An illustration of aggregated partner views from across the countries

Quantitative analysis

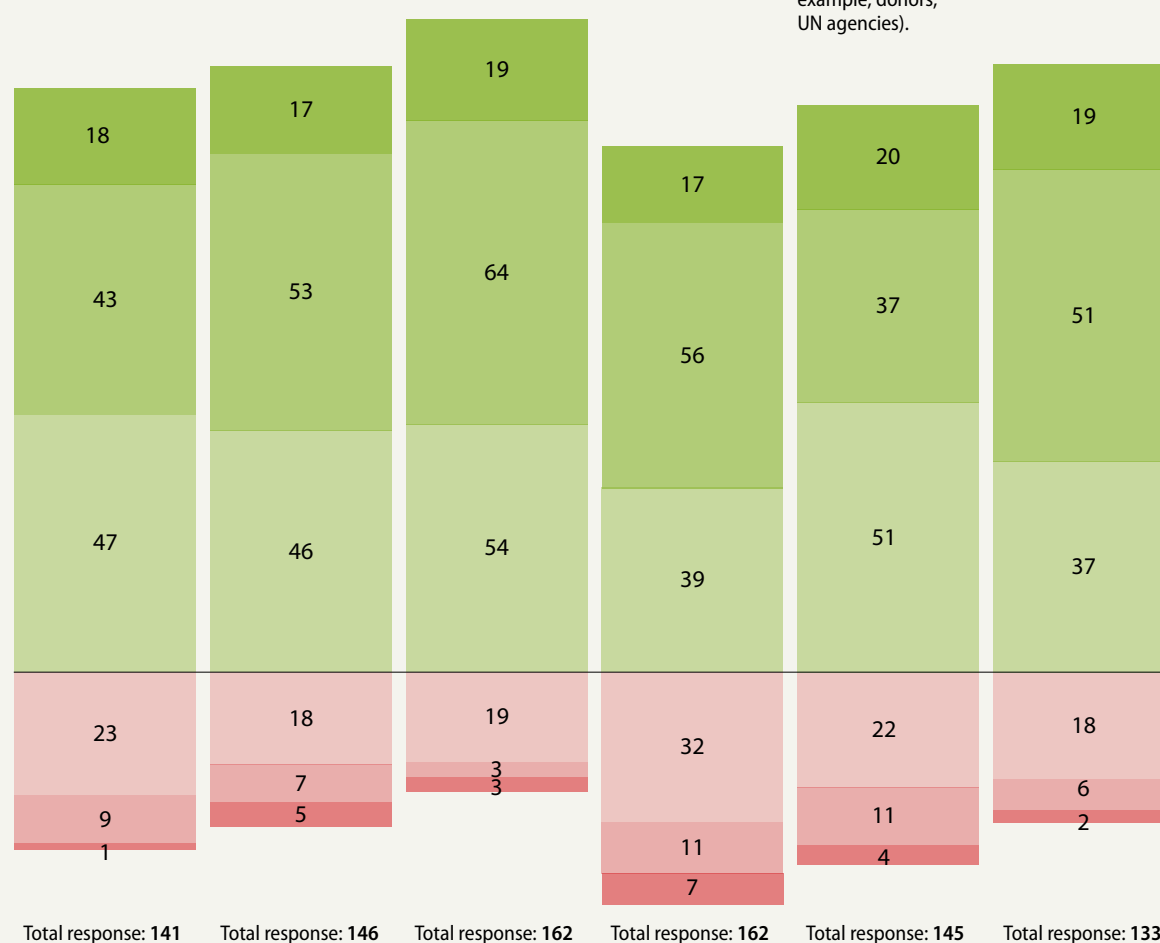It adapts or amends interventions swiftly as the context in the country changes.

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

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

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

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

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

18	17	19	17	20	19
43	53	64	56	37	51
47	46	54	39	51	37
23	18	19	32	22	18
9	7	3	11	11	6
1	5	3	7	4	2

Total response: **141** Total response: **146** Total response: **162** Total response: **162** Total response: **145** Total response: **133**

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

Qualitative analysis – illustrative quotes

"UNDP co-chairs the Development Partners Group monthly meeting. This meeting is tremendously beneficial in exchanging views and information and arriving at certain consensus when the matter requires it."

"Despite its championing of its co-ordination function, this is not particularly well performed. In practice, the co-ordination role often translates into one of privileged access, meaning there is a feeling of UNDP having the first bite of the cherry rather than representing the broader UN community."

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

Performance management: UNDP has a long-standing commitment to results-based management, and has demonstrated a strong and transparent results focus. It continuously seeks to improve the way it implements results-based management. Corporate and country strategies are based on a sound results-based management focus and logic. Progress has been made to articulate theories of change (the causal pathways between outputs and outcomes for UNDP interventions). However, implementation is uneven across the organisation.

UNDP has an independent evaluation function that responds to recommendations, tracks related actions and uses evaluative knowledge in programming. In terms of coverage, evaluations are conducted and commissioned both by the Independent Evaluation Office and through a decentralised system. Despite the existence of a comprehensive system for following up on evaluation recommendations, a significant number of completed actions from evaluations remain outstanding. Further efforts are also required to improve the quality of decentralised evaluations.

SCORING COLOUR CODES

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

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

KPI 8: Evidence-based planning and programming applied

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

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

Commitment to results-based management, and stronger capacity to support it: UNDP demonstrates a strong corporate commitment to results-based management. This is evidenced by, for example, the comprehensive integrated results and resources framework (IRRF) and quality assurance system. The IRRF brings together the different monitoring tools in terms of output data, financial data and qualitative reporting in the results-oriented annual report (ROAR).

However, there is some evidence that resources do not match ambition in this area. The 2016 performance audit of UNDP's results-based management found that TRAC-2 is not being used as an incentive for good performance as intended. The 2014-17 strategic plan refers to giving incentives to programmes and projects that have demonstrated positive results. But the audit found that this practice had been limited by resources, and it was not always possible to use TRAC-2 for scaling up programmes as the amount of resources in TRAC-2 was insufficient to have an impact.

The adoption of new methodologies and platforms has strengthened UNDP's capacity for results-based management over the last few years. These include an enhanced results-based management platform and new quality standards for programming, as well as a new Project Quality Assurance System that provides a tool to improve planning, design, and monitoring and evaluation.

New Project Quality Assurance System expected to support application of results-based approach: Results-based management and quality assurance processes are used to design programmes and as a basis for discussion with partners. Partner survey responses indicate that UNDP is considered fairly good or very good at prioritising a results-based approach. However, evidence is mixed about the extent to which this approach is consistently applied across the organisation. There are concerns that despite implementation of the new results-based management platform, a number of projects lack performance indicators, baselines and targets. An audit of country offices in 2014 found that of 324 ongoing projects in six countries, 53 projects lacked performance indicators, baselines and targets. This suggests a lack of close supervision and monitoring of data quality at the country office level. That said, most respondents to the survey noted that UNDP is fairly good or very good at insisting on the use of robust performance data when designing or implementing interventions.

The roll out of the Project Quality Assurance System is in its final stages; all projects are supposed to have been checked using the quality assurance tool by February 2017. The intention is that all corporate strategies and country strategies be based on a sound results-based management focus and logic. The UNDP strategic plan notes that all country programmes should be tightly focused on no more than four time-bound outcomes and should be underpinned by a robust and measurable results framework.

'Theories of Change' are being developed but application is uneven across programmes: The connection between outcomes and outputs as part of the results-based management process has been developed through internal outcome approach papers (referred to as "theories of change"). These documents explain the "results chain" or link between the results at each tier, and thus how UNDP's role and approach through national and multi-partnerships will help achieve outputs that contribute to the intended outcomes. These documents also explain the assumptions and risks to achieving the results under each outcome, and approaches for handling these. The "theories of change" are internal working documents which will continue to be tested and refined over the period of the strategic plan. Country offices used these documents extensively in the baseline and target setting exercise for the integrated results and resources framework, during which Country Programme Documents were rated on their consideration of scaling up strategies and their effective use of theories of change to achieve greater impact. These are subject to regular reviews on the basis of lessons learned.

However, an Office of Audit and Investigations performance audit of UNDP's results-based management system in 2016 found that UNDP's theory of change policy was not well developed and the guidance on how to use it was not readily available. From a sample of 20 Country Programme Documents, the Office of Audit and Investigations found three Country Programme Documents (CPD's) did not include a theory of change, and in 12 CPD's the theory of change was only partly developed. The explicit pathway from problem statement to intended outcome was often the missing element from the theory of change. Similarly, the Office of Audit and Investigations found from a selection of project documents that these often included lessons learned but provided little explanation of how the lessons were used to enhance the robustness of the theory of change or to support the validity of the assumptions.

Corporate intent to share and use performance data in strategic decision making: UNDP's strategic plan 2014-17 notes that innovation, replication opportunities and lessons learned will be explicit considerations in programme development and management. UNDP has enhanced the quality of evidence data available, including through the implementation of the integrated results and resources framework. It also recently conducted a performance factor analysis, which informed the strategic decisions at the mid-term review of the strategic plan and will inform the design of the next strategic plan (2018-22).

Monitoring systems generate useful performance data that are used at programme, country, regional and global levels. The Project Quality Assurance System generates high-quality performance data that can be used in management decision making. A 2015 performance audit of UNDP's results-based management system reported that 84% of country offices had taken measures to improve data collection and monitoring capacity, and in 56% of countries where UNDP has a presence there had been collaboration with partners to strengthen national statistical systems. Qualitative results of UNDP's work, such as these, are not as consistently captured as quantitative output level results.

Most respondents to the survey noted that UNDP is either very good or fairly good at using robust performance data when designing or implementing interventions, and most respondents noted that UNDP is either very good or fairly good at including a statement of the evidence base for new intervention designs (see Figure 4). It was also noted in interviews that UNDP uses monitoring data in planning and adjusting its programming and also in discussion with government and partners. Annual reports on performance are discussed with UNDP governing bodies and corporate reports note areas of strong performance as well as deviations between planned and actual results.

KPI 8: Evidence-based planning and programming applied

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

The Independent Evaluation Office is central to the delivery of UNDP's Evaluation Policy: The Independent Evaluation Office (IEO) is the independent evaluation function of the UNDP. The Executive Board, as the custodian of the evaluation policy, approves the evaluation policy and the biennial financial appropriation to the IEO within the context of the UNDP budget. The Executive Board also periodically reviews the appropriations to the IEO and makes adjustments as necessary based on IEO's programme of work, which the Board approves. The current evaluation policy dates from 2011 (though it was revised in 2015); the Executive Board is expected to approve a new evaluation policy in September 2016.

The IEO submits all its thematic and programmatic evaluations to the Executive Board, which approves the management responses. All independent centralised evaluations conducted by the IEO are subject to a quality assurance process. For independent thematic evaluations, an external advisory panel of senior thematic and evaluation specialists is set up. For Assessments of Development Results, quality is assured through the use of internal and external reviewers as well as stakeholder workshops in the country.

Quality of decentralised evaluations remains below expectations despite recent improvements: UNDP programme and policy units commission decentralised evaluations according to evaluation plans that coincide with relevant programmes (global, regional and country). To maintain impartiality across the evaluations, they are carried out by independent evaluators and not by UNDP staff (with the exception of IEO staff) or others with a vested interest in the result. Evaluators must also be independent from member state governments as well as the governing bodies of the United Nations.

There is evidence the quality of decentralised evaluations remains below expectations, suggesting a lack of reliable data on programme performance. This was confirmed during interviews with UNDP staff. The IEO concurs with the key finding of the 2014 review of the UNDP evaluation policy that there are weaknesses in the system of decentralised evaluations. Poor quality decentralised evaluations deprive UNDP of the evidence it needs to make sound resource allocation and programming decisions, while giving programme countries only limited knowledge of UNDP contributions to their development.

However, efforts are underway to strengthen the system, including through the adoption of a new quality assessment system for decentralised evaluation reports (since September 2015). Further developments include that the IEO has started drawing upon locally recruited experts to conduct evaluations, while a UNDG cost-sharing arrangement is enabling better data collection. UNDP's Development Impact Group has also performed a quality assessment of the evidence review process. Further improvements in this area are particularly important because decentralised evaluations are the building blocks for the independent evaluations that the IEO conducts at country, regional and global levels.

Broad and consistent evaluation coverage of UNDP's mandate and areas of work: The IEO's current work plan is linked to the 2014-17 medium-term evaluation plan approved by the Executive Board and includes a mix of thematic evaluations, impact evaluations and country-level evaluations (Assessments of Development Results). Most Partner Survey respondents rated UNDP as fairly good or very good in terms of clearly articulating which of its interventions should be evaluated and following through with those evaluations.

In 2015, 90 country offices (66% of the total) completed 241 evaluations. These comprised 39 outcome evaluations, 183 project evaluations, and 19 United Nations Development Assistance Framework and other programmatic evaluations. Over the period 2008-13, nearly 1 300 UNDP decentralised evaluations were uploaded onto the Evaluation Resources Centre. This represented an average of approximately nine evaluations per country office over the five-year period.

However, reflecting the continued decline in regular (core) resources, the budgets allocated to evaluation in UNDP continue to decline; the budget for the IEO's programme of work in 2016 is USD 600 000 less than the 2015 allocation, leaving a shortfall of nearly USD 1.4 million. This is expected to lead to commensurate changes in the work plan of the IEO.

Evaluations are contributing to a growing evidence base for the design of new projects and programmes: There is a corporate commitment to increasing the use of evaluative knowledge in programming, with country offices now required to report on their use of evaluations as evidence of contributions made to development. Use of evaluation findings in developing new programmes and projects is also required as part of the new quality standards for programming. A snapshot of regional strategies and country programme documents shows that programme designs have been informed by lessons learned and prior experience. In 2015, the newly established Development Impact Group of the Bureau for Policy and Programme Support (BPPS) completed a lessons learned study, including from evaluations, to conduct the mid-term review of the strategic plan.

There is also a broad corporate commitment to identifying and addressing under-performance. The integrated results and resources framework includes an indicator on percentage of "project outputs which are reported as achieved or on track". The implementation phase of the project quality assurance rating tool includes the metrics for these. Risk logs also contribute to this monitoring process.

Policy and systems in place for implementing evaluation recommendations: In accordance with the evaluation policy, UNDP management is required to prepare responses to all evaluation recommendations, which are entered into the Evaluation Resource Centre system. Responses are expected to include specific, time-bound actions with clearly assigned responsibilities to implement them. As custodian of the evaluation function, the Independent Evaluation Office is responsible for maintaining the Evaluation Resource Centre system.

A UNDP Executive Office guidance note requires posting all management responses to independent evaluations in the Evaluation Resource Centre. The lead unit charged with overseeing follow-up actions, in co-ordination with any other involved bureau/units/offices responsible for implementing the actions, provides quarterly progress updates in the centre's tracking system. For Assessments of Development Results, country offices prepare the management response under the oversight and guidance of relevant regional bureaus. The bureaus ensure that responses are prepared for all evaluations and that actions are taken, and regularly review the status of implementation.

Room to improve the number of completed actions stemming from evaluation recommendations: Implementing actions set out in management responses can be used, according to UNDP, as a proxy for assessing evaluation use. Of 241 decentralised evaluations completed in 2015, 207 (86%) had a management response, yielding 1,805 actions for follow-up. By the end of 2015, 21% had been completed, 50% were ongoing, and 1% were not applicable. 15% had passed indicated due dates, and 14% had no specific deadlines. Similarly, an evaluation of the Strategic Plan 2008-2013 found that of 52 ADRs conducted since 2012, 15% of all actions were ongoing (with a due date) and overdue, while for thematic evaluations the figure was 31% of these.

However, most Partner Survey respondents noted that UNDP is either very good or fairly good at following up on evaluation recommendations systematically (see Figure 4). It was also noted in interviews that lessons learned from evaluations feed into the Country Programme Document design process.

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

An illustration of aggregated partner views from across the countries

Quantitative analysis

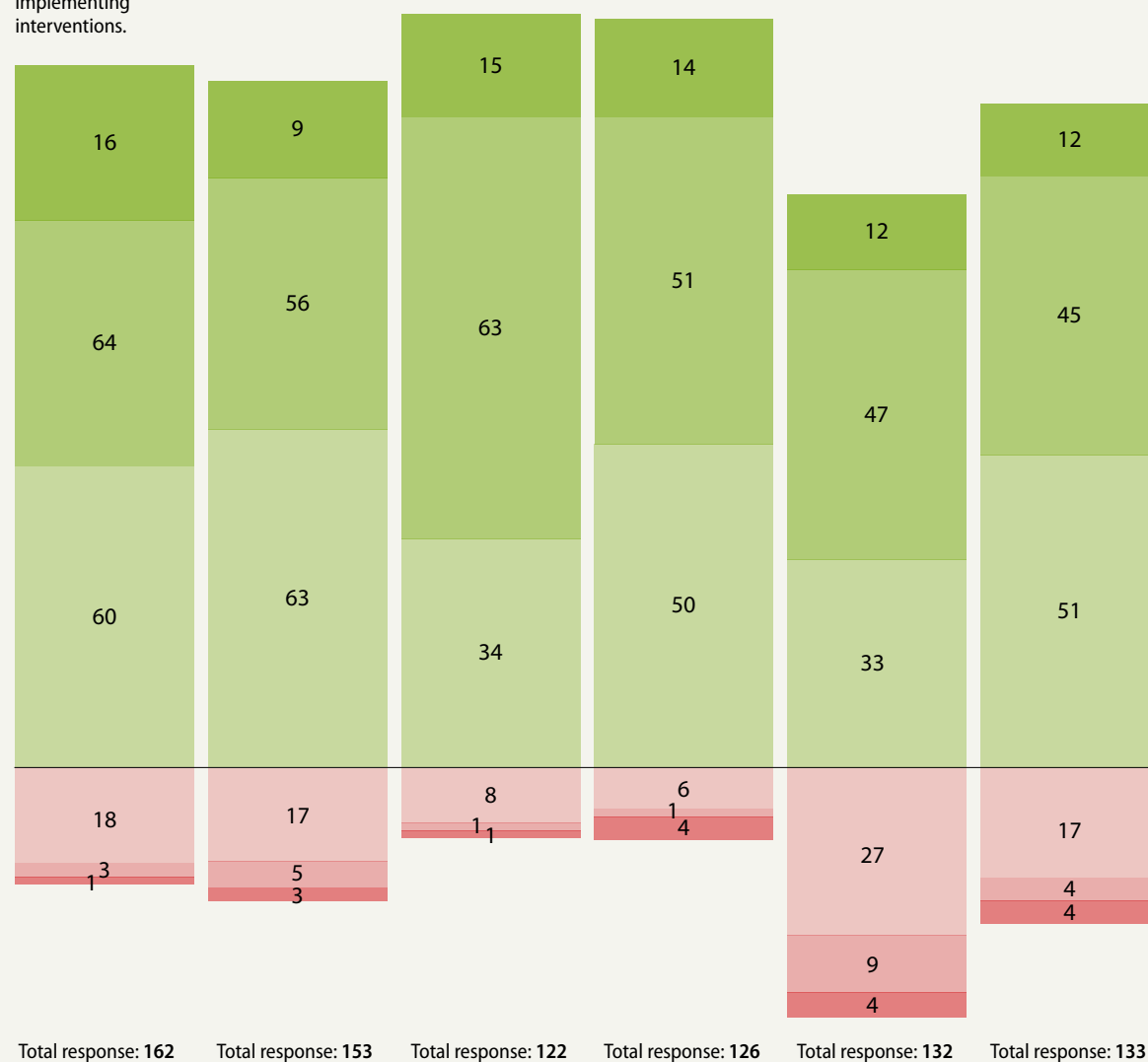| It prioritises a results-based approach – for example when engaging in policy dialogue, or planning and implementing interventions. | It insists on the use of robust performance data when designing or implementing interventions. | Where interventions in the country are required to be evaluated, it follows through to ensure evaluations are carried out. | All new intervention designs of UNDP include a statement of the evidence base (what has been learned from past interventions). | It consistently identifies which interventions are under-performing. | It follows up any evaluation recommendations systematically. |

It prioritises a results-based approach	It insists on the use of robust performance data	Where interventions are required to be evaluated	All new intervention designs	It consistently identifies under-performing	It follows up evaluation recommendations
16	9	15	14	12	12
64	56	63	51	47	45
60	63	34	50	33	51
18	17	8	6	27	17
3	5	1	1	9	4
1	3	1	4	4	4

| Total response: **162** | Total response: **153** | Total response: **122** | Total response: **126** | Total response: **132** | Total response: **133** |

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

Qualitative analysis – illustrative quotes

"While the evaluations system of UNDP is working well per se there is some room for improvement in the way the management responds to evaluation findings and follow-up."

"There are multiple examples of UNDP not taking lessons learned into consideration for implementation of next steps, particularly in the governance areas."

Organisational Effectiveness scoring summary

SCORING COLOUR CODES

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

PERFORMANCE AREA: STRATEGIC MANAGEMENT

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

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

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

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

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

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

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

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

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

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

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

2.2 Development effectiveness

PERFORMANCE AREA: RESULTS

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

Results: The picture that emerges in terms of UNDP's achievement of overall results can best be described as mixed and inconclusive. The strongest and most positive evidence relates to interventions having a positive, if not always visible, impact on national policies and programmes. UNDP's contribution to building capacity and strengthening the enabling environment, and particularly its contribution to policy, is strong, but its results in terms of contributing to coherent and co-ordinated responses are mixed. Through the Delivering as One modality, UNDP has demonstrated programmatic synergies with other United Nations organisations. There are also examples, however, of a degree of fragmentation in implementation of this modality, which caused increased workload and unnecessary duplication among programmes.

The issues of efficiency and sustainability in particular need careful consideration. Despite recent improvement in the overall cost-effectiveness of the organisation, evidence for the efficiency of UNDP interventions is limited, and the evidence that does exist indicates that efficiency is low in many cases. The limited evidence available also indicates that in a number of cases the benefits from UNDP interventions, particularly country programmes, are unlikely to be sustained.

SCORING COLOUR CODES

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

KPI 9: Achievement of development and humanitarian objectives and results

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

KPI 11: Results delivered efficiently

KPI 12: Sustainability of results

KPI 9: Achievement of development and humanitarian objectives and results

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

The evidence for rating the achievement of development and humanitarian objectives and results is limited and overall results can best be described as mixed.

Evidence for the achievement of development outcomes is mixed: Evidence on results indicates mixed performance in terms of the extent to which interventions have achieved their stated development and/

or humanitarian objectives and attained expected results. Management reporting was largely positive, with 32 out of 38 outputs against seven development outcomes considered to be performing at a rate equal to or above their 2015 milestone or performance target. The body of evaluations of UNDP projects overall covered both strong and weak examples. These included some projects that were very effective but not very efficient (in the sense of missing opportunities to leverage the experience for a greater contribution), or that were unlikely to contribute to sustainable results.

Country-level development achievements are generally positive: At the management level, reporting is generally tied to the number of countries in which a result has been achieved. While this is a useful indicator of UNDP's breadth and depth of engagement, it masks information on the significance, quality and sustainability inter alia of those results. Concerns have also been raised in an evaluation of the Global Programme, which concluded that it has not yet found the appropriate balance between country-level support and activities of wider relevance to UNDP's contribution to global and regional public goods.

That said, evaluations do provide evidence of development results being achieved at the country level, including in difficult operating environments such as Iraq and Afghanistan and in middle-income countries. There is also evidence of strong performance in sectoral programmes such as the Small Grants Programme, which continues to support projects that have high levels of success in securing global environmental benefits. Of the sampled projects, 85% had contributed to improved livelihoods in some, although not always significant, way.

Evidence of strengthening national capacity and policies: Documentary evidence points to a positive, if not always visible, impact on national policies and programmes. Evaluations of some regional programmes and of UNDP's role in supporting the achievement of the MDGs provide further evidence that UNDP interventions have strengthened the capacity of national systems and institutions. This includes in areas such as early warning systems and the conduct of national elections.

Evidence of improving gender equality and the empowerment of women, with room for improvement: An evaluation of UNDP's contribution to gender equality and women's empowerment found a marked improvement in the UNDP approach to, and implementation of, policies to address gender mainstreaming. However, the evaluation concluded that in order to achieve more transformative results, UNDP must move from viewing women primarily as beneficiaries towards supporting them as agents of change, particularly in early recovery work, peacebuilding and peace making. Another evaluation, of the Fourth Global Programme, suggested that change has not been sufficient to ensure a gender dimension is consistently included in programmes, particularly at the country level, despite improvements in operationalising accountability mechanisms and integrating gender targets into performance management. Dedicated funds are not regularly set aside to perform gender assessments at the design stage or to monitor and evaluate outcomes, and UNDP country programme evaluations have noted weaknesses in the country office gender machinery.

Limited evidence of improving environmental sustainability: Evidence is thin on the extent to which interventions have had a positive impact on environmental sustainability, but some positive management and evaluation evidence exists. Management information suggests positive performance in terms of capacity building for engagement at the policy level such as in international climate change negotiations. There is also evidence of results in the development of legal, policy and institutional frameworks in sectors such as disaster and climate risk management, natural resource management, and biodiversity. Evidence from the Small Grants Programme also indicates instances of outcomes achieved in small-scale biodiversity projects.

However there are missed opportunities because of insufficient efforts to synergistically combine protection of the environment with promoting sustainable livelihoods of the poor. The potential to do this exists across the whole environment portfolio. Evaluative evidence shows that to some extent UNDP succeeds in realising this potential, but it does not do so consistently across the countries where it works.

Evidence of impact in improving good governance: There is some evidence to indicate UNDP has made a positive contribution to development outcomes in the area of good governance, particularly for regional programmes (Africa and Asia-Pacific). However evidence from some country programmes, including Iraq and Afghanistan, indicates that governance programmes have been far less successful. For example, in Afghanistan, UNDP has provided extensive support to the electoral process, capacity development assistance to numerous institutions, and support for the national budget process. While supporting structures have been put into place, institutions remain fragile and their capacity to deliver basic services and security throughout the country remains weak. Furthermore, while programmes of democratic local governance often report substantial achievements in terms of their intended outputs, effective service delivery through participatory decision making, which is essential for reducing human poverty, remains weak.

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

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

Interventions are generally relevant to needs and priorities of beneficiaries: On the whole UNDP interventions are relevant to the needs and priorities of partner countries and beneficiaries. The next step, as validated by survey respondents, is for UNDP to be more responsive to the needs of socially excluded groups at the national level.

There is some evidence — from the evaluation of the regional programme for Asia and the Pacific, and an evaluation of support for the development of the cotton sector in the C4 countries (Benin, Burkina Faso, Chad and Mali) — that UNDP programmes have sometimes been implemented in isolation from intended beneficiaries or are inconsistent with broader country strategies, despite the existence of guidance to avoid this. Implementation of the new quality standards for programming, which emphasise the need to focus on target groups under the Strategic Plan at the programme and project level, should go some way to addressing this. It should also be noted that interventions focusing on poverty reduction are considered to be relevant across all UNDP programme countries, and so for some evaluations relevance is considered as a factor in UNDP's effectiveness, rather than seen as a separate criterion.

Interventions aligned with national priorities: There is considerable evidence that, overall, UNDP interventions contribute to the realisation of national development goals and objectives. There is particularly strong evidence in country programmes such as in Afghanistan, Tajikistan and Moldova, where interventions are clearly aligned with national priorities and development strategies.

For regional programmes, in particular in Arab countries, the tension between advocating for sensitive development issues and responding to national government priorities was noted. However, an evaluation of the Iraq country programme in 2015 suggests that while UNDP's programmes were relevant to national priorities, UNDP did not gain national support for the programmes or for the methods used to implement them, and they did not yield tangible results.

Programmes often lack synergy with other development stakeholders: The documentary and survey evidence indicates both strengths and weaknesses in UNDP's approach to delivering a coherent and well-co-ordinated response to development challenges. There is evidence of UNDP's intentions to co-ordinate with partners. For example, there is an aim for coherence through joint programming and UN system mechanisms such as Delivering as One, and UNDP actively promotes common reporting formats for partners. However evidence from both country and regional programmes (Afghanistan, Iraq, regional programmes for Africa, and Arab countries), indicates that in practice UNDP interventions often lack synergies or coherence with other projects, programmes and stakeholders, and are often not delivered as part of an overall strategy for engagement. Some of UNDPs programming takes place in extremely complex and challenging contexts where it is often difficult to both achieve results and to track and report on progress being made.

KPI 11: Results delivered efficiently

UNDP's performance against this KPI is rated as **unsatisfactory.**

Evidence of interventions not being delivered in a timely fashion: The limited evidence available on the extent to which results are achieved on time does not allow for generalised findings, but evaluations of two regional programmes (Africa and Arab States) do suggest that UNDP programmes are generally not delivered on time, or the delivery rate is below expectations. Key contributing factors include the difficult operating environments UNDP is working in, together with insufficient human resources. This is consistent with findings from an interim audit that, at the country level, there was in some cases evidence of very low project budget utilisation rates. Around 40% of survey respondents, and a large number of the qualitative survey comments, suggest that UNDP's bureaucratic procedures cause delays in implementation for national or other partners.

However, it should be noted there are isolated instances where UNDP has been able to mobilise resources and deliver interventions quickly, such as its response to the Ebola outbreak in West Africa.

Mixed results for operational efficiency across country and regional programmes: There is evidence that efficiency is low across a number of UNDP's country programmes, particularly those delivered in fragile states (for example, Iraq and Afghanistan), and regional programmes (for example, Africa and Arab States). However, there is also evidence to suggest that UNDP has delivered some interventions efficiently from both a resource and cost perspective, especially in the context of declining human and financial resources. This includes the Asia-Pacific regional programme and UNDP's interventions in Moldova.

Evidence of recent improvements in overall cost-effectiveness: There is evidence that the structural change process has improved the overall cost-effectiveness of UNDP. For example, the 2017 target of 8.1% management efficiency ratio was achieved in 2014-15, while the proportion of regular resources spent on institutional costs declined from 42 % in 2012-13 to 38 % in 2014-15. This enables more funding to be allocated to UNDP programmes.

KPI 12: Sustainability of results

UNDP's performance against this KPI is rated as **unsatisfactory.**

While UNDP makes strong contributions to building capacity and strengthening the enabling environment, and particularly to policy, the limited available evidence casts doubt on the likelihood that benefits will be sustained.

Limited evidence to indicate the benefits of UNDP interventions will be sustained, particularly for country programmes: Issues with respect to the sustainability of UNDP interventions have been raised over a number of years now. For example, a review of the Strategic Plan (2008-2013) concluded that the selection and design process in 97% of country programmes did not consider sustainability of results in detail. Nor was there evidence that project/programme management focuses significantly on management for enhanced sustainability. Similarly, the mid-term review of the strategic plan 2014-17 highlighted the need for country programmes to improve planning for sustainability and the articulation of exit strategies. This is also consistent with the Annual Report on Evaluation 2015, which noted many assessments had stressed the need for long-term strategies and approaches that could generate transformational and sustainable development results.

The Annual Report on Evaluation 2015 also identified a number of specific examples in multiple countries where the sustainability of interventions at the project level was found to be weak. Similarly, an evaluation of the small grants programme in 2015 concluded that it is difficult to sustain the outcomes of the projects due to the low capacity of project participants and the limited time duration of the grants (typically less than 18 months). For fragile states such as Afghanistan and Iraq, very few of the development results achieved are considered to be sustainable beyond the end of the support being provided. A key contributing factor has been the difficulties UNDP has experienced in securing national ownership for its programmes.

An intended outcome of UNDP's new Quality Standards for Programming is to improve the performance of UNDP's interventions in the area of sustainability. If the quality standards are successful, future evaluations of UNDP interventions may reflect more positive results in this area.

Some isolated cases where prospects for sustainability are high: While concrete evidence of sustainability is limited, there are cases where prospects for sustainability are considered to be reasonably high. For example, in the Africa regional programme, sustainable capacities were created to promote inclusive growth and the achievement of the MDGs, particularly in national institutions where staff turnover was low. Strong ownership by the African Union Commission and the New Partnership for Africa's Development (NEPAD) mean that results are likely to be sustainable. Similarly, prospects for sustainability are also considered to be relatively high where UNDP has engaged closely with partner organisations and governments in the design and implementation of interventions. This is reflected in the results of the mid-term review of the strategic plan 2014-17, where of the 57% of projects which were rated on sustainability by decentralized evaluations in 2014-15, about three quarters were seen as somewhat sustainable, sustainable or highly sustainable.

Development Effectiveness scoring summary

SCORING COLOUR CODES

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

PERFORMANCE AREA: RESULTS

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

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

3. CONCLUSIONS

3.1 CURRENT STANDING OF THE ORGANISATION AGAINST REQUIREMENTS OF AN EFFECTIVE MULTILATERAL ORGANISATION

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

Illustrative Quotes from Partner Survey on overall performance

"Its greatest strength lies in its global reach, its long-standing relationships, and its ability to support countries in addressing complex and multi-dimensional development issues."

"An almost universal country presence in developing countries, coupled with long-lasting relationships with governments and local stakeholders, position UNDP as a central partner for the implementation of SDGs."

RELEVANCE

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

UNDP's current 2014-17 strategic plan clearly outlines how it understands needs and demands over the period, and how these contribute to the Quadrennial Comprehensive Policy Review and other global frameworks such as Rio+20, the Millennium Development Goals and the Sustainable Development Goals.

UNDP's operating model and human/financial resources generally support relevance and agility. Organisational structures and staffing ensure that human and financial resources are aligned. The Global Programme plays an important role in connecting UNDP country offices, the five regional centres and the global policy centres. The decentralised nature of the organisation is a major strength and contributes to relevance as it allows UNDP the flexibility to adapt to different contexts and to promote greater national ownership of programmes.

Planning and programming seem to be increasingly evidence-based. For example, a feature of the new quality standards for programming is that programme designs should be informed by lessons learned and prior experience. This is borne out through a snapshot of regional strategies and country programme documents.

Documentary evidence and survey respondents both indicate that UNDP interventions contribute to the realisation of national development goals and objectives, although some survey respondents also suggested that UNDP could be more responsive to the needs of socially excluded groups.

EFFICIENCY

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

While measuring the efficiency of UNDP's delivery of programmes is difficult, the evidence suggests that UNDP is delivering some interventions efficiently from both a resource and cost perspective, especially in the context of declining human and financial resources. However, there is also evidence to indicate that efficiency is low, on the whole, across many of UNDP's country and regional programmes. This is

particularly the case for country programmes delivered in fragile environments where the poor security situation has made programme implementation extremely costly. The limited available evidence also suggests there are often delays to the implementation of UNDP interventions, while survey respondents were particularly critical of the time delays caused by UNDP's burdensome bureaucratic procedures.

UNDP has implemented an extensive structural reform process to support the delivery of key strategic outcomes and to ensure resources are increasingly concentrated at the regional and country levels. The introduction of an integrated results and resources framework (IRRF) aligned to the current strategic plan means UNDP can strategically assess relationships between resources (planned and actual) and results (expected and actual). Ongoing structural reform is anticipated, including the regional and global clustering of operations functions, which is expected to bring further economies and efficiencies. UNDP is also in the process of implementing the Executive Board decision to harmonise cost classifications and implement new cost recovery rates.

However, as noted by the Audit Advisory Committee and acknowledged in the 2014-17 strategic plan, declining regular resources and rising costs carry the risk of constraining UNDP's ability to make forward-looking strategic choices and investments. UNDP is already stretched thin across a wide sectoral mandate and a very large number of countries and territories. If regular resources continue to decrease at the current rate, it will not be possible for UNDP to maintain the protections for the programme budget that are currently in place. Reduced resources for development effectiveness and management could also accentuate organisational risks due to adverse effects on institutional capacity for quality assurance, monitoring, accountability and oversight.

EFFECTIVENESS

Are UNDP's systems, planning and operations fit for purpose?

UNDP's organisational architecture is congruent with its vision and associated operating model, achieved through the recent structural change process. The strengthened regional presence, for example, means that country offices have access to relevant support services and can be increasingly responsive to the needs of the national government and staff. This also supports stronger co-ordination with country teams. There is a strong sense from the evidence that the restructuring process, begun in 2011 as an Agenda for Organizational Change, has been reasonably successful. However there will be a time lag before clear development benefits are visible.

UNDP has a strong and transparent results focus that is geared to function. It has transparent decision-making processes in place to guide resource allocation, and organisational systems are cost and value-conscious and enable financial transparency and accountability. The UNDP audit function adheres to the International Standards for the Professional Practice of Internal Auditing, promulgated by the Institute of Internal Auditors. The evidence indicates that issues raised from internal control mechanisms are addressed overall in a satisfactory manner and systems are continuously being strengthened.

Structures and tools are in place and applied to support the integration of gender and women's empowerment across the UNDP's work and accountability mechanisms. However environmental sustainability and climate change are less embedded than gender across the organisation. While governance remains at the core of the UNDP mandate, evidence suggests a gap is now appearing between the historic commitments to report results in this area and the current capacity, systems and evidence to accomplish this.

UNDP has corporate independent evaluation functions and monitoring systems that generate useful performance data which is used at programme, country, regional and global levels. However concerns remain over the funding of the evaluation programme and the quality of decentralised evaluations.

Overall, while policies, procedures and systems are generally established and functioning, many require improvement. A continuing decline in core resources will constrain the ability of UNDP to improve its strategic and operational effectiveness.

IMPACT/SUSTAINABILITY

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

There is only limited evidence available for the achievement of development and humanitarian objectives and results. The available evidence can be described as mixed at best, although it should be noted there is a clear perception that UNDP makes a positive, if not always visible, impact on national policies and programmes. UNDP's contribution to building capacity and strengthening the enabling environment, particularly policy, is good. UNDP interventions have strengthened the capacity of national systems and institutions including in areas such as early warning systems and the conduct of national elections.

There have been some improvements in monitoring and internal reporting of results, including against the IRRF. But the variable quality of decentralised evaluations means that reliable data on programme results and achievements is only partially available. Overall, available evidence indicates mixed performance in terms of the extent to which interventions have achieved their stated development and/or humanitarian objectives and delivered the results expected.

Sustainability remains a challenge and the limited available evidence casts doubt on the likelihood that benefits from many UNDP interventions will be sustained. Part of the problem lies in the extent to which interventions are designed and managed for sustainability. UNDP's new Quality Standards for Programming should improve this, as will the corporate focus on better understanding the development and institutional context. However there is often a trade-off between building the long-term capacity for sustainability and achieving timely and effective results in the short term, particularly where existing national capacity is very weak. Achieving sustainable results in such contexts is inherently difficult.

3.2 THE PERFORMANCE JOURNEY OF THE ORGANISATION

The overall conclusion of the 2016 MOPAN assessment is that while there are some areas where performance can be strengthened and improved, UNDP largely meets the requirements of an effective multilateral organisation and is fit for purpose. The organisation is responsive to the needs and priorities of member states and is delivering results and impact in its areas of comparative advantage. These include, in particular, influencing policy and building capacity, as well as being an effective thought leader and advocate with the ability to connect and advance learning, knowledge, expertise and experiences across regions.

The MOPAN 3.0 methodology has significantly evolved since UNDP's last MOPAN assessment in 2012. It is not therefore feasible to provide a direct comparison. Nonetheless it is possible, on that earlier analysis to see where there has been strengths maintained and areas of improvement progressed in the subsequent period.

The key areas for improvement marked in 2012 included results-based management practices, tackling bureaucracy and addressing administrative inefficiencies, and continuing its drive to improve transparency. It is evident that the organisation has put in place a range of measures to improve its transparency, results-based management, and operational efficiency and effectiveness. In 2011, UNDP initiated the Agenda for Organizational Change (AOC) a comprehensive reform process that aims to enhance organisational effectiveness; improve internal governance; strengthen leadership, culture and behaviour; and ensure effective programme delivery.

Change can be disruptive to organisational functioning but UNDP seems to have managed the process in an ordered and timely manner. However many change processes are of longer duration, or are still ongoing, and the assessment finds many instances where it is only possible to assess the intent of new initiatives; many are too recent to find evidence of implementation, let alone impact. Thus, while the full impact of the reform initiatives is still to be realised, it is clear that UNDP has evolved and matured in a positive direction as a multilateral organisation.

Over the past five years UNDP has – with some success – implemented a broad range of measures to improve performance, agility and relevance and there are clear strengths to the organisation (see Table 2). Responses have been made to a majority of the main recommendations from past assessments and have contributed to improved organisational effectiveness in a number of areas. There is however more to be done (see Table 3). Aspects such as UNDP's gender mainstreaming and financial accountability systems remain consistent with the level reached in 2012. Some of the weaknesses identified in 2012 – such as administrative inefficiencies and time delays, mixed ratings in other cross-cutting priorities and limited evidence of results – are still present.

UNDP faces continued uncertainty in relation to the magnitude and timing of future funding streams, particularly core funding. Funding is likely to be subject to ongoing volatility, not least from exchange rate fluctuations, which will clearly require careful management. UNDP is able to allocate resources effectively and flexibly as circumstances/priorities change, and it has an organisational structure capable of managing changing financial flows. Nonetheless, it will continue to be a challenge to balance member demands at the global, regional and national levels with available resources. UNDP has a very wide sectoral and geographical mandate, and limited resources. Further strategic discussion around focus is likely to be required.

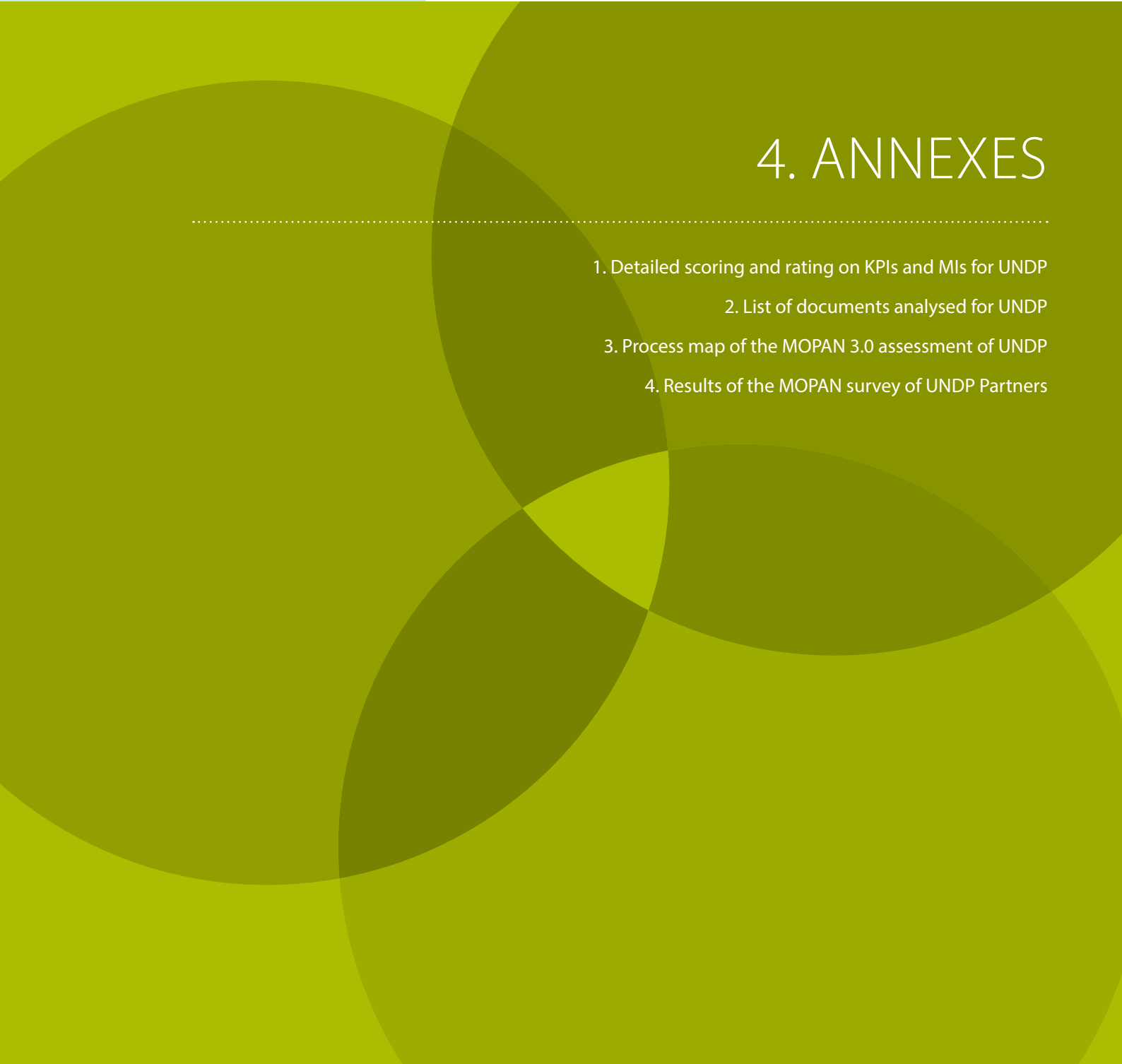## Table 2: Strengths identified in 2016

Strengths
The **strategic plan and organisational architecture are well aligned with its overarching long-term vision**, which in turn draws on its comparative advantages. Recent organisational restructuring aims to ensure that its architecture is congruent with this vision and further reforms are planned.
Capacity for **decentralised decision-making**, with clear and transparent processes in place for approving new projects at the country level.
Top performer in the Aid Transparency Index in both 2014 and 2015.
Commitment to the Busan Partnership principles and the use of and alignment with country systems: all UNDP decisions regarding the use of resources at the country level are based on country demand and principles of national ownership.
Robust organisational systems that are both cost and value-conscious and enable financial transparency and accountability.
A corporate **commitment to results-based management**, including ongoing support to country offices to ensure data quality and implementation of the integrated results and resources framework (IRRF) and quality assurance system.
A **strong independent evaluation unit** with a clear accountability system including tracking of management responses, as well as a strong corporate commitment to addressing under- performance and using evaluation findings to improve performance.

Table 3: Areas identified for improvement and/or attention in 2016

Areas for improvement
The challenge of implementing **ongoing organisational and operational reform**, and maintaining such a broad sectoral and geographical focus in the context of a reduction in core funding. The reduction of core funding accompanied by rising costs creates a picture of uncertainty.
Strengthen procurement capacity at the country office level, noting the findings in recent OAI reports of weaknesses in procurement management (including procurement plans not being prepared), procurement cases not being submitted to the procurement review committees and weak justification for direct contracting.
Strengthen the **systematic analysis of partner (institutional) capacity and cross-cutting issues**, particularly gender, to inform programme design.
Better corporate guidance on the requirements for **developing theories of change and more consistent application to programming**, particularly by making explicit the pathway between the inputs and activities being undertaken to the intended outcomes.
Improve the quality and use of decentralised evaluations, and lesson learning more generally. The quality of decentralised evaluations is somewhat deficient, indicating the lack of reliable data on programme performance. This deprives UNDP of the evidence it needs to make sound resource allocation and programming decisions. The importance of lesson learning from evidence needs to be reinforced.
Improve the efficiency and sustainability of interventions. The limited evidence available suggests that efficiency is mixed at best. Some of UNDP's partners indicating that the current level of UNDP bureaucracy causes delays to the implementation of interventions. Similarly, the limited evidence available indicates there are multiple examples where the benefits from UNDP interventions are unlikely to be sustained, particularly at the country programme level.

4. ANNEXES

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

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

<u>**Scoring**</u>

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

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

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

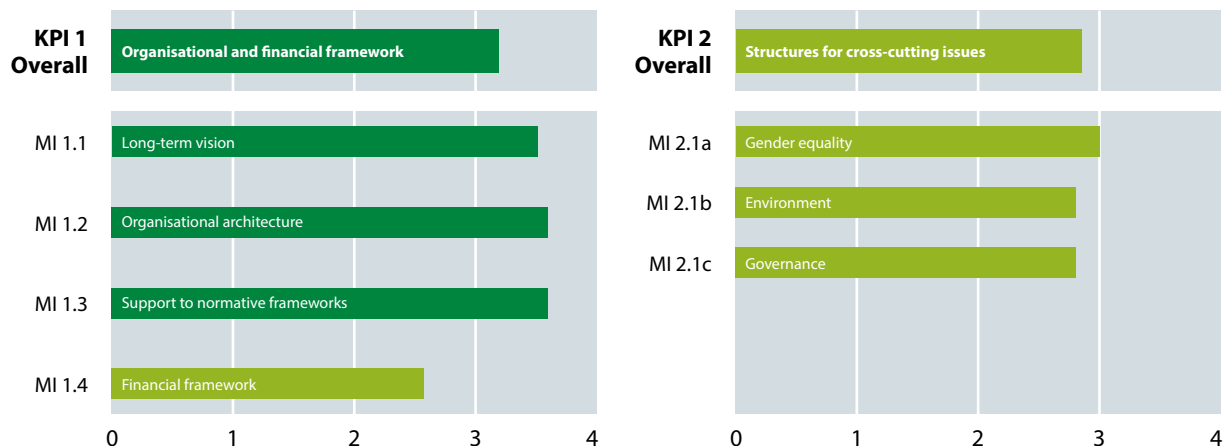| Score per element	Descriptor
0	Not addressed
1	Highly unsatisfactory
2	Unsatisfactory
3	Satisfactory
4	Highly satisfactory

<u>**Rating**</u>

Taking the average of the constituent scores per element, an overall **rating** is then calculated per MI/KPI. The ratings scale applied is as follows:
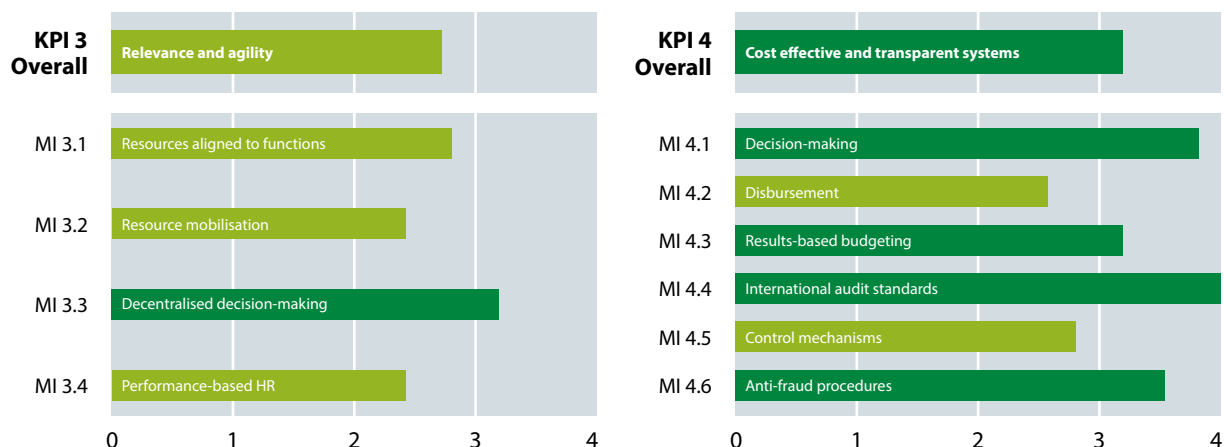
Rating	Descriptor
3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0-1	Highly unsatisfactory

MOPAN scoring summary

PERFORMANCE AREA: STRATEGIC MANAGEMENT

KPI 1 Overall	Organisational and financial framework
MI 1.1	Long-term vision
MI 1.2	Organisational architecture
MI 1.3	Support to normative frameworks
MI 1.4	Financial framework

KPI 2 Overall	Structures for cross-cutting issues
MI 2.1a	Gender equality
MI 2.1b	Environment
MI 2.1c	Governance

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

KPI 3 Overall	Relevance and agility
MI 3.1	Resources aligned to functions
MI 3.2	Resource mobilisation
MI 3.3	Decentralised decision-making
MI 3.4	Performance-based HR

KPI 4 Overall	Cost effective and transparent systems
MI 4.1	Decision-making
MI 4.2	Disbursement
MI 4.3	Results-based budgeting
MI 4.4	International audit standards
MI 4.5	Control mechanisms
MI 4.6	Anti-fraud procedures

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

KPI 5 Overall	Relevance and agility in partnership
MI 5.1	Alignment
MI 5.2	Context analysis
MI 5.3	Capacity analysis
MI 5.4	Risk management
MI 5.5	Design includes cross-cutting
MI 5.6	Design includes sustainability
MI 5.7	Implementation speed

KPI 6 Overall	Partnerships and resources
MI 6.1	Agility
MI 6.2	Comparative advantage
MI 6.3	Country systems
MI 6.4	Synergies
MI 6.5	Partner coordination
MI 6.6	Information sharing
MI 6.7	Accountability to beneficiaries
MI 6.8	Joint assessments
MI 6.9	Knowledge deployment

MOPAN scoring summary

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

KPI 7 Overall — Results Focus

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

Scale: 0 1 2 3 4

KPI 8 Overall — Evidence-based planning

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

Scale: 0 1 2 3 4

PERFORMANCE AREA: RESULTS

KPI 9 Overall — Achievement of results

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

KPI 10 Overall — Relevance to partners

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

KPI 11 Overall — Results delivered efficiently

MI	
MI 11.1	Cost efficiency
MI 11.2	Timeliness

Scale: 0 1 2 3 4

KPI 12 Overall — Sustainability of results

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

Scale: 0 1 2 3 4

SCORING COLOUR CODES

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

Performance Area: Strategic Management

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

KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results			
Overall KPI Score	3.33	**Overall KPI Rating**	**Highly Satisfactory**

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

Element	Score	Narrative	Source Documents
Element 1: The Strategic Plan (or equivalent) contains a long term vision	4	UNDP's Strategic Plan and intended results are based on a long term vision and analysis of comparative advantage. The Strategic Plan includes an integrated results and resources framework (IRRF), which identifies 7 development outcomes that it will work towards and 3 substantive areas of work that will assist it to deliver on its development outcomes. UNDP has a clear understanding of its relative strengths, which include a strong operational capability, a proven ability to influence policy and build capacity, a role as an effective thought leader and advocate that can integrate economic, social, environmental and governance issues, and an ability to connect and advance learning, knowledge, expertise and experiences across regions. It has drawn on this understanding to guide the choices it has made in terms of programmatic focus and areas of work. Its global, regional, country and thematic programmes are aligned with and contribute results to the overarching vision of UNDP's Strategic Plan. The Strategic Plan is reviewed regularly.	1, 3, 7, 9, 10, 11, 13, 15, 28, 31, 40, 41, 42, 45, 46, 48, 51, 53, 60
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	4		
Element 3: A strategic plan operationalises the vision, including defining intended results	3		
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	3		
Overall Score:	3.5	It is noted (from interviews) that there is also a view that UNDP's mandate is too wide which may potentially dilute its niche.	
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: The organisational architecture is congruent with the strategic plan	4	The organisational architecture is congruent with a clear long term vision and associated operating model. UNDP has implemented a corporate restructuring to align its organisational architecture with its vision and outcomes under its new Strategic Plan. The restructuring offers a more flexible multidisciplinary, issues-based development solutions approach to the provision of policy and programme support and a higher proportion of staff and resources directed to regional and country programmes, with headquarters personnel and costs now 30% lower than prior to the restructure. A strengthened regional presence means that country offices now have readier access to tailored, integrated country and programme support services and can be increasingly responsive to the needs of their partner governments. This was confirmed through interviews.	1, 3, 11, 13, 24, 26, 28, 31, 42, 45, 46, 47, 48, 51, 60, 73
Element 2: The operating model supports implementation of the strategic plan	4		
Element 3: The operating model is reviewed regularly to ensure continued relevance	4	The organisation of UNDP policy services is shifting from one based on a relatively rigid practice based architecture to one focused on more flexible multidisciplinary, issues-based development solutions teams. This is an ongoing journey.	
Element 4: The operating model allows for strong cooperation across the organisation and with other agencies	3	Ongoing reform is anticipated, including regional and global clustering of operations functions, which is expected to be a major source of further economies and efficiencies.	
Element 5: The operating model clearly delineates responsibilities for results	3	Survey respondents differ in their views on whether UNDP's interventions are based on a clear understanding of its comparative advantage. Even though a majority rate its performance on this point as excellent, very good or fairly good, a not insignificant number rate it as fairly poor, very poor or extremely poor. It was also noted in an interview that the "jury is still out on the reform process". A draft evaluation of the Reform process is due in September 2016.	
Overall Score:	3.6		
Overall Rating	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: The strategic plan is aligned to wider normative frameworks and associated results	4	There is strong corporate commitment to wider normative frameworks and results. For example, UNDP's Strategic Plan clearly outlines how it will contribute to the priorities of the Quadrennial Comprehensive Policy Review (QCPR). Its interventions are strongly guided by global frameworks including Rio+20, the MDGs and the post-2015 development agenda as well as the High-level Committee on South-South Cooperation. Another example is UNDP's role in piloting SDG projects relating to Goal 16.	1, 3, 7, 9, 10, 13, 14, 33, 42, 45, 46, 48, 50, 51
Element 2: The strategic plan includes clear results for normative frameworks	3		
Element 3: A system to track results is in place and being applied	4	The Strategic Plan directly references poverty eradication, resilience, gender equality, sustainable development and transitions from relief to development. In addition, the integrated results and resources framework (IRRF) provides clear results for the global frameworks mentioned above, and others.	
Element 4: Clear accountability is established for achievement of normative results	3		
Element 5: Progress on implementation on an aggregated level is published at least annually	4	UNDP's Accountability system: accountability framework and oversight policy sets out clear lines of responsibility for accountability purposes. The Executive Board Session publishes an annual update against the QCPR.	
Overall Score:	3.6		
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	2	Funding is a critical issue for UNDP. In 2014-15, regular resources met only 85.5 % of the target, at USD 1.5 billion versus USD 1.75 billion. Midterm reviews of both the Strategic Plan and the institutional component of the integrated budget were completed in June 2016. The reviews found that, while UNDP's financial position appears to be relatively secure in the short term, the total of regular (core) resources available to UNDP declined from USD 896 million in 2013 to USD 793 million in 2014 and again to USD 704 million in 2015.	1, 2, 8, 11, 24, 25, 26, 27, 28, 31, 42, 43, 45, 46, 48, 51, 52, 69, 74
Element 2: A single integrated budgetary framework ensures transparency	3	Reductions in regular resources have been applied proportionally to the programmatic and institutional components of the 2014-17 budget as a whole. Reductions within the programmatic and institutional components of the budget have not been consistently applied. For example, within the programmatic component the amounts of regular resources distributed to programme countries through TRAC-1 (regular programme resources for an individual programme country) and TRAC-3 (crisis response) were maintained. However, protecting these programmatic lines resulted in sharp reductions to TRAC-2 (flexible	
Element 3: The financial framework is reviewed regularly by the governing bodies	4	resources for high impact, high-leverage and high-quality programme activities) and other budget lines including regional and global programmes and gender mainstreaming. For the institutional component, resource allocations for United Nations co-ordination activities have been maintained, while allocations for oversight functions (including the Office of Audit and Investigations, the Independent Evaluation Office, and the Ethics Office) faced relatively lower reductions. As such, the institutional budget for all other areas was significantly reduced, in particular management activities. In fact, the current budget contains the largest reduction of the regular resources allocation to management activities in recent UNDP history.	
Element 4: Funding windows or other incentives are in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	2	A continuing decline in core resources will constrain the ability of UNDP to ensure effectiveness and make strategic investment decisions. While UNDP continues to do more with less, there is a limit to the extent of further efficiencies	

Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	2	that can be achieved. The ECOSOC, in its Resolution 2015/15 on progress in implementation of General Assembly resolution 67/226, stressed the need to avoid using core/regular resources to subsidise non-core/extra budgetary financed activities and reaffirmed that the guiding principle governing the financing of all non-programme costs should be based on full cost recovery, proportionally, from core and non-core funding sources. In this respect the AAC (Audit Advisory Committee) has noted that UNDP's core funding is continuing to go down, and has expressed concern with the impact of such reductions.
Overall Score:	2.6	
Overall Rating:	Satisfactory	High confidence

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels			
Overall KPI Rating	2.83	**Overall KPI**	**Satisfactory**

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

   a) *Gender equality and the empowerment of women*

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	3	UNDP has structures and mechanisms in place for gender equality and the empowerment of women. Under its Strategic Plan 2014-17, UNDP has an outcome dedicated to advancing gender equality and women's empowerment, while gender equality is integrated into the six other outcomes, and in the corresponding targets and indicators of the Integrated Results and Resources Framework (IRRF). The gender equality strategy includes an accountability framework and UNDP reports sex-disaggregated data. The results-oriented annual report (ROAR) system now integrates gender development results and institutional results on gender equality.	1, 2, 3, 4, 9, 10, 13, 17, 18, 24, 33, 38, 43, 45, 46, 47, 50, 51, 60, 75, 76
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	3	A 'gender marker' rates projects on a four-point scale to indicate the degree to which a project has contributed to the achievement of gender equality and women's empowerment. In 2015, 35% of UNDP expenditure made either a significant or principal contribution to gender equality, a slight increase from 34% in 2014.	
Element 4: Gender screening checklists or similar tools used for all new intervention	3	In 2015, 67% of country offices (90) had multidisciplinary gender focal teams led by senior management with written terms of reference, an increase from 45% of country offices in 2014. Out of 28 country programme documents, 24 include specific measures to address gender inequalities and 27 have sex disaggregated	

		indicators.
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	3	Investments have also been made in gender capacity development and 48 country offices have signed up to the Gender Equality Seal Certification which is a certification standard that recognises performance against a set of benchmarks. In 2009, a mapping of all projects and how they approached gender was undertaken. It was remarked that only one third took gender as their main objective. In 2015 by using the gender marker it was noticed that two thirds of projects are mainstreaming gender. This progress is supported by new guidance, indicators and assessment guidelines (Interview data).
Element 6: Capacity development of staff on gender is underway, or has been conducted	3	
Overall Score	3.0	However, despite a marked improvement in the UNDP approach to and implementation of policies to address gender mainstreaming, the influence on programming has been uneven. Further refinements to the gender marker and the ROAR, as well as tools and process to support monitoring and evaluation, are required if UNDP is to increase the quality of its gender interventions, reporting and the assessment of its contributions.
Overall Rating:	Satisfactory	High confidence

b) Environmental Sustainability and Climate Change

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	4	UNDP has structures and mechanisms in place for improving environmental sustainability and climate change. There is a clearly articulated vision, linked to a policy statement, and there is a mandatory Social and Environmental Standards (SES) for all UNDP projects and programmes which is aimed at strengthening environmental outcomes of UNDP projects and avoiding adverse impacts to people and the environment affected by UNDP projects.

Furthermore, as co-chair of the UNDG Sustainable Development Working Group, UNDP is contributing to plans to aid mainstreaming of the environmental dimensions of the Post 2015 agenda, and through the UNDG Programming Working Group, UNDP will continue to support the updating and revisions of guidelines on mainstreaming environment into the UNDAF.

However, there is some evidence that environmental sustainability and climate change is not as well embedded as some of the other cross-cutting issues. 30% of survey respondents had either heard of the UNDP Climate Change strategy but knew little about it, or had never heard about it, which would indicate that it is not widely considered by partners. The SES is in its early stages and in past years compliance had been low. That said, it is now mandatory and it is likely compliance levels will improve.

Interview data purports that all projects must be screened within the year and it is recognised that this is a big change for the organisation. There will be a detailed review of SES in 2017 which is assumed to include an assessment of staff capacity and resources. While the Organisational Effectiveness and Efficiency Performance Scorecard includes indicators relating to climate change and environmental sustainability as well as institutional capacity building for delivering basic services there is limited evidence of available human and financial resources. | 1, 3, 4, 9, 10, 13, 16, 18, 37, 38, 42, 44 |
Element 2: Environmental sustainability and climate change indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	4		
Element 4: Environmental screening checklists or similar tools used for all new intervention	2		
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	2		
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has been conducted	2		
Overall Score:	2.83		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on good governance available and showing evidence of use	4	Governance is at the core of much of UNDP's work and *stronger systems of democratic governance* is one of 7 outcomes of the Strategic Plan. UNDP works at multiple levels to improve governance, from large-scale changes to specific challenges such as reforming constitutions, organizing credible elections or strengthening parliaments and there is evidence that UNDP uses its interventions in democratic governance to promote other cross-cutting issues, including advancing women's legal rights and empowerment and strengthening their access to justice, and disaster risk reduction.

UNDP is playing an important role piloting SDG projects relating to Goal 16, concerning the promotion of peaceful and inclusive societies, access to justice, and the importance of effective, accountable and inclusive institutions; and the current strategy includes as key outcomes both conflict prevention and early recovery.

The 2014-15 Update on UNDP Progress in the Implementation of QCPR Mandates has an indicator for a common approach and framework that would measure progress in capacity development. To date a team has been set up to develop the approach.

The IRRF, specifically the section on Organisational Effectiveness and Efficiency, includes a target for improved accountability of results in the area of governance (percentage of partners perceiving UNDP as an effective contributor in democratic governance). However, at variance with cross-cutting issues such as gender equality and environmental sustainability, there are no specific performance indicators in the IRRF that relate to governance from a management perspective (such as the percentage of expenditure with a significant governance component). This is consistent with UNDP's view that, while governance is central to the objectives of the strategic plan, it is not considered to be a cross-cutting issue. | 1, 3, 9, 10, 13, 15, 17, 18, 42, 50, 70, 71 |
Element 2: Good governance indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect good governance indicators and targets	2		
Element 4: Good governance screening checklists or similar tools used for all new intervention	2		
Element 5: Human and financial resources (exceeding benchmarks) are available to address good governance issues	3		
Element 6: Capacity development of staff on good governance is underway or has been conducted	2		
Overall Score:	2.83		
Overall Rating:	Satisfactory		High confidence

Performance Area: Operational Management

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

KPI 3: Operating model and human/financial resources support relevance and agility			
Overall KPI Rating	**2.7**	**Overall KPI**	**Satisfactory**

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

Element	Score	Narrative	Source Documents
Element 1: Organisational structure is aligned with, or being reorganised to fit the requirements of, the current Strategic Plan	3	Organisational structures and staffing are designed to ensure that human and financial resources are aligned and adjusted to key functions. The IRRF enables UNDP to strategically assess the relationship between planned and spent resources as well as the achievement of results. This information is used at country, regional and global levels.	1, 2, 3, 6, 8, 9, 10, 11, 12, 13, 14, 17, 19, 20, 21, 24, 26, 28, 29, 30, 31, 32, 33, 36, 37, 39, 40, 42, 45, 46, 47, 51, 54, 60, 69, 73, 75, 78
Element 2: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan	3	The shift from a practice-based architecture to a multidisciplinary issues-based approach is expected to improve UNDP's effectiveness to deliver outcomes against its strategic plan. The decentralised nature of the organisation is a major strength; it allows UNDP the flexibility to adapt to different contexts and greater national ownership of programmes.	
Element 3: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	2	A workforce plan with clear actions to address capacity in the critical technical areas required by the Strategic Plan is being developed, and is expected to lay the foundation for an on-going business intelligence function that regularly updates workforce analytics, identifies organisation-wide capacity needs, and gaps, and	

		plans for the workforce UNDP requires.	
Element 4: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	3	While the review and reorganisation of headquarters is largely complete, the review of country offices is taking place in 2016. The AAC has advised management to clearly articulate the management policies/framework underlying decentralisation during this process.	
Overall Score:	2.75	Concerns have been raised about a lack of sufficient procurement capacity in field offices, including weaknesses in procurement management (including procurement plans not being prepared), procurement cases not being submitted to the procurement review committees and weak justification for direct contracting. Some concerns were expressed from survey respondents about a squeeze on staff numbers affecting the quality of work.	
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan	2	Resource mobilisation efforts are consistent with the core mandate and strategic priorities. The resource mobilisation plan which focuses on mobilizing a "critical mass" of resources to protect core revenue and reverse its downward trend, while increasing the proportion of minimally earmarked UNDP funding, adopting a more coordinated approach to mobilizing non-core resources for policy and programme activities diversifying the resource base, drawing funds not only from a wider range of governments but also from beyond governments. Resource mobilisation actions and strategies are not just being implemented at headquarters but are being drawn up, and implemented, at country and regional offices.	1, 7, 8, 9, 10, 18, 21, 23, 24, 26, 27, 33, 38, 42, 43, 44, 45, 46, 51, 52, 53, 69
Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	3	The Annual Report sets out a Resource Mobilisation Action Plan which was adopted in early 2015 which has facilitated a more focused and coordinated resource mobilisation effort across the organisation.	
Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities	2	The Status of Regular Funding Commitments to the UNDP session of the Executive Board urged Member States to announce and adhere to multi-year pledges and payment schedules and to do so in a sustainable and predictable manner. The resource mobilisation strategies include clear targets and priorities which are relevant to national contexts. In addition, it has recently rolled out the '100 Partners' campaign. Through this campaign it is working with its partners to diversify its funding base, by increasing contributions from existing partners and increasing the number of contributors to regular resources, which can succeed only with the full support of Member States. Despite the campaign, the Annual Report notes that number of contributions to regular resources declined from 56 to 51 between 2014 and 2015.	
Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/relevant country plan	2	The IRRF and 2015 results report sets out under Organisational Efficiency and Effectiveness, 2.1 (UNDP is an efficiency and cost conscious organisation) clear targets for various areas including: procurement efficiency (including cost-sharing agreements), then in 7.2 (UNDP is recognised as a development partner of choice by its	

Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	3	partners), the total of regional resources and other resources are set out including the trend. From the interviews with country programme staff there was a clear shift towards raising funds and partnering with the private sector.
Overall Score:	2.4	
Overall Rating:	Satisfactory	High confidence

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

Element	Score	Narrative	Source Documents
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	4	Programming decisions are responsive to need and increasingly made at a decentralised level where a policy exists which describes the delegation of decision making authorities and there is evidence, as noted by country office interviews, that this delegated authority is being taken up by country offices.	2, 11, 20, 24, 31, 42, 51
Element 2: *(If the first criterion is met)* The policy/guidelines or other documents provide evidence of a sufficient level of decision making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	3	Delegated authority is clear in terms of spending and resource mobilisation. Furthermore country offices are accountable for delivery of results and resource mobilisation. An Engagement Facility provides a rapid and flexible response mechanism to support upstream policy results and test innovations with scaling-up potential in support of results identified in the Country Programme Document. The funding constituting, and use of the funds from, the Engagement Facility is within the authority of the Resident Representative for the Country Office and further to the terms of this policy.	
Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate	3	UNDP convenes a local Project Appraisal Committee (PAC) at each country office and at appropriate headquarters units to appraise proposed projects. The PAC members will make recommendations to the UNDP official with delegated authority to decide whether a proposed project should be approved or rejected. In most cases, the official with delegated authority will be the resident representative.	
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	3	UNDP has a clear and transparent process in place for approving new projects at the country level; in most cases the official with delegated authority will be the resident representative.	
Overall Score:	3.25	As part of the continued improvements in UNDP's management services, UNDP will update its Delegation of Authority to reflect all changes as of 2015.	
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	3	HR systems and policies are performance based and geared to the achievement of results. A performance management and development (PMD) system is in place, and aims to build a strong organisational culture of performance while also encouraging staff to take responsibility for the achievement of UNDP's vision and attainment of results. That said, the PMD is not directly linked to career progression or organisational results. It was noted in interviews that the current system does not provide financial incentives for good performance. An audit of the performance system in 2014 identified that a low rate of performance plans were in place in selected country offices. Since that time, UNDP has been working to increase compliance with the performance management process, and is currently drafting a new PMD strategy which is due to come into effect in 2017.	13, 18, 26, 34, 35, 40, 44, 75
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	2		
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	3		
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions etc	2		
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	2		
Overall Score:	2.4		
Overall Rating:	Satisfactory		High confidence

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability			
Overall KPI Rating	**3.31**	**Overall KPI**	**Highly Satisfactory**

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

Element	Score	Narrative	Source Documents
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	4	Regular resource allocations for country-level programme activities are made within the framework of targets for resource assignments from the core (known as 'TRACs'). In this three-tiered system, TRAC-1 refers to the annual level of regular programme resources for an individual programme country, which are allocated according to eligibility and other criteria approved by the Executive Board. TRAC-2 provides UNDP with the flexibility to allocate regular resources to high impact, high-leverage and high-quality programme activities. TRAC-1 and TRAC-2 resources are linked in a combined pool, while TRAC-3 resources are made available through a separate pool, focused on quick, flexible responses to the development needs of countries affected by conflicts or natural disasters.	1, 2, 3, 7, 8, 9, 10, 11, 13, 17, 18, 20, 21, 24, 33, 38, 42, 45, 46, 48, 51, 52, 69, 74
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan	3		
Element 3: The organisational policy or statement is regularly reviewed and updated	4	UNDP is implementing the Executive Board decision to implement new cost recovery rates which will improve the transparency and consistency of development project costing, thereby addressing a long-standing concern that core resources may have been unduly subsidising non-core activities.	
Element 4: The organisational statement or policy is publicly available	4	In both 2014 and 2015, UNDP was considered the most transparent development agency in the world, ranked first out of 68 major institutions in the Aid Transparency Index.	
Overall Score:	3.75		
Overall Rating:	Highly Satisfactory		High confidence

MI 4.2: Allocated resources disbursed as planned

Element	Score	Narrative	Source Documents
Element 1: The institution sets clear targets for disbursement to partners	3	There is mixed evidence on the extent to which allocated aid resources are disbursed as planned. Although averages disbursement rates are high they can mask large country differences as well as differences in types of activities. Improvements in utilisation rates as a result of budget reductions does not address the issue of slow pace of project implementation, which will ultimately delay completion and closure of projects and affect the ability of UNDP to achieve the desired objectives and outcomes.	26, 51, 52, 53, 74
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	2		
Element 3 Clear explanations are available in relation to any variances	3	The disbursement ratio is currently not included in the Organisational Scorecard.

The letter from the Advisory Committee on Administrative and Budgetary Questions on the midterm review of the UNDP integrated budget for 2014-17 sets out clear explanations in relation to variances. | |
Element 4: Variances relate to external factors rather than internal procedural blockages	2		
Overall Score:	2.5		
Overall Rating:	Satisfactory		Medium confidence

MI 4.3: Principles of results based budgeting applied

Element	Score	Narrative	Source Documents
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	4	The 2014-17 Integrated Budget covers the same four year period as the strategic plan and links to the strategic plan results and resource framework. There is clear corporate commitment, and practice, towards the principles of results-based budgeting as evidenced through the implementation of an integrated results and resources framework, which will allow UNDP to strategically assess the relationship between resources (planned and actually spent) and results (expected and actually achieved). This will facilitate the process of continuous realignment of institutional capacities required to help programme countries achieve development results within the remit of the strategic plan. The system tracks costs from activity through to output (through the IRRF). The Executive Board Funding Dialogue presentation of January 2015 provides evidence of UNDP's effort towards tracking resources by the seven outcomes of the Strategic Plan. UNDP is implementing the Executive Board decision to harmonise cost classifications and implement new cost recovery rates which will improve the transparency and consistency of development project costing.	3, 24, 40, 43, 45, 46
Element 2: A budget document is available which provides clear costings for the achievement of each management result	3		
Element 3: Systems are available and used to track costs from activity through to result (outcome)	3		
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)	3		
Overall Score:	3.25		
Overall Rating:	Highly Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: External audit conducted which complies with international standards	4	The audit of UNDP activities is carried out by external and/or internal auditors. External audit is fulfilled by the UN Board of Auditors. The Board's report on UNDP's financial statements is a public document. It is presented to the General Assembly through the Fifth Committee and also to UNDP's Executive Board.	11, 26, 28, 30, 31, 53, 77
Element 2: Most recent external audit confirms compliance with international standards across functions	4	Internal audit in UNDP adheres to the International Standards for the Professional Practice of Internal Auditing [IPSAS], promulgated by the Institute of Internal Auditors (IIA). Quality assurance is undertaken through independent periodic peer reviews consistent with the professional standards and practices of the Institute of Internal Auditors to assess the OAI mandate, structure, activities and resources against best practices in the internal audit industry.	
Element 3: Management response is available to external audit	4		
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	4	The Audit Advisory Committee (AAC) oversees the work of OAI and is composed entirely of members who are external to UNDP, and are therefore independent from UNDP and its administration and management.	
Element 5: Internal audit functions meet international standards, including for independence	4	Of the 116 reports issued by OAI in 2015, 20 reports had a 'satisfactory' rating, while 7 reports had an 'unsatisfactory' rating. The distribution of audit ratings in 2015 is comparable to that in 2013 and 2014.	
Element 6: Internal audit reports are publicly available	4		
Overall Score:	4	UNDP provides a management response as evidenced by the Management Response to the OAI and AAC annual reports for 2014. The management response includes an action plan for how they are going to address gaps or weaknesses.	
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	3	The evidence indicates that issues raised from internal control mechanisms are, overall, addressed in a satisfactory manner and systems are continuously being strengthened.

Pursuant to Executive Board decision 2014/8 requesting UNDP to continue to strengthen internal controls and improve oversight and monitoring of country offices, new quality standards for programming with quality assurance (QA) rating tools for programmes and projects have been approved and are now part of corporate policy. The new quality assurance tools are evidence-based and prompt management decisions for course correction to improve programming quality. There is evidence that immediate action is being taken following recommendations raised in audit reports.

All internal audit reports are available online and verify the guidelines in place for staff and management. Audit recommendations are tracked on a continuous basis through an online system called CARDS (Comprehensive Audit Report and Recommendations Database System) and are expected to be implemented within 18 months. Senior Management holds meetings with OAI twice a year to address long outstanding audit recommendations.

OAI has rated the adequacy and effectiveness of the UNDP framework of governance, risk management and control in 2015 as 'partially satisfactory'. This indicates that while policies, procedures and systems were generally established and functioning, they need improvement. However, it should also be noted that while a small number of audit recommendations have been outstanding for more than 18 months, an implementation rate of 85% of audit recommendations in 2015 is consistent with the target set in the IRRF and demonstrates that, broadly, UNDP takes appropriate and timely action when improvements in governance, risk management and control are necessary. | 11, 12, 26, 28, 30, 31, 38, 53, 72, 77 |
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	3		
Element 3: Clear guidelines are available for staff on reporting any issues identified	2		
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	3		
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	3		
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting	3		
Overall Score:	2.83		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	4	UNDP has undertaken several management initiatives to further strengthen its accountability and transparency within the context of its decentralised structure, and has zero tolerance for fraud and corruption. It has a long-standing commitment to transparency, and has a number of policies and procedures in place to prevent and detect fraud, as well as reporting on matters of fraud and corruption. The risk of fraud and corruption is assessed and managed in accordance with UNDP's Enterprise Risk Management Framework. Managers shall identify and assess the risks in their programme or project areas, including the risk of fraud and corruption, and apply mitigating measures, taking due account of the level of risk involved. An independent 'hotline', has been established managed by an independent service provider, for potential cases of fraud to be reported. Training was carried out in relation to accountability. A general consensus in interviews that 'COs are held accountable'. In 2014 UNDP reported 27 cases of fraud, or presumptive fraud, to the Executive Board with a total value of USD 3.35 million, indicating that while internal policies are in place, instances of fraud still occur. Complaints relating to financial irregularities (procurement fraud, theft and embezzlement, misuse of UNDP resources and entitlements fraud) continued to be the largest category of cases examined by OAI, constituting 61% of the total number of cases handled by OAI in 2015, an increase from 2014 (55%). Africa is the region from which OAI received the most complaints in 2015 (120 cases), followed by Asia and the Pacific (98 cases).	5, 8, 11, 12, 18, 20, 26, 28, 30, 31, 38, 39, 44, 45, 51, 53, 77
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	4		
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	3		
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	3		
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and "whistle-blower" protection policy)	3		
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	4		
Overall Score:	3.5		
Overall Rating:	Highly satisfactory		High confidence

Performance Area: Relationship Management

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

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)			
Overall KPI Rating	**2.85**	**Overall KPI**	**Satisfactory**

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

Element	Score	Narrative	Source Documents
Element 1 : Reviewed country or regional strategies make reference to national/regional strategies or objectives	4	The document review, interviews and survey all point to strong alignment with national and regional priorities and intended national / regional results. Through key strategic documents, including regional and country programme documents, UNDP conveys a clear intent to promote national ownership of its interventions and to work in collaboration with partner governments. Interviews with country office staff indicated a high degree of alignment with national priorities and results. One of the basic principles of supporting capacity development within UNDP is to make the concept of national ownership tangible. The UNDAF (UN Development Assistance Framework) structure, on which UNDP programming is founded, promotes national ownership that is inclusive of all stakeholders in all stages of the process, and promotes alignment with national development priorities, strategies, systems and programming cycles. As such, 65% of DaO [Delivering as One] governments, as opposed to 46% of non-DaO countries, 'strongly agree' that the UNDAF has enabled the government to ensure that the UN activities are closely aligned with their national plans and strategies.	1, 3, 4, 8, 9, 10, 11, 13, 17, 18, 25, 33, 36, 41, 45, 51, 53, 69
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	2		
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	3		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	4	The evidence indicates that contextual analysis is a critical component of UNDP planning and programming, and the results are used to shape intervention designs and implementation.	1, 3, 4, 5, 7, 9, 10, 17, 18, 31, 36, 38, 39, 45, 51
Element 2: Context statement has been developed jointly with partners	2	Country analysis is guided by national priorities and the UNDP guidance requires participation of partners. Human rights based approach, gender equality, environmental sustainability, results based management and capacity development, are all required to guide the analysis.	
Element 3: Context analysis contains reference to gender issues, where relevant	3		
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	3	A sample of regional strategies and country programme documents show that programming is based on a comprehensive situation analysis, and there is a corporate focus on continually improving UNDP's understanding of the development context.	
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	3	Of the strategies reviewed, all contain some reference to gender issues and governance issues such as conflict, where relevant. They mostly contain reference to environmental sustainability and climate change.	
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	3	In the case of joint programming and cost sharing, partners are expected to be involved in the Social and Environmental Screening (SES) process which factors in environment, climate change and gender. The SES is in the process of being rolled out.	
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	3	Internal mechanisms/tools (national implementation manual) are in place to guide a capacity assessment of potential project partners and a selection of country programme documents demonstrates an intention to build the capacity of local counterparts. Capacity analysis includes assessment of technical, managerial, administrative and financial capacity of implementing partners. UNDP co-ordinate and support the CAP-Scan (capacity scan) process which is a diagnostic review and allows countries to conduct assessments that provide a clear view of strengths and capacity gaps, develop actions to address resource needs and target donor support. Most survey respondents noted that interventions based on realistic assessments of national/regional capacities were very/fairly good and the majority noted that action to build capacity in countries with weaker systems is very/fairly good. There are, however, concerns over the extent to which capacity assessments are actually used to inform programme design, with little evidence from independent evaluations that the approach outlined in the Strategic Plan and UNDP guidance has been systematically implemented across most of UNDP's work. The Board has expressed concern that in the absence of proper implementing partner assessment, management may not be able to detect and correct project shortcomings in a timely manner and, as a result, completion of project activities could be at risk.	1, 3, 4, 7, 10, 13, 14, 17, 20, 22, 26, 29, 31, 32, 33, 37, 41, 45, 51, 53
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	2		
Element 3: Capacity analysis statement has been developed jointly, where feasible	3		
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	3		
Element 5: Evidence of regular, and resourced, reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	2		
Overall Score:	2.6		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Intervention designs include detailed analysis of, and mitigation strategies for, operational risk	3	At the corporate level, the main body tasked with analysing and reporting the overall risk profile of UNDP is the Risk Committee. The Risk Committee is a subcommittee of the Executive Group (EG) and reports to the EG on a quarterly basis and all UNDP offices are required to include risk reporting in their Integrated Work Plan (IWP).	1, 10, 11, 12, 17, 20, 26, 28, 29, 30, 31, 36, 37, 38, 44, 45, 51, 69, 78
Element 2: Intervention designs include detailed analysis of, and mitigation strategies for, strategic risk	3	Enterprise-wide risk management [ERM] is a central component of UNDP's accountability framework and is used to guide decision-making. There is evidence that tools and mechanisms are in place to support effective risk management in UNDP. However, it is noted that an internal audit of the ERM in 2014 'highlighted the need to strengthen the organisation's risk management cycle at all levels, and redesign its risk management policy, tools and practices in line with lessons learned, best practices and the changing business model of UNDP'.	
Element 3: Intervention designs include detailed analysis of, and mitigation strategies for, political risk	3	From its 2014 audit sample, OAI [Office of Audit and Investigations] noted that some specific needs expressed by the offices and projects were not sufficiently covered in the available training on ERM (e.g., potential legal risks and project related risk management) and furthermore there has been a decrease in the completion rate of ERM training over the last several years: 2008 (473 individuals), 2009 (221), 2010 (159), 2011 (62), 2012 (48), and 2013 (17).	
Element 4: Intervention designs include detailed analysis of, and mitigation strategies for, reputational risk	3	UNDP has taken OAI's recommendations seriously and has invested significant resources to upgrade its capacity to assess, monitor and respond to programmatic and operational level risk. This process culminated in the release of a new ERM policy in January 2016, which was commended by the AAC. There is also evidence of an increasing awareness of risk management in UNDP, with risk entries recorded by country offices and headquarters increasing from 179 in	
Element 5: Risks are routinely monitored and reflected upon by the partnership	3		

		2012 to 895 in 2015.	
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	3	While the AAC recognises that UNDP manages risks on its ongoing operations, given the size and complexity of the organisation, it suggested that UNDP consider appointing a Corporate Chief Risk Officer in the Executive Office. UNDP has taken note of this recommendation and will consider the possibility of implementing this suggestion in light of the ongoing structural change process and financial constraints.	
Overall Score:	3		
Overall Rating:	Satisfactory	An assessment of risks and analysis of risk management plans as well as risk management and social and environmental standards forms part of the ongoing monitoring as articulated in the PPM Policies and Procedures. Whether these are shared with the partners is not stated.	High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Intervention design documentation includes the requirement to analyse cross cutting issues	4	The evidence indicates a clear corporate commitment to the analysis and integration of cross-cutting issues into intervention designs, including for regional strategies and country programme documents; it is mandatory for these major cross-cutting priorities to be reflected in all of UNDP's development work.	1, 3, 9, 10, 13, 14, 17, 18, 20, 36, 39, 45, 51, 71, 75
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	4	The Programme Quality Assurance Assessment Design and Appraisal process rates programme quality looking at a number of criteria including: extent to which the programme has considered gender equality and women's empowerment, the application of human rights based approaches and potential environmental impacts. It is the intention that monitoring and evaluation of all programmes include attention to cross cutting issues and the extent to which this is done is assessed through a quality assurance process.	
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	3	The survey respondents noted that the promotion of gender equality varied from excellent to fairly good, the promotion of environmental sustainability was very and fairly good and the promotion of good governance from excellent to fairly good.	
Element 4: Intervention designs include the analysis of gender issues	2	However, it is noted that a report on UNDP's gender equality strategy in 2015 identified the need for improved gender analysis, including dedicated resources for gender analysis at the design and evaluation phase of programming. Furthermore, there are concerns that gender mainstreaming remains uneven and ad hoc across UNDP interventions, with capacity for implementation inconsistent and particularly weak at the field level.	
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	2	The qualitative feedback from survey respondents was both a mixture of critical and complementary which suggests that more work is to be done on incorporating cross-cutting issues into Programme implementation.	
Element 6: Intervention designs include the analysis of good governance issues	2	Since the UNDP Social and Environmental Standards were introduced in 2015,	

Element 7: Plans for intervention monitoring and evaluation include attention to cross cutting issues	3	they have become an integral component of quality programming and risk management. The standards are underpinned by an accountability mechanism, with compliance and grievance functions. UNDP expects the standards to further enhance programme performance and will monitor their impact on development results going forward.	
Overall Score:	2.86		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	3	The available evidence indicates a corporate commitment to sustainability, with a particular intention of engaging citizens and other important stakeholders on sustainability issues. The new quality standards for programming include a criterion on sustainability and national ownership. The policy requires that sustainability of results be considered through tracking capacity indicators and the implementation of transition plans (i.e. exit strategies) and scale-up plans. The policy is published in the POPP (Programme and Operations Policies and Procedures) and data will be collected on all projects for the first time in 2016. UNDP sets clear standards around analysis of the enabling environment. While the evidence points to a dearth of exit strategies, UNDP has become much stronger on contextual analysis, which in turn will have implications for the unpicking the assumptions for change and thereby addressing sustainability challenges. However, to date there is little evidence of sustainability from UNDP interventions, with a lack of clear exit strategies identified in a number of evaluations (see KPI 12).	1, 20, 42, 51, 71, 72
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	3		
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	2		
Element 4: Where shifts in policy and legislation will be required, these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner	2		
Overall Score:	2.5		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Internal standards are set to track the speed of implementation	3	The process of continual assessment and learning as facilitated by the integrated monitoring will help UNDP to track the implementation of programme (speed and results). In terms of benchmarking UNDP's relative performance, several ADRs (Assessment of Development Results) noted that national governments perceive UNDP systems to be more efficient and/or flexible, relative to their own. On the other hand, two of the ADRs noted that the perceived inefficiency of UNDP is leading donors to seriously question its role in management of basket funds. The evidence indicates that mechanisms are in place which allows resources to be deployed at short notice in response to crises. TRAC-3 provides UNDP with the capacity to respond quickly and flexibly to the needs of countries affected by conflict and natural disasters. For example, there is evidence that UNDP has significantly boosted its readiness and agility to respond to crises, including the Ebola outbreak in West Africa, the earthquake in Nepal and the humanitarian crisis in Syria. At the same time there is some evidence that procedural delays hinder the speed of implementation. This is particularly the case for country programmes delivered in fragile states, where the poor security situation has made programme implementation highly costly. However, there is a corporate recognition that UNDP's organisational configuration will need to become more dynamic and flexible to respond to new development challenges, and that UNDP needs to improve its people management capabilities, including speedier recruitment and initiation programmes that support staff to become effective more quickly. This will be facilitated by the increasing shift towards delegated authority.	1, 3, 20, 24, 25, 31, 42, 45, 46, 51
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation, across different operating contexts	3		
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	3		
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified, and actions taken leading to an improvement	3		
Overall Score:	3		
Overall Rating:	Satisfactory		Medium confidence

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

Overall KPI Rating	2.97	Overall KPI	Satisfactory

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

Element	Score	Narrative	Source Documents
Element 1 : Mechanisms in place to allow programmatic changes and adjustments when conditions change	4	UNDP procedures do enable agility and UNDP is generally seen as flexible, if sometimes slow to respond. UNDP's POPP (Programme and Operations Policies and Procedures) outline the procedures to revise programmes and projects when conditions change. Revisions may be made at any time during the life of the programme or project to enable agility. Furthermore evidence from interviews with country office staff indicated that UNDP does assess and adjust programmes when required and that delegated authority enables fast decision making. They also note regular review points and meetings to assess programmes.

The limited evidence available from several Assessments of Development Results (ADR) noted that national governments perceive UNDP systems to be more flexible than their own.

In the specific case of UNDP's relationship with the Global Fund, it is however suggested that UNDP needs to become more agile in adapting its support and engagement. Furthermore, some respondents to the survey rated adaptation to changing context as fairly poor and the qualitative feedback highlighted both strengths in flexibility and weaknesses in the agility. | 1, 31, 45, 51, 53 |
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	4		
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	3		
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	3		
Element 5: Evidence that any common institutional bottlenecks in procedures identified, and action taken leading to an improvement	3		
Overall Score:	3.4		
Overall Rating:	Highly satisfactory		Medium confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	4	UNDP's new quality standards for programming requires that new programmes develop priorities based on evidence of UNDP's comparative advantage, with respect to its partners. The evidence demonstrates a clear corporate intent to build partnerships that respect the unique characteristics, missions and responsibilities of each partner and UNDP has a clear understanding of the strengths it can bring to a partnership, including the ability to connect, advance and utilise learning, knowledge, expertise and experiences across regions.	1, 3, 7, 9, 10, 13, 14, 15, 16, 18, 19, 20, 22, 23, 25, 31, 42, 47, 51, 53, 60
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	4	There are concrete examples where UNDP has employed a partnership approach to jointly address development challenges through different entry points. Furthermore from the survey responses, interventions based on a clear understanding of comparative advantage were rated as very/fairly good.	
Element 3: Evidence that resources/competencies needed for intervention area(s) are aligned to the perceived comparative advantage	3	In the area of crisis management, the humanitarian responses in countries are reported as successfully managed with 32% of UN Country Teams having agreements or arrangements for crisis response with key partners, including the World Bank, and 36 UNCTs undertaking joint risk assessments and 50 UNCTs undertaking initiatives to manage risks. In Africa, for example, the regional UNDG team's partnership with the Economic Community of West African States focused on the Ebola outbreak to strategise on preparedness, prevention and treatment, and a UN-World Bank Partnership Working Group supports these efforts.	
Element 4: Comparative advantage is reflected in the resources (people, information, knowledge, physical resources, networks) that each partner is able (and willing) to bring to the partnership	3	The Global Programme is at the forefront in global partnership-building in UNDP, and serves as an example and catalyst for a wider transformation of ways to work with partners to achieve results in programme countries. This effort is guided by a core set of principles: engaging a broad range of partners, each contributing different perspectives, approaches, expertise and constituencies; minimizing transaction costs and bureaucracy; working in a collaborative, open, and flexible manner; being results-driven, with mutually agreed objectives, roles and clear time frames; utilising innovative ways to share costs and risks; and employing safeguards and ensuring accountability for performance.	
Overall Score:	3.5		
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	4	There is clear commitment to Busan principles as evidenced by the survey responses as well as the document review. UNDP is committed to the use of, and alignment with, country systems as per the Busan Partnership and all its decisions regarding the use of resources at the country level are based on country demand and principles of national ownership. The new quality standards for programming require that a strategy for the use of national systems be defined and implemented. The extent to which a country programme document meets this standard is reviewed by the project appraisal committee at headquarters before approval. UNDP will contribute to enhancing the synergy, complementarity, and quality of various types of development cooperation and financing. The Programme will strengthen transparent systems and will develop guidance to ensure that countries gain equitable access to resources, effectively manage and spend them, and promote mutual accountability for development results (such as through the International Aid Transparency Initiative). The focus of coordination efforts is on engaging with national management structures and processes at national, sub-national or sectoral levels. This core coordination function includes strengthening national systems for aid coordination by collating and ensuring synchronicity, alignment and complementarity between national aid effectiveness mechanisms and UN activities.	2, 6, 18, 31, 33, 41, 44, 51, 53, 72
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	3		
Element 3: Clear procedures for how organisation responds to address (with partners) concerns identified in country systems	4		
Element 4: Reasons for non-use of country systems clearly and transparently communicated	3		
Element 5: Internal structures and incentives supportive of greater use of country systems	4		
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	2		
Overall Score:	3.33		
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Strategies or designs clearly recognise the importance of synergies and leverage	2	There is little evidence as to whether 'strategies or designs identify synergies'. However, most survey respondents rated the prioritisation of synergies as very/fairly good, even if many of the qualitative responses were more negative about synergies in practice. UNDP's strategic plan prioritises scaling up strategies to leverage resources, with Country Programme Documents rated on their consideration of scaling up strategies and their effective use of theories of change to achieve greater impact. The implementation of a new cost-sharing agreement enables UNDG members to contribute to joint policy and advocacy on issues such as the Post-2015 agenda, and specific technical expert contributions in the areas of human rights, gender equality and sustainable development, including the 'Delivering Results Together Fund'.	1, 2, 3, 9, 17, 18, 24, 38, 51
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	3		
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	2		
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	2		
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	3		
Overall Score:	2.4		
Overall Rating:	Satisfactory		Medium confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3	There is considerable evidence of UNDP's intentions to coordinate with key partners, particularly other UN agencies, and at the regional level with regional Economic Communities (RECs) and its commitment to ensure coherence of programming policies with the United Nations Development Group (UNDG), including with respect to programming principles. UNDP policy and technical work will be integrated and coordinated with that of United Nations entities at the global level, particularly in areas where there are agreements on lead and co-lead responsibilities. Coherence will be strengthened through joint programming and United Nations system mechanisms such as 'delivering as one'. UNDP actively promotes common reporting formats for its partners, and reporting templates that comply with the International Public Sector Accounting Standards (IPSAS) have been shared with Member States. Furthermore, UNDP has together with UNFPA led the development of the new Framework for Joint Internal Audits of United Nations Joint Activities which was adopted at the UN-RIAS meeting in September 2014. Despite the positive evidence of an effort to coordinate, the qualitative feedback from the survey indicates that this does not always happen as smoothly as expected. For example, one respondent noted that "*coordination with other donors is clearly failing*" and another noted that "*in terms of coordination of reforms with government and other donors to avoid duplication, UNDP has not been very effective*". Finally, one noted that "*early coordination with other stakeholders (is) sometimes poor*".	1, 2, 3, 4, 6, 8, 9, 10, 11, 13, 14, 17, 18, 19, 20, 23, 30, 31, 32, 33, 38, 39, 42, 44, 45, 46, 47, 48, 50, 51, 53, 75, 76
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	3		
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	3		
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN etc)	3		
Element 5: Evidence of the identification of shared information gaps with partners, and strategies developed to address these	2		
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	2		
Overall Score:	2.67		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Clear corporate statement on transparency of information	3	The document review presents UNDP as being strong in sharing information with partners. The Global Campaign for Aid Transparency, for example, recognised UNDP as the most transparent development agency in the world, ranking it first for the last two years. In 2015, 82 % of country offices complied with UNDP's internal transparency standard (compared to 60 % in 2014), and results were published from more than 1,800 projects for the first time. As noted above (MI 6.7), the evidence from the survey presented a more mixed picture. The Strategic Plan 2014-17 shows strong intent to promote cross-country work with sister agencies and regional economic commissions (RECs), actively using regional programmes for 'neighbourhood' initiatives, encouraging staff exchanges and improving monitoring and reporting. Evidence suggests good performance in terms of sharing key information with partners. For example, results from an internal partnership survey show 82 % of UNDP partners are satisfied with the level of UNDP engagement, including quality and timely communication, consultation and/or engagement in key project events/meetings. There is particularly strong evidence of UNDP supporting information sharing between country offices, and also developing and sharing tools and other knowledge materials across its portfolio. UNDP shares final audit reports with specific Member States when they contain findings related to them and gives them three weeks to review and provide comments, and then makes the audit reports publicly available. However, it is noted that some respondents to the survey conducted for this MOPAN assessment rated information sharing as fairly poor, and there were a significant number of negative qualitative comments noting that UNDP needs to improve its information sharing and coordination with other agencies.	1, 3, 11, 14, 19, 30, 31, 53, 69
Element 2: The organisation has signed up to the International Aid Transparency Initiative	4		
Element 3: Information is available on analysis, budgeting and management in line with the guidance provided by the International Aid Transparency Initiative	3		
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	2		
Element 5: Evidence that information shared is accurate and of good quality	2		
Overall Score:	2.8		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	3	There is clear evidence of the intentions and systems to ensure accountability to beneficiaries. The Accountability and Framework Oversight Policy demonstrates a clear commitment to accountability to beneficiaries. Furthermore, according to UNDP; in the course of UNDP country-level project design and implementation, most concerns and grievances are appropriately and effectively resolved through discussion, correspondence, meetings and management decisions, without formal logging or tracking. UNDP expects, and intends, that its Country Offices will continue to use their existing project management channels and procedures to resolve the vast majority of concerns that are raised.	11, 37, 38, 39, 50, 51
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	4		
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	NE	The Project Quality Assurance Mechanism includes a criterion to assess which projects are eliciting feedback from beneficiaries. UNDP has also been instrumental in giving the poor and marginalised a voice in the future development agenda, particularly through the establishment of the 'MY World' global survey, which has reached over 7 million people from 194 countries. MY World 2, currently under development, is expected to include national perception studies on progress towards the SDGs.	
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	2		
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	2	Where issues are raised, the OAI Social and Environmental Compliance Unit conduct independent investigations and provide a Management Response to help resolve it.	
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	2	UNDP's Accountability Mechanism also includes a recently introduced Stakeholder Response Mechanism (SRM) that ensures individuals, people, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes. The Stakeholder Response Mechanism is on line, although evidence from interviews suggests that this is still in the process of being rolled out and is not currently widely utilised.	
Overall Score:	2.6		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Evidence of participation in joint performance reviews of interventions e.g. joint assessments	3	The document review found evidence of mutual assessments. The Evaluation Policy, for example, notes that joint programming should be evaluated jointly. The majority of survey respondents said that UNDP was very/fairly good at conducting mutual assessments of progress with partners.

UNDP's commitment to system-wide coherence through the UNDAF process is well evidenced. This includes the use of Country Programme Action Plans (CPAP) where monitoring will be based on the UNDAF results matrix, which has been agreed with the Government. Both qualitative and quantitative indicators will be used to track progress against specific outputs. Benchmarks and indicators will be detailed in Annual Work-plans, allowing for continuous tracking. Regular reviews of CPAP progress will be undertaken using mechanisms and tools agreed by the Government and UNDP. These reviews will be designed to monitor the efficient, transparent and accountable use of programme resources.

However, notwithstanding the mandatory nature of the UNDAF Review process, such reviews are not conducted in all countries; 36% of countries reported that they had conducted an annual review in the last 12 months and 32% of countries reported conducting a mid-term review of their UNDAFs. These data indicate areas for improvement to ensure that there are opportunities to engage with national partners to monitor progress and undertake corrections in UNDAF implementation where necessary. | 3, 18, 30, 32, 33, 51, 76 |
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	3		
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	3		
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	3		
Element 5: Surveys or other methods applied to assess partner perception of progress	2		
Overall Score:	2.8		
Overall Rating:	Satisfactory	Another mechanism for mutual assessment are joint evaluations: the Independent Evaluation Office engaged in five joint evaluations in 2014.	Medium confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4	The documentary evidence indicates that UNDP successfully deploys its knowledge base to support policy dialogue and advocacy. There were also a significant number of very positive comments from the survey with a significant number of respondents rating UNDP as excellent in terms of how it is viewed in policy dialogue forums.	1, 3, 7, 9, 10, 13, 17, 33, 40, 46, 47, 48, 50, 51, 53
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3	The IRRF and 2015 Results sets out under results statement 1.3 (Knowledge Management institutionalised and learning is made part of its performance culture) the use of UNDP knowledge products. The UNDP Knowledge Strategy Report sets out how UNDP has been building strength in country office-led efforts, knowledge systematisation exercises and networking projects during the current strategy. UNDP also has mechanisms in place to facilitate the exchange of knowledge, such as the Global South-South Centres of Excellence Facility (Network), which acts to connect and leverage the strengths of relevant centres of excellence of other United Nations organisations	
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	3		
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	3	The evidence indicates that UNDP already successfully deploys its knowledge base to support policy dialogue and advocacy. For example, UNDP's flagship publication – the Human Development Report – has been instrumental in shaping the global development debate and is used by country offices to identify further avenues of cooperation with governments and to advocate for specific policy reforms. There is also a clear corporate recognition that, in order to influence policy reforms, analysis and advocacy must be grounded in reliable data and a strong evidence base derived from policy research.	
Element 5: Evidence that knowledge products are perceived as high quality by partners	3		
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	3	UNDP also has mechanisms in place to facilitate the exchange of knowledge, such as the Global South-South Centres of Excellence Facility (Network), which acts to connect and leverage the strengths of relevant centres of excellence of other United Nations organisations.	
Overall Score:	3.2		
Overall Rating:	Highly satisfactory	There is also evidence of strong performance in the area of joint communications and advocacy, with 68% of UNCTs [UN Country Teams] having joint UN communications groups that coordinate and share communication resources at the country level in order to increase the visibility of the UN and call attention to national and international development objectives and global normative frameworks.	High confidence

Performance Area: Performance Management

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

KPI 7: Strong and transparent results focus, explicitly geared to function			
Overall KPI Rating	**3.16**	**Overall KPI**	**Highly satisfactory**

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

Element	Score	Narrative	Source Documents
Element 1 : Corporate commitment to a result culture is made clear in strategic planning documents	4	UNDP has a strong corporate commitment to RBM. Key strategic documents show UNDP is undertaking a systematic, organisation-wide investment for improving RBM, and also highlight the importance of all UNDP interventions making contributions to results under its strategic plan.	1, 2, 3, 7, 8, 9, 11, 13, 26, 28, 31, 32, 33, 42, 45, 51, 72
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	3	There is evidence that capacity for RBM has been strengthened through the adoption of methodologies and platforms such as an enhanced results based management platform, and new quality standards for programming, including a new Project Quality Assurance System (a tool to improve planning, design and M&E). However, there is some evidence that this is not followed through with adequate resourcing.	
Element 3: Guidance for setting results targets and develop indicators is clear and accessible to all staff	4		
Element 4: Tools and methods for measuring and managing results are available	3	There are concerns that despite the implementation of the new RBM platform, a number of projects lack performance indicators, baselines and targets. This was identified during an audit of country offices in 2014, which found that out of 324 ongoing projects in 6 countries, 53 projects lacked performance indicators, baselines and targets. This suggests a lack of close supervision and monitoring of data quality, timing and completeness of information entered by country offices.	
Element 5: Adequate resources are allocated to the RBM system	2		
Element 6: All relevant staff are trained in RBM approaches and method	3		
Overall Score:	3.17		
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Organisation-wide plans and strategies include results frameworks	4	UNDP's corporate strategies are based on a strong RBM focus. The UNDP Strategic Plan notes that all country programmes should be tightly focused on no more than four time-bound outcomes and be underpinned by a robust and measurable results framework. There are clear linkages between the different layers of the results framework from project through to country and corporate level.	1, 2, 3, 4, 5, 6, 7, 9, 10, 11, 13, 17, 18, 20, 30, 32, 33, 42, 45, 46, 51, 80
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	3	The IRRF requires regular reporting against results and according to the guidance and interviewees these are reviewed regularly.	
Element 3: An annual report on performance is discussed with the governing bodies	3	Annual reports on performance are discussed with governing bodies and corporate reports note areas of strong performance, as well as deviations between planned and actual results.	
Element 4: Corporate strategies are updated regularly	3		
Element 5: The annual corporate reports show progress over time and notes areas of strong performance, as well as deviations between planned and actual results	3	The Annual Reports show progress and areas of strong performance, as well as deviations between planned and actual results.	
Overall Score:	3.2	A sample of regional, country and thematic strategies suggest that a results-based approach has been widely adopted. An Integrated Results and Resources Framework (IRRF) has recently been implemented and assists in the definition of project results to support the planning, management and monitoring of development activities. The challenge of how to aggregate results at the outcome level across 130-plus programmes while at the same time taking into account their diverse contexts remains, although the use of standardised indicators in the IRRF goes some way to addressing this.	
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	3	The Theory of Change was introduced as a design tool for all UNDP Country Programme Documents and project documents in 2013. The Theory of Change documents explain the "results chain" or link between the results at each tier, i.e. how UNDP's role and approach through national and multi-partnerships will help achieve the outputs in contribution to the outcomes. These documents also explain the assumptions and risks to achieving the results under each outcome, and approaches for handling these. The "theories of change" are internal, working documents which are tested and refined over the period of the Strategic Plan. According to interviewees, the implementation of the theory of change approach is now a critical aspect of the CPDs. Furthermore, the UNDP quality criteria for programme and project design require the Theory of Change to be backed by rigorous and credible evidence justifying why the programme or project priorities are appropriate and most likely to contribute to higher-level development impact.	2, 9, 33, 46, 80
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	2		
Element 3: Development of baselines are mandatory for new interventions	3		
Element 4: Results targets are regularly reviewed and adjusted when needed	3	It is noted, however, that in the 2016 OAI performance audit of UNDP's RBM system found that UNDP's policy on Theory of Change was not well developed and the guidance on how to use it was not readily available. From a sample of 20 Country Programme Documents, OAI found that in 3 Country Programme Documents (CPD's) a Theory of Change was not included, and in 12 CPD's the Theory of Change was only partly developed. The explicit pathway from problem statement to intended outcome was often the missing element from the Theory of Change. Similarly, from a selection of project documents, OAI found that lessons learned were often included but there was little explanation of how the lessons were used to enhance the robustness of the Theory of Change, or to support the validity of the assumptions.	
Overall Score:	2.75		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : The corporate monitoring system is adequately resourced	2	Monitoring systems generate useful performance data which is used at programme, country, regional and global levels. Furthermore the quality assurance system which has been recently rolled out is in place to ensure high quality and useful performance data that can be used in management decision making. New policies, such as the Monitoring Policy and the Quality Standards for Programming, are in place to ensure high quality and useful performance data can be gathered and used in management decision making. The data collection, monitoring and reporting for the IRRF is very comprehensive and has been developed through a solid process where experience is assessed and weaknesses are addressed. For example, for all indicators where fewer than 40% of the Country Offices that linked to an output were able to provide data for the indicator, then either the indicator or the indicator methodology/data collection approach will be reviewed for relevance or feasibility in the next round.	1, 2, 3, 10, 11, 20, 28, 31, 32, 33, 45, 51, 69, 80
Element 2: Monitoring systems generate data at output and outcome level of the results chain	4		
Element 3: Reporting structures are clear	4		
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	3		
Element 5: A system for ensuring data quality exists	3		
Element 6: Data adequately captures key corporate results	3		
Overall Score:	3.17	In a performance audit of UNDP's results-based management system conducted in 2015 it was reported that 84% of country offices had taken measures to improve data collection and monitoring capacity, and in 56% of countries where UNDP has a presence there had been collaboration with partners to strengthen national statistical systems. The quality of evaluation reports is also reportedly improving, with better data collection made possible through the UNDG cost-sharing arrangement.	
Overall Rating:	Highly satisfactory	The IRRF captures results at both output and outcome level. Outcome level reporting is also captured through the ROAR. It is also noted that funding towards the corporate monitoring system has been reduced in recent years.	High confidence

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

Element	Score	Narrative	Source Documents
Element 1: Planning documents are clearly based on performance data	4	The evidence indicates that there is corporate intent to make performance data widely available and to use performance data as an input into strategic decision-making processes. According to interviewees the IRRF data is readily available on the internet and it is being used regularly. Most respondents to the survey noted that UNDP was either very good or fairly good at using robust performance data when designing or implementing interventions and most noted that UNDP is either very good or fairly good at including statements of the evidence base for new intervention designs. The UNDP's Strategic Plan notes that innovation, replication opportunities and lessons learned will be explicit considerations in programme.	1, 2, 3, 33, 42, 80
Element 2: Proposed adjustments to interventions are clearly informed by performance data	4		
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3		
Element 4: Performance data support dialogue in partnerships at global, regional and country level	3		
Overall Score:	3.5		
Overall Rating:	Highly satisfactory		Medium confidence

KPI 8: Evidence-based planning and programming applied

Overall KPI Rating	2.92	Overall KPI	Satisfactory

MI 8.1: A corporate independent evaluation function exists

Element	Score	Narrative	Source Documents
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance *(operational independence)*	4	UNDP has a corporate independent evaluation function. The Executive Board approves the evaluation policy, validates the biennial financial appropriation to the IEO within the context of the UNDP budget, and undertakes periodic reviews and adjustments of those appropriations based on the IEO's programme of work, which the Board approves.	1, 11, 28, 32, 33, 42, 45, 76
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation *(Structural independence)*	4	The 2016 budget is USD 0.6 million less than the 2015 allocation. Additional funding from external sources should amount to USD 0.5 million in 2016. These budget reductions will leave a shortfall of nearly USD 1.4 million in 2016, necessitating commensurate changes in the work plan of the Office.	
Element 3: The evaluation office has full discretion in deciding the evaluation programme	3	Independent thematic and programmatic evaluations are submitted by the IEO to the Executive Board, which approves the management responses.	
Element 4: A separate budget line (approved by the Governing Body) ensures *budgetary independence*	3	The Administrator is responsible for the recruitment, appointment, performance evaluation, renewal and dismissal of the IEO Director. The Executive Board is consulted prior to the hiring, renewal and/or dismissal of the Director of the Office.	
Element 5: The central evaluation programme is fully funded by core funds	3	UNDP programme and policy units also commission decentralised evaluations according to evaluation plans that coincide with relevant programmes (global, regional and country). These evaluations are carried out by independent external consultants, as required by the Evaluation Policy.	
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	4	There is broad and consistent evaluation coverage of UNDP's mandate and areas of work. The current workplan is linked to the Medium Term Evaluation Plan	

Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated *(Behavioural independence)*	2	2014- 2017 approved by the Executive Board, and includes a mix of thematic evaluations, impact evaluations, and country-level evaluations (Assessment of Development Results). Most respondents to the MOPAN survey said that UNDP was either fairly good or very good at having a clear statement on which of the interventions it has funded in the country must be evaluated, and also at following through with these evaluations.	
Overall Score:	3.29		
Overall Rating:	Highly satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1 : An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	3	UNDP is currently working to the 2011 Evaluation Policy which includes principles of independence, norms and coverage as well as categories of evaluation.

A new Evaluation Policy (which captures both centralised and decentralised evaluations) was presented to the Board in 2015 but was not approved. It has recently been re-submitted to the Executive Board with approval anticipated in September 2016. The Executive Board is the custodian of the evaluation policy, and approves the evaluation policy and validates the biennial financial appropriation to the IEO. Independent thematic and programmatic evaluations are submitted by the IEO to the Executive Board, which approves the management responses.

UNDP programme and policy units also commission decentralised evaluations according to evaluation plans that coincide with relevant programmes (global, regional and country). These evaluations are carried out by independent external consultants.

The Annual Report on Evaluation for 2015 sets out the number of offices commissioning: outcome evaluations, projects evaluations, UNDAF and other programmatic evaluations. It then states which are funded by GEF, and which countries are conducting at least one evaluation. However, because of the decentralised system it is not possible to get a breakdown/overview of the full coverage.

To maintain impartiality across the evaluations commissioned by bureau and country offices, evaluations are carried out by independent evaluators and not by UNDP staff (with the exception of IEO staff) or others with a vested interest in the result. Evaluators must also be independent from Member State Governments as well as the governing bodies of the United Nations.

The Evaluation Policy which will be presented to the Executive Board includes specific staffing level and a detailed budget within a costed programme of work as well as annual milestones and performance indicators. | 3, 6, 8, 9, 10, 11, 13, 18, 20, 32, 33, 45, 76 |
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	3		
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	2		
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisations' interventions, reflecting key priorities	3		
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	3		
Overall Score:	2.8		
Overall Rating:	Satisfactory		High confidence

MI 8.3: Systems applied to ensure the quality of evaluations

Element	Score	Narrative	Source Documents
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	4	All independent evaluations conducted by the Independent Evaluation Office are subject to a quality assurance process. For independent thematic evaluations this means an external advisory panel of senior thematic and evaluation specialists. For ADRs, quality is assured through the use of internal and external reviewers as well as stakeholder workshops in the country.	1, 11, 32, 33, 42, 45
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	3	Evaluation standards are clearly defined and are in line with United Nations Evaluation Group (UNEG) norms and standards for evaluation in the United Nations, including independence, intentionality, transparency, ethics, impartiality, quality, timeliness and utility.	
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	3	The IEO concurs with the key finding of the 2014 review of the UNDP evaluation policy that there are weaknesses in the system of decentralised evaluation and a comprehensive strategy for strengthening the system of decentralised evaluations is required. This is particularly important as decentralised evaluations are the building blocks for the independent evaluations the IEO conducts at country, regional and global levels. The IEO have previously undertaken quality assessments on decentralised evaluations, however, this has not occurred since 2014.	
Element 4: The methodology presented incudes the methodological limitations and concerns	3		
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	2		
Overall Score:	3	The IRRF includes an indicator for number of evaluations conducted and the number of recommendations followed up.	
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	4	There is evidence of a corporate commitment to increasing the use of evaluative knowledge in programming, with country offices now required to report on their use of evaluations as evidence of contributions made to development. Use of evaluation findings in developing new programmes and projects is also required as part of the new quality standards for programming.	1, 3, 9, 17, 32, 33, 45, 46, 72
Element 2: Clear feedback loops exist to feed lessons into new interventions design	3	The evidence base, including lessons learned, seems to be increasingly used in the design of new projects and programmes. For example, a snapshot of regional strategies and country programme documents shows that programme designs have been informed by lessons learned and prior experience.	
Element 3: There is evidence that lessons from past interventions have informed new interventions	3	Country Programme Documents are required to refer to lessons learned from previous evaluations and it is noted from interviews that there has been an increase in the role of evaluation in UNDP in recent years and this is further evidenced through a review of the sample of Country Programme Documents. It was also noted in one interview that the use of decentralised evaluation lessons is not currently adequately in place for the design of new interventions.	
Element 4: Incentives exist to apply lessons learnt to new interventions	3		
Element 5: The number/share of new operation designs that draw on lessons from evaluative approaches is made public	3	The Evaluation Resource Centre system (ERCS) is where UNDP Management is required, in accordance with the evaluation policy, to prepare a response to all evaluation recommendations. The Evaluation Office is responsible for maintaining the ERCS. All management responses are required to be posted on the ERCS.	
Overall Score:	3.2		
Overall Rating:	Highly Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: A system exists to identify poorly performing interventions	3	While there is a broad corporate commitment to identifying and addressing underperformance, there is limited evidence of specific cases in point. There is evidence in one country programme that the programme was not sufficiently resourced to address identified shortcomings. However, with the introduction of the new project quality assurance system, managers are now able to identify and track projects that perform poorly against the quality standards. The IRRF includes an indicator on *"%age of project outputs which are reported as achieved or on track"*, the metrics of which is included in the implementation phase of the project quality assurance rating tool. There is a system in place; the portfolio is reviewed on a regular basis.	2, 3, 4, 10, 11, 17, 18, 32, 46, 72
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	3		
Element 3: A process for addressing the poor performance exists, with evidence of its use	3		
Element 4: The process clearly delineates the responsibility to take action	3		
Overall Score:	3		
Overall Rating:	Satisfactory		Medium confidence

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

Element	Score	Narrative	Source Documents
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	3	In accordance with the evaluation policy, UNDP Management is required to prepare a response to all evaluation recommendations, which are entered into the Evaluation Resource Centre system. Responses are expected to include specific, time-bound actions with clearly assigned responsibilities to implement them. The Evaluation Office is responsible for maintaining the Evaluation Resource Centre system.

Implementing actions set out in management responses can be used, according to UNDP, as a proxy for assessing evaluation use. According to the data on management responses to independent evaluations available in the Evaluation Resources Centre, efforts to do so have been insufficient and there is still room to improve the number of completed actions stemming from evaluations. For example, of 241 decentralised evaluations completed in 2015, 207 (86%) had a management response, yielding 1,805 actions for follow-up. By the end of 2015, 21% had been completed, 50% were ongoing, and 1% were not applicable. 15% had passed indicated due dates, and 14% had no specific deadlines. Similarly, an evaluation of the Strategic Plan 2008-2013 found that of 52 ADRs conducted since 2012, 15% of all actions were ongoing (with a due date) and overdue, while for thematic evaluations the figure was 31%.

Evidence on the extent to which all data is effectively used is mixed. Board Members have noted that the quality, impartiality and independence of decentralised evaluations is somewhat deficient, indicating the lack of reliable externally validated data on programme performance. This situation deprives UNDP of the evidence it needs to make sound resource allocation and programme decisions, whilst giving programme countries only limited knowledge of UNDP contributions to their development. | 1, 11, 32, 33, 45, 46, 69, 71, 76 |
Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities	2		
Element 3: A timeline for implementation of key recommendations is proposed	1		
Element 4: A system exists to regularly track status of implementation	1		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	3		
Overall Score:	2.2		
Overall Rating:	Satisfactory		High confidence

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

Element	Score	Narrative	Source Documents
Element 1: A complete and current repository of evaluations and their recommendations is available for use	4	In 2015, the Development Impact Group of the Bureau for Policy and Programme Support (BPPS) completed a lessons learned study, including from evaluations, to conduct the mid-term review of the strategic plan. Evaluations conducted by the IEO aim to deepen understanding of development effectiveness in the development community beyond UNDP. Key findings, conclusions and recommendations are widely shared. In 2014, the IEO packaged lessons and knowledge from completed evaluations in 12 knowledge products. In 2016 the Bureau for Policy and Programme Support will coordinate implementation of key actions of the UNDP strategy for improving the quality of decentralised evaluations. The 2015 Annual Evaluation Report includes examples, by Regional Bureau, of key achievements, challenges and strategies for improving evaluation quality and implications, which includes the codification of lessons learned and information sharing.	1, 3, 4, 7, 9, 10, 11, 17, 18, 33, 40, 45, 51, 64
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	4		
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	2		
Element 4: A system is available and used to track the uptake of lessons learned	2		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	3		
Element 6: Evidence is available that lessons learned and good practices are being applied	3		
Element 7: A corporate policy for Disclosure of information exists and is also applied to evaluations	4		
Overall Score:	3.14		
Overall Rating:	Highly satisfactory		High confidence

Performance Area: Results

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

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

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

Rating	Narrative	Source Documents
Satisfactory *Organisations either achieve at least a majority of stated output and outcome objectives (more than 50% if stated) or the most important of stated output and outcome objectives are achieved*	The documentary and survey evidence points to a mix of satisfactory and unsatisfactory results at the country and sectoral level. Recent management reporting was largely positive, with 32 out of 38 outputs against seven development outcomes considered to be performing at a rate equal to or above their 2015 milestone or performance target. The body of evaluations of UNDP projects overall covered both strong and weak examples. These included some projects that were very effective but not very efficient (in the sense of missing opportunities to leverage the experience for a greater contribution), or that were unlikely to contribute to sustainable results. Concerns were raised in an evaluation of the Global Programme, which concluded that it has not yet found the appropriate balance between country-level support and activities of wider relevance to UNDP's contribution to global and regional public goods.	19, 45, 46, 49, 53, 55, 56, 57, 58, 59, 60, 62, 64, 65, 67, 68, 69, 70 High confidence

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

Rating	Narrative	Source Documents
Satisfactory *Interventions have resulted in positive changes experienced by target group members (at the individual, household or community level). These benefits may include the avoidance or reduction of negative effects of a sudden onset or protracted emergency*	There is some evidence from evaluations that poor and marginalised groups have benefited, but not whether the benefits were as expected. However, evidence on the extent to which the poor have benefited is overall mixed and/or lacking. Some evaluations do provide evidence of development results being achieved at the country level, including in difficult operating environments such as Iraq and Afghanistan and in middle-income countries.	18, 25, 46, 47, 48, 49, 53, 59, 60, 62, 63, 65, 68, 69, 70, 75 Medium confidence

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

Rating	Narrative	Source Documents
Satisfactory *Interventions have made a substantial contribution to either re-orienting or sustaining effective national policies and programmes in a given sector or area of development disaster preparedness, emergency response or rehabilitation*	Documentary evidence points to a positive, if not always visible, impact on national policies and programmes. Evaluations of some regional programmes and of UNDP's role in supporting the achievement of the MDGs do provide some evidence that UNDP interventions have strengthened the capacity of national systems and institutions. This includes in areas such as early warning systems and the conduct of national elections.	16, 18, 46, 47, 49, 50, 51, 53, 56, 57, 58, 59, 61, 64 Medium confidence

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

Rating	Narrative	Source Documents
Satisfactory *Interventions achieve a majority (more than 50%) of their stated objectives*	An evaluation of UNDP's contribution to gender equality and women's empowerment found a marked improvement in the UNDP approach to, and implementation of, policies to address gender mainstreaming. However, the evaluation also concluded that in order to achieve more transformative results, UNDP must move from viewing women primarily as beneficiaries towards supporting them as agents of change, particularly in early recovery work, peacebuilding and peace making. Dedicated funds are not regularly set aside to perform gender assessments at the design stage or to monitor and evaluate outcomes, and UNDP country programme evaluations have noted weaknesses in the country office gender machinery.	16, 46, 47, 48, 49, 51, 55, 56, 57, 58, 60, 62, 64, 67, 68, 69, 70, 75, 76
		High confidence

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

Rating	Narrative	Source Documents
Highly satisfactory *Interventions include substantial planned activities and project design criteria to achieve environmental sustainability and contribute to tackle the effects of climate change. These plans are implemented successfully and the results are environmentally sustainable and contribute to tackling the effects of climate change*	Evidence on the extent to which interventions have positively impacted on environmental sustainability is thin, but there is some positive management and evaluation evidence. Management information suggests positive performance in terms of capacity building for engagement at the policy level such as in international climate change negotiations. There is also evidence of results in the development of legal, policy and institutional frameworks in sectors such as disaster and climate risk management, natural resource management, and biodiversity. Evidence from the Small Grants Programme also indicates outcomes were achieved in small-scale biodiversity projects including in Jordan (community-managed special conservation areas) and Mongolia (forestry). However there is also evidence of missed opportunities because of insufficient efforts to synergistically combine protection of the environment with promoting sustainable livelihoods of the poor. The potential to do this exists across the whole environment portfolio. Evaluative evidence shows that to some extent UNDP succeeds in realising this potential, but it does not do so consistently across the countries where it works.	16, 18, 46, 47, 48, 49, 56, 58, 59, 68, 69
		High confidence

MI 9.6: Interventions assessed as having helped improve good governance

Rating	Narrative	Source Documents
Satisfactory *Interventions include some planned activities and project design criteria to promote or ensure 'good governance'. These activities are implemented successfully and the results have promoted or ensured 'good governance'*	There is some evidence to indicate UNDP has made a positive contribution to development outcomes in the area of good governance, particularly for regional programmes (Africa and Asia-Pacific). However evidence from some country programmes, including Iraq and Afghanistan, indicates that governance programmes have been far less successful. For example, in Afghanistan, UNDP has provided extensive support to the electoral process, capacity development assistance to numerous institutions, and support for the national budget process. While supporting structures have been put into place, institutions remain fragile and their capacity to deliver basic services and security throughout the country remains weak. Furthermore, while programmes of democratic local governance often report substantial achievements in terms of their intended outputs, effective service delivery through participatory decision making, which is essential for reducing human poverty, remains weak.	18, 25, 46, 47, 48, 51, 56, 58, 59, 60, 62, 64
		Medium confidence

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries			
Overall KPI Score	**n/a**	**Overall KPI Rating**	**Satisfactory**

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

Rating	Narrative	Source Documents
Satisfactory *Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group*	The evidence indicates that, overall, UNDP interventions are generally relevant and responsive to the needs of target groups. However, there is some evidence that UNDP programmes have sometimes been implemented in isolation from intended beneficiaries or are inconsistent with broader country strategies, despite the existence of guidance to avoid this. Implementation of the new quality standards for programming, which emphasise the need to focus on target groups under the Strategic Plan at the programme and project level, should go some way to addressing this. It should also be noted that interventions focusing on poverty reduction are considered to be relevant across all UNDP programme countries, and so for some evaluations relevance is considered as a factor in UNDP's effectiveness, rather than seen as a separate criterion.	56, 57, 58, 59, 61, 63, 64, 68 Medium confidence

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

Rating	Narrative	Source Documents
Satisfactory *Interventions have contributed substantially to the achievement of specific national development goals, or have contributed to meeting humanitarian relief objectives agreed to with the national government and/or the humanitarian community*	There is considerable documentary evidence that, overall, UNDP interventions contribute to the realisation of national development goals and objectives. There is particularly strong evidence in country programmes such as in Afghanistan, Tajikistan and Moldova, where interventions are clearly aligned with national priorities and development strategies. For regional programmes, in particular in Arab countries, the tension between advocating for sensitive development issues and responding to national government priorities was noted. However, an evaluation of the Iraq country programme in 2015 suggests that while UNDP's programmes were relevant to national priorities, UNDP did not gain national support for the programmes or for the methods used to implement them, and they did not yield tangible results.	10, 19, 56, 57, 58, 61, 62, 63, 64, 67 High confidence

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

Rating	Narrative	Source Documents
Satisfactory *The organisation has improved the effectiveness of its partnership relationship with partners over time and improvements are noted in evaluations*	The documentary and survey evidence indicates both strengths and weaknesses in UNDP's approach to delivering a coherent and well-co-ordinated response to development challenges. There is evidence of UNDP's intentions to co-ordinate with partners. For example, there is an aim for coherence through joint programming and UN system mechanisms such as Delivering as One, and UNDP actively promotes common reporting formats for partners. However evidence from both country and regional programmes (Afghanistan, Iraq, regional programmes for Africa, and Arab countries), indicates that in practice UNDP interventions often lack synergies or coherence with other projects, programmes and stakeholders, and are often not delivered as part of an overall strategy for engagement.	10, 56, 57, 62, 64, 65 High confidence

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

MI 11.1: Interventions assessed as resource/cost efficient

Rating	Narrative	Source Documents
Unsatisfactory *Interventions do not have credible, reliable information on the costs of activities and inputs and therefore no data is available on cost/resource efficiency*	Management reporting indicates that the structural change process has improved the overall cost-effectiveness of UNDP. For example, the 2017 target of 8.1 % management efficiency ratio was achieved in 2014-15, while the proportion of regular resources spent on institutional costs declined from 42% in 2012-13 to 38% in 2014-15. However, evaluative evidence on efficiency is generally limited and the evidence available is mixed at best. For example, there is evidence of low efficiency across a number of UNDP's country programmes, particularly those delivered in fragile states (for example, Iraq and Afghanistan), and regional programmes (for example, Africa and Arab States). In contrast, there is some evaluative evidence that UNDP has delivered some interventions efficiently from both a resource and cost perspective, especially in the context of declining human and financial resources. This includes the Asia-Pacific regional programme and UNDP's interventions in Moldova.	3, 19, 45, 51, 53, 56, 57, 58, 59, 60, 61, 62, 64, 65, 67, 69 High confidence

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

Rating		Source Documents
Unsatisfactory *Less than half of intended objectives are achieved on time but interventions have been adjusted to take account of difficulties encountered and can be expected to improve the pace of achievement in the future. In the case of humanitarian programming, there was a legitimate explanation for delays*	The limited documentary evidence available offers multiple examples where UNDP programmes have not been delivered on time (for example, evaluations of both the Africa and Arab States regional programmes). Key contributing factors include the difficult operating environments UNDP is working in, together with insufficient human resources. This is consistent with findings from an interim audit that, at the country level, there was in some cases evidence of very low project budget utilisation rates. However, it should also be noted there are isolated instances where UNDP has been able to mobilise resources and deliver interventions quickly, such as its response to the Ebola outbreak in West Africa.	45, 46, 53, 56, 57, 62, 64
		Medium confidence

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

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

Rating	Narrative	Source Documents
Unsatisfactory *Evaluations assess a low probability that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, efforts to link the relief phase to rehabilitation, reconstruction and, eventually, to development are inadequate. (Note, in some circumstances such linkage may not be possible due to the context of the emergency. If this is stated in the evaluation, a rating of satisfactory is appropriate)*	Although there is some documentary and survey evidence for programmes that are likely to be sustainable, the bulk of the limited evidence available suggests that the overall likelihood that UNDP interventions, particularly country programmes, will be sustainable is low. Issues with respect to the sustainability of UNDP interventions have been raised over a number of years now. For example, a review of the Strategic Plan (2008-2013) concluded that the selection and design process in 97% of country programmes did not consider sustainability of results in detail. Nor was there evidence that project/programme management focuses significantly on management for enhanced sustainability. Similarly, the mid-term review of the strategic plan 2014-17 highlighted the need for country programmes to improve planning for sustainability and the articulation of exit strategies. This is also consistent with the Annual Report on Evaluation 2015, which noted many assessments had stressed the need for long-term strategies and approaches that could generate transformational and sustainable development results. Some isolated cases where prospects for sustainability are high. While concrete evidence of sustainability is limited, there are cases where prospects for sustainability are considered to be reasonably high. For example, in the Africa regional programme, sustainable capacities were created to promote inclusive growth and the achievement of the MDGs, particularly in national institutions where staff turnover was low. Strong ownership by the African Union Commission and the New Partnership for Africa's Development (NEPAD) mean that results are likely to be sustainable. Similarly, prospects for sustainability are also considered to be relatively high where UNDP has engaged closely with partner organisations and governments in the design and implementation of interventions. This is reflected in the results of the mid-term review of the strategic plan 2014-17, where of the 57% of projects which were rated on sustainability by decentralized evaluations in 2014-15, about three quarters were seen as somewhat sustainable, sustainable or highly sustainable.	18, 45, 47, 48, 57, 58, 59, 60, 62, 64, 65, 67, 68, 69, 76 Medium confidence

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

Rating		Source Documents
Unsatisfactory *Interventions have failed to contribute to strengthening institutional and/or community capacity or, where appropriate, to strengthen local capacities for delivery of relief operations and/or for managing the transition to recovery/resilience or development*	Documentary evidence for results is limited. However, the Annual Report on Evaluation 2015 identifies a number of specific examples in multiple countries where the sustainability of interventions at the project level was found to be weak. Similarly, an evaluation of the small grants programme in 2015 concluded that it is difficult to sustain the outcomes of the projects due to the low capacity of project participants and the limited time duration of the grants (typically less than 18 months). For fragile states such as Afghanistan and Iraq, very few of the development results achieved are considered to be sustainable beyond the end of the support being provided. A key contributing factor has been the difficulties UNDP has experienced in securing national ownership for its programmes.	16, 25, 45, 46, 48, 51, 56, 59, 60, 62, 63, 64, 65, 67, 76
		Medium confidence

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

Rating		Source Documents
Satisfactory *Interventions have made a notable contribution to changes in the enabling environment for development including one or more of: the overall framework and process for national development planning; systems and processes for public consultation and for participation by civil society in development planning; governance structures and the rule of law; national and local mechanisms for accountability for public expenditures, service delivery and quality; and necessary improvements to supporting structures such as capital and labour markets*	The documentary evidence indicates that UNDP interventions have generally been successful in strengthening the enabling environment for development.	15, 16, 46, 56, 58, 59, 64
		High confidence

Annex 2: List of documents analysed for UNDP

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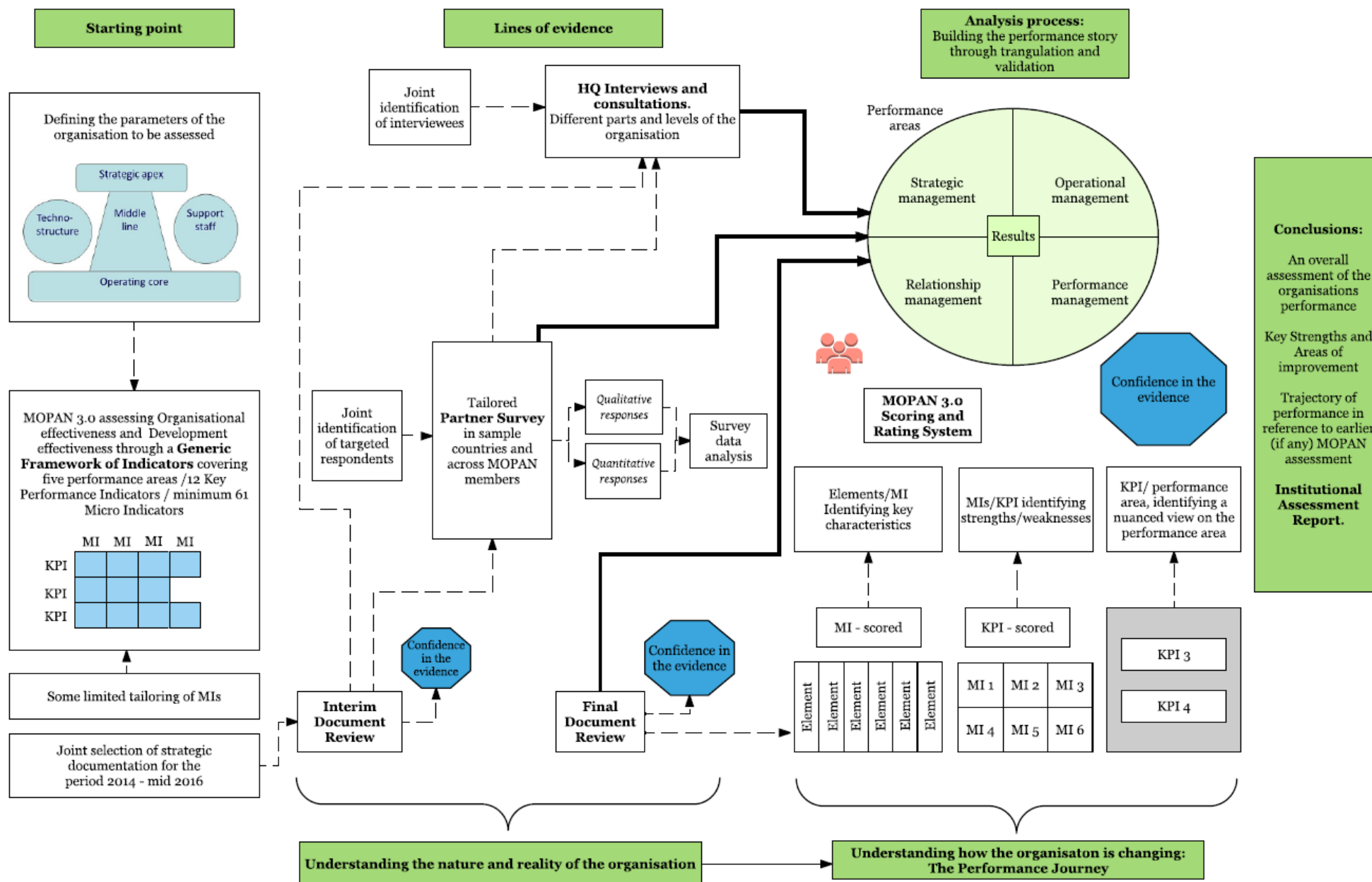UNDP; CF; SSC (2013) , *Strategic framework of the United Nations Office for South-South Cooperation, 2014-2017*

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Document number	Full name of document
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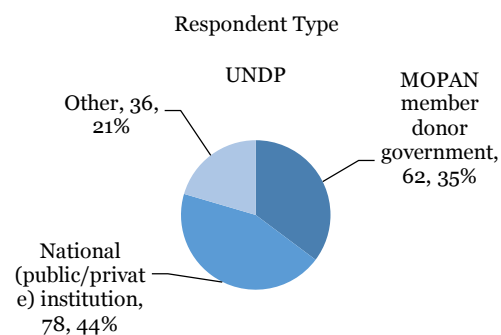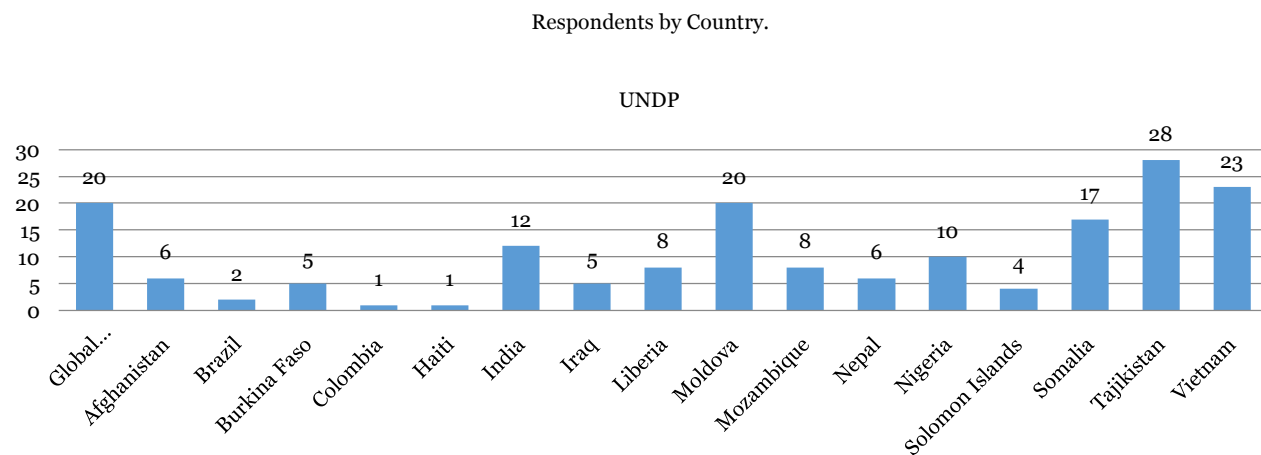|	
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56	UNDP (2013), *Evaluation of the Regional Programme for Africa 2008-2013*
57	UNDP (2013), *Evaluation of the regional Programme for Arab states 2010-2013*
58	UNDP (2013), *Evaluation of the regional programme for Asia and the Pacific 2008-2013*
59	UNDP (2013), *Evaluation of UNDP contribution to poverty reduction*
60	UNDP (2015), *Evaluation of UNDP contribution to gender equality and women's empowerment*
61	UNDP (2015), Evaluation of the role of UNDP in supporting national achievement of the millennium development goals
62	UNDP (2013), *Afghanistan: Assessment of Development Results*
63	UNDP (2015), *Tajikistan: Outcome evaluation poverty reduction and achievement of MDGs*
64	UNDP (2015), *Iraq: Assessment of Development Results*
65	C4 (2015), *UNDP, Brazil: South-South project evaluation supporting the development of the cotton sector in the C4 countries*
66	UNDP (2013), *India: Terminal evaluation - Capacity Development for Local Governance*
67	Devine, Vera; Cuznetova (2015), *UNDP, Moldova: mid-term Democratic governance*
68	UNDP (2015), *Joint GEF-UNDP evaluation of the Small Grants Programme*
69	UNDP (2016), *Mid-Term Review of the UNDP Strategic Plan, 2014-17*
70	UNDP (2015), *Annex 1 - Development Report Card*
71	UNDP (2015), *Annex 2 - IRRF Methodology and 2015 Results*
72	UNDP (2014), *Annex 4 - Programme alignment to the UNDP Strategic Plan 2014-2017*
73	UNDP (2016), *Annex 5 - UNDP's Structural Change - Benefits Realised and Lessons Learned*
74	UNDP (2016), *Midterm review of the integrated budget, 2014-2017*
75	UNDP (2015), *Annual report of the Administrator on the implementation of the UNDP gender equality strategy in 2015*
76	UNDP (2016), *Annual report on evaluation 2015*
77	UNDP (2016), *Report on internal audit and investigations*
78	UNDP (2015), *Annual Report of the Audit Advisory Committee for the calendar year 2015*
79	UNDP (2016), *Youth Global Programme for Sustainable Development & Peace 2016-2020*
80	UNDP (2016), *OAI Performance Audit of UNDP Results Based Management*

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

Starting point

Defining the parameters of the organisation to be assessed

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

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

	MI	MI	MI	MI
KPI				
KPI				
KPI				

Some limited tailoring of MIs

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

Lines of evidence

Joint identification of interviewees

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

Joint identification of targeted respondents

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

Qualitative responses

Quantitative responses

Survey data analysis

Interim Document Review

Confidence in the evidence

Final Document Review

Confidence in the evidence

Analysis process: Building the performance story through trangulation and validation

Performance areas

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

Confidence in the evidence

MOPAN 3.0 Scoring and Rating System

Elements/MI Identifying key characteristics

MIs/KPI identifying strengths/weaknesses

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

MI - scored

KPI - scored

Element	Element	Element	Element	Element	Element

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

KPI 3

KPI 4

Conclusions:

An overall assessment of the organisations performance

Key Strengths and Areas of improvement

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

Institutional Assessment Report.

Understanding the nature and reality of the organisation

Understanding how the organisaton is changing: The Performance Journey

Annex 4: Results of the MOPAN survey of UNDP Partners

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

Total number of responses for UNDP Survey: 176

Respondents by Country.

UNDP

Respondent Type

UNDP

Other, 36, 21%

MOPAN member donor government, 62, 35%

National (public/privat e) institution, 78, 44%

Non-Mopan Member Respondent Type

UNDP

Other , 15, 9%

UN agency/IFI , 17, 10%

INGO or NGO, 27, 15%

Government , 48, 27%

MOPAN member donor government , 62, 35%

Academic/resear ch/private sector, 7, 4%
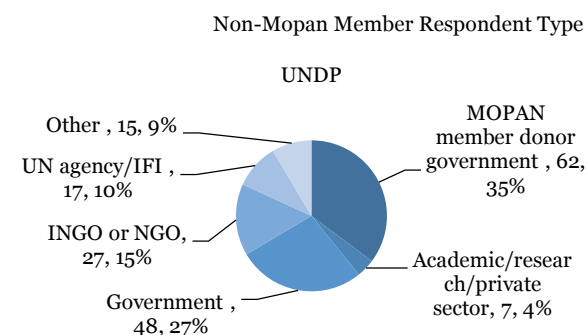
Respondents who identified their geographical focus as "global" were not asked the questions which were only relevant to respondents with a specific country focus. This will be highlighted for the individual questions below.

Staffing

How well do you think UNDP performs in the areas below?

It has sufficient staffing in the country to deliver the results it intends.
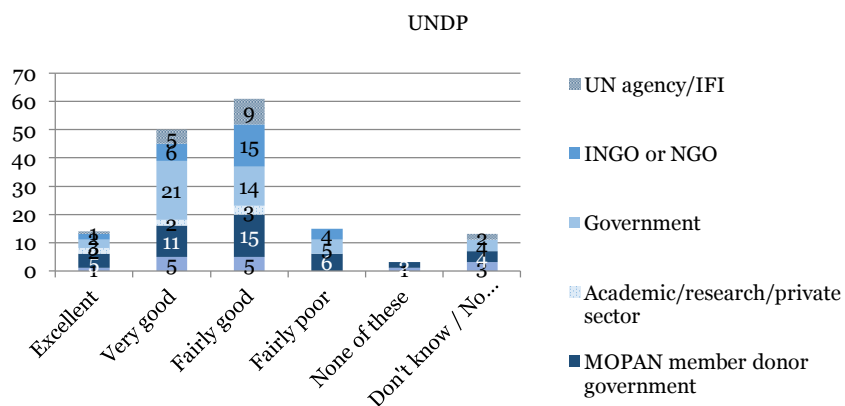
UNDP

Legend: UN agency/IFI; INGO or NGO; Government; Academic/research/private sector; MOPAN member donor government

It's staff are sufficiently senior/experienced to work successfully in the country.

UNDP

Legend: UN agency/IFI; INGO or NGO; Government; Academic/research/private sector; MOPAN member donor government
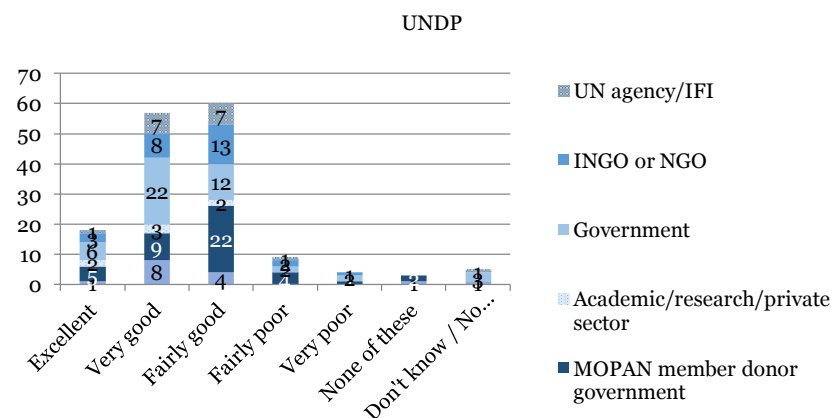
It has sufficient continuity of staff to build the relationships needed in the country.

UNDP

Legend: UN agency/IFI; INGO or NGO; Government; Academic/research/private sector; MOPAN member donor government; Other

Its staff can make the critical strategic or programming decisions locally in the country.

UNDP

Legend: UN agency/IFI; INGO or NGO; Government; Academic/research/private sector; MOPAN member donor government; Other
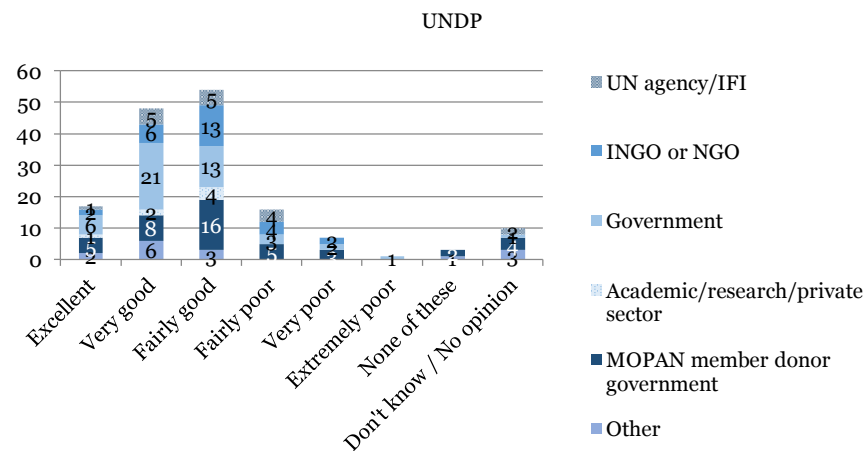
Respondents who identified their geographical focus as "global" were not asked to answer these questions since it is only relevant to respondents with a specific country focus.

## Managing Financial Resources

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

It communicates openly the criteria for allocating financial resources (transparency).
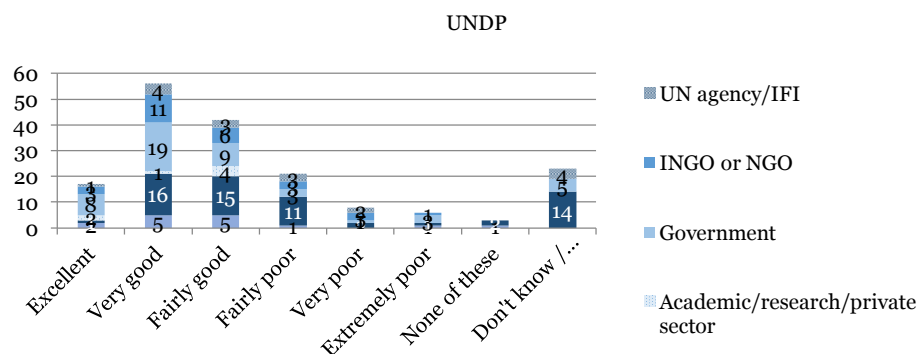
It provides reliable information on how much and when financial allocations and disbursement will happen (predictability).
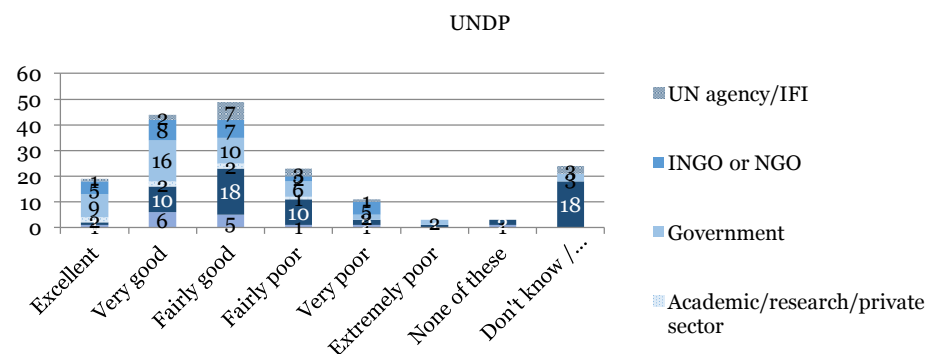
It co-operates with development or humanitarian partners to make sure that financial co-operation in the country is coherent and not fragmented.
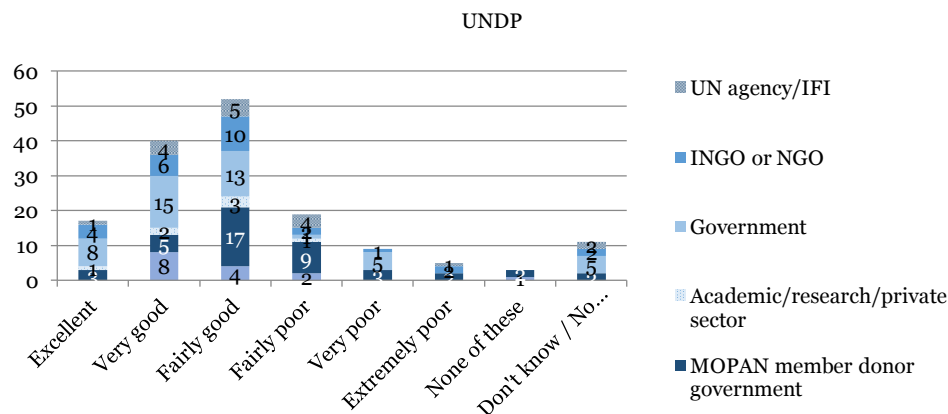
It has enough flexible financial resources to enable it to meet the needs it targets in the country.
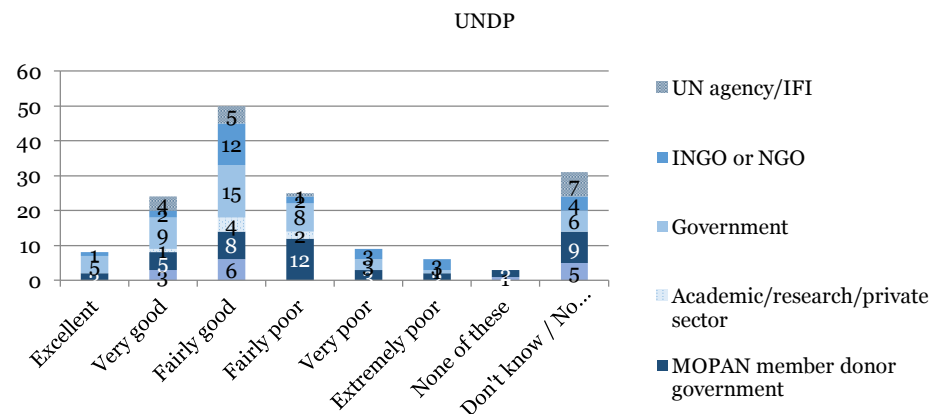
Respondents who identified their geographical focus as "global" were not asked to answer the two lower questions since it is only relevant to respondents with a specific country focus.

Interventions (Programmes, projects, normative work)

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

Its interventions are designed and implemented to fit with national programmes and intended results.

UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government
- Other
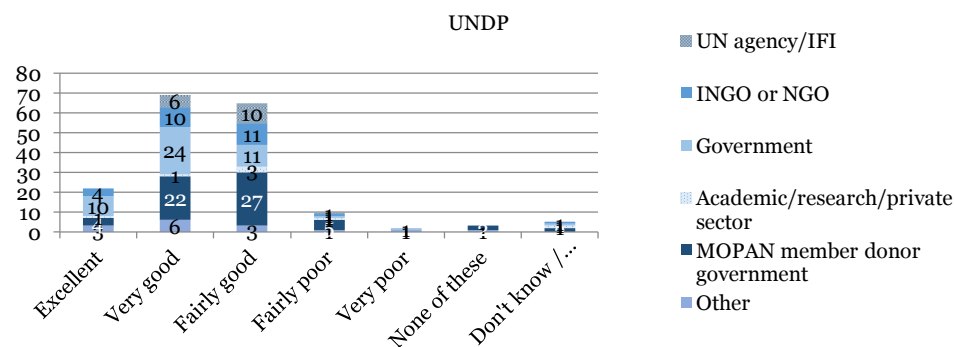
Its interventions are tailored to the specific situations and needs of the local context.

UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government
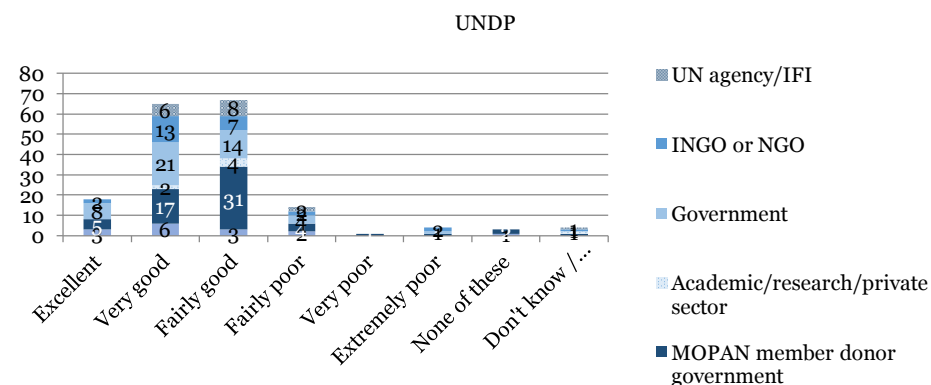
Its interventions are based on a clear understanding of why it is best placed (comparative advantage) to work in the sectoral and/or thematic areas it targets in the country.
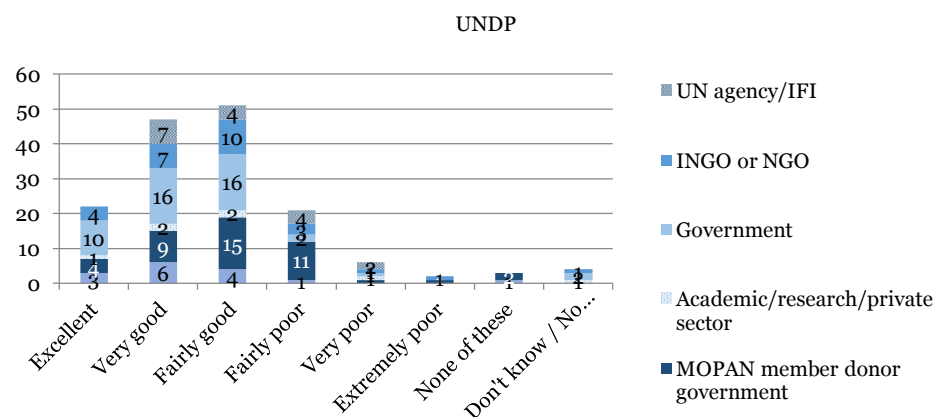
UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government

It adapts or amends interventions swiftly as the context in the country changes.

UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government

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

![MOPAN - Multilateral Organisation Performance Assessment Network](logo)

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

UNDP
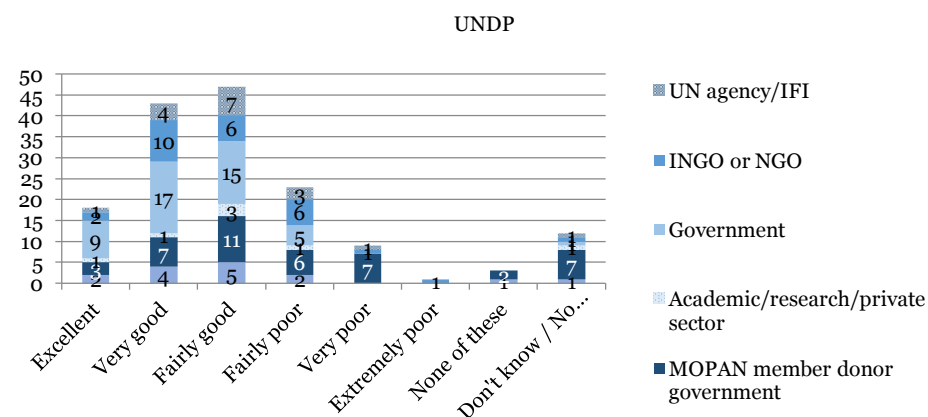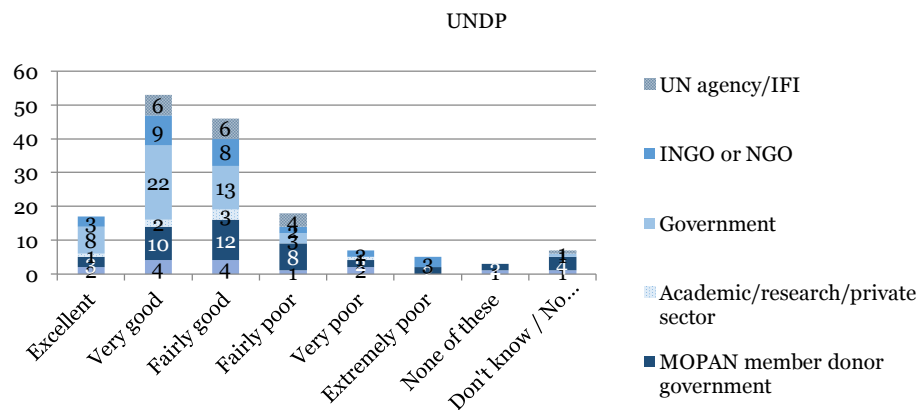
Its interventions appropriately manage risk within the context of the country.

UNDP
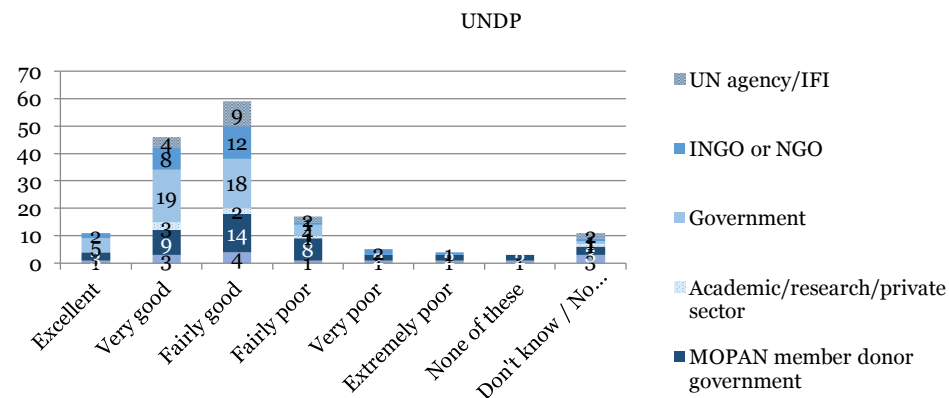
Its interventions for knowledge and development solution exchange take advantage of opportunities for south-south cooperation.
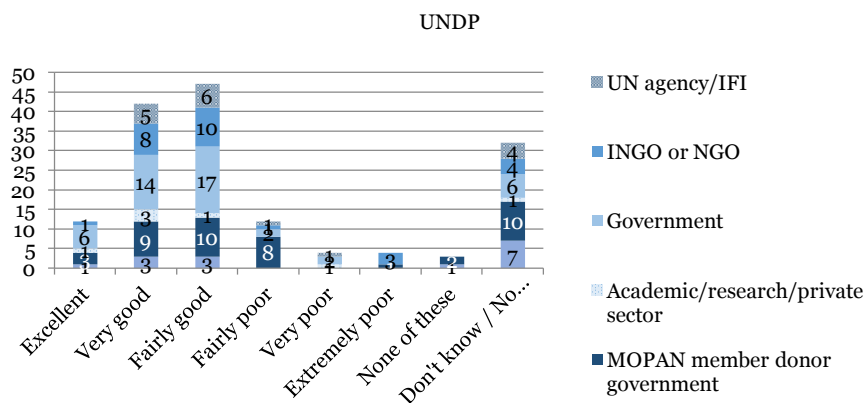
UNDP

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

Interventions (cross-cutting issues) Part 1

How familiar are you with each of the following?

The gender equality strategy of UNDP– UNDP Gender Strategy 2014-17
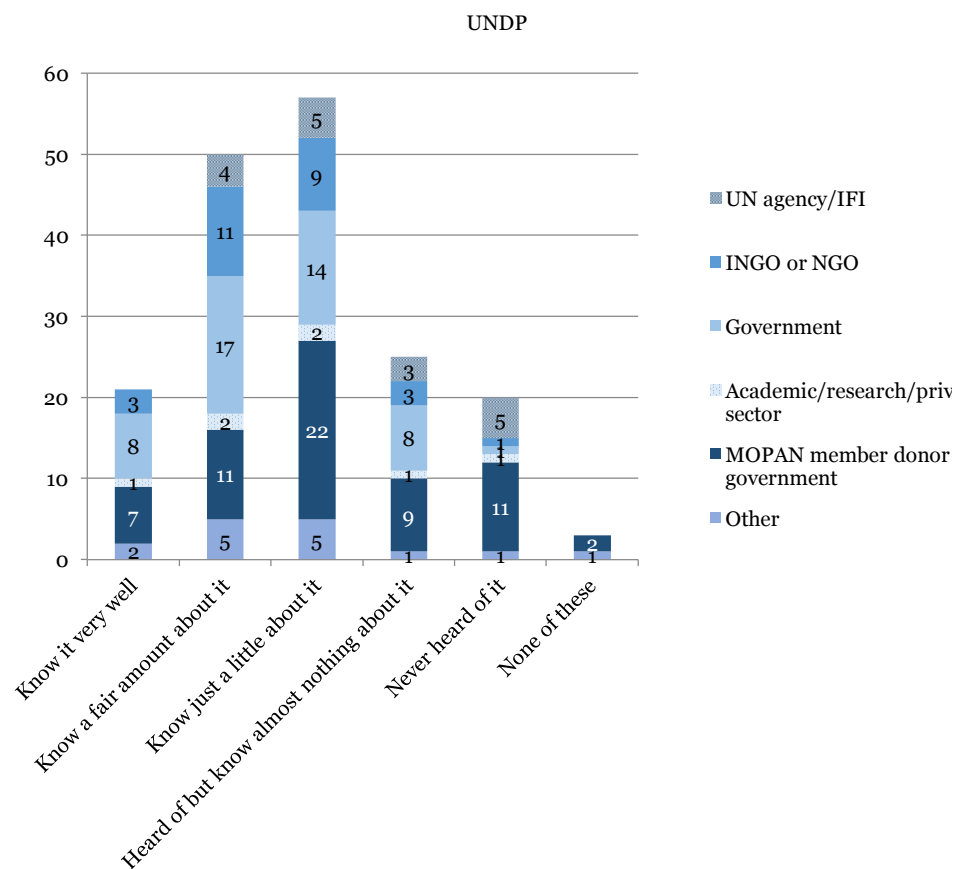
UNDP

The environmental sustainability strategy of UNDP including addressing climate change – UNDP an Climate Change (Nov 2015)
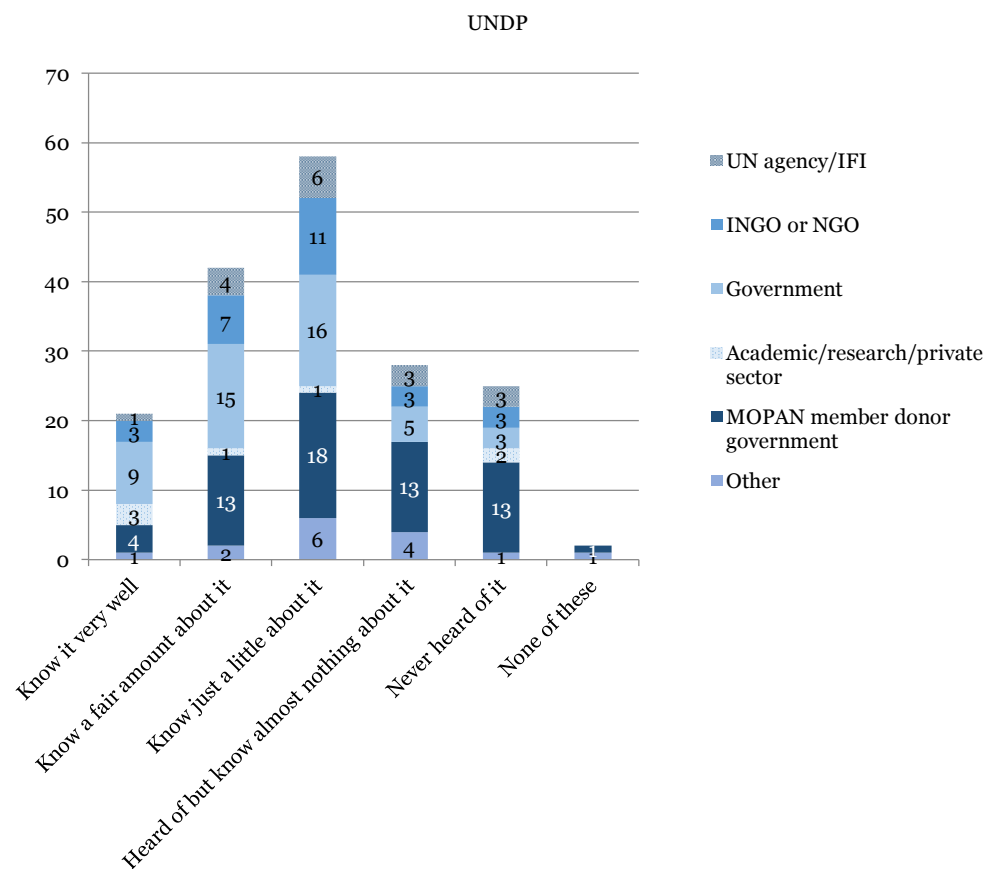
UNDP

The strategy of UNDP setting out how it intends to engage with promoting good governance (for example, reduced inequality, access to justice for all, impartial public administration, being accountable and inclusive at all levels) and inclusive at all levels).

UNDP

Legend:
- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government
- Other

Categories (x-axis):
- Know it very well
- Know a fair amount about it
- Know just a little about it
- Heard of but know almost nothing about it
- Never heard of it
- None of these

Data values:

Know it very well: 3, 8, 1, 14, 3, 1
Know a fair amount about it: 7, 17, 2, 20, 12, 5
Know just a little about it: 2, 14, 2, 11, 8, 6
Heard of but know almost nothing about it: 13, 1, 3, 2
Never heard of it: 2, 9, 2, 2, 1, 3
None of these: 1

Interventions (Cross cutting issues) Part 2

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

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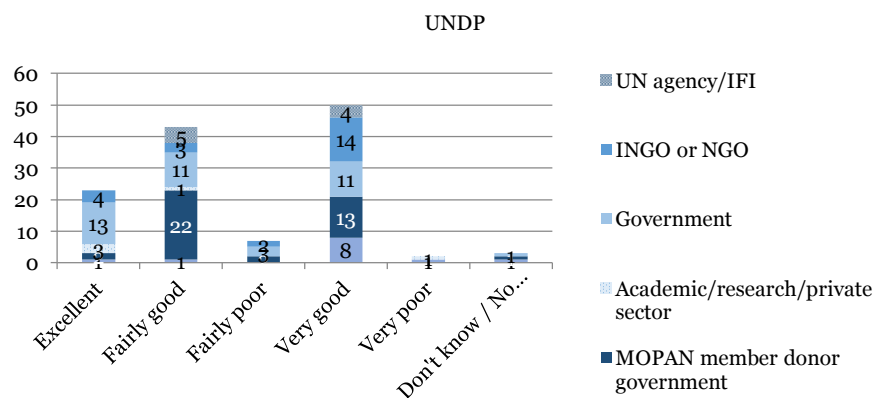
It promotes environmental sustainability and addresses climate change in all relevant areas of its work.

UNDP

UNDP

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

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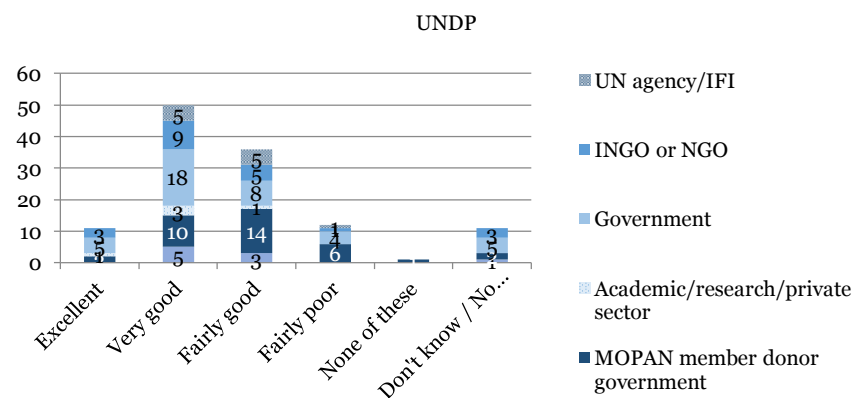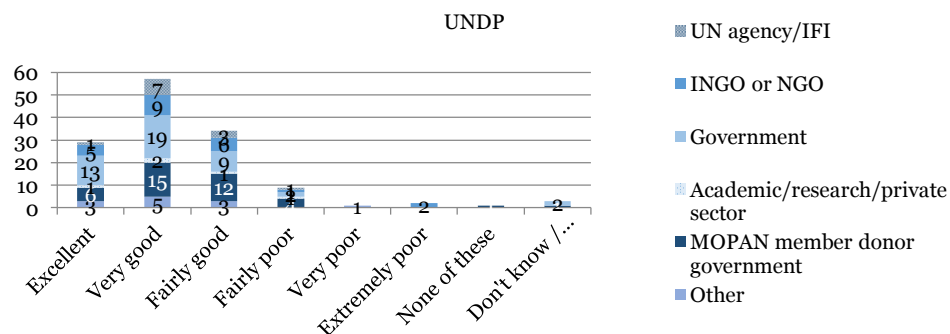
Respondents who identified in 'Interventions (Cross cutting issues), part 1 that they know almost nothing or have never heard about the priority/area, have not been asked to answer these questions since it is only relevant to respondents with at least a little knowledge about it.

Managing relationships

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

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

UNDP
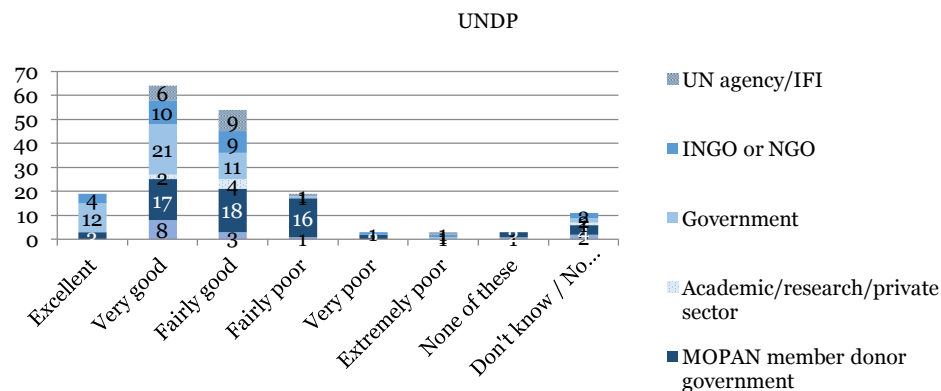
Through the UN Resident Coordinator System it coordinates the work of UN agencies.
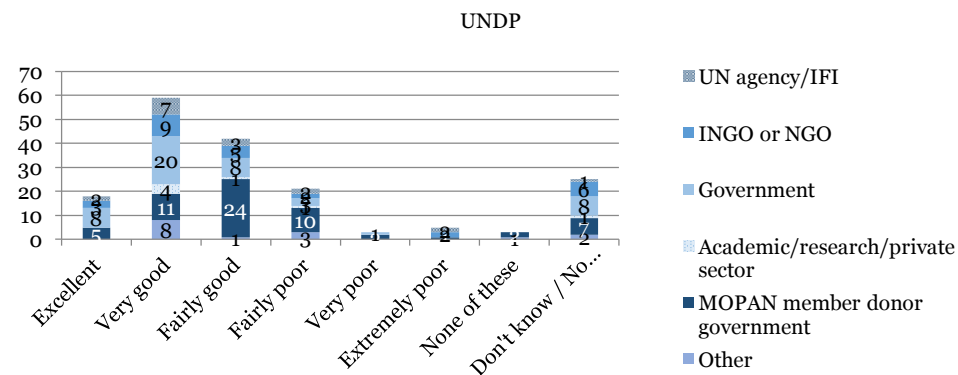
UNDP

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

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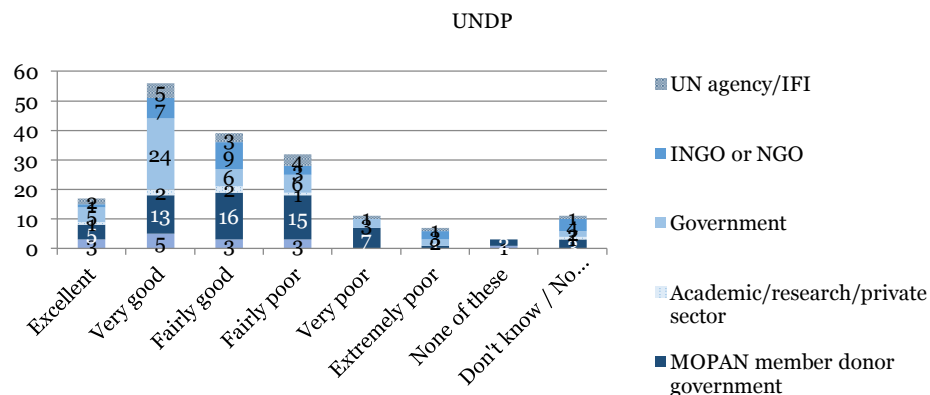
It ensures that its bureaucratic procedures (planning, programming, administrative, monitoring and reporting) are synergised with those of its partners (for example, donors, UN agencies, workers and employers organisations).

UNDP
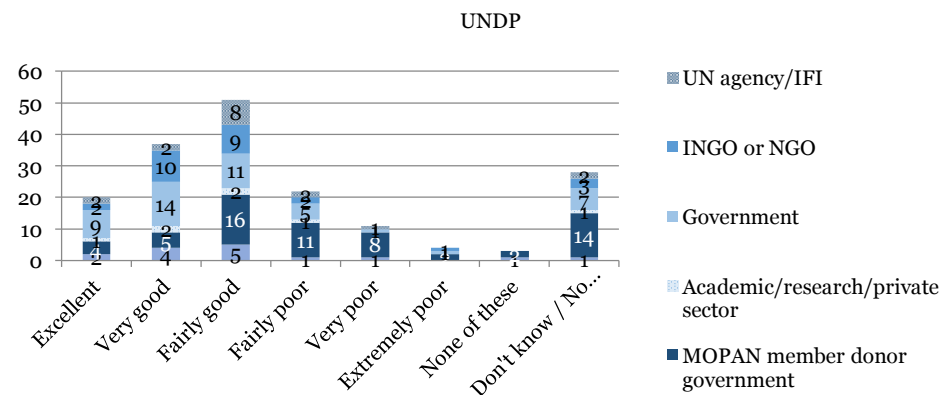
It provides high-quality inputs to policy dialogue in the country.

UNDP
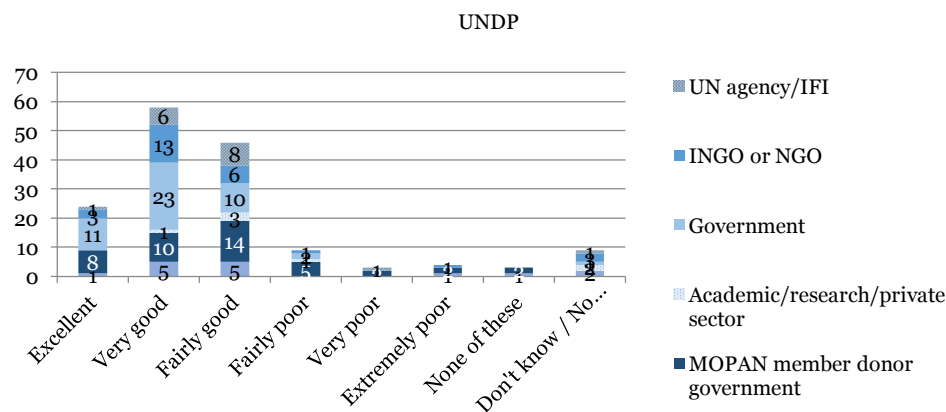
Its views are well respected in policy dialogue forums in the country.
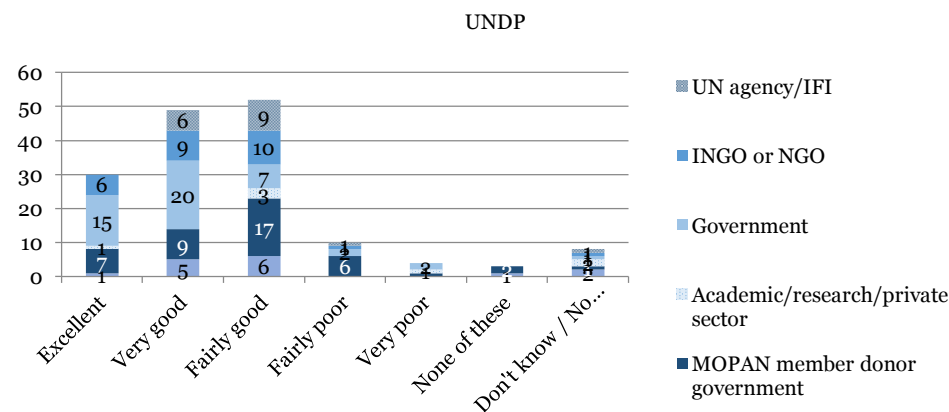
UNDP

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

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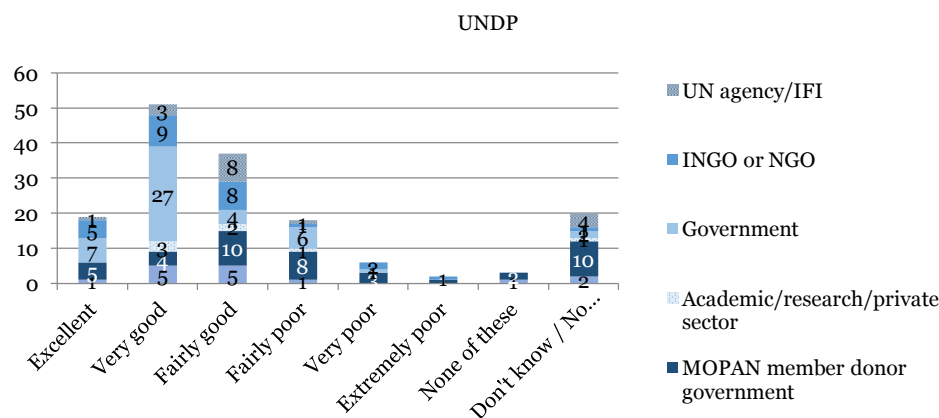
It channels financial resources through country systems (both financial and non-financial) in the country as the default option.
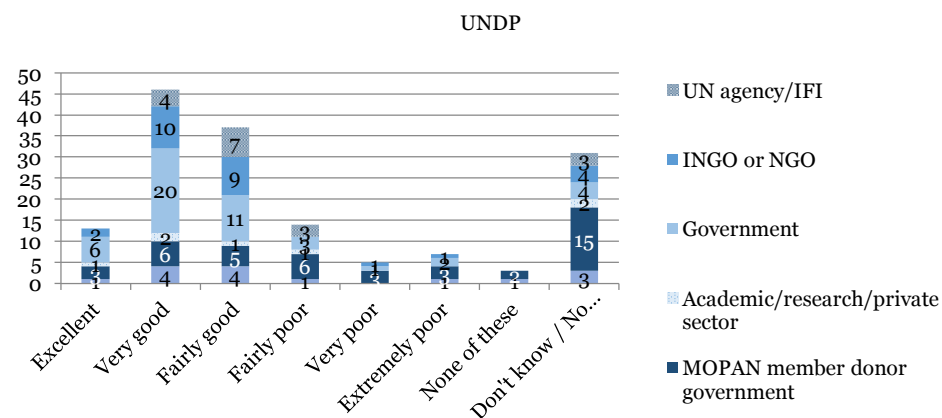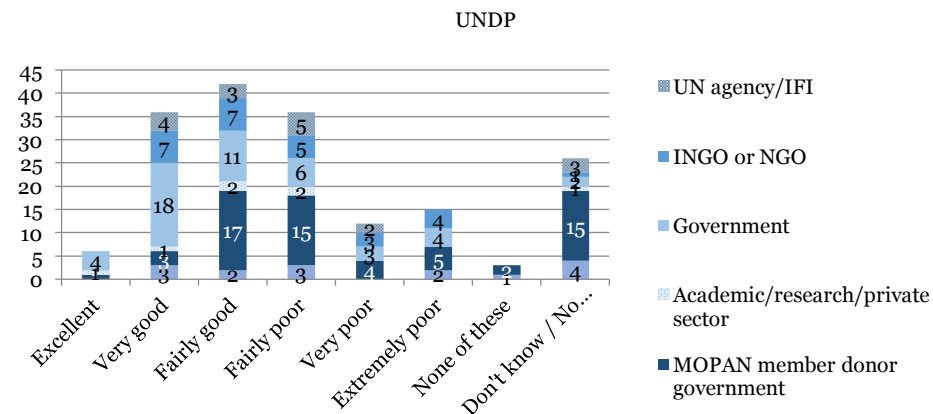
UNDP

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

It takes action to build capacity in country systems in the country where it has judged that country systems are not yet up to a required standard.
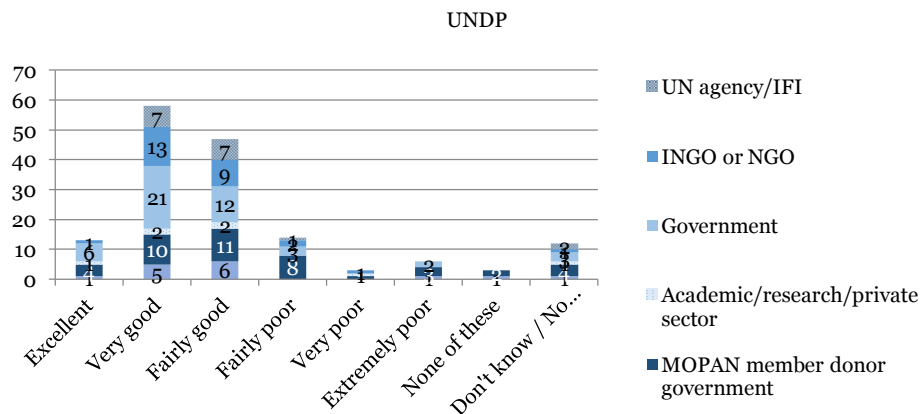
Its bureaucratic procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) do not cause delays in implementation for national or other partners
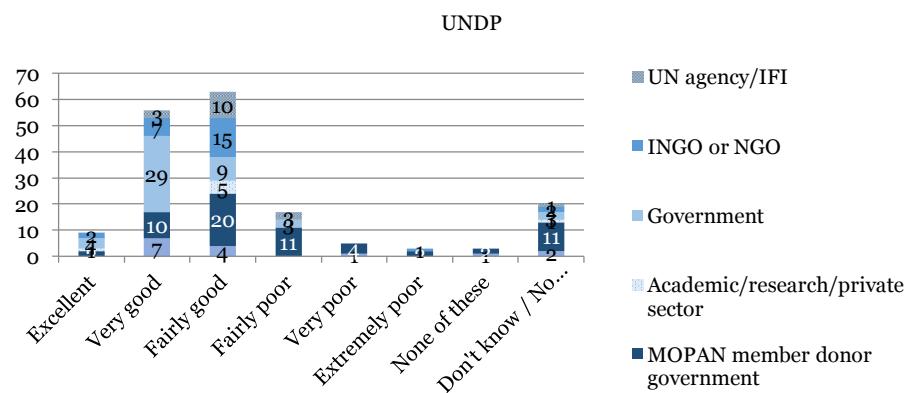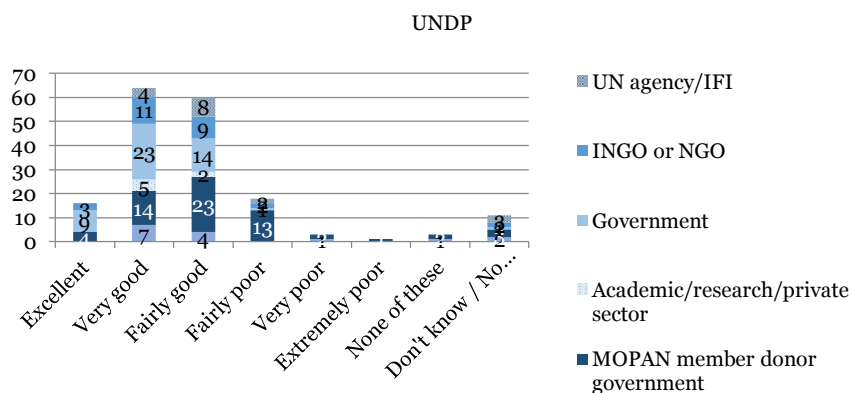
UNDP

UNDP

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

![MOPAN logo - Multilateral Organisation Performance Assessment Network]

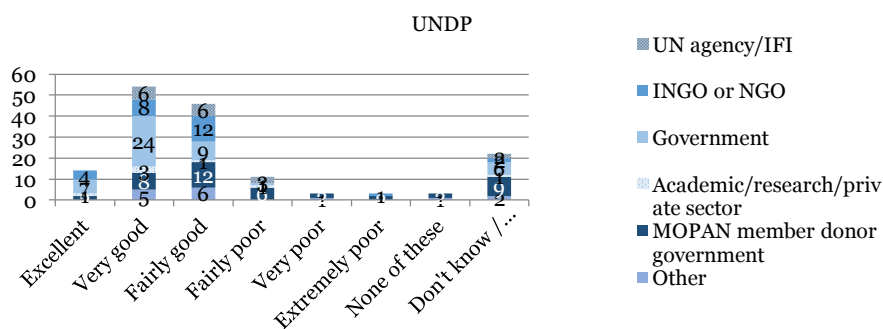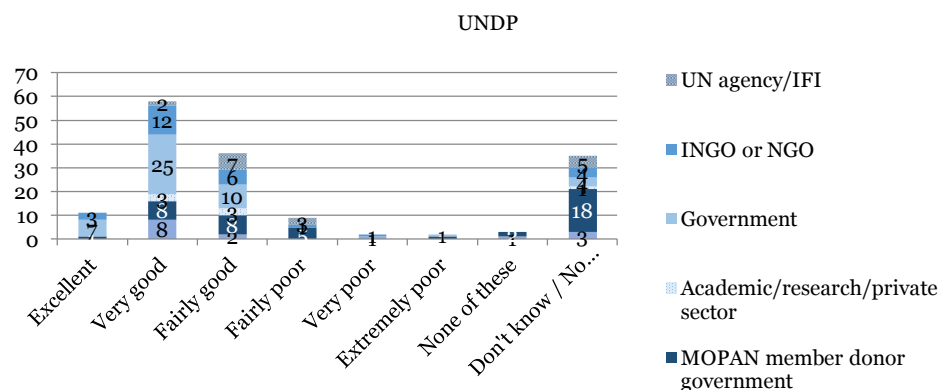# Performance management, part 1

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

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

UNDP

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

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

UNDP

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

It insists on basing its guiding policy and strategy decisions in relation to its work in the country on the use of robust performance data.

UNDP

Legend:
- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government
- Other

Respondents who identified their geographical focus as "global" were not asked to answer the lower left sided questions since it is only relevant to respondents with a specific country focus.
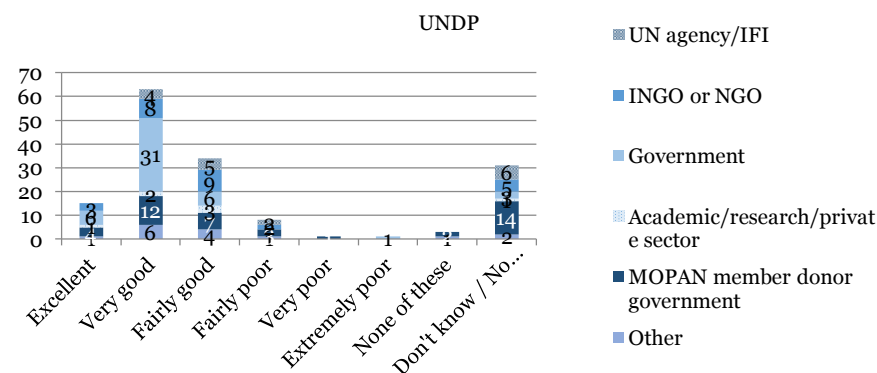
Performance management, part 2

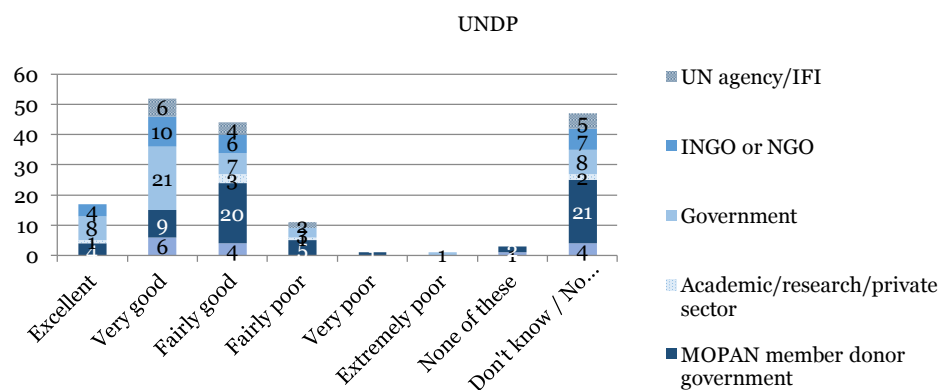How well do you think UNDP performs in relation to the areas below?

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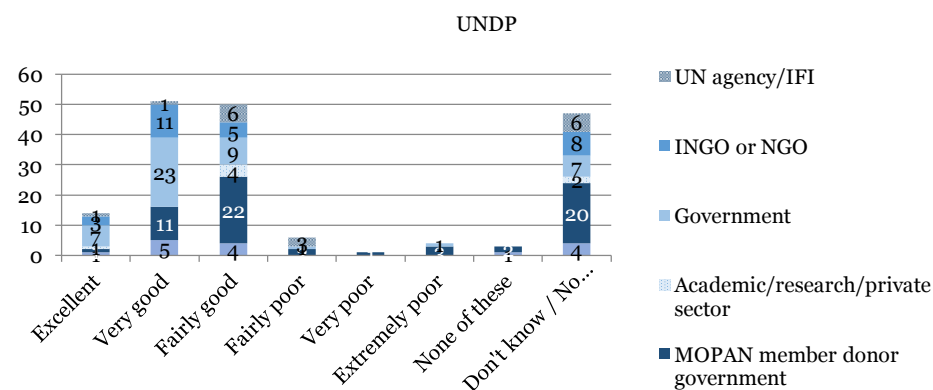
UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government

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

UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government
- Other

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

UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government

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

UNDP

- UN agency/IFI
- INGO or NGO
- Government
- Academic/research/private sector
- MOPAN member donor government

130

Respondents who identified their geographical focus as "global" were not asked to answer the two top questions since it is only relevant to respondents with a specific country focus.
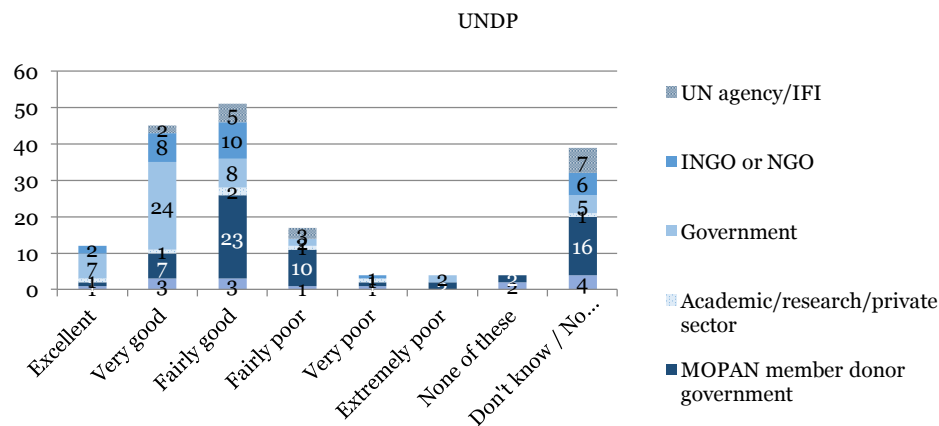
It consistently identifies which interventions are under-performing.

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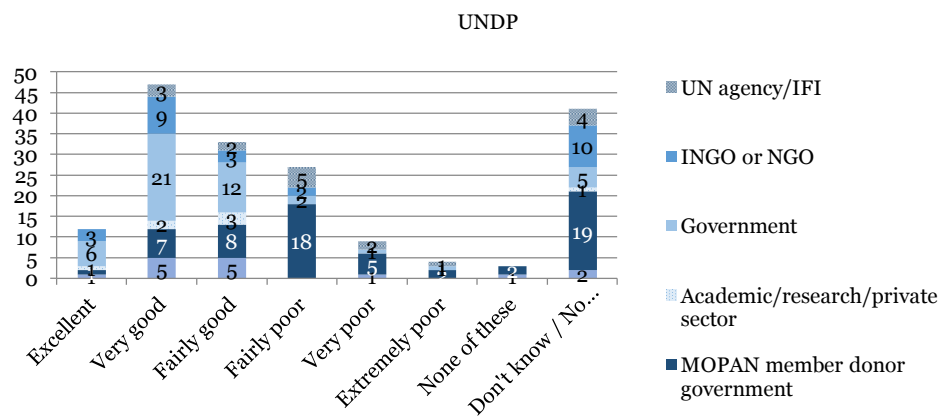
It addresses any areas of intervention under-performance, for example, through technical support or changing funding patterns if appropriate.

UNDP

It follows up any evaluation recommendations systematically.

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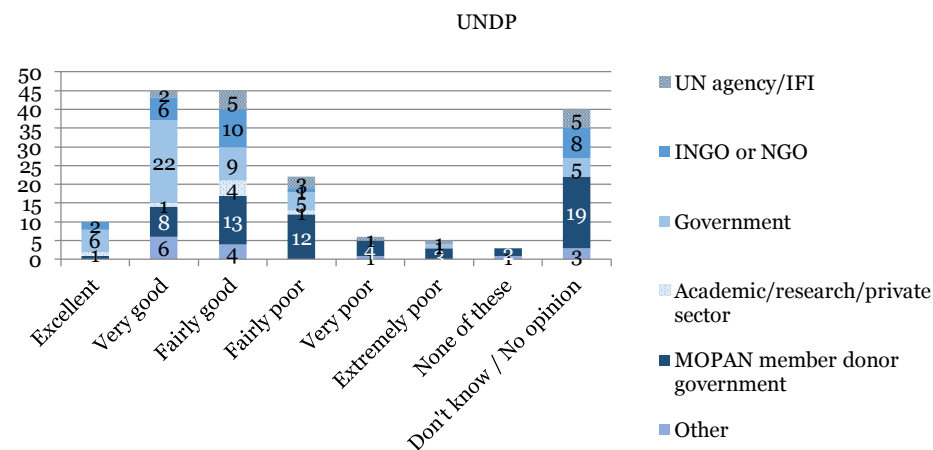
It learns lessons from previous experience, rather than repeating the same mistakes.

UNDP