



**Programme des
Nations Unies pour
l'environnement**

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COMITÉ EXÉCUTIF
DU FONDS MULTILATÉRAL AUX FINS
D'APPLICATION DU PROTOCOLE DE MONTRÉAL
Quatre-vingt-sixième réunion
Montréal, 2 – 6 novembre 2020
Reportée : 8 – 12 mars 2021¹

Addendum

ACTIVITÉS DU SECRÉTARIAT

1. Cet addendum est émis afin de communiquer des renseignements sur les secteurs dans lesquels le Secrétariat a effectué des activités depuis la fin du processus d'approbation intersessions créé pour la 86^e réunion du Comité exécutif (PAI-86).²

Notification des résultats du PAI-86

2. Le rapport sur le processus d'approbation intersessions pour la 86^e réunion³ a été transmis à tous les membres du Comité exécutif, aux agences d'exécution et au Secrétariat de l'ozone et publié dans la partie réservée du site Web du Secrétariat du Fonds multilatéral. Les résultats du PAI-86 portant sur les rapports périodiques des agences bilatérales et d'exécution, les projets faisant l'objet d'exigences particulières de remise de rapports, les retards dans la proposition des tranches et les approbations et prorogations de projets ont été transmis à 110 pays visés à l'article 5, ainsi qu'aux agences bilatérales et d'exécution concernées.

¹ À cause du coronavirus (COVID-19)

² Le Comité exécutif a été incapable de tenir ses 85^e et 86^e réunions comme prévu à l'origine à cause de l'évolution de la COVID-19 à partir du moment où la pandémie a été déclarée. Reconnaissant toutefois l'importance de maintenir le fonctionnement du Fonds multilatéral, les membres ont adopté un plan d'urgence « dynamique » (qui a été modifié et adapté à plusieurs reprises, selon le besoin) qui leur a permis de prendre des décisions sur plusieurs points à l'ordre du jour des deux réunions, notamment l'approbation de financement pour les propositions de projets présentées au nom des gouvernements des pays visés à l'article 5 par les agences bilatérales et d'exécution du Fonds dans le cadre de deux processus d'approbation intersessions, le premier créé pour la 85^e réunion et le deuxième créé pour la 86^e réunion.

³ UNEP/OzL.Pro/ExCom/86/IAP/3

Préparation pour les réunions de 2021 du Comité exécutif

3. En réponse à la décision XXXII/9 sur la composition du Fonds multilatéral pour l'année 2021, le Chef du Secrétariat a fait parvenir une lettre à tous les membres dans laquelle il leur souhaite la bienvenue au Comité exécutif et leur demande de lui faire parvenir le nom et les coordonnées du correspondant national officiel de leur gouvernement pour tout ce qui a trait au Fonds multilatéral/Comité exécutif.

4. Le Secrétariat continue à suivre l'évolution de la situation entourant la COVID-19 à l'échelle de la planète. Les membres du Comité exécutif ont été informés le 5 février 2021 du report des 85^e et 86^e réunions rendu nécessaire à cause des changements dans la situation épidémiologique au Québec et des nombreuses mesures en place, des contraintes pour les voyageurs à destination du Canada et de l'inaccessibilité du lieu de la réunion dans l'édifice de l'Organisation de l'aviation civile internationale, sauf pour le personnel essentiel. Les membres du Comité exécutif ont aussi été informés des principaux éléments du plan d'urgence révisé, à savoir :

- a) La prorogation du PAI-86 (appelé PAI-86pr), afin d'examiner plusieurs points à l'ordre du jour de la 86^e réunion sur lesquels les échanges ne sont pas terminés ou qui n'ont pas été examinés lors du PAI-86, étant entendu que les retards dans l'examen de plusieurs de ces points pourraient avoir des conséquences considérables sur le fonctionnement du Fonds multilatéral;
- b) La création d'un Sous-groupe sur le secteur de la production pour 2021 (comprenant quatre membres de pays visés à l'article 5 et quatre membres de pays non visés à l'article 5) ayant pour mandat de débattre des questions en instance de l'ordre du jour du Sous-groupe qui se réunirait en marge de la 86^e réunion;
- c) Le report de tous les points de l'ordre du jour en instance de la 86^e réunion à la 87^e réunion; et
- d) La tenue des 85^e, 86^e et 87^e réunions l'une à la suite de l'autre à Montréal au Canada, du 28 juin au 2 juillet 2021.

5. Par la suite, le Chef du Secrétariat a informé le président et le vice-président du Comité exécutif du plan d'urgence révisé comprenant la procédure pour la présentation des 85^e et 86^e réunions reportées. Après avoir reçu l'accord du président, le Chef du Secrétariat a fait parvenir le plan d'urgence révisé aux membres du Comité pour examen et commentaires. Le Secrétariat est en voie de mettre au point le plan d'urgence révisé à partir des commentaires reçus au moment d'écrire ces lignes et de faire des arrangements provisoires en conséquence pour les différents types de réunions possibles.

6. Le Secrétariat a continué à préparer et à publier les divers documents restants pour la 86^e réunion en arabe, en chinois, en anglais, en français et en espagnol sur le site Web du Fonds multilatéral.

Présence aux réunions et missions entreprises

7. Aucune mission n'a été entreprise à cause de l'éclosion de la COVID-19. Par contre, le Secrétariat a participé à plusieurs réunions virtuelles, comme indiqué ci-dessous.

Virtuelle, du 16 au 27 novembre 2020

8. Le Chef du Secrétariat, ainsi que quelques administrateurs principaux chargés de la gestion des programmes et l'administrateur principal chargé de la gestion administrative et financière ont assisté à la douzième réunion combinée de la Conférence des Parties à la Convention de Vienne (1^{re} partie) et la trente-deuxième réunion des Parties. Le Secrétariat a aussi assisté à la 65^e réunion du Comité d'application, où il

a offert une présentation, et le Chef du Secrétariat a assisté à la réunion du Bureau de la Réunion des Parties. Le personnel du Secrétariat a participé à différents groupes de contact pertinents et assisté à plusieurs événements parallèles.

Virtuelle, le 22 février 2021

9. Un administrateur principal chargé des programmes a participé à un webinaire organisé par le réseau régional de l'Amérique latine et des Caraïbes, où il a offert une présentation sur la communication des données relatives au programme de pays en utilisant le nouveau modèle qui comprend les données sur les HFC.

Virtuelle, le 23 février 2021

10. Le Chef du Secrétariat et un administrateur principal chargé de la gestion des programmes ont participé à une réunion thématique de réseau mixte de l'Asie du Sud et de l'Asie du Sud-Est portant sur les stratégies nationales pour la coordination de l'élimination des HCFC et la réduction progressive des HFC. Le Secrétariat a offert une présentation sur l'analyse des conséquences de la mise en œuvre en parallèle de l'élimination des HCFC et de la réduction progressive des HFC (UNEP/OzL.Pro/ExCom/84/65).

Dotation en personnel et recrutement

11. Le processus de sélection visant à pourvoir le poste de Chef adjoint du Secrétariat (D-1) est terminé. Le Directeur exécutif du PNUE a arrêté son choix sur Mme Rossana Del Carmen Silva-Repetto, qui entrera en fonction le 21 avril 2021.

12. Des comités de sélection ont été formés à la suite de la décision 84/6 de revaloriser les postes d'adjoint aux bases de données (BL 1116) de P2 à P3, d'adjoint d'équipe (BL 1309) de G4 à G5, et d'adjoint (finances et budget) (BL 1312) de G6 à G7, et le processus de sélection a abouti à la promotion de Mme Ngoc Thuy Duong à P-3, Mme Grace Nyoike à G-7 et M. Edmundo Cuellar à G-5. Le comité de sélection de l'Administrateur principal, Suivi et évaluation a terminé ses travaux et est en voie de communiquer sa recommandation au Directeur exécutif du PNUE pour sélection finale, avant la revue par l'organe central de contrôle.

Recrutement du Chef du Secrétariat

13. Au cours du PAI-86, le Comité exécutif a pris note que la question du recrutement du Chef du Secrétariat du Fonds multilatéral serait ajoutée à l'ordre du jour de la 86^e réunion, et a chargé le Secrétariat, conformément aux décisions 67/37 et 68/46, de mettre à jour la documentation relative au processus de sélection du Chef du Secrétariat du Fonds multilatéral et de la soumettre pour examen par le Comité exécutif à sa 87^e réunion, et de faire les arrangements nécessaires pour que le Comité exécutif entreprenne sa procédure de recrutement habituelle pour le poste de Chef du Secrétariat du Fonds multilatéral.⁴

14. Ainsi, le Chef du Secrétariat a informé le Directeur exécutif du PNUE de la décision ci-haut mentionnée et a entrepris des consultations avec son bureau sur la participation du PNUE au processus de sélection des candidats, dans le but de lancer le processus pour la sélection opportune du quatrième Chef du Secrétariat lorsque son prédécesseur prendra sa retraite en janvier 2022.

15. À la demande du Comité exécutif, le Secrétariat a examiné la documentation en question et a pris note des arrangements pris par le Secrétariat au nom du Comité exécutif afin de reproduire le processus de recrutement habituel utilisé pour recruter le troisième Chef du Secrétariat, et l'avis de vacance de poste

⁴ Paragraphe 16 du document UNEP/OzL.Pro/ExCom/86/IAP/3

révisé,⁵ qui ont fait l'objet de longs échanges avant d'être convenus aux 68^e et 69^e réunions, ainsi que de consultations avec le Directeur exécutif du PNUE afin de garantir que le processus de sélection soit conforme au programme de recrutement Inspira, qu'il demeure largement pertinent et qu'il puisse être élaboré afin d'embaucher le quatrième Chef du Secrétariat. Afin de faciliter l'examen de la question, l'annexe I aux présentes propose un extrait du document UNEP/OzL.Pro/ExCom/68/51 (paragraphe 24 à 32) expliquant les arrangements du processus de recrutement, étant entendu que les critères mentionnés au paragraphe 28 ont été mis à jour dans Inspira⁶ depuis cette date, la décision 68/46 servant de référence pour les mesures nécessaires au processus, qui comprennent l'approbation et la publication de l'avis de vacance de poste, la formation et la nomination du comité de sélection qui examinera toutes les candidatures, rencontrera les principaux candidats et présentera sa recommandation, et l'aide du PNUE tout au long du processus; et l'avis de vacance de poste approuvé à la 69^e réunion (décision 69/26 b)).

16. Afin d'entreprendre le processus de recrutement, le Comité exécutif pourrait souhaiter :
- a) Prendre note avec satisfaction de la participation d'un représentant du Directeur exécutif du PNUE au processus de sélection du quatrième Chef du Secrétariat;
 - b) Charger le Secrétariat d'organiser une rencontre virtuelle entre le représentant du Directeur exécutif du PNUE et le Comité exécutif sur le processus de sélection du quatrième Chef du Secrétariat, dans le but de :
 - i) Réviser, si nécessaire, et approuver l'avis de vacance de poste pour le poste de Chef du Secrétariat à partir de l'avis joint à l'annexe I au document UNEP/OzL.Pro/ExCom/86/2/Add.1;
 - ii) Demander au PNUE de publier l'avis de vacance de poste dont il est question à l'alinéa b) i) dans Inspira lorsqu'il aura été approuvé par le Comité exécutif et de faciliter le processus de sélection;
 - iii) Créer un comité de sélection formé de trois représentants de pays visés à l'article 5, trois représentants de pays non visés à l'article 5 et deux représentants du PNUE, qui examinera les candidatures, rencontrera les principaux candidats et présentera sa recommandation, étant entendu que :
 - a. Le Secrétariat collaborera avec les membres du Comité exécutif entre les sessions afin de choisir les trois membres de pays visés à l'article 5 et les trois membres des pays non visés à l'article 5 qui formeront le comité de sélection avec le président du Comité exécutif;
 - b. Le Comité exécutif décidera de la composition du comité de sélection à sa 87^e réunion;
 - c. Le comité de sélection sera coprésidé par un représentant du PNUE et le président du Comité exécutif en 2021 dans son rôle de premier notateur du poste de Chef du Secrétariat;
 - d. Le PNUE prêtera assistance au comité de sélection tout au long du processus de sélection des candidats et offrira un exposé sur l'application du processus d'entretien établi au sein des Nations Unies; et

⁵ Documents UNEP/OzL.Pro/ExCom/68/51 (partie II) et Add.1, et UNEP/OzL.Pro/ExCom/69/37 (paragraphe 5 à 7)

⁶ L'extrait joint à l'annexe I aux présentes tient compte de ce changement.

- c) Charger le Secrétariat de faire rapport sur les progrès accomplis dans le recrutement à la 87^e réunion.

Formation et perfectionnement du personnel

17. L'administrateur principal chargé de la gestion administrative et financière a participé à un programme de développement de la résilience; deux membres du personnel administratif ont entrepris des études dans le cadre du diplôme de l'Institut agréé des achats et des approvisionnements (en cours) et un haut fonctionnaire a suivi une formation en reconversion professionnelle et simulation d'entretien, tous organisés par les Nations Unies.

18. Deux administrateurs principaux chargés de la gestion des programmes ont participé à des webinaires, comme indiqué dans le tableau ci-dessous.

Titre	Organisateurs
Relever les défis d'un monde en évolution : Financement du refroidissement zéro émissions	Coalition du froid/PNUE
Comportement du frigorigène A2L dans un incendie de structure	Institut de la climatisation, du chauffage et de la réfrigération
Intégration du refroidissement durable aux politiques de récupération pour un avenir plus écologique	Coalition du froid
Ne pas faire l'impasse sur le refroidissement passif	Coalition du froid, programme de refroidissement efficace de Kigali, Énergie durable pour tous et CEA Consulting

Coopération avec les accords multilatéraux sur l'environnement et autres organisations

19. Conformément à la décision 79/1 b), le Secrétariat présente un aperçu complet de l'état de tous les échanges avec les accords multilatéraux sur l'environnement à l'annexe II au présent document.

Accords multilatéraux sur l'environnement

Protocole de Montréal

20. À la demande du groupe de travail du Groupe de l'évaluation technique et économique, le Secrétariat a continué à répondre aux questions du groupe de travail sur la reconstitution du Fonds multilatéral pour la période triennale 2021-2023.

Organisations des Nations Unies

Bureau du contrôle interne (OIOS)

21. L'OIOS effectue actuellement une vérification du Secrétariat, qui a pour but d'évaluer l'efficacité de l'offre de services du Secrétariat du Fonds multilatéral. La vérification porte sur la période ayant commencé le 1^{er} janvier 2018 et ayant pris fin le 31 décembre 2020. Le Secrétariat communiquera les résultats de la vérification de l'OIOS au Comité exécutif, lorsque celle-ci sera terminée.

Coalition pour le climat et la qualité de l'air en vue de réduire les polluants atmosphériques à courte durée de vie

22. Le Chef du Secrétariat et quelques administrateurs principaux chargés de la gestion des programmes ont participé aux échanges du champ de travail de Kigali, où le Chef du Secrétariat a offert une présentation de l'aperçu du soutien du Fonds multilatéral à l'application de l'Amendement de Kigali.

Autres organisations

Gouvernement de la France

23. Le Chef du Secrétariat a continué à fournir des informations et des réponses aux questions portant sur l'évaluation rétrospective de la Contribution de la France au Fonds multilatéral, afin d'offrir un aperçu du Fonds et des différents acteurs présents.

Réseau d'évaluation de la performance des organisations multilatérales (MOPAN)

24. Le Secrétariat a reçu la version finale de l'évaluation du Fonds multilatéral aux fins d'application du Protocole de Montréal réalisée par le MOPAN, ainsi que le document d'évaluation, joints au présent document. Des échanges bilatéraux sont prévus entre les deux Secrétariats après la réception du rapport d'évaluation, sur l'évaluation du Fonds multilatéral, la méthode utilisée et la souplesse possible qui permettrait de l'adapter au genre d'organisation à évaluer dans l'avenir.

25. Le projet de plan d'urgence révisé transmis aux membres du Comité exécutif laisse entendre que le rapport d'évaluation du MOPAN pourrait être présenté dans le contexte d'une rencontre virtuelle, au cours de laquelle le Secrétariat du MOPAN présenterait le rapport aux membres et aux représentants des agences bilatérales et d'exécution. Se fondant sur les commentaires reçus des membres, le Secrétariat inclura une rencontre virtuelle sur l'évaluation du MOPAN au calendrier.

Annex I

REFERENCE MATERIALS FOR THE RECRUITMENT PROCESS FOR THE POSITION OF CHIEF OFFICER OF THE MULTILATERAL FUND SECRETARIAT:

EXTRACT FROM DOCUMENT UNEP/OzL.Pro/ExCom/68/51 DECISION 68/46

VACANCY ANNOUNCEMENT APPROVED AT THE 69TH MEETING (DECISION 69/26(b))

Extract from document UNEP/OzL.Pro/ExCom/68/51

Outcome to meetings with UNON representatives on issues related to Inspira

24. Effective from April 2010 a new online application and selection system has been introduced with a new set of rules on the recruitment and selection process of UN personnel as governed by ST/AI/2010/3 on the staff selection system (Attached as Annex IV).

25. In its discussion with UNON staff on initiating and finalising the selection and recruitment process of the third Chief Officer through Inspira, the Secretariat identified three issues that need to be addressed as soon as possible to avoid any potential delays in the selection process.

Hiring Manager

26. Under the new system of Inspira, the Hiring Manager takes the lead role in the recruitment and selection process from the time the post is advertised in Inspira till the review of applicants online and the final recommendation. The Hiring Manager plays, in principle, the role of the Chair of the selection panel who would lead on tasks related to establishing short lists and interview lists, and making a recommendation on the most suitable candidate. This role is normally delegated to the first reporting officer for the post, which in the case of the post of the Chief Officer, and based on precedents, had been the Chairman of the Executive Committee since inception of the Fund.

27. Discussions with UNON indicated that under Inspira, the Hiring Manager should be a UN staff member. The Secretariat reminded UNON that the Chairman of the Executive Committee is not a UN staff member but is the first reporting officer of the Chief Officer, the UNEP Executive Director being the second reporting officer. As such, Chairs of the Executive Committee have always been granted access to the previous on line appraisal Galaxy system as a special case for the purpose of appraising the Chief Officer. Based on the access to Galaxy, the Secretariat has arranged for the current Chair of the Executive Committee to be granted access to Inspira. It seems therefore that it is technically possible to grant the Chairman access in Inspira, but the access right to Inspira for the purpose of leading a selection process in the system may constitute a policy issue that needs to be clarified with UNEP.

28. As soon as the issues of granting to a non-UN staff member the role of the Hiring Manager in Inspira is resolved, building a Job Opening in Inspira requires setting up the evaluation criteria in advance. ~~The evaluation criteria include a set of pre-screening questions and an assessment methodology. For each Job Opening in Inspira, a series of questions (between 10 and 15) from the pre-screening questions library of Inspira is associated with the Job Opening. These are yes/no or true/false questions that are objective and related to the job and will assist in filtering applicants. A threshold of 80 per cent is required to pass. Obtaining this grade is a prerequisite for releasing an applicant to the Hiring Manager for review.~~ **The evaluation criteria include a Job-Fit Questionnaire (JFQ) and an assessment methodology. For each Job Opening, a JFQ, which includes customizable pre-screening questions that allow the Hiring Manager to elicit targeted open text responses from candidates on how they meet the evaluation criteria in the Job Opening. This information facilitates the evaluation of candidates' eligibility and**

suitability. The JFQ lists the required and desirable work experience criteria which will be displayed in the job opening (at least 1 “required”). It also includes up to two optional custom questions related to the responsibilities, professionalism, education, language, skills, and/or duty station of the position. Candidates who report in the JFQ that they do not meet a required criterion or do not fill in the JFQ for a required criterion, are not released to the Hiring Manager for further assessment. In addition to interviews, a written test can be envisaged and is left at the discretion of the Hiring Manager. In this regard the Executive Committee may consider delegating to the Chairman of the selection panel the authority to make decisions on the assessment method and select the pre-screening questions as part of the administrative process of finalising the Job Opening of the next Chief Officer.

Panel composition

29. As indicated earlier, Inspira only allows UN staff members to have access to the recruitment system. Moreover it allows only UN staff members to be panel members. As such, Executive Committee members may be denied the role of being panel members under Inspira. However, based on advice from UNON on another recruitment case, and considering that Executive Committee members are not UN staff members, it would be possible to have the list of panel members set outside Inspira. Hard copies of applicants can be made available outside the Inspira system for the panel’s review.

30. ST/AI/2010/3 on the selection and appointment process in Inspira states that *“For positions at the D-2 level, heads of department/office/mission shall submit to the Senior Review Group a shortlist normally containing three names of qualified and suitable candidates, including at least one female candidate. The shortlist will be prepared following interviews by an interdepartmental assessment panel. In making such submission, due regard shall be given to candidates with diverse experience, including career mobility. The submission to the Senior Review Group from the head of department/office shall be transmitted to the Chairperson of the Senior Review Group through the Secretary of that body and shall include a comprehensive evaluation of the shortlisted candidates justifying their qualifications and suitability for the position. The submission shall also include the personal history profile of the shortlisted candidates and statistics on staff at the D-1 and D-2 levels in the department/office/mission, including information on nationality and gender.”*

31. In addressing the issue of the Hiring Manager of the Chief Officer post, who should normally be the Chair of the Executive Committee in the capacity of first reporting officer, the Secretariat has been advised by UNON that the recruitment panel report would need to be submitted to the UNEP Executive Director for his submission to and examination by the Senior Review Group. The Senior Review Group would review the process and make its recommendation to the United Nations Secretary General.

Competency Based Interview training

32. The Secretariat was advised that under Inspira panel members should be trained in competency based interviews. The Secretariat brought to UNON’s attention the fact that panel members for the selection of the MLF Chief Officer are Executive Committee members representing governments and are unlikely to have undergone the training. Some alternatives were offered including a quick training at the margin of the Executive Committee prior to the first meeting of the panel. Alternatively, competency based interview training materials could also be made available to the panel members. The Secretariat also requested a list of D-2 staff members that had carried out such training should it be necessary to call on some UNEP staff members to sit as panel members, since only UNEP staff at D-2 levels or higher could serve in a selection panel for a D-2 level post.

Decision 68/46

The Executive Committee decided:

- (a) To take note of documents UNEP/OzL.Pro/ExCom/68/51 and Add.1;
- (b) To approve the vacancy announcement for the post of third Chief Officer as approved at the 68th meeting and attached as Annex XXVII to the present report;
- (c) To request UNEP to expedite the launching of the vacancy announcement, as approved by the Executive Committee at its 68th meeting, in INSPIRA and to facilitate the selection process;
- (d) To approve the establishment of a selection panel consisting of: three representatives of Article 5 countries, three representatives of non-Article 5 countries and two representatives of UNEP, who would review all applications, interview leading candidates and make a recommendation, if possible, to the 69th meeting of the Executive Committee, it being understood that:
 - (i) The Secretariat would work expeditiously with Executive Committee members intersessionally to identify the three representatives of Article 5 countries and the three representatives of non-Article 5 countries, including the Chair of the Executive Committee, to serve on the selection panel;
 - (ii) The Executive Committee would take a decision intersessionally on the composition of the selection panel;
 - (iii) The selection panel would be co-chaired by a representative of UNEP and the Chair of the Executive Committee in 2013 in her capacity as first reporting officer;
 - (iv) UNEP would assist the selection panel throughout the process of selecting the candidates and would provide a briefing on the use of the established interviewing method within the United Nations;
 - (v) One of the two UNEP representatives on the selection panel would be the Executive Secretary of the Ozone Secretariat;
 - (vi) The selection panel should provide its recommendations to the Executive Committee, if possible, at the 69th meeting;
 - (vii) After considering the recommendations of the selection panel, the Executive Committee should forward its decision on the recommendations to the hiring manager;
- (e) To request the Executive Director of UNEP to work with the Chair of the Executive Committee to keep the Executive Committee informed of progress made throughout the hiring process; and
- (f) To request the Secretary-General of the United Nations and the Executive Director of UNEP to expedite the timely appointment of the Chief Officer in order to ensure continuity of the work of the Multilateral Fund.



Job Opening

Job Title:	CHIEF OFFICER, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, D2
Department/ Office:	United Nations Environment Programme
Duty Station:	MONTREAL
Posting Period:	13 February 2013-24 April 2013
Job Opening Number:	13-PGM-UNEP-26476-D-MONTREAL (X)

United Nations Core Values: Integrity, Professionalism, Respect for Diversity

Org. Setting and Reporting

The United Nations Environment Programme (UNEP) is the United Nations system's designated entity for addressing environmental issues at the global and regional level. Its mandate is to coordinate the development of environmental policy consensus by keeping the global environment under review and bringing emerging issues to the attention of governments and the international community for action. The Secretariat of Multilateral Fund (MFS) for the Implementation of the Montreal Protocol is dedicated to reversing the deterioration of the Earth's ozone layer. It was established in 1991 to assist developing countries to meet their Montreal Protocol commitments in complying with the control measures of the ozone-depleting substances. The Fund Secretariat in Montreal assists the Committee in this task. The Secretariat is administered by UNEP. This post is located in UNEP/MFS at the Montreal duty station. Under the guidance and instruction of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol, the Chief Officer will assist the Executive Committee in the discharge of its functions and report to it.

Responsibilities

Directing the development of the Multilateral Fund strategic plan, operational policies and guidelines. Developing three-year budgets and plans for the Multilateral Fund for consideration by the Executive Committee. Managing the financial resources and developing plans and strategies on the basis of available financial resources. Managing relations with, and coordinating the work of the implementing agencies of the Multilateral Fund: UNDP, UNEP, UNIDO and the World Bank. Establishing and managing effective relations with Article 5 countries to promote environmental issues and ensure the achievement of the Montreal Protocol phase-out targets. Directing the assessment of activities and projects established on the basis of developing countries' compliance needs. Effectively managing the Secretariat by providing leadership in fostering UN values and principles through setting performance objectives and standards, conducting performance appraisals, assessing staff training needs, and establishing short and long term goals and objectives.

Competencies

Professionalism: Demonstrates professional competence and mastery of subject matter, is conscientious and efficient in meeting commitments, observing deadlines and achieving results. **Accountability:** Operates in compliance with organizational rules and regulations, delivers outputs within prescribed time, cost and quality standards. **Communication:** Listens to others, correctly interprets messages from others and responds appropriately. Demonstrates openness in sharing information and keeping people informed.

Leadership: Is proactive in developing strategies to accomplish objectives. Drives for change and improvement; does not accept the status quo. Empowers others to translate vision into results. **Managing performance:** Delegates the appropriate responsibility, accountability and decision-making authority. Makes sure that roles, responsibilities and reporting lines are clear to each staff member. Monitors progress against milestones and deadlines.

Education

Advanced university degree at masters or preferably Ph.D. level would be required with preference in economics, business administration, finance, public administration or any other relevant field.

Work Experience

A minimum of 15 years of professional working experience related to policy development, project evaluation and implementation, with at least 7 years at a senior level. Qualifying years of experience are calculated following the receipt of the first-level university degree recognized by the United Nations. Experience in dealing with international organizations and national governments as well as extensive knowledge of UN and UNEP policy and decision making structure is desirable.

Languages

English and French are the working languages of the United Nations Secretariat. For the post advertised, fluency in oral and written English is required. Working knowledge of another UN languages is an advantage.

Assessment Method

Evaluation of qualified candidates for this position may include substantive assessment which may be followed by a competency-based interview.

Special Notice

Staff members are subject to the authority of the Secretary-General and to assignment by him or her. In this context, all staff are expected to move periodically to new functions in their careers in accordance with established rules and procedures.

All applicants are strongly encouraged to apply on-line as soon as possible after the job opening has been posted and well before the deadline stated in the job opening. On-line applications will be acknowledged where an email address has been provided.

If you do not receive an e-mail acknowledgement within 24 hours of submission, your application may not have been received. In such cases, please resubmit the application, if necessary. If the problem persists, please seek technical assistance through the Inspira "Need Help?" link.

United Nations Considerations

The United Nations shall place no restrictions on the eligibility of men and women to participate in any capacity and under conditions of equality in its principal and subsidiary organs. (Charter of the United Nations - Chapter 3, article 8). The United Nations Secretariat is a non-smoking environment.

No Fee

THE UNITED NATIONS DOES NOT CHARGE A FEE AT ANY STAGE OF THE RECRUITMENT PROCESS (APPLICATION, INTERVIEW MEETING, PROCESSING, OR TRAINING). THE UNITED NATIONS DOES NOT CONCERN ITSELF WITH INFORMATION ON APPLICANTS' BANK ACCOUNTS.

Annexe II

CONSEILS ET/OU RENSEIGNEMENTS FOURNIS PAR LE SECRÉTARIAT DU FONDS MULTILATÉRAL AUX ORGANES NE RELEVANT PAS DU PROTOCOLE DE MONTRÉAL

Conseils/échanges/interaction du Secrétariat	Réunion
Fonds d'adaptation	
Explications des politiques du Fonds multilatéral sur les intérêts accumulés. L'information fournie par le Secrétariat est contenue dans le document AFB/EFC.18/10 de la 18 ^e réunion du Comité de l'éthique et des finances sur le site https://www.adaptation-fund.org/wp-content/uploads/2016/03/AFB-EFC-18.10-Investment-income-doc.pdf .	76
Forum arabe pour l'environnement et le développement	
Un article sur l'expérience du Fonds multilatéral dans la région arabe, dans le contexte du Forum arabe pour l'environnement et le développement de 2018.	81
Centre des solutions climatiques et énergétiques (anciennement le Centre Pew sur les changements climatiques)	
Documents UNEP/OzL.Pro/ExCom/37/59, UNEP/OzL.Pro/ExCom/38/54 et Add.1 ; le texte des décisions 37/62 et 38/63 ; Lignes directrices sur le financement de la technologie n'appartenant pas au domaine public (annexe XIV au document UNEP/OzL.Pro/ExCom/38/70/Rev.1) ; Observations sur les droits et redevances du transfert de technologie pour différents types de projets (dioxyde de carbone liquide, inhalateurs à doseur, gonflage du tabac, HFC-32 pour le secteur de la réfrigération, CO ₂ supercritique, secteur de la production de HCFC).	75
Coalition sur le climat et l'air propre afin de réduire les polluants climatiques de courte durée de vie (CCAC)	
Présentation sur l'aperçu du soutien du Fonds multilatéral pour la mise en œuvre de l'Amendement de Kigali dans le contexte des échanges sur le champ de travail de Kigali	86
Consultations informelles avec le Secrétariat du CCAC sur un nouveau projet de refroidissement efficace déjà approuvé provisoirement par le groupe de travail de la CCAC, afin de développer un leadership de haut niveau et de faciliter la collaboration entre les parties prenantes, en vue de favoriser une efficacité énergétique accrue dans le secteur du refroidissement pendant que les pays mettent en œuvre la réduction progressive des frigorigènes à base de HFC au titre du Protocole de Montréal.	83
Récapitulatif des projets de démonstration approuvés sur les HCFC et options pour un nombre de projets supplémentaires afin de démontrer les technologies de remplacement des HCFC respectueuses du climat et éconergétiques (UNEP/OzL.Pro/ExCom/72/40). Information sur des enquêtes sur les solutions de remplacement des SAO financées par le Fonds multilatéral, occasions possibles pour la CCAC dans les pays à économie en transition ; enseignements tirés du Fonds multilatéral qui pourraient s'appliquer au processus d'examen technique et au cycle de financement des projets de la CCAC.	75
Document 72/40, Récapitulatif des projets de démonstration approuvés sur les HCFC et options pour un nombre de projets supplémentaires afin de démontrer les technologies de remplacement des HCFC respectueuses du climat et éconergétiques (décision 71/51 a)), qui résume les résultats des projets de démonstration du Fonds multilatéral approuvés à ce jour.	74
Centre-Réseau des technologies climatiques	
Présentation sur le renforcement des capacités au titre du Fonds multilatéral en tant que matériel ressource pour la sixième réunion du Conseil consultatif. Renseignements généraux et documents d'information sur le Fonds multilatéral.	75

Conseils/échanges/interaction du Secrétariat	Réunion
Union européenne/Parlement européen	
Au cours de la vingt-cinquième Réunion des Parties, le Chef du Secrétariat a reçu une demande du Parlement européen de tenir des discussions bilatérales sur les questions en lien avec le Protocole de Montréal, y compris les ressources nécessaires pour la reconstitution du Fonds multilatéral et les propositions de contributions supplémentaires pour financer les avantages pour le climat. En réponse à cette demande, le Chef du Secrétariat a offert aux deux représentants du Parlement européen un court exposé expliquant le fonctionnement du Fonds multilatéral.	71
Ministère de la Coopération et du Développement économiques de l'Allemagne	
Renseignements sur les réalisations du Fonds multilatéral et sommaire des projets approuvés mis en œuvre par l'Allemagne en tant qu'agence bilatérale.	77
Fonds pour l'environnement mondial (FEM)	
Le Secrétariat a participé à l'atelier sur la « Réalisation de nombreux bienfaits environnementaux mondiaux grâce à la bonne gestion des produits chimiques et des déchets » organisé par le Groupe de l'évaluation technique et économique et a été invité à participer aux échanges sur les liens reconnus, surtout concernant l'appauvrissement de la couche d'ozone	86
Observations sur les interventions concernant les activités de facilitation, le renforcement des institutions et le soutien à la ratification de l'Amendement de Kigali dans les pays à économie en transition, et examen d'un plan pour le Tadjikistan.	86
Échanges informels en ligne entre le Secrétariat et le personnel du FEM sur les futures occasions de collaboration en matière d'efficacité énergétique.	85
Examen d'un projet d'efficacité énergétique des climatiseurs dans les bâtiments pour l'Inde.	84
Examen d'un projet : Accélération de l'adoption du confort thermique durable : Transition vers l'efficacité énergétique et les villes résistantes au climat en Inde.	82
Examen de quatre projets : Achèvement de l'élimination de la consommation de HCFC grâce à des technologies à faible PRG au Bélarus, projet 6046 du FEM ; Kazakhstan, Élimination des HCFC au Kazakhstan par la promotion de technologies éconergétiques sans SAO et à faible PRG, projet 6090 du FEM ; Élimination complète du HCFC au Tadjikistan par la promotion des technologies éconergétiques sans SAO et à faible PRG, projet 6030 du FEM ; Élimination complète du HCFC en Ouzbékistan par la promotion de technologies éconergétiques sans SAO et à faible PRG, projet 6003 du FEM.	80
Examen du projet sur l'introduction de solutions de remplacement des SAO en agriculture après la récolte au Kazakhstan (projet 9184 du FEM).	76
Observations sur la proposition de projet sur le bromure de méthyle au Kazakhstan (financé par le FEM) ; présentation d'idées sur l'utilisation des fonds au titre de la FEM 6 pour l'élimination dans les pays visés à l'article 5 à économie en transition. Renseignements sur les échanges lors de récentes réunions au titre du Protocole de Montréal concernant les propositions pour amender le Protocole.	75
Examen du projet (Introduction de solutions de remplacement des SAO en agriculture après la récolte au Kazakhstan) par rapport aux politiques et aux lignes directrices du Fonds multilatéral.	72
Le Secrétariat a été invité à assister à la 45 ^e réunion du Conseil du FEM qui aurait lieu du 5 au 7 novembre 2013. Dans une invitation subséquente lancée au nouveau Chef du Secrétariat, la directrice générale et présidente du FEM a accueilli la reconduction de la coopération passée consistant à offrir de l'assistance aux Parties afin qu'elles respectent leurs obligations au titre du Protocole de Montréal et un renouvellement des liens de longue date entre les deux organisations. Dans sa réponse, le Chef du Secrétariat a informé la directrice générale que le Secrétariat du Fonds ne pourrait pas assister à la réunion du Conseil à cause des préparatifs pour la 71 ^e réunion, en ajoutant qu'il se réjouissait toutefois de faire sa connaissance afin de resserrer les liens avec le Secrétariat du FEM.	71

Conseils/échanges/interaction du Secrétariat	Réunion
Le Secrétariat a participé à une réunion du Groupe consultatif technique sur les produits chimiques et les déchets du FEM (TAG) afin de transmettre ses commentaires sur le projet de stratégie pour le domaine d'intervention des produits chimiques et des déchets, dans le but d'orienter la sixième période de reconstitutions du FEM (FEM 6). Le projet de stratégie comprend les activités du FEM en lien avec le Protocole de Montréal.	69
Il y a échange de lettres avec le directeur général du FEM depuis la 67 ^e réunion sur la coopération entre les deux organismes de financement. Une attention particulière a été accordée à la possibilité d'émettre une publication conjointe du Fonds multilatéral et du FEM sur la mise en œuvre du Protocole de Montréal au cours des 25 dernières années.	68
Gouvernement de la France	
Le Chef du Secrétariat a participé à un entretien sur la proposition d'évaluation rétrospective de la contribution de la France au Secrétariat du Fonds et a fourni des réponses aux questions de suivi afin d'offrir un aperçu du Fonds et des différents acteurs présents	86
Visite de courtoisie au ministère de l'Économie et des Finances de la France. Les échanges ont notamment porté sur la coopération bilatérale du gouvernement de la France et la reconstitution du Fonds multilatéral pour la période triennale de 2021-2023.	83
Renseignements sur les modalités des contributions supplémentaires au Fonds multilatéral.	77
Fonds vert pour le climat (FVC)	
Échanges informels en ligne entre le Secrétariat et le personnel du FVC sur les futures possibilités de collaboration, après que la COVID-19 ait forcé l'annulation de la réunion de consultation sur l'élaboration de l'orientation sectorielle sur l'efficacité énergétique du FVC prévue pour le 27-28 février 2020.	85
Un représentant du FVC a rendu visite au Secrétariat et a participé à plusieurs réunions avec le personnel du Secrétariat, où il a pu partager des informations sur le fonctionnement des deux fonds et les futures occasions de collaboration.	84
Échanges informels entre le Chef du Secrétariat et le Secrétaire exécutif adjoint du FVC sur les questions d'intérêt pour les deux Fonds en marge de la quatrième session de l'assemblée des Nations Unies sur l'environnement.	83
Documents de réunion sur les modalités de la déclaration des coûts administratifs des agences d'exécution, dont les documents : UNEP/OzL.Pro/ExCom/26/67, UNEP/OzL.Pro/ExCom/34/52, UNEP/OzL.Pro/ExCom/38/59, UNEP/OzL.Pro/ExCom/55/48 et UNEP/OzL.Pro/ExCom/80/43	81
Conférence téléphonique afin de fournir des informations sur les pratiques du Fonds multilatéral concernant les prêts à des conditions de faveur et les surcoûts.	80
Offre d'un lien aux documents d'intérêt pour le Groupe de l'évaluation technique et économique, le Groupe d'évaluation scientifique et le Groupe d'évaluation des effets sur l'environnement sur le site Web du Secrétariat de l'ozone, et une rencontre d'introduction avec le spécialiste des communications du Secrétariat de l'ozone ; Des documents ont été fournis, dont le document d'introduction du Comité exécutif ; les politiques, procédures, lignes directrices et critères du Fonds multilatéral ; la présentation sur la Gouvernance, le modèle d'affaires, les réalisations et les défis du Fonds multilatéral ; des exemples de documents de pré-session sur la planification des affaires et des propositions de projets ; des programmes de travail de suivi et évaluation et des rapports d'achèvement de projet ; des modèles de plans d'activités ; des lignes directrices sur l'établissement des rapports périodiques ; des rapports de deux évaluations du renforcement des institutions, et le programme de travail de suivi et évaluation.	77
L'expérience du Secrétariat du Fonds concernant l'établissement d'arrangements légaux avec les organes d'exécution et la mise en place d'un système de rapports périodiques pour le Fonds multilatéral.	76

Conseils/échanges/interaction du Secrétariat	Réunion
Renseignements sur les indicateurs d'efficacité développés pour le Fonds multilatéral ; Renseignements sur les échanges lors de récentes réunions du Protocole de Montréal concernant les propositions d'amendement au Protocole de Montréal ; Renseignements sur le cadre de suivi et de comptabilité du Fonds multilatéral, dont le chapitre XI des politiques, procédures, lignes directrices et critères du Fonds multilatéral (suivi et évaluation) ; Présentation sur le renforcement des capacités au titre du Protocole de Montréal.	75
Présentation sur le Fonds multilatéral et exemples de documents clés, dont les activités du Secrétariat, l'état du Fonds, le plan d'activités général et les rapports périodiques, et un échantillonnage de propositions de projets et de documents d'orientation. D'autres détails et échanges sur le Fonds multilatéral.	74
Aperçu des objectifs et du fonctionnement du Fonds multilatéral, y compris son processus d'examen des projets, l'élaboration de politiques, le processus de réunion et la mise en œuvre des décisions du Comité exécutif.	72
Le Secrétariat intérimaire du FEM a écrit au Fonds multilatéral le 24 septembre 2013 afin de l'inviter à assister à la 5 ^e réunion du conseil du FEM en qualité d'observateur, en précisant toutefois que la qualité d'observateur du Fonds multilatéral n'avait pas encore été approuvée. Le Secrétariat du Fonds n'a pas pu assister à la réunion du conseil, qui s'est déroulée du 8 au 10 octobre, à cause des préparatifs pour la 71 ^e réunion. Le Secrétariat a été informé dans une lettre datée du 21 octobre 2013 que la prochaine réunion du conseil aurait lieu en Indonésie du 19 au 21 février 2014 et que la qualité d'observateur du Fonds multilatéral avait été approuvée par un amendement à la décision B.04/15. Le Fonds multilatéral a aussi été invité à nommer une personne-ressource.	71
École de gestion de Grenoble	
Renseignements sur les politiques et directives du Fonds multilatéral et le processus d'approbation de projet pour une étude sur les courbes d'apprentissage de la technologie.	80
Plateforme intergouvernementale scientifique et politique sur la biodiversité et les services écosystémiques (IPBES)	
Renseignements sur les pratiques entourant le soutien financier offert aux participants/délégués aux réunions.	75
Agence internationale de l'énergie (AIE)	
Le Secrétariat et le Secrétaire exécutif du Secrétariat de l'ozone ont rencontré un représentant de l'AIE. Le Secrétariat a expliqué les travaux sur l'efficacité énergétique dans le contexte de l'Amendement de Kigali. Le représentant de l'AIE a indiqué que l'organisation avait entrepris une compilation des politiques et normes sur l'efficacité énergétique dans différents pays, qu'elle a ensuite mise à la disposition du Secrétariat. Le représentant aussi partagé un rapport sur le refroidissement préparé par l'AEI.	83
Corps commun d'inspection des Nations Unies	
Le Secrétariat a rempli un questionnaire portant sur l'examen de politiques et pratiques écologiquement durables à l'échelle du système des Nations Unies.	86
Sommaire actualisé des renseignements sur l'assistance technique et le financement accordé aux petits États insulaires en développement au titre du Fonds multilatéral, qui avait déjà été distribué en février 2015. D'autres précisions ont été apportées le 20 octobre et le 7 novembre 2016.	77
Observations sur le document Examen des activités et des ressources consacrées à la lutte contre les changements climatiques à l'échelle du système des Nations Unies ; Renseignements fondamentaux, dont un sommaire de l'assistance technique et du financement fourni aux petits États insulaires au titre du Fonds multilatéral et renseignements exhaustifs sur les projets du Fonds multilatéral approuvés pour chaque pays.	74

Conseils/échanges/interaction du Secrétariat	Réunion
Le Secrétariat a rempli un questionnaire sur l'examen des activités et ressources consacrées à la lutte contre les changements climatiques.	73
Observations et correction des faits concernant l'information sur le Fonds multilatéral dans le rapport sur l'Examen de la gouvernance environnementale dans le système des Nations Unies après Rio + 20.	72
En ce qui concerne l'évaluation/examen de 2013 intitulée Examen de la gouvernance environnementale dans le système des Nations Unies après Rio + 20, le Secrétariat a remis au Corps commun d'inspection des Nations Unies des renseignements sur la structure du Fonds, les niveaux de financement, le nombre et les caractéristiques des réunions, les participants aux réunions, le processus d'approbation des projets, les coûts d'appui, les niveaux de personnel du Secrétariat, l'historique des approbations de 2006 à 2013, les modalités de mise en œuvre, la conformité, le cadre de gouvernance, la planification stratégique, les synergies et la coordination avec d'autres accords multilatéraux sur l'environnement, les évaluations scientifiques, la promotion et la vulgarisation, l'administration, la répartition des genres et l'équilibre géographique du Comité exécutif et du Secrétariat.	70
Programme d'efficacité du refroidissement de Kigali (K-CEP)	
Participation au webinaire du 28 février 2020 sur le mécanisme de financement des contributions déterminées au niveau national pour un refroidissement efficace et écologique (mécanisme de soutien des contributions déterminées au niveau national), une nouvelle initiative qui offre un soutien financier et une orientation aux entités qui soutiennent les pays dans l'intégration de solutions de refroidissement dans le prochain cycle de leurs contributions déterminées au niveau national. En réponse à la demande de précisions du Secrétariat, qui voulait savoir si les propositions de projet à présenter comprendraient des mesures de protection pour éviter l'adoption de solutions de refroidissement à base de frigorigènes à PRG élevé, le K-CEP a indiqué que le mécanisme de soutien des contributions déterminées au niveau national ferait la promotion de technologies à faible PRG.	85
En réponse à une demande de communiquer des observations à ITAD Ltée, une organisation chargée de mieux faire comprendre le rôle du K-CEP dans la promotion de l'efficacité énergétique dans le secteur du refroidissement, le Secrétariat a participé à une conférence téléphonique avec un membre du personnel d'ITAD afin de l'informer de la contribution du Secrétariat au K-CEP lors de la phase initiale de sa mise sur pied et sa compréhension du lien entre les activités du K-CEP et les activités de projet du Protocole de Montréal, surtout en ce qui concerne les projets de réduction progressive des HFC.	84
Partage informel permanent de renseignements sur l'expérience du Fonds multilatéral.	80
Le directeur et un autre représentant du K-CEP responsable de la coordination des travaux de 19 fondations philanthropiques sur les questions liées à l'efficacité énergétique et le refroidissement dans le contexte de la mise en œuvre de l'Amendement de Kigali ont rendu visite au Secrétariat le 26 janvier 2017, afin d'en apprendre davantage sur le Fonds multilatéral. Le K-CEP souhaite attribuer environ 53 millions \$US de ses fondations philanthropiques d'ici la fin de 2017 par le biais du soutien ciblé aux programmes de pays de plusieurs petits pays et un soutien plus général à plus de 100 pays, afin d'améliorer l'efficacité énergétique. Le document d'introduction du Comité exécutif ; une présentation résumant le fonctionnement du Fonds multilatéral ; les lignes directrices pour la présentation des rapports périodiques et financiers ; le guide de préparation des propositions de projets ; les modèles de rapport d'achèvement de projet, le document UNEP/OzL.Pro/ExCom/74/51 sur l'examen du renforcement des institutions et la décision connexe du 74/51 figuraient parmi les informations fournies.	78
Laboratoire national Lawrence Berkeley	
Le Secrétariat a transmis ses observations sur un projet de rapport sur les possibilités et risques associés à l'amélioration de l'efficacité énergétiques et les changement de frigorigènes dans les climatiseurs de pièce.	80
Conseil de défense des ressources naturelles	

Conseils/échanges/interaction du Secrétariat	Réunion
L'indicateur sur le climat du Fonds multilatéral, y compris l'outil (fichier Excel), le manuel (PDF) et une explication de l'outil (fichier Word).	81
Convention de Minamata sur le mercure	
En juillet 2013, le Secrétariat a été invité par le gouvernement du Japon à assister à la Conférence des plénipotentiaires sur l'adoption et la signature de la Convention de Minamata sur le mercure, présentée du 9 au 11 octobre 2013 à Kumamoto et à Minamata, au Japon. Malheureusement, le Secrétariat n'a pas pu y assister.	71
Réseau d'évaluation de la performance des organisations multilatérales (MOPAN)	
Une réunion virtuelle a été organisée pour le Secrétariat du MOPAN à la suite de la réception du rapport d'évaluation du Fonds multilatéral, afin de présenter le rapport au Comité exécutif, et des échanges bilatéraux sont prévus entre les deux Secrétariats sur l'évaluation du Fonds multilatéral, la méthode utilisée et la souplesse possible qui permettrait de l'adapter au genre d'organisation à évaluer dans l'avenir.	86
Le Secrétariat a examiné le projet de rapport d'évaluation, apporté des corrections de fait et présenté des observations. Un suivi a été effectué entre les deux Secrétariats au sujet de l'échéance du rapport final et des moyens possibles de transmettre les principales conclusions au Comité exécutif.	86
Le Secrétariat a fourni des renseignements supplémentaires et des précisions sur les questions en lien avec le Fonds multilatéral au consultant responsable de l'évaluation du Fonds multilatéral par le MOPAN. Le Secrétariat s'est entretenu davantage avec le Secrétariat du MOPAN, qui lui a indiqué que le projet de rapport d'évaluation en était aux dernières étapes de sa préparation et qu'il serait remis au Secrétariat pour examen avant d'être présenté aux gouvernements membres.	85
Les représentants du Secrétariat du MOAP et du fournisseur de services qui réalise l'évaluation ont rendu visite au Secrétariat. Le Chef du Secrétariat a fait une présentation sur le Fonds multilatéral, notamment sa gouvernance, son modèle d'affaires et ses réalisations. Les représentants du MOPAN se sont réunis à maintes reprises avec le personnel du Secrétariat. Le Secrétariat a aussi été informé des réunions organisées par les évaluateurs avec les quatre agences d'exécution du Fonds. Le Secrétariat a fourni les coordonnées des membres du Comité exécutif ; certains d'entre eux seront invités à fournir de l'information sur l'évaluation.	84
Le Secrétariat a assisté à une réunion du Secrétariat du MOPAN, à laquelle le Fonds a été présenté. Les échanges ont porté notamment sur la portée de l'évaluation pour les parties prenantes concernées ; les différences importantes entre le Fonds multilatéral et les autres organisations évaluées, qui mèneraient à une évaluation sur mesure afin que le processus soit juste ; la date d'une première visite au Secrétariat du Fonds et le besoin possible de la présence de l'équipe d'évaluation à une réunion du Comité exécutif.	83
Lettres reçues du Secrétariat du MOPAN indiquant que le Comité directeur du MOPAN a décidé d'évaluer le Fonds multilatéral lors de son prochain cycle d'évaluation.	82
Nations Unies durables	
Le Secrétariat a donné une présentation sur la gestion de la durabilité environnementale à la 31 ^e réunion du Groupe chargé de questions spécifiques des Nations Unies, qui a lieu à l'OACI, à Montréal, le 11 octobre 2019. Le Secrétariat a expliqué comment les bureaux des Nations Unies peuvent collaborer dans le cadre des activités entreprises par les agences pour la mise en œuvre des projets qui font la promotion de l'adoption des technologies sans danger pour la couche d'ozone et sans HFC aux niveaux national, régional et mondial. Un représentant de la durabilité environnementale des Nations Unies, un bureau qui gère et soutient le Groupe chargé des questions spécifiques pour la gestion de la durabilité environnementale, s'est rendu dans les bureaux du Secrétariat et a présenté les travaux de son bureau aux membres du personnel.	84
Vérificateurs des Nations Unies	

Conseils/échanges/interaction du Secrétariat	Réunion
Des informations, de la documentation, des réponses aux questions et des précisions ont été fournies pour faciliter la vérification par le Bureau des services de contrôle interne, afin d'évaluer l'efficacité de l'offre de services au Secrétariat du Fonds multilatéral, du 1^{er} janvier 2018 au 31 décembre 2020.	86
Renseignements généraux sur le Fonds multilatéral et autres, notamment les états financiers intérimaires du PNUE sur le Fonds multilatéral, le rapport sur les contributions et les décaissements ; les rapports périodiques ; le programme de travail de suivi et évaluation de 2015 ; et le manuel sur les liens avec les politiques et procédures.	75
Programme des Nations Unies pour l'environnement	
Le Secrétariat du Fonds multilatéral, en collaboration avec le Secrétariat de l'Ozone, a communiqué des observations sur le rapport GCO-11 à la Division économique, Service des Substances chimiques et santé du PNUE, plus particulièrement des renseignements portant sur : l'élimination accélérée des HCFC, l'Amendement de Kigali sur les HFC, les émissions accrues de CFC-11 selon la publication de Montzka et al., en 2018, la conformité aux mesures de réglementation du Protocole de Montréal et la communication des données.	82
Convention-cadre des Nations Unies sur les changements climatiques (CCNUCC)	
Observations sur un projet de sommaire technique des avantages en matière d'atténuation des mesures, initiatives et scénarios pour éliminer les émissions de gaz à effet de serre ne contenant pas de dioxyde de carbone.	74
Le Secrétariat a été invité au début octobre 2013 à assister à la 19 ^e session de la Conférence des Parties à la CCNUCC et à la 9 ^e session de la Conférence des Parties siégeant en tant que réunion des Parties au Protocole de Kyoto qui se dérouleraient à Varsovie, en Pologne, du 11 au 22 novembre 2013. Le Chef du Secrétariat a répondu qu'il ne pourrait pas y assister à cause des préparatifs pour la 71 ^e réunion. Sachant que le Secrétariat de la CCNUCC avait été invité à assister à la vingt-cinquième réunion de la Conférence des Parties, il a suggéré une rencontre informelle afin de discuter des occasions de collaboration possible entre les deux Secrétariats. Le Secrétaire exécutif du Secrétariat de la CCNUCC a répondu que le Coordonnateur de l'atténuation et du programme de données et d'analyse, qui assisterait à la réunion de la Conférence des Parties, organiserait une rencontre bilatérale avec lui. Les représentants des deux Secrétariats se sont rencontrés et ont discuté de façon informelle d'une future collaboration entre les Secrétariats, lorsque le besoin se présenterait.	71
Université de Bristol	
Remise d'un sommaire des données contenues dans les documents sur le HFC-23 préparés par le Secrétariat, la consommation globale de HFC-23 déclarée dans les enquêtes sur les substances de remplacement des SAO menées dans 119 pays visés à l'article 5 et les données obtenues dans les ressources publiques lors de la préparation du document UNEP/OzL.Pro/ExCom/79/48.	83
Division du commerce et de l'environnement de l'Organisation mondiale du commerce	
Mise à jour de la grille des accords multilatéraux sur l'environnement pour le comité du commerce et de l'environnement de l'OMC (https://www.wto.org/english/tratop_e/envir_e/envir_matrix_e.htm)	75

Remarque : Nouvelles informations indiquées en **caractères gras**.

Mr. Eduardo Ganem
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MOPAN/SZ/2020.6

Paris, 22 December 2020

Subject: Assessment of MLF by the Multilateral Organisation Performance Assessment Network

Dear Mr Ganem,

I have the pleasure to share with you the MOPAN assessment of the Multilateral Fund for the Implementation of the Montreal Protocol in its final version alongside the assessment Brief. It will be made available on MOPAN's public website over the coming days (www.mopanonline.org).

On behalf of the MOPAN Secretariat, I would like to express my gratitude for your leadership and collaboration throughout the assessment process. You have skilfully coordinated the process and enabled our engagement with your Secretariat colleagues. Your efforts have been pivotal for the assessment which I hope presents potential for a fruitful engagement with your partners going forward.

Furthermore, I would also like to express appreciation for your constructive engagement with the Institutional Lead country, Canada, as well as Canada's leadership in this assessment, which has also been key for the success of the process.

It is my hope that the MOPAN assessment can be seen as an opportunity for the Multilateral Fund to showcase its progress, while at the same time drawing the attention of your partners to areas where further active support for the Fund would be encouraged.

As you will note, the assessment team has sought solutions to the concerns about the applicability of the MOPAN methodology to the Multilateral Fund. We do hope that the assessment does justice to the Fund's efforts and the impressive work it is shepherding. As you may know, over 2021 MOPAN will be working to 'differentiate' its methodology, separating 'core' indicators from others that can be adjusted to organisational characteristics. This will allow a more flexible approach, adapted to each specific organisation, while keeping a shared 'core' set of indicators. In this context, a learning session between the MLF and MOPAN Secretariats in early 2021 would be very much appreciated to discuss any lessons from the MLF assessment.

The MOPAN Secretariat also stands ready to brief the Executive Committee at your convenience, should this be desired, and looks forward to receiving your management response.

I remain available should you have any queries in the meantime.

Sincerely,



Ms. Suzanne Steensen
Head of the MOPAN Secretariat
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Enclosed:

- MOPAN assessment of MLF (2019)
- MOPAN Brief (2019)

MOPAN
2019 ASSESSMENTS

Organisational Performance Brief

**Multilateral Fund for the
Implementation of the
Montreal Protocol (MLF)**

The MLF's performance at a glance

The Montreal Protocol is widely considered one of the most effective international environmental treaties to date, and the Multilateral Fund for the Implementation of the Montreal Protocol (henceforth the MLF, the Multilateral Fund or the Fund), as its financial instrument, has been key to its success. The Multilateral Fund has significantly contributed to the global phase-out of ozone depleting substances (ODS) and phase-down of climate-warming hydrofluorocarbons (HFCs) and to enormous environmental, human health and climate change mitigation impacts by supporting developing countries in this endeavour. It has delivered effectively and efficiently for over 30 years at a total cost of around USD 4 billion. The Multilateral Fund has made good use of its assets and comparative advantage in this. Nevertheless, there are challenges on the way ahead, such as the threat to sustainability that unexplained emissions of trichlorofluoromethane (CFC-11) pose, and the implementation of the recently adopted gender policy. To amplify the impact of the phase-down of HFCs in curbing global warming, the Fund is considering how to address the energy efficiency of replacement technologies and equipment. As requested by the Parties to the Montreal Protocol, the Executive Committee will need to develop guidance on relevant issues, and explore the mobilisation of additional resources to address this issue, in accordance with decisions of the parties to the Montreal Protocol.

The Multilateral Fund offers important organisational lessons. Its strong focus on supporting the compliance of Article 5 countries through the phase-out of ODS is coupled with a lean structure and a cost-conscious approach. With its expert technical staff, the Fund has proved to act with flexibility and agility. While overall decisions are centralised in the MLF's Executive Committee, projects are aligned with countries' preferences. This has improved compliance and further enhanced international acceptance of the organisation. Funding modalities have evolved, and today national governments have a larger responsibility for managing project results. A key part of this success has been the Fund Secretariat's efficient partnerships with national authorities and implementation agencies.

For the Fund to maintain its effectiveness and credibility in the future, ensuring the sustainability of its projects will be important. Whether the Fund might benefit from developing performance measures for the MLF as a whole that allow measuring its progress over time, over and beyond the Montreal Protocol compliance schedule, might merit consideration. Finally, lessons learned from project completion could feed into the design of new projects in a more systematic way.

MLF KEY FACTS

MISSION AND MANDATE: The MLF is the financial instrument of the Montreal Protocol, an international agreement from 1987 that sets out a timetable for the phase-out of ozone depleting substances (ODS) in both developed and developing countries. Since 1991, the MLF has provided financing for the incremental costs of the phase-out/phase-down of substances controlled by the Protocol to developing countries that are parties to it and meet the criteria established by Article 5 of the agreement.

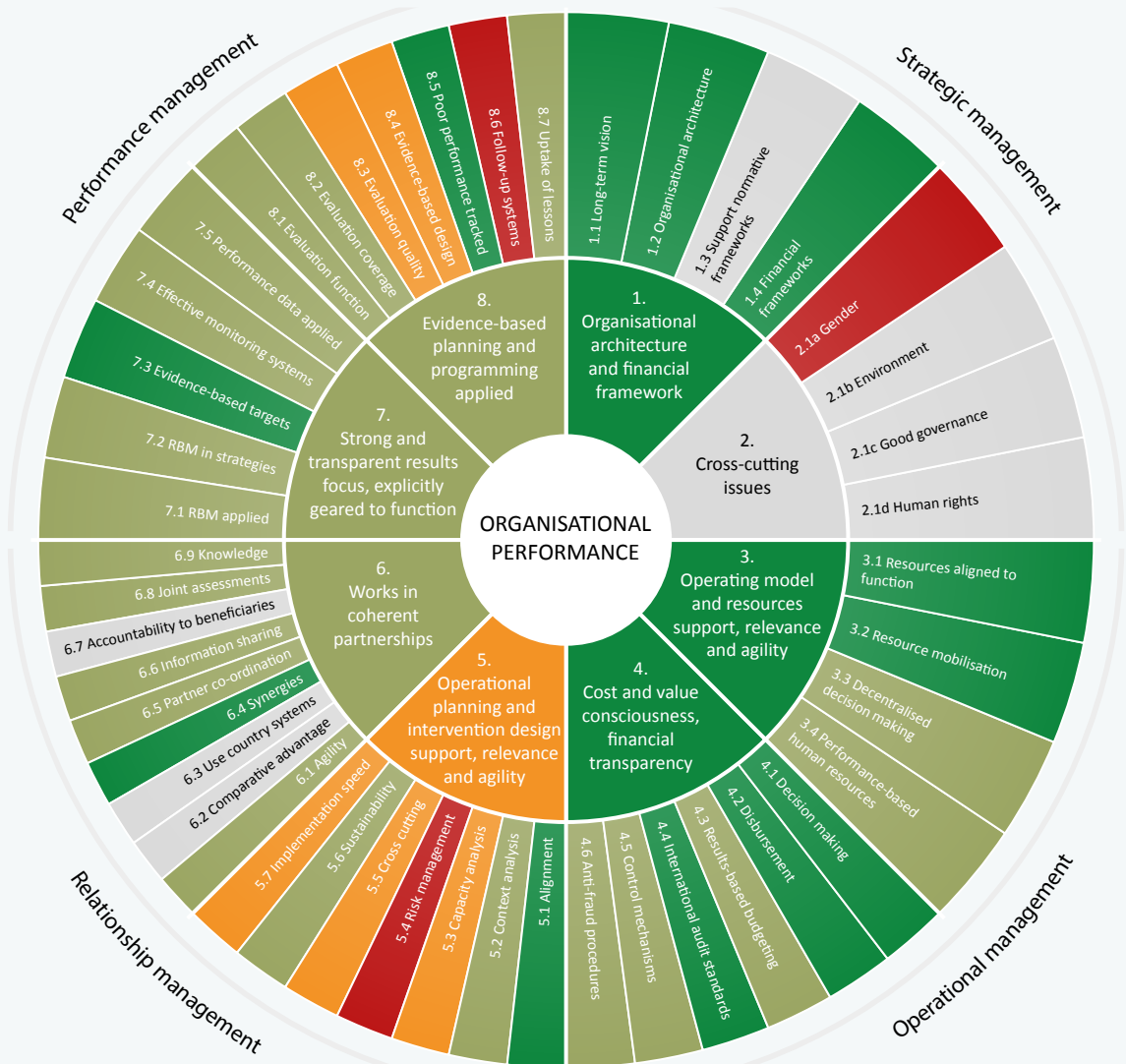
GOVERNANCE: The Multilateral Fund operates under the authority of the Parties to the Montreal Protocol. The Parties consist of Article 5 countries (those receiving assistance from the Multilateral Fund, a total of 145 countries) and non-Article 5 countries (those financing the Multilateral Fund). There are now 197 signatory countries committed to respecting the ODS phase-out schedules.

STRUCTURE: The MLF has five key structural elements: the Parties to the Montreal Protocol, who decide on the Fund's overall policies; the Executive Committee, responsible for developing operational policies and guidelines; the Fund Secretariat, whose 23 staff assist the Executive Committee and which is co-located with UNEP in Montreal; four implementing agencies (UNDP, UNEP, UNIDO and the World Bank) and a number of bilateral agencies that deliver MLF assistance; and the Treasurer, a function carried out by UNEP.

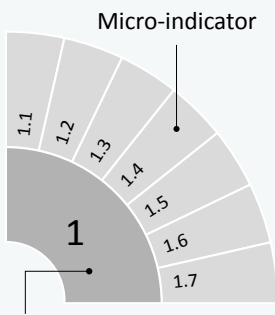
FINANCE: The MLF is funded by non-Article 5 countries. Over the period 1991-2019, the Fund had an income of USD 4 billion of which USD 3.8 billion in grants were allocated to 144 country programmes, hundreds of stand-alone projects and ODS phase-out plans, the establishment and the operating costs of ozone offices in 145 Article 5 countries. The Fund is replenished every three years. For the 2018-20 triennium, parties agreed a budget of USD 540 million, which is relatively constant in cash terms vis-à-vis the USD 508 million it received for 2015-17, and the USD 450 million for 2012-14.

**PERFORMANCE RATING SUMMARY FOR THE MLF
(MOPAN 3.0* – new rating scale system¹)**

1. The cross-cutting issue “gender equality and women’s empowerment” (Micro-indicator 2.1) was considered applicable in this assessment. MOPAN decided, however, not to apply a rating for Key Performance Indicator 2, as its rating – composed only of the gender rating – would highlight the issue in a way that is disproportionate to the role it plays in the Multilateral Fund, with its close focus on the phase-out/down of the consumption and production of controlled substances.



How to read these charts



Key Performance Indicator

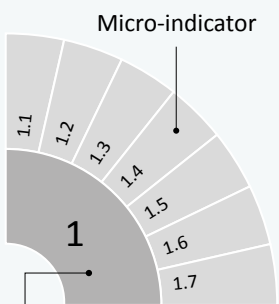
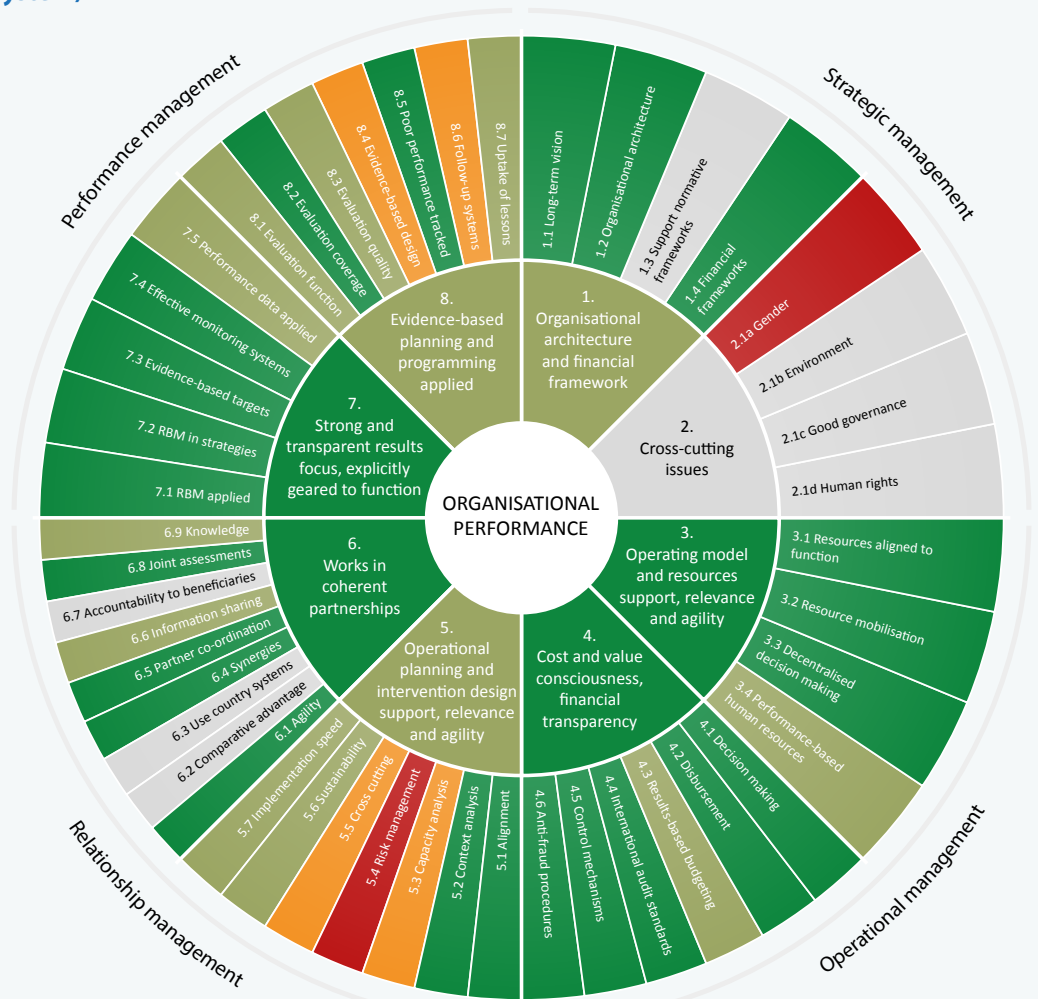
- **Highly satisfactory** (3.51-4.00)
- **Satisfactory** (2.51-3.50)
- **Unsatisfactory** (1.51-2.50)
- **Highly unsatisfactory** (0-1.50)
- **No evidence / Not applicable**



PERFORMANCE RATING SUMMARY FOR THE MLF (MOPAN 3.0 – old rating scale system)

Changes to MOPAN rating system (MOPAN 3.0* scales)

The 2019 Assessment Cycle under MOPAN 3.0* includes a notable change on how ratings (and their corresponding colours) are applied based on the scores at MI and KPI level. Compared to previous cycles, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected. Further information can be found in the MOPAN 3.0* methodology manual.



Key Performance Indicator



Key findings

The MLF has a well-defined long-term vision in the form of the Montreal Protocol Control Schedule. The Montreal Protocol sets out a timetable for the phase-out of ODS and the phase-down of hydrofluorocarbons in both developed (non-Article 5) and developing (Article 5) countries. The organisational architecture of the MLF has maintained a strong focus on the compliance targets in this schedule. An elaborate and evolving framework of rules, guidelines and decisions has been successfully negotiated, modified and agreed between parties with very different priorities in order to deliver support to nearly 150 countries.

The MLF has been very successful in achieving its agenda. In terms of results, the MLF has achieved, or is on track to achieve, the vast majority of the targets set under the Montreal Protocol for Article 5 countries. It has supported positive change in national policies, legislation and regulatory systems, therefore contributing to substantial global-scale environmental, human health and climate change mitigation impacts.

Interventions delivered with the support of the MLF have been relevant and well-aligned with country priorities. The Multilateral Fund uses a country- and compliance-driven approach to budget allocations and intervention planning. Interventions are guided by country progress towards compliance, and countries are given the flexibility to choose both the type of approach that would best enable them to meet their obligations and the bilateral or implementation agency (IA) with which they want to work. Bilateral and implementing agencies are required to involve national bodies in project identification, and all project preparation and reporting processes are a joint effort between National Ozone Units (NOUs), IAs and the Secretariat.

Well-functioning partnerships underpin many aspects of the Fund's performance. Its partnerships with NOUs are key to the successful implementation of the Montreal Protocol. By providing financing for the incremental costs in the phase-out of substances, the MLF leverages the use of partners' own resources. Its mechanisms allow for changes in programming and for adjustments within partnerships as conditions change. Information gaps

are discussed at, among others, six-monthly Executive Committee meetings, annual meetings of the Parties, and bi-annual regional network meetings.

Besides being very effective, the MLF has proved cost-conscious. The organisation makes efficient use of a relatively small budget and a very limited number of staff. It is extremely cost-conscious and operates through a close network of small professional teams. The periodic reporting and independent verification for each tranche of the national phase-out plans is one of the key strengths of the monitoring and reporting system.

The organisation is staffed with dedicated and technical experts ensuring high-quality scrutiny of project proposals and monitoring. The operation of the Fund is small with highly professional teams in the Secretariat. Staff turnover is low, ensuring good and long-established and trusting relationships between Secretariat staff, Executive Committee members and implementing agencies. Mostly, financial and human resources are closely focused on the planning, review, approval, monitoring and evaluation of projects and activities targeted at the remaining production and consumption of ODS.

These achievements notwithstanding, there may be potential to improve the performance of the MLF in the following areas.

Verifying and ensuring the sustainability of results achieved requires greater attention from the MLF. Currently, MLF programme proposals do not explicitly analyse areas such as partner capacity, risks or the critical assumptions that underpin sustainability. The potential harm to the reputation of the Montreal Protocol represented by the unexpected emissions of CFC-11 will force greater attention to post-programme verification and monitoring which could be an important tool to ensure results sustainability.

There is no 'classic' results framework for the MLF as a whole, separate from the Montreal Protocol Control Schedule. There is no results framework with a clear set of performance measures that would also address

the overall quality or sustainability of results. Linked to this, monitoring and reporting is less developed for institutional strengthening and capacity building than it is for investment projects. Also, while the results framework of the Fund focuses on targets defined by the Montreal Protocol Control Schedule, there is no consolidated intermediate results statement for the Fund as a whole. The Fund collects data and reports on a range of medium-term targets applicable to implementing agencies and implementing partners, but has no corporate scorecard of any sort, be it annual or for the replenishment triennium. In sum, for an external observer, there is no clear way of seeing whether the performance of the Fund is improving over time.

Related to this, cross-cutting issues could gain more attention from the MLF. The Multilateral Fund has been relatively slow to address gender equality as a cross-cutting issue, although each of the implementing agencies applies gender policies. The assessment found no cross-cutting policies, apart from a newly approved gender policy. While a strong focus on the mandate of the Fund is creditable, this makes it all the more important that implementing agencies ensure that all their own cross-cutting policies and minimum standards are indeed applied in addition to those required by the Fund.

Several aspects related to evaluation merit strengthening. Currently, lesson learning is tacit rather than explicit and systematic. Despite recommendations from the Executive Committee that project proposals

should build on lessons learned, there is limited documentary evidence that this is happening systematically. The MLF's lessons database is not user-friendly and is largely a descriptive depository of lessons. This has to do with the fact that the evaluation function is insufficiently challenging and analytical. Although the small number of staff and continuity in the composition of the Secretariat staff facilitate informal lesson learning, new project proposals do not incorporate lessons systematically. No annual report exists that would inform on the use and implementation of recommendations from evaluations. Another constraint is that the Multilateral Fund's evaluation function – represented by one Senior Monitoring and Evaluation Officer – is not fully independent. Although this person reports directly to the Executive Committee, the administrative control by the Chief Officer of the Secretariat limits, to a certain extent, the space for innovation or full independence that a Monitoring and Evaluation Office would be expected to have.

Although publicly available, MLF documentation could benefit from better communicative value. Greater public scrutiny will bring with it the need for better, more accessible communication. The Multilateral Fund's policies, plans and progress are embedded in multiple detailed technical reports connected to Executive Committee meetings. The addition of an improved communications function – and an updated, user-friendly website – would enhance public information and accountability.

Strengths and areas for improvement

Main strengths identified in the MOPAN 2019 assessment of the MLF

- The Multilateral Fund is a uniquely focused organisation with an extremely clear set of internationally mandated and achievable targets. It has been extremely successful in supporting the compliance of Article 5 countries in phasing out controlled substances that affect the ozone layer and global climate.
- In terms of results, the Multilateral Fund has achieved, or is on track to achieve, the vast majority of the targets set under the Montreal Protocol for Article 5 countries. It has contributed to substantial, global-scale environmental, human health and climate change mitigation impacts.
- The organisation makes efficient use of a relatively small budget and limited staff. It is very cost-conscious and operates via a close network of small professional teams. The periodic reporting and independent verification for each tranche of the national phase-out plans is one of the key strengths.
- The Multilateral Fund is staffed with dedicated and technically-focused professionals ensuring high-quality scrutiny of project proposals and monitoring. Staff turnover is low, resulting in long-established and trusting relationships between Secretariat staff, Executive Committee members and implementing agencies.

Main areas for improvement identified in the MOPAN 2019 assessment of the MLF

- The evaluation function is insufficiently challenging, formative and analytical. Evaluations tend to present findings rather than providing analysis and explanations for these findings. Lesson learning is tacit rather than explicit and systematic.
- The Multilateral Fund has a strong focus on medium- and long-term results as laid out in the Montreal Protocol Control Schedule. The Fund does not have a 'classic' results framework, separate from the Control Schedule, that would include a set of performance measures for the Multilateral Fund as a whole, and that would also address the overall quality or sustainability of results. Also, although the Multilateral Fund reports on a range of medium-term targets applicable to implementing agencies and recipient countries, it does not have a consolidated intermediate results statement for the Fund as a whole, in form of a corporate scorecard of some sort, either annual or for the replenishment triennium. In addition, monitoring and reporting is less developed for institutional strengthening and capacity building than it is for investment projects.
- Multilateral Fund programme proposals do not analyse explicitly areas such as partner capacity, risks or the critical assumptions which underpin sustainability. Verifying and ensuring the sustainability of results achieved requires greater attention.
- The Multilateral Fund has been relatively slow to address gender equality as a cross-cutting issue, despite the existence of gender policies in each of the IAs. A new gender policy has been approved by the Fund. While a strong focus on the mandate of the Fund is creditable, IAs should be encouraged to ensure that all their own policies and minimum standards are applied in addition to those required by the Fund.
- Although publicly available, Multilateral Fund documentation is not clear and accessible to outsiders. Fund policies, plans and progress are embedded in multiple detailed and technical reports connected to Executive Committee meetings. The addition of an improved communications function – and an updated website – would enhance public information and accountability.

About this assessment

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of 19 countries¹ that share a common interest in assessing the effectiveness of the major multilateral organisations they fund, including UN agencies, international financial institutions and global funds.

The Network generates, collects, analyses and presents relevant and credible information on the organisational and development effectiveness of the organisations it assesses. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

The MOPAN 3.0* methodology employed in this assessment uses a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. As part of MOPAN's efforts to ensure its assessments remain relevant to stakeholders and aligned to international best practice, the MOPAN methodology is always evolving. The methodology used in the 2019 Assessment Cycle includes two notable changes from the previous iteration. The first is that the threshold for the ratings (and their corresponding colours) applied has been raised to reflect the increasing demands for organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected.

The second is greater flexibility in the selection of partners and geographies for the survey line of evidence.

This approach allows for a more relevant sampling of organisations' external partners and geographic coverage. More details are available in MOPAN's methodology manual 3.0*.²

This was the first MOPAN assessment of the MLF. It was championed by Canada on behalf of the Network. The assessment addresses organisational systems, practices and behaviours, as well as results achieved during the period 2017 to mid-2019. It relies on three lines of evidence: a document review, interviews with staff at the Multilateral Fund Secretariat in Montreal, and Implementation Agency interviews with staff in the Montreal Protocol units at UNDP, UNEP, UNIDO and the World Bank, as well as an online partner survey.³ The assessment covers the MLF's Executive Committee, Fund Secretariat, bilateral and implementing agencies, and Treasurer.

MOPAN's evidence lines for the MLF

- Review of 64 documents
- 27 interviews conducted among headquarter-level and implementing agency employees
- 36 partner survey results across 26 countries

This brief accompanies the full assessment which can be found on MOPAN's website at www.mopanonline.org. The MLF's management response will be made available on that website as well.

Organisations assessed by MOPAN in 2019:

- CGIAR
- UNCTAD
- UNODC
- MLF
- UNIDO

1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Arab Emirates, the United Kingdom and the United States.

2. Available at www.mopanonline.org

3. The online survey was sent to 89 possible respondents from governments, private sector and non-governmental organisations working with the MLF. Among the 36 responses received were 14 from Article 5 countries, 20 from non-Article 5 countries, and 2 without indication of country.

MOPAN
2019 ASSESSMENTS

**Multilateral Fund for the
Implementation of the
Montreal Protocol**

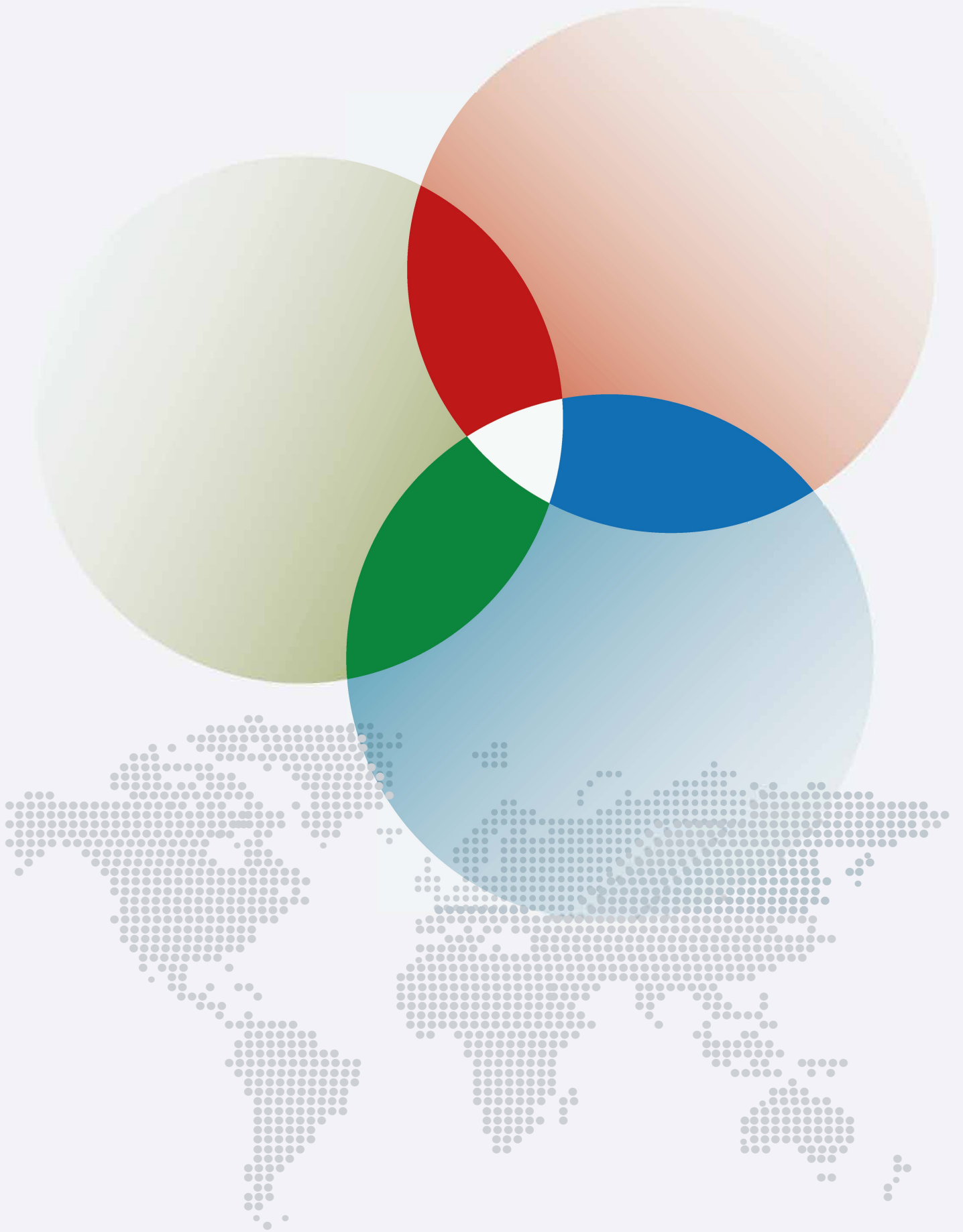


For any questions or comments,
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secretariat@mopanonline.org
www.mopanonline.org

MOPAN Assessments

Multilateral Fund for the Implementation of the Montreal Protocol

2019 Performance Assessment



Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 19 countries¹ that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the *Common Approach*, which the Network implemented from 2009 through 2014. In 2019, MOPAN members agreed to a change in the rating scale, with the overall framework unchanged. To distinguish the new approach from the initial one, the methodology applied in 2019 is called MOPAN 3.0* (see Chapter 1, Introduction to this assessment).

In 2019-20, MOPAN assessed five organisations, including the Multilateral Fund for the Implementation of the Montreal Protocol (the Multilateral Fund). The other four are:

- CGIAR
- United Nations Conference on Trade and Development (UNCTAD)
- United Nations Industrial Development Organization (UNIDO)
- United Nations Office for Drugs and Crime (UNODC).

Operating principles

MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

Objectives of the MOPAN methodology

MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area includes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the

1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Arab Emirates, United Kingdom and the United States.

MOPAN indicator framework against which performance is measured using three evidence streams – a document review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. Neither does MOPAN offer comprehensive documentation nor analysis of ongoing organisational reform processes.

Acknowledgements

The MOPAN assessment of the Multilateral Fund was finalised under the overall strategic guidance of Suzanne Steensen, Head of the MOPAN Secretariat. It was prepared under the responsibility of Katie Vanhala, Technical Advisor, and Jolanda Profos, Policy Advisor. We are very grateful to the MOPAN institutional lead, Philippe Chemouny, from Canada, for championing this assessment of Multilateral Fund on behalf of the MOPAN membership.

The assessment was conducted with support from IOD PARC, an independent consultancy specialised in assessing performance and managing change in the field of international development. Michael Flint was Team Leader for the assessment of the Multilateral Fund, with support from Marlene Buchy and Tom Fredriksson, under the overall leadership of Julian Gayfer. The external partner survey was administered by Cristina Serra Vallejo from the MOPAN Secretariat, who, together with Cara Yakush, also supported the finalisation of the report. Jill Gaston edited the report, and Andrew Esson provided layout and graphic design.

The report benefited from a peer review conducted by Dr Ansgar Eussner.

MOPAN is grateful to its Steering Committee representatives for supporting the assessment of Multilateral Fund. Finally, MOPAN would like to convey appreciation to MLF management and staff for their input and comments at various stages, in particular those staff members who internally co-ordinated the process and provided substantive feedback on the final draft report. We are particularly grateful to Eduardo Ganem, who acted as a focal point on behalf of the MLF for this assessment.

Table of Contents

Preface	1
Acknowledgements	2
Acronyms and abbreviations	6
Executive summary	7
Chapter 1. INTRODUCTION	14
1.1. Structure of the report	14
1.2. The Multilateral Fund at a glance	14
Mission and mandate	14
Governance	15
Organisational structure	15
Strategy	15
Finances	15
Organisational change initiatives	16
1.3. The assessment process	16
Assessment framework	16
Methodology changes in the 2019 Cycle	16
Applying the MOPAN methodology to the Multilateral Fund	18
Lines of evidence	19
Limitations	20
Chapter 2. DETAILED ASSESSMENT OF MULTILATERAL FUND'S PERFORMANCE	22
2.1. Organisational effectiveness	22
Performance Area: Strategic Management	22
Performance Area: Operational Management	25
Performance Area: Relationship Management	28
Performance Area: Performance Management	31
2.2. Development / humanitarian effectiveness	34
Performance Area: Results	34
Chapter 3. OVERALL PERFORMANCE OF THE MULTILATERAL FUND	40
3.1. Current standing against the requirements of an effective organisation	40
Is the Multilateral Fund future facing?	40
Is the Multilateral Fund making best use of what it has?	41
Is the Multilateral Fund a well-oiled machine?	41
Is the Multilateral Fund making a difference?	41
3.2. Performance journey	41

Annex 1. PERFORMANCE RATINGS AND EVIDENCE TABLE	46
Methodology for scoring and rating	46
Strategic Management	48
KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement expected results	48
KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels	52
Operational Management	55
KPI 3: Operating model and human/financial resources support relevance and agility	55
KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability	59
Relationship Management	65
KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)	65
KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources	72
Performance Management	81
KPI 7: Strong and transparent results focus, explicitly geared to function	81
KPI 8: Evidence-based planning and programming applied	88
Results	93
KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/ corporate wide level, at the regional/corporate wide level and at the regional/country level, with results contributing to normative and cross-cutting goals	93
KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate	98
KPI 11: Results delivered efficiently	99
KPI 12: Sustainability of results	100
Annex 2. LIST OF DOCUMENTS	103
Annex 3. RESULTS OF THE MULTILATERAL FUND'S PARTNER SURVEY	106
Strategic management	107
Managing financial resources	108
Interventions (programmes, projects and normative work)	109
Interventions (cross-cutting issues)	111
Interventions (cross-cutting issues and organisational performance)	111
Performance management	112
Evidence base for planning and programming	112

Boxes and figures

Box 1: Preventing sexual exploitation and abuse, and sexual harassment (SEAH)	16
Box 2: Performance areas and key performance indicators	17
Box 3: Main strengths and areas for improvement from previous external assessments	43
Box 4: Main strengths identified in the MOPAN 2019 assessment of the MLF	44
Box 5: Main areas for improvement identified in the 2019 assessment	44
Figure 1: Structure of the Multilateral Fund	14
Figure 2: Cross-cutting issues	24
Figure 3: Financial resources	27
Figure 4: Design and implementation of interventions	29
Figure 5: Managing relationships	32
Figure 6: Evidence-based planning and programming	33

Acronyms and abbreviations

CAP	Compliance Assistance Programme	MO	Multilateral organisation
CFC	Chlorofluorocarbon	MOPAN	Multilateral organisation performance assessment network
CFC-11	Trichlorofluoromethane	MP	Montreal Protocol
CPCR	Consolidated project completion report	NOU	National Ozone Unit
CTC	Carbon tetrachloride	ODP	Ozone depleting potential
EXCOM	Executive Committee	ODS	Ozone depleting substance
GEF	Global Environment Facility	RBM	Results based management
HCFC	Hydrochlorofluorocarbon	SDG	Sustainable Development Goal
HFC	Hydrofluorocarbon	SMEO	Senior Monitoring and Evaluation Officer
HQ	Headquarters	TEAP	Technology and Economic Assessment Panel
HR	Human resources	UN	United Nations
IA	Implementing agency	UNDP	United Nations Development Programme
IS	Institutional strengthening	UNEP	United Nations Environment Programme
KPI	Key Performance Indicator	UNIDO	United Nations Industrial Development Organization
M&E	Monitoring and evaluation		
MI	Micro-indicator		
MLF	Multilateral Fund for the Implementation of the Montreal Protocol		

Executive summary

In 2019, MOPAN, the Multilateral Organisation Performance Assessment Network, assessed the performance of the Multilateral Fund for the Implementation of the Montreal Protocol (the Multilateral Fund). The assessment looked at the Fund's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieves against its objectives. This is the first MOPAN assessment of the Fund.

CONTEXT

The Multilateral Fund was established in 1990 to help developing countries comply with their obligations under the Montreal Protocol on Substances that Deplete the Ozone Layer. The Montreal Protocol has been universally ratified and, subject to full implementation of its provisions, projections suggest that the ozone layer should return to pre-1980 levels by the middle of the 21st century. The actual and potential contribution of the Montreal Protocol and the Multilateral Fund to addressing climate change is increasingly recognised. Most ozone depleting substances (ODS) – and some replacements such as hydrofluorocarbons (HFCs) now covered by the Kigali Amendment to the Montreal Protocol – are powerful greenhouse gases. The long-term targets for hydrochlorofluorocarbons (HCFC) up to 2040 and for HFCs up to 2047, and the potentially significant contribution of the Kigali Amendment to mitigating climate change should ensure continued international support for the Multilateral Fund. At the same time, recent evidence concerning large-scale unexplained trichlorofluoromethane (CFC-11) emissions and illegal trade in ODS makes for a particularly challenging context. Addressing important and more complex issues such as energy efficiency, alternative lower global warming potential refrigerants and refrigerant management adds to the challenges.

KEY FINDINGS

The Montreal Protocol has been described as probably the most effective international environmental treaty to date. As the financial mechanism responsible for supporting the implementation of the Protocol in developing countries, the Multilateral Fund can be credited with significantly contributing to phasing out ODS, initiating the phase-down of climate-warming HFCs, and to largely improving the environment, human health and climate change mitigation. It has supported positive change in national policies, legislation and regulatory systems.

The Multilateral Fund has a clear and well-defined long-term vision in the form of the Montreal Protocol Control Schedule. The organisational architecture of the Multilateral Fund has proved to be effective and enduring. It has maintained a strong focus on the compliance targets in this Schedule. An elaborate and evolving framework of rules, guidelines and decisions has been successfully negotiated, modified and agreed between parties with very different priorities in order to deliver support to nearly 150 countries. This has required flexibility, agility and consensus. It has also proved cost-conscious and – until the recent CFC-11 revelations – sustainable. The Fund operates in small, highly professional teams within the Secretariat and within the bilateral and implementing agencies, thus promoting relevance and agility. Interventions delivered with the support of the Multilateral Fund have been relevant and well-aligned with country priorities, and partnerships between the Fund and National Ozone Units have been key to the successful implementation of the Montreal Protocol.

The Multilateral Fund has been slow to address gender as a cross-cutting issue. This is in part because gender is less relevant to the Fund than to most multilateral organisations and in part because of its strong focus on phasing out ODS and phasing down HFCs.

The assessment identified other challenges and successes. Challenges include delays in programme implementation, onerous reporting procedures, outdated information technology and cumbersome documentation. Performance management is satisfactory, and periodic reporting and independent verification of national phase-out plans is a key and successful element of the monitoring and reporting system. The Fund is commendably focused on specific long-term results; while results targets and monitoring for the Fund as a whole are less developed for shorter-term periods and for institutional and capacity building interventions. Lesson learning is tacit rather than explicit and systematic. Evaluation tends to be narrowly results-oriented rather than analytical and challenging.

The assessment identifies several key **strengths** of the Multilateral Fund:

- The Multilateral Fund is a uniquely focused organisation with an very clear set of internationally mandated and achievable long-term targets. It is extremely successful in supporting the compliance of Article 5 countries (those with an annual per capita consumption of ODS of less than 0.3 kg, as defined in Article 5 of the Protocol) in phasing out controlled substances that affect the ozone layer and global climate.
- In terms of results, the Multilateral Fund has achieved, or is on track to achieve, the vast majority of the targets set under the Montreal Protocol for Article 5 countries. It has contributed to substantial, global-scale environmental, human health and climate change mitigation impacts.
- The organisation makes efficient use of a relatively small budget and limited staff. It is very cost-conscious and operates via a close network of small professional teams. The periodic reporting and independent verification for each tranche of the national phase-out plans is one of the key strengths of the monitoring and reporting system.
- The Multilateral Fund is staffed with dedicated and technical experts ensuring high-quality scrutiny of project proposals and monitoring. Staff turnover is low, resulting in long-established and trusting relationships between Secretariat staff, Executive Committee members and implementing agencies.

The assessment also finds a number of **areas for improvement**:

- The evaluation function is insufficiently challenging, formative and analytical. Evaluations tend to present findings rather than providing analysis and explanations for these findings. Lesson learning is tacit rather than explicit and systematic.
- The results framework focuses on long-term Montreal Protocol targets. The Multilateral Fund collects data and reports on a range of medium-term targets and indicators applicable to implementing agencies and recipient countries, but for the Fund as a whole, there is no intermediate results statement, nor a 'classic' results framework that would also address the quality or sustainability of results. There is no corporate scorecard of any sort, neither annual nor for the replenishment triennium. Monitoring and reporting is less developed for institutional strengthening and capacity building than it is for investment projects. A results framework, separate from the Montreal Protocol Control Schedule, that includes a clear set of performance measures for the Multilateral Fund itself may be beneficial.
- Multilateral Fund programme proposals do not explicitly analyse areas such as partner capacity, risks or the critical assumptions which underpin sustainability. Verifying and ensuring the sustainability of results achieved requires greater attention from the Multilateral Fund.

- The Multilateral Fund has been relatively slow to address gender equality as a cross-cutting issue, despite the existence of gender policies in each of the implementing agencies. A new gender policy has been approved by the Fund. While a strict focus on the mandate of the Fund is creditable, implementing agencies should be encouraged to ensure that all their own policies and minimum standards are applied in addition to those required by the Fund.
- Although publicly available, Multilateral Fund documentation is not clear and accessible to outsiders. Fund policies, plans and progress are embedded in multiple detailed technical reports connected to Executive Committee meetings. The addition of an improved communications function – and an updated, user-friendly website – would enhance public information and accountability.

METHODS OF ANALYSIS

The MOPAN 3.0* methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. The methodology, including recent updates and any adaptations for this particular assessment, is further explained in Section 1.3 of this report.

The assessment of performance covers the Multilateral Fund Secretariat, the four implementing agencies, and the Executive Committee as the management body. It addresses organisational systems, practices and behaviours, as well as results achieved during the period 2017 to mid-2019. It relies on three lines of evidence: a review of 64 documents; interviews with staff members at the MLF Secretariat in Montreal, the World Bank in Washington, DC, UNDP in New York, UNEP in Paris, and UNIDO in Vienna carried out in the period July-September 2019; and an online survey carried out among partners from 26 countries.

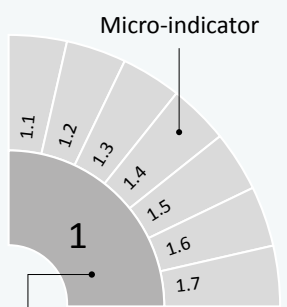
MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. Canada acted as the institutional lead country, representing MOPAN members in this assessment process.

**PERFORMANCE RATING SUMMARY FOR MLF
(MOPAN 3.0 – old rating scale system)**

**Changes to MOPAN
rating system
(MOPAN 3.0* scales)**

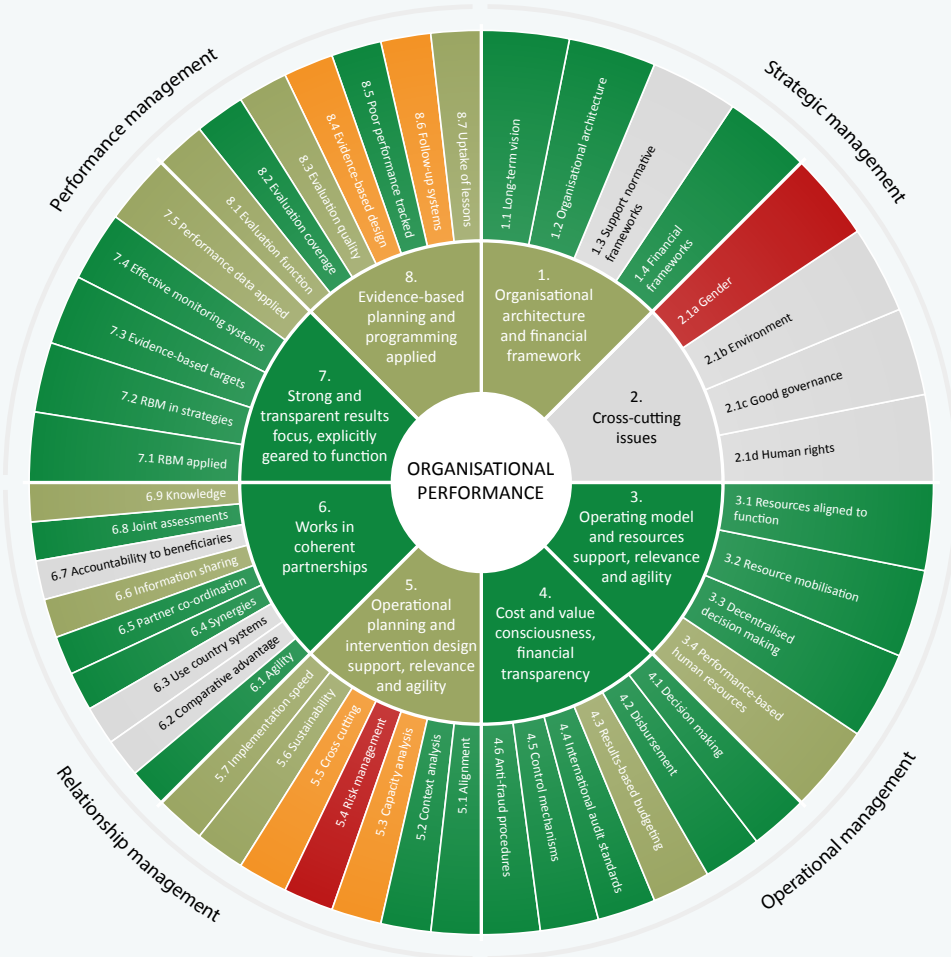
The 2019 Assessment Cycle under MOPAN 3.0* includes a notable change on how ratings (and their corresponding colours) are applied based on the scores at MI and KPI level. Compared to previous cycles, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected. Further information can be found in Chapter 1, Section 1.4 Methodology changes in the 2019 Cycle.

How to read these charts

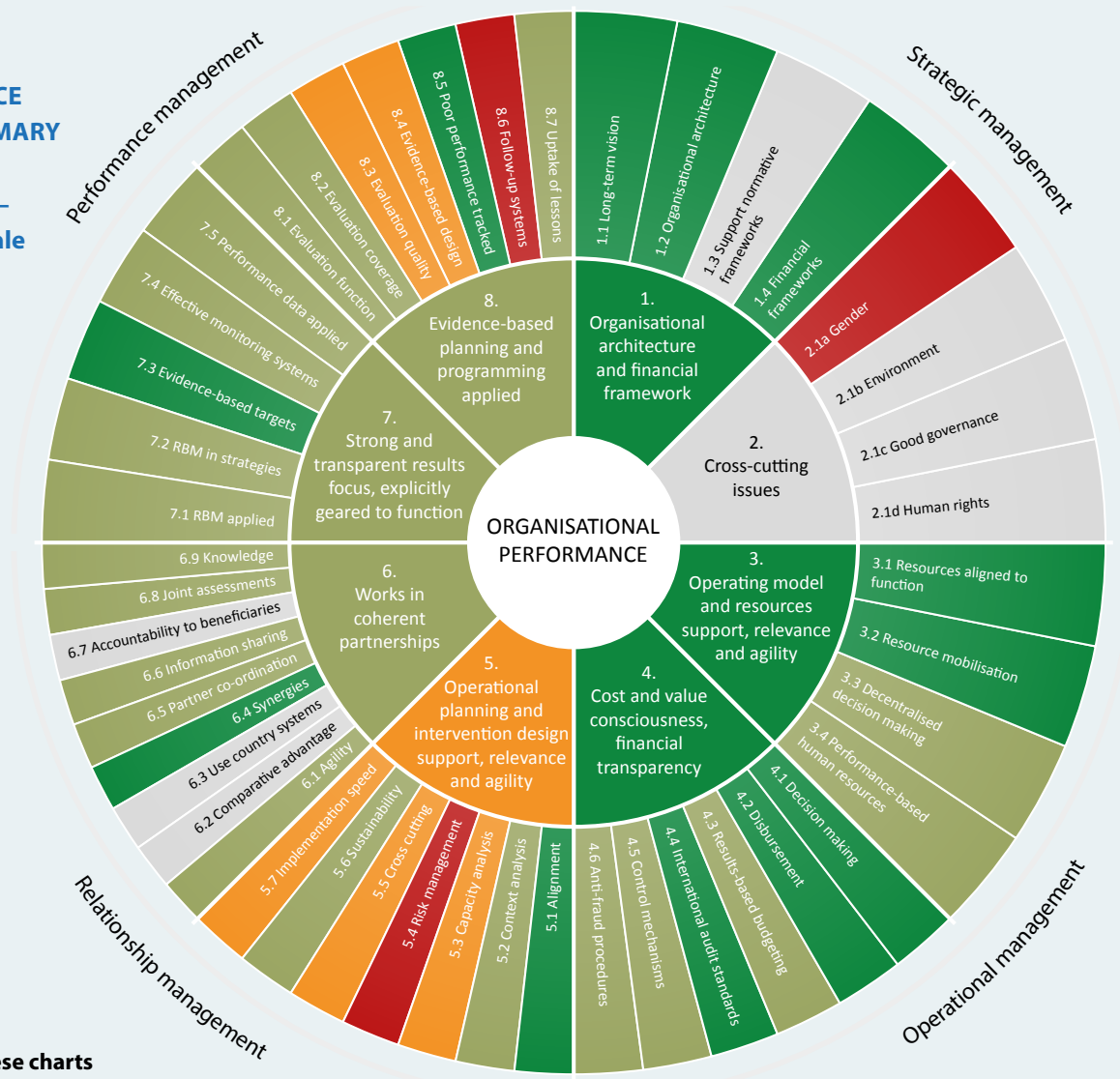


Key Performance Indicator

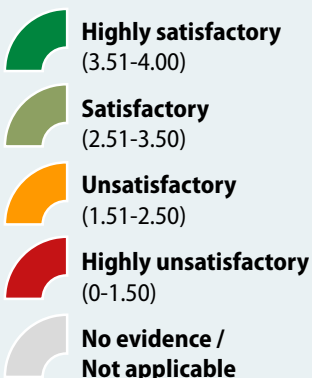
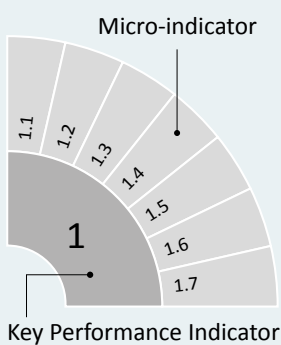
-  **Highly satisfactory**
(3.01-4.00)
-  **Satisfactory**
(2.01-3.00)
-  **Unsatisfactory**
(1.01-2.00)
-  **Highly unsatisfactory**
(0-1.00)
-  **No evidence /
Not applicable**



PERFORMANCE RATING SUMMARY FOR MLF (MOPAN 3.0* – new rating scale system)

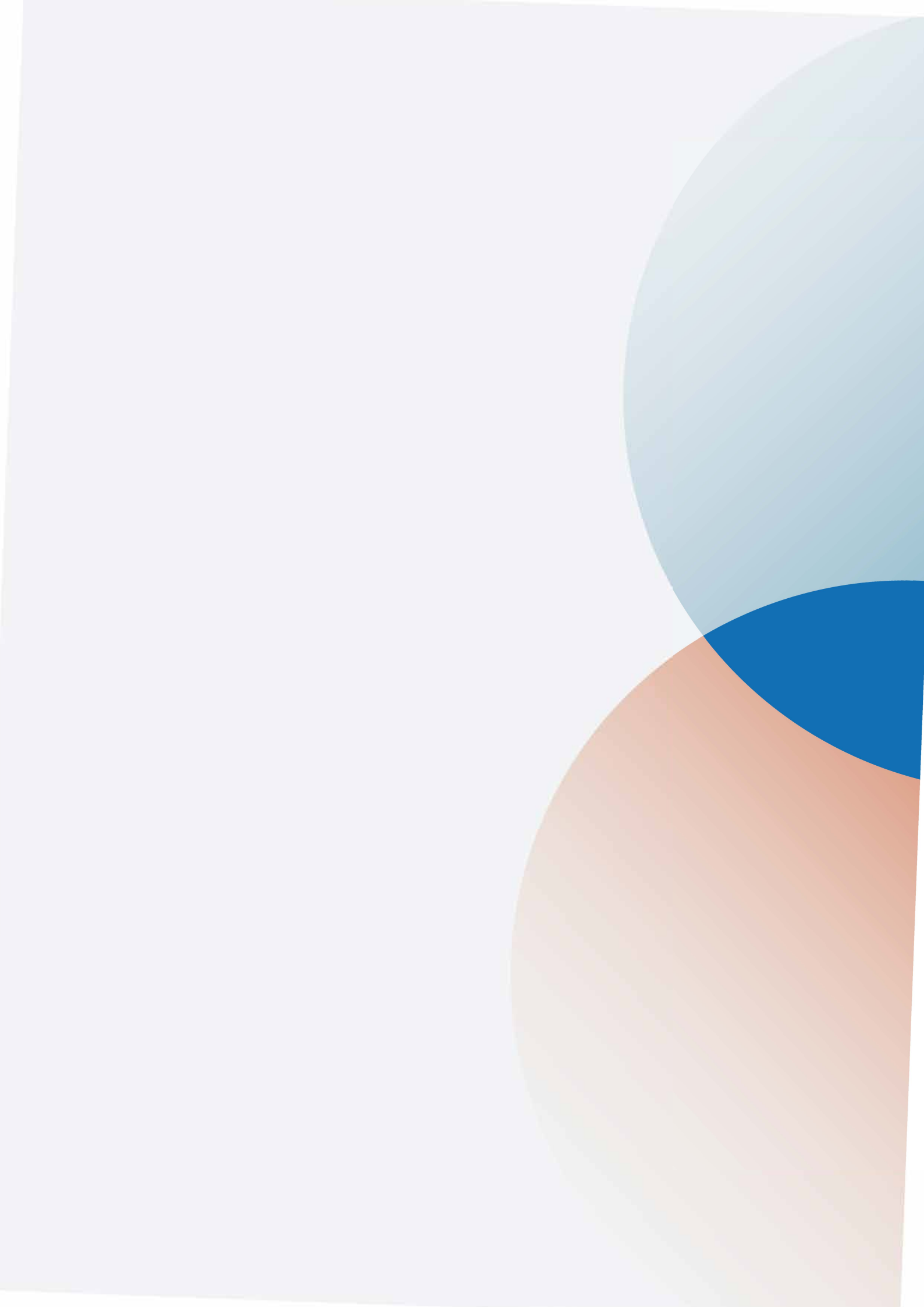


How to read these charts



Note: The cross-cutting issue “gender equality and women’s empowerment” (Micro-indicator 2.1) was considered applicable in this assessment. MOPAN decided, however, not to apply a rating for Key Performance Indicator 2, as its rating – composed only of the gender rating – would highlight the issue in a way that is disproportionate to the role it plays in the Multilateral Fund, with its strong focus on the phase-out/down of the consumption and production of controlled substances.¹

¹ See Section 1.3 for further detail.





1. INTRODUCTION

Chapter 1. Introduction

1.1. STRUCTURE OF THE REPORT

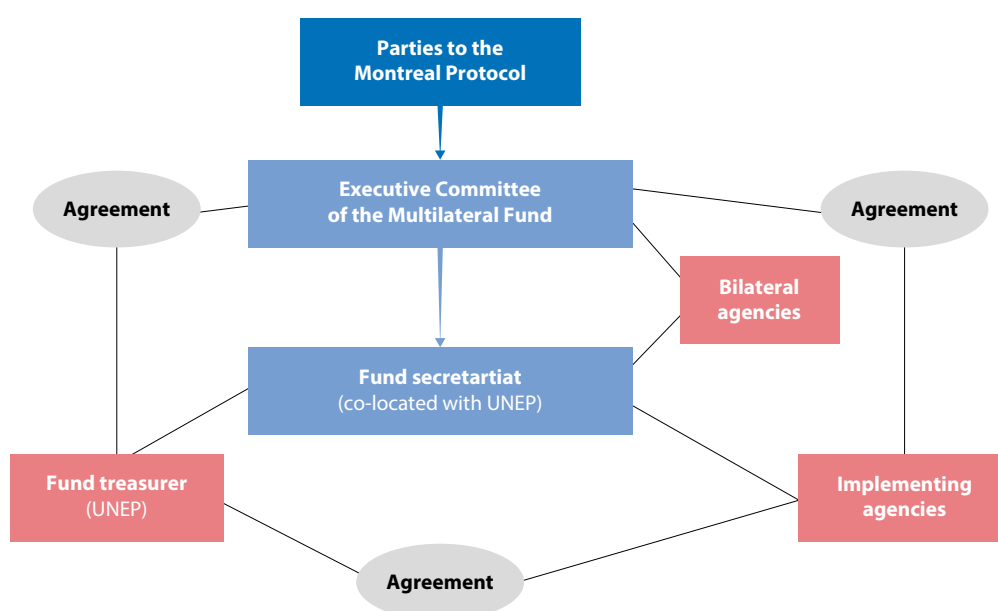
This report has three chapters and three annexes. Chapter 1 introduces the Multilateral Fund for the Implementation of the Montreal Protocol (MLF) and the MOPAN 3.0 assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Finally, Annex 3 provides an overview of the results of MOPAN's partner survey.

1.2. THE MULTILATERAL FUND AT A GLANCE

Mission and mandate: The Vienna Convention for the Protection of the Ozone Layer signed in 1985 provided the framework for the Montreal Protocol on Substances that Deplete the Ozone Layer. The Montreal Protocol was agreed in September 1987 and entered into force on 1 January 1989. The Multilateral Fund was set up by the Parties to the Montreal Protocol to assist developing countries to comply with the terms of the Montreal Protocol, an international agreement that sets out a timetable for the phase-out of ozone depleting substances (ODS) in both developed and developing countries.¹ The Multilateral Fund provides financing for the incremental costs of the phase-out/phase-down of substances controlled by the Montreal Protocol to countries that are Parties to the Protocol and whose annual consumption and production of chlorofluorocarbons (CFCs) and halons was less than 0.3 kilogrammes per capita on the date of entry into force of the Montreal Protocol or any time thereafter until 1 January 1999. The developing countries that meet these criteria are referred to as Article 5 countries. The Fund also provides finance for technical assistance and capacity building in these countries.

¹ The Kigali Amendment adopted in 2016 expanded the scope of the Protocol to cover the phase-down of controlled substances that are not ozone depleting, notably HFCs.

Figure 1. Structure of the Multilateral Fund



Governance: The Multilateral Fund operates under the authority of the Parties to the Montreal Protocol. The Parties consist of Article 5 countries (those receiving assistance from the Multilateral Fund) and non-Article 5 countries (those financing the Multilateral Fund). There are now 197 signatory countries committed to respecting the ODS phase-out schedules.²

Organisational structure: The key structural elements of the Multilateral Fund are as follows:

- the Parties to the Montreal Protocol
- the Executive Committee
- the Fund Secretariat
- the bilateral and implementing agencies
- the Treasurer.

The **Parties to the Montreal Protocol** decide on the overall policies of the Multilateral Fund, on the composition of the Executive Committee and, every three years, on the level of replenishment of the Fund.

The Multilateral Fund is managed by the **Executive Committee**. The Committee is responsible for developing operational policies and guidelines, drawing up the three-year plan and budget for the Multilateral Fund, approving country programmes and specific projects, and monitoring their implementation.

The role of the **Fund Secretariat** is to assist the Executive Committee in the discharge of its functions. The Secretariat is based in Montreal, Canada, and consists of 13 professional staff and 10 support staff. The Secretariat is headed by the Chief Officer, who reports directly to the Executive Committee. The Fund Secretariat is co-located in the United Nations Environment Programme (UNEP), and its staff is administered by UNEP (in line with UNEP policies and procedures). UNEP itself is part of the United Nations (UN) Secretariat.

The Multilateral Fund works together with four **implementing agencies** and a number of **bilateral agencies** to deliver its financial and technical assistance. The implementing agencies (IAs) are the United Nations Development Programme (UNDP), UNEP, the United Nations Industrial Development Organization (UNIDO) and the World Bank. Each of the IAs has a Montreal Protocol unit or similar responsible for MLF-funded activities. Contributing parties can use up to 20% of their annual contribution to carry out activities with developing countries via their bilateral agencies.

UNEP is also the **Treasurer** of the Fund (a function that is carried out separately from UNEP as an implementing agency). The Treasurer is responsible for receiving and administering the financial contributions from non-Article 5 countries, for disbursing funds to the Fund Secretariat and the implementing agencies, and for recording bilateral contributions based on the directives of the Executive Committee.

Strategy: The Multilateral Fund has a three-year rolling business plan, which lists programmes by country and bilateral and implementing agency, to facilitate compliance with the Montreal Protocol Control Schedule. This Schedule details compliance targets by date and substance for Article 5 countries. It does not have a separate strategy document.

Finances: Contributions to the Multilateral Fund are provided by the non-Article 5 countries. Over the period 1991-2019, the Fund had an income of USD 4 billion of which USD 3.8 billion were allocated to Article 5 countries through bilateral agencies and the four implementing agencies for carrying out approved projects and activities. To facilitate phase-out by Article 5 countries, the Executive Committee has approved 144 country programmes, hundreds of stand-alone projects and ODS phase-out plans and the establishment and the operating costs of ozone offices in 145

2. The Kigali Amendment has not yet been ratified by all countries.

Box 1: Preventing sexual exploitation, abuse and harassment¹

The MLF Secretariat is part of UNEP. UNEP is a subsidiary organ of the United Nations General Assembly and, as such, part of the UN Secretariat. UNEP is accordingly required to implement the misconduct and SEAH rules, regulations, policies and procedures of the United Nations. MLF Secretariat staff have received training on sexual harassment and abuse.

UNEP documents relevant to SEAH include:

- the Secretary-General's Bulletin on prohibition of discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2008/5)
- the Secretary-General's Bulletin on special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13).

¹ The 2019 MOPAN assessment does not assess the organisation's performance with regard to preventing and responding to sexual exploitation and abuse and sexual harassment (SEAH). However, this topic will become an area of assessment in MOPAN starting 2020 under the 3.1 MOPAN methodology. In the meantime, the assessment team simply collected key facts related to SEAH safeguarding as pertinent to the organisation, given the positioning of the MLF Secretariat as part of UNEP, but it did not verify the actual implementation of the instruments outlined therein or analyse their effectiveness.

Article 5 countries. Funds are provided as grants to cover the incremental costs of phasing out the use of ODS on an agreed schedule. The Fund is replenished every three years, most recently for the 2018-20 triennium for which the Parties agreed a budget of USD 540 million. This compares with a budget of USD 508 million for 2015-17 and USD 450 million for 2012-14.

Organisational change initiatives: No organisational change initiatives were identified during the assessment, and none are planned. The organisation of the Multilateral Fund has evolved incrementally via the decisions made by the Executive Committee under the overall direction of the Parties to the Montreal Protocol.

One topic area that will be covered by MOPAN in the future is how organisations prevent and respond to cases of sexual exploitation and abuse and sexual harassment (SEAH). Although no assessment was made of MLF on this issue, Box 1 contains some key facts related to SEAH safeguarding in relation to the Fund. MLF is subject to UN rules when it comes to protecting its staff from exposure to sexual harassment and other forms of misconduct, and protecting others from sexual exploitation and abuse.

1.3. THE ASSESSMENT PROCESS

Assessment framework

This MOPAN assessment covers the period from 2017 to mid-2019. It addresses organisational systems, practices and behaviours, as well as results achieved. It focuses on the five performance areas presented in Box 2. The first four relate to organisational effectiveness, and each has two key performance indicators (KPIs). The fifth performance area relates to effectiveness of development, humanitarian and normative work, and comprises four KPIs. The assessment was conducted in line with the MOPAN 3.0* methodology, which can be found on MOPAN's website.³

Methodology changes in the 2019 Cycle

As part of MOPAN's efforts to ensure its assessments remain relevant to stakeholders and aligned to international best practice, the MOPAN methodology is always evolving. Lessons from each assessment cycle inform the next, and work is always being undertaken to explore how best to cover salient issues. In addition to relatively minor lessons learned

³ MOPAN 3.0* Methodology Manual, 2019 Assessment Cycle, www.mopanonline.org/ourwork/ourapproachmopan30

Box 2. Performance areas and key performance indicators*

Aspect	Performance area	Key performance indicator (KPI)
Organisational effectiveness	Strategic management	KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results
		KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels
	Operational management	KPI 3: The operating model and human and financial resources support relevance and agility
		KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability
	Relationship management	KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships
		KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources
	Performance management	KPI 7: The focus on results is strong, transparent and explicitly geared towards function
		KPI 8: The organisation applies evidence-based planning and programming
Development/ humanitarian effectiveness	Results	KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals
		KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate
		KPI 11: Results are delivered efficiently
		KPI 12: Results are sustainable

* The MOPAN indicator framework was developed by MOPAN's Technical Working Group and draws on international standards and reference points, as described in Annex C of the Methodology Manual.

from the 2017-18 Cycle conducted under the MOPAN 3.0 methodology, the MOPAN 3.0* methodology applied for the 2019 Assessment Cycle includes two notable changes.

The first is on how ratings (and their corresponding colours) are applied based on the scores at micro-indicator (MI) and KPI levels. Compared to previous cycles, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system.⁴ The underlying scores and approach to scoring are unaffected.

The second is that organisations had greater flexibility in selecting relevant partners and countries for the survey line of evidence. This approach allows for a more relevant sampling of organisations' external partners and geographic coverage.⁵

4. For example, previously if all elements for a MI were scored as a 2 and only one was scored a 3 (averaging above 2.01 at the MI level), this would have been rated satisfactory. Now, more than half of the elements need to score 3, averaging above 2.51, to achieve the same rating. More details on scoring and rating scales can be found in Annex 1.

5. This increased flexibility was enabled by a streamlined data collection process for the partner survey, which was carried out directly by the MOPAN Secretariat, rather than an external service provider, for the first time in the 2019 Cycle.

Applying the MOPAN methodology to the Multilateral Fund

The Multilateral Fund has three features that distinguish it from most of the multilateral organisations assessed by MOPAN: it is a financial mechanism that supports the implementation of a single international agreement; it has a very defined focus on the phase out/phase down of specific controlled substances; and it is a relatively small fund, both in terms of financial expenditure and staffing.

This assessment of performance covers the Multilateral Fund in its entirety: the Executive Committee, Fund Secretariat, bilateral and implementing agencies, and Treasurer. As MOPAN assessments do not cover governing bodies, the Parties to the Montreal Protocol are not included in this assessment even though they are part of the Fund structure. While this performance assessment covers the Multilateral Fund as a whole, the assessment process focused on the Executive Committee, the Fund Secretariat, and the bilateral and implementing agencies. Most of the documentary evidence used was produced centrally by the Fund Secretariat and/or published as Executive Committee documents. The latest available MOPAN assessments of UNDP, UNEP, UNIDO and the World Bank were also used.

The MOPAN 3.0 methodology was applied with some minor adjustments in indicator application or interpretation to reflect the realities of the MLF mandate and operating systems (see also Annex 1).

- **Strategic plan supports [...] wider normative frameworks and associated results [...] (MI 1.3):** As the Montreal Protocol is an international normative framework in its own right, with the objective to assist Article 5 countries to meet their obligations under the Protocol, alignment with, and achievement of, other normative frameworks was considered non-applicable.
- **Environment and climate change (MI 2.1b):** This was considered to be not applicable as a cross-cutting issue because the environment is core to the mandate of the Multilateral Fund. Still, some of the results are implicit in MI 9.1; others have been assessed explicitly under MI 9.5.
- **Good governance (MIs 2.1c and 5.5):** This was considered to be not applicable as a cross-cutting issue because governance is core to the mandate of the Multilateral Fund. The Montreal Protocol has a global and national governance role in respect of ODS,⁶ and the MLF supports both institutional strengthening projects and a Compliance Assistance Programme. These were assessed under Results (MIs 9.3 and 9.6).
- **Human rights (MIs 2.1d and 9.7):** The Multilateral Fund does not have an explicit human rights policy statement or strategy. No evidence of human rights issues connected with the implementation of the Fund was found in documents or discussions. Human rights were therefore considered to be not applicable.
- **Partnerships (MI 6.2):** This assessment acknowledges the partnerships that exist between the IAs and national authorities. The links between the Secretariat and IAs are seen as internal to the Fund and are not generally considered to be partnerships. Therefore MI 6.2 on the comparative advantage dimension of partnerships was considered to be non-applicable for the rating purposes of this assessment.
- **Busan Partnership (MI 6.3):** The Montreal Protocol and the MLF are not listed among the parties adhering to the Busan Partnership for Effective Development Co-operation, and thus this MI was considered to be not applicable.
- **Beneficiaries (MI 6.7):** The beneficiaries of the Multilateral Fund work are general and universal: Article 5 countries and humanity as a whole. This MI was considered to be not applicable to this assessment for this reason.

6. The Kigali Amendment covers HFCs which are not ozone depleting substances.

- **Results (MI 9.1):** This indicator usually measures whether interventions were “assessed as having achieved their stated development and/or humanitarian objectives and attained expected results”. Since the MLF’s primary mandate is neither humanitarian assistance nor development, the direct achievements of the MLF have to be measured in terms of targets reached in the areas of stopping the use and production of ODS (and, in due course, the phase-down of hydrofluorocarbons); thus, MOPAN looks at the indicator through this lens.

The cross-cutting issue ‘gender equality and women’s empowerment’ (MI 2.1) was considered applicable in this assessment. This is not only because the MLF, as part of the UN, must abide to international norms, but also because evaluations of the MLF confirmed that some MLF projects may have gender dimensions, and because the EXCOM has, with its adoption of a gender policy for the MLF in December 2019, recognised the relevance of the issue for the Fund. However, as MI 2.1 is the only cross-cutting issue considered under KPI 2, its score would have also determined the score at KPI level. MOPAN has therefore decided not to apply a rating at KPI level, as gender equality and women’s empowerment would have otherwise been elevated to occupy a prominent place in the assessment that would be disproportionate to the role the issue plays in the Multilateral Fund. Its role is limited largely because of the Fund’s strong focus on phasing-out ODS and phasing down climate-warming hydrofluorocarbons.

Lines of evidence

This assessment relies on three lines of evidence: a document review, a partner survey, and staff interviews and consultations. The assessment team collected and analysed these in a sequenced approach, whereby each layer of evidence was informed by, and built on, the previous one, wherever possible.

The assessment team collected and reviewed a significant body of evidence:

1. A document review.

- The 64 documents reviewed included:
- policies, procedures and guidelines
 - business plans
 - work programmes
 - progress reports
 - Executive Committee meeting reports
 - evaluation reports
 - project completion reports
 - MOPAN assessment reports covering the Implementing Agencies.

2. An online survey was conducted with government, private sector and non-governmental organisation partners working with the Multilateral Fund, including members of the Executive Committee. The survey was sent to 87 possible respondents – 42 from Article 5 countries and 45 from non-Article 5 countries. The response rate was of 41% with 36 responses. Respondents were mostly government representatives (over 80%) of which 40% were from Article 5 countries and 60% from non-Article 5 countries. More information can be found in Annex 3 of this report.

3. Interviews and consultations. Twenty-seven interviews were conducted with individuals and groups. They were undertaken at two levels:

- **headquarter-level interviews** with staff at the Multilateral Fund Secretariat in Montreal
- **Implementation Agency interviews** with staff in the Montreal Protocol units at UNDP in New York, UNEP in Paris, UNIDO in Vienna and the World Bank in Washington, DC.

Discussions were held with the institutional lead of the Multilateral Fund assessment, as part of the analytical process. These served to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

General information about the sequence and details related to these evidence lines, the overall analysis, and scoring and rating process can be found in the MOPAN 3.0* methodology.

Limitations

The MOPAN methodology had to be adapted to the MLF's special mandate and characteristics. The MLF is a financial mechanism rather than a single organisation. It carries out its programmes through four implementing agencies (and a number of bilateral agencies), each with its own policies and procedures. The MLF also has a particularly focused mandate. It is mandated by international treaty to concentrate on phasing out a limited number of specific controlled substances.

Resource limitations required assessing documentation produced by the Secretariat and the Executive Committee as a priority, and severely restricted the extent to which it was possible to review project- and programme-level documentation. Including a fully representative sample of programme and project documents in addition to the documents reviewed was not possible, as each six-monthly Executive Committee meeting alone produces over 60 documents.

Although face-to-face interviews were held with representatives of all four implementing agencies, much of the evidence is based on documents produced by, or interviews with, the Fund Secretariat. The 2015-16 MOPAN assessments for UNDP, UNEP and the World Bank were used, but these were slightly dated. In addition, these assessments and the 2019 MOPAN assessment for UNIDO refer to the entire organisation, rather than the Montreal Protocol units specifically. However, as staff in these units are administratively part of these organisations, the MOPAN assessments of these organisations were judged to be valid evidence sources for this assessment.



2. DETAILED
ASSESSMENT
OF THE
MULTILATERAL
FUND'S
PERFORMANCE

Chapter 2. Detailed assessment of the Multilateral Fund's performance

The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation's own strategic plan and performance indicators.

In this way, organisational effectiveness relates to a blended assessment of intent, effort and response. Organisational intent is expressed through commitments, strategies, policies and plans. The organisational effort is that which the organisation puts behind a particular agenda for performance and improvement including guidance issued. The organisational response is its reaction to the effects of this effort in relation to changing organisational direction, practice and behaviour.

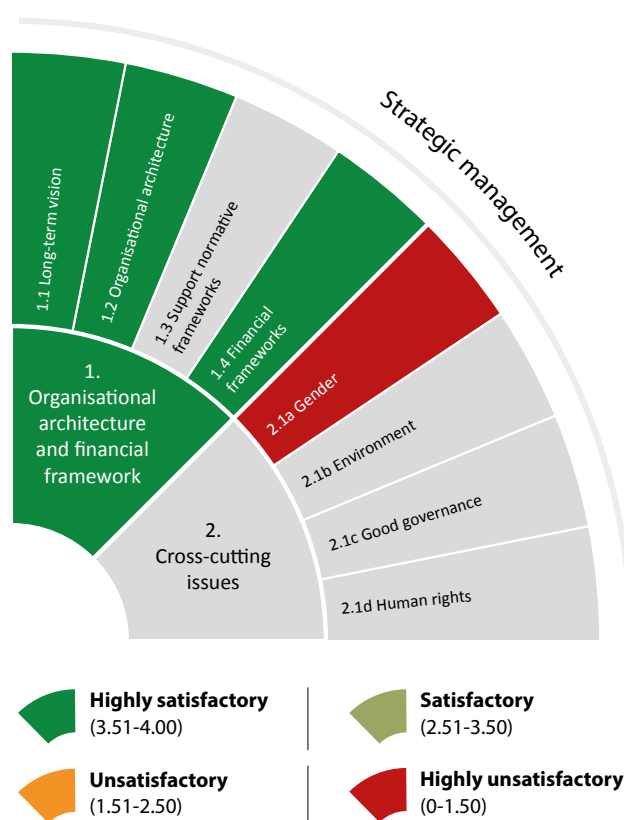
Organisational effectiveness is juxtaposed alongside development effectiveness. The latter refers to the extent to which the organisation is making a difference in ways that reflect its strategic objectives and mandate.

2.1. ORGANISATIONAL EFFECTIVENESS

PERFORMANCE AREA: STRATEGIC MANAGEMENT

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

The Multilateral Fund for the Implementation of the Montreal Protocol (MLF) is the financial mechanism for the Montreal Protocol and is mandated to provide financing for the incremental costs of the phase-out/phase-down of nearly 100 substances controlled by the Protocol. The Control Schedule for these substances provides a clear long-term, time-bound vision and intended results for the MLF. The Fund and its four implementing agencies operationalise the vision and intended results through three-year rolling business plans. The financial framework is regularly reviewed by the Executive Committee of the MLF and by the Parties to the Protocol in order to ensure that it provides appropriate and effective support to compliance under the terms of the Protocol. The organisational architecture of the Multilateral Fund has proved to be effective and enduring.



The Multilateral Fund has had a narrow and effective focus on the phase-out/phase-down of controlled substances. Partly as a result, the Fund's approach to gender has been weak but is now improving.

KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results.

This KPI focuses on the extent to which the MLF has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

The Multilateral Fund has an extremely clear and defined long-term vision in the form of the Montreal Protocol Control Schedule. The Multilateral Fund was established by the Parties to the Montreal Protocol to assist developing countries to comply with the terms of the Montreal Protocol. This international agreement sets out a timetable for the phase-out of ozone depleting substances (ODS) and the phase-down of hydrofluorocarbons (HFCs) in both developed (non-Article 5) and developing (Article 5) countries. This timetable is the Montreal Control Schedule. The Schedule sets out specific reductions to be achieved for each group of chemicals. For example, Article 5 countries were due to achieve a 35% reduction from the baseline of hydrochlorofluorocarbons (HCFCs) by 1 January 2020. The Montreal Control Schedule provides the Multilateral Fund with time-bound objectives extending into the 2040s.

The objective framework has been adjusted a number of times since the Montreal Protocol entered into force in 1989. Revisions to the Montreal Protocol have amended the phase-out targets and added different chemicals to the Control Schedule. Most recently, the Kigali Amendment adopted in 2016 added HFCs, non-ODS gases that do not damage the ozone layer but are extremely potent greenhouse gases. The Kigali Amendment entered into force in January 2019.

The objective framework provided by the Montreal Control Schedule is legally mandated and enjoys universal international support. Since opening for signature in 1987, the Montreal Protocol has attracted the participation of all the United Nations member countries. It now has 197 signatories. The Kigali Amendment currently has 81 signatories. This level of international support among both developed and developing countries gives the targets set out in the Control Schedule considerable normative as well as legal weight.

The three-year rolling business plan for the Multilateral Fund effectively operationalises the vision and defines detailed activities by country. A country is in compliance when it meets the provisions set out in the Control Schedule and other requirements (e.g. reporting, licensing). Multi-year performance-based agreements are established with countries to assist them to meet their phase-out and phase-down targets for each chemical. These compliance-driven national plans and other activities eligible for funding are consolidated into business plans for each of the four implementation agencies (IAs) and into a single consolidated three-year rolling business plan for the Multilateral Fund.

The financial framework is regularly reviewed by the Parties to ensure that it is sufficient to support progress towards compliance by Article 5 countries. The Multilateral Fund provides financing for the incremental and other costs of the phase-out or phase-down of substances controlled by the Montreal Protocol. Since 1991, the Fund has received contributions of almost USD 4 billion and has allocated USD 3.8 billion. The Fund is replenished every three years by the Parties to the Montreal Protocol based on an assessment of the funding needs and status of compliance prepared by the Technology and Economic Assessment Panel (TEAP). This ensures a triennial budget that is sufficient to maintain progress towards the targets set in the Montreal Control Schedule for Article 5 countries.

The organisational architecture of the Multilateral Fund has proved to be effective and enduring. The key structures of the Multilateral Fund – the Parties, Executive Committee, Secretariat, bilateral and implementing agencies, and Treasurer – have remained broadly unchanged for almost 30 years. Individual agreements with the four implementing agencies – the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO) and the World Bank – date from 1991 and 1992.

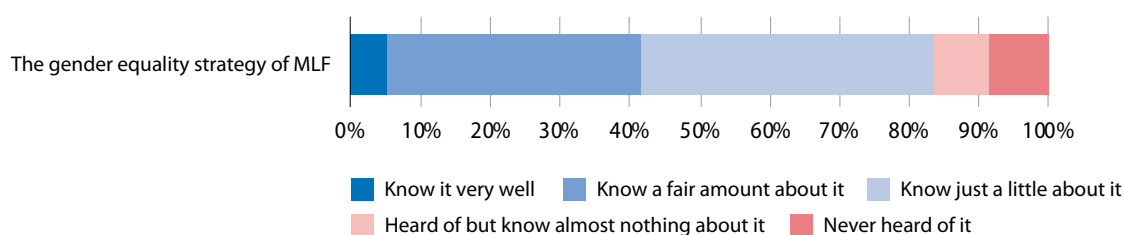
KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels.

This KPI looks at the articulation and positioning within the MLF structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives. This section only considers a single cross-cutting issue: gender. Human rights, environment and climate change, and good governance, the other three cross-cutting issues MOPAN usually assesses, were considered to be non-applicable as cross-cutting issues for the MLF. Human rights was not identified in documents or discussions as a significant issue. Environment and climate change are core to the MLF mandate and therefore not cross-cutting. Good governance is also considered to be core to the MLF and to the Montreal Protocol. A small but significant part of the MLF funding is directed at institutional strengthening and capacity building in Article 5 countries. The assessment team judged that the cross-cutting issue ‘gender equality and women’s empowerment’ is applicable in this assessment. It decided, however, not to apply a rating for KPI 2, as its rating – based only of the gender score – would highlight the issue in a way that is disproportionate to the role it plays in the Multilateral Fund, with its strong focus on phasing-out ODS and phasing down HFCs.

The Multilateral Fund has been relatively slow to address gender as a cross-cutting issue. The Fund operates under the mandate provided by the Montreal Protocol. As explained above, this focuses on the phase-out and phase-down of specific chemicals. While this clear focus has many merits, the fact that the Fund exists to deliver on one particular international normative framework does not, arguably, mean that it does not need to consider other international norms, even if it has not explicitly committed to these. The MLF accepts that, as part of the United Nations, it must abide by international norms, even though the Fund was established for the sole reason of assisting Article 5 countries to comply with the Protocol.

The Multilateral Fund’s approach to gender equality and women’s empowerment has been weak but is now improving. All four of the IAs have new or updated gender policies. In December 2017, the Executive Committee approved the terms of reference for an evaluation of gender mainstreaming in Fund projects and policies. This desk-based evaluation found a number of weaknesses in the Fund’s approach to gender, including the lack of a dedicated policy statement on gender; a scarcity of dedicated resources for gender mainstreaming; and, despite the existence of IA gender policies, the fact that gender mainstreaming was not generally taken into account in the design of projects. These findings are echoed by the handful of survey respondents who commented on gender issues in the Montreal Protocol. Three survey respondents questioned whether a gender approach is central to the Montreal Protocol. The desk study findings led to the discussion of a potential gender policy for the Multilateral Fund at the May 2019 meeting of the Executive Committee and to the decision to prepare a draft policy. A gender equality policy for the Multilateral Fund was approved by the Executive Committee in December 2019. However, as this post-dated the time period for this assessment, the new gender policy could not be taken into account in the scoring and rating.

Figure 2. Cross-cutting issues



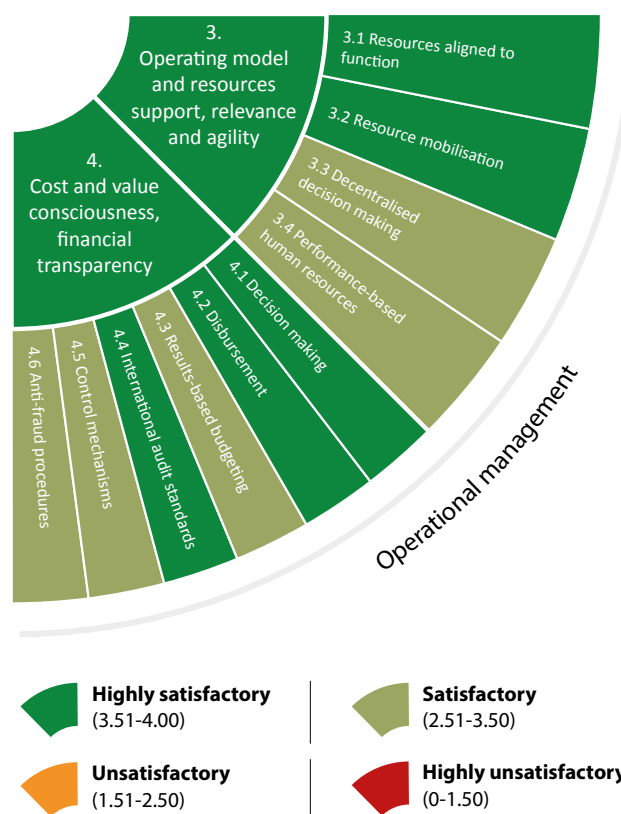
Source: Based on responses to the 2019 MOPAN Partner Survey: MLF, August-September 2019.

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

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

The Multilateral Fund works exceptionally well as the financial mechanism of the Montreal Protocol. Staffing and resource allocations are well-aligned to the functions required. Small, highly technical teams within the Fund and within its bilateral and implementing agencies support relevance and agility. Resource allocation is matched to the needs of Article 5 countries, is regularly reviewed and is adjusted on a three-year basis in line with a country compliance-driven approach. Decision-making for resource allocation is centralised, but clear, transparent and strongly driven by country needs. Costing has been and remains extremely thorough and results-focused. External and internal audit controls are satisfactory and conform to international standards.

KPI 3: The operating model and human and financial resources support relevance and agility.



This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

The Multilateral Fund works exceptionally well as the financial mechanism of the Montreal Protocol. Staffing and resource allocations are well-aligned to the functions required. The sole purpose of the Fund is to provide financing to Article 5 countries for the incremental and other costs associated with the phase-out and phase-down of substances controlled by the Montreal Protocol. Financial and human resources are tightly focused on the planning, review, approval, monitoring and evaluation of projects and activities targeted at the remaining production and consumption of controlled substances. Guidelines governing the operations of the Multilateral Fund have been elaborated and revised in the decisions made by the Executive Committee in 84 meetings since 1991. The 2012 ICF Evaluation of the Financial Mechanism of the Montreal Protocol concluded that “the overall model for the financial mechanism of the Montreal Protocol works exceptionally well and could be considered a model for other multilateral environmental agreements (MEAs); it has clear objectives, universal participation, and directly links funding and compliance”.

Resource allocation is matched to the needs of Article 5 countries, is regularly reviewed and is adjusted on a three-year basis in line with a country compliance-driven approach. The Multilateral Fund has been replenished every three years since 1994 by contributions from non-Article 5 countries. The level of each replenishment is negotiated by the Parties to the Montreal Protocol, taking into account a report by the Protocol’s Technology and Economic Assessment Panel (TEAP) assessing the work required to maintain progress against the Control Schedule. Resources are allocated according to the phase-out or phase-down as needed.

Virtually all contributions are provided as core funding which supports relevant and flexible resource allocation. Contributions from non-Article 5 countries are provided as core funding, which allows for maximum flexibility in business planning. Contributing Parties are able to use up to 20% of their annual contributions to carry

out activities with developing countries on a bilateral basis, but all such activities become part of the consolidated business plan and subject to both review by the Secretariat and approval by the Executive Committee. Bilateral contributions and projects depend on the same approval, monitoring and reporting requirements as contributions and projects managed by the implementing agencies.

The operation of the Multilateral Fund in small, highly technical teams supports relevance and agility. The Fund Secretariat consists of 13 professional and 10 general service staff members. This team works with small-size Montreal Protocol Units in the IAs. The IAs collaborate in turn with National Ozone Units (NOUs) in each Article 5 country. This network of small teams fosters effective operation and communication within the Multilateral Fund. There is also an exceptional staff continuity, which facilitates communication and co-operation.

Although strongly driven by country needs, decision-making within the Multilateral Fund is centralised. There is limited evidence on the extent to which the delegated decision-making to IAs and countries has been sufficient. Different procedures apply, depending on whether necessary changes to a project or plan are minor or major. Minor changes to an approved project or annual implementation plan can be made and reported ex post. Major changes need to be referred to the Executive Committee for approval ex ante. The country-driven approach does, however, allow countries to decide on their strategies and plans for approval by the Executive Committee.

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

This KPI examines how the Multilateral Fund uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

Decision-making for resource allocation is clear and transparent. The Executive Committee allocates resources in three stages. The first stage is a financial planning exercise based on the adopted triennial budget. This generates an annual allocation for the Fund. The second stage is a three-year rolling business planning process. Business plans produced by bilateral and implementing agencies are combined into a consolidated business plan. The third stage is the approval of detailed project and programme plans based on those business plans. In 2017, MLF published a document on Policies, Procedures, Guidelines and Criteria which outlines in detail how projects and plans are reviewed and approved. All these stages are detailed in the documents published in connection with Executive Committee meetings.

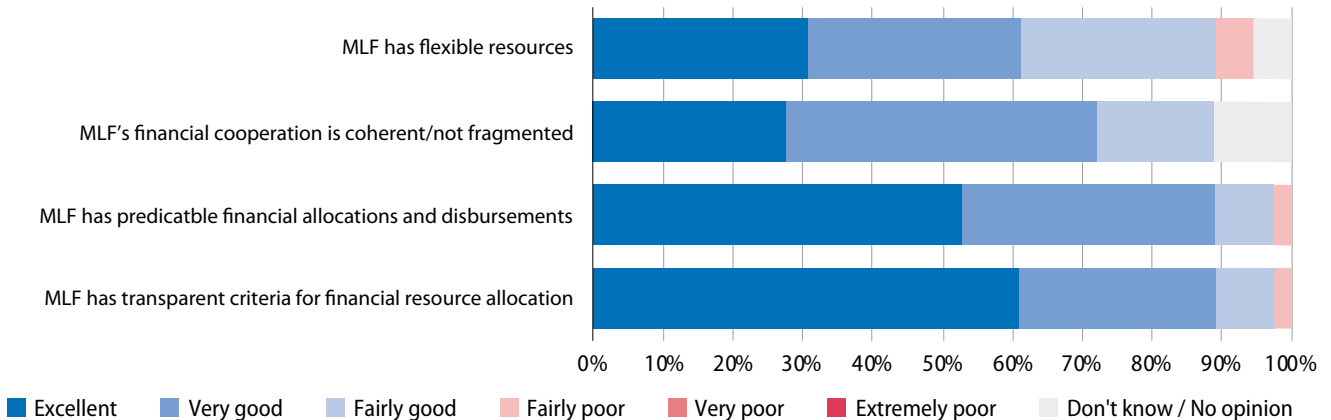
Budget allocations are consistent with strategic priorities and aligned with Article 5 countries' progress towards agreed compliance targets. Each Article 5 country reports annually to the Montreal Protocol Secretariat and the Fund Secretariat with data on the production (where applicable) and consumption of controlled chemicals. These are used to compile a report for consideration by the Executive Committee on Country Programme Data and Prospects for Compliance. Bilateral and implementing agencies meet with the Secretariat to co-ordinate their annual business plans in line with this assessment of progress towards compliance. Compliance-driven budget allocations are the result.

Costing has been and remains particularly thorough, and there is little scope for improving the system. One of the key principles of the Multilateral Fund is that funding for investment projects is only provided for the incremental costs of the phase-out/phase-down of substances controlled by the Montreal Protocol. MLF funding does not cover costs associated with benefits to an enterprise converting to an alternative technology when these benefits are not strictly related to replacing the controlled substance concerned. The total costs of conversion to alternative technologies are not fully covered. Discussions with Secretariat and bilateral and implementing agency staff confirm that this principle is rigorously adhered to. Reviews of project proposals are extremely cost-conscious. All unused funds are required to be returned to the Fund.

By virtue of the Multilateral Fund's close attention to specific controlled substances, budgeting can be regarded as results-focused. All project proposals detail target levels of the controlled substances to be phased out and the level of funds required. Costs per kilogramme of ODS as a group are reported, and the annual Consolidated Progress Report identifies the allocation and cost-effectiveness of phase-out by sector. Costs per tonne removed and destroyed are also reported in a number of documents, and the funds allocated to HCFCs and HFCs are summarised in the consolidated business plan. However, the Fund has no single document which includes the cost per tonne of each chemical removed or destroyed.

External and internal audit controls are satisfactory and conform to international standards. Minutes of the Executive Committee confirm that the audited financial statements for the Multilateral Fund are prepared annually as part of the UNEP Financial Report and Audited Statement in accordance with International Public Sector Accounting Standards. No internal audits of the Fund Secretariat were carried out during the assessment period. The last internal audit was by the Internal Audit Division of the United Nations (UN) Office of Internal Oversight in 2013. The 2015-16 MOPAN assessment of UNEP – of which the Fund Secretariat is administratively part – rated external and internal audit standards as satisfactory. Previous MOPAN assessments rated the other implementing agencies (UNDP, UNIDO and the World Bank) as either satisfactory or highly satisfactory for the same indicators. UN and UNEP documents, as well as interviews with the Secretariat, confirmed that satisfactory policies and procedures exist to effectively prevent, detect and sanction any cases of fraud or other financial irregularity. All staff at the Fund Secretariat have completed UN online anti-fraud training.

Figure 3. Financial resources

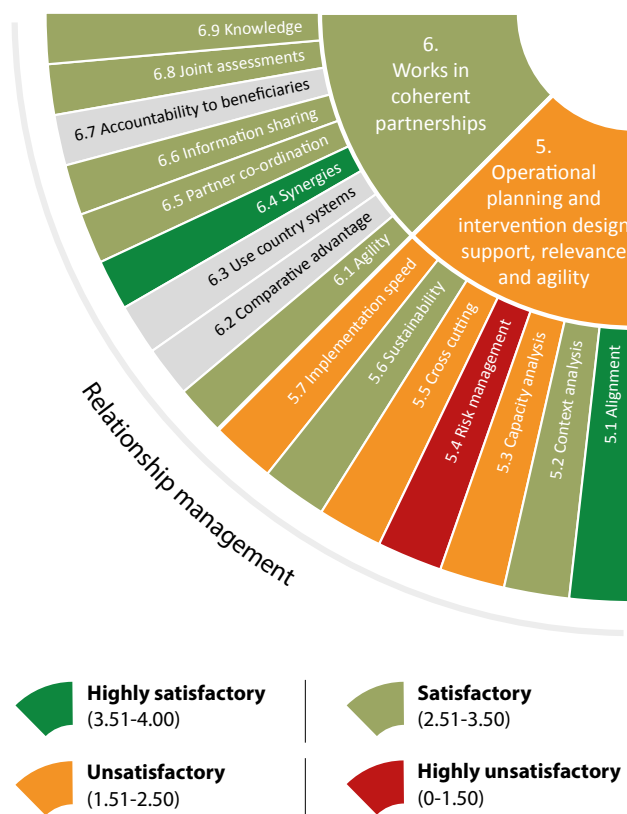


Source: Based on responses to the 2019 MOPAN Partner Survey: MLF, August-September 2019.

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).

Well-functioning Partnerships underpin many aspects of the Multilateral Fund's performance, although a few aspects can still be improved. Interventions delivered with the support of the Multilateral Fund have been relevant to country priorities and well-aligned with them. Partnerships between the Fund and NOUs, as well as relationships within the Fund, have worked well. The Fund has adequately analysed country contexts. Measures to ensure sustainability have been reasonable and are receiving increased attention. However, MOPAN found less evidence of i) systematic risk and capacity analysis as part of intervention design and ii) recent systematic analysis of implementation delays. The Fund's analysis of gender in project design has been weak. While all relevant information is available on the Fund website, documents are not as accessible as they could be for partners and external audiences.



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

This KPI focuses on the scope and robustness of the Multilateral Fund's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

Interventions delivered with the support of the Multilateral Fund have been relevant and well-aligned with country priorities. The Multilateral Fund plans its interventions using a country- and compliance-driven approach. Interventions are guided by country progress towards compliance, and countries are given the flexibility to choose both the type of approach that would best enable them to meet their obligations and the bilateral and implementing agencies with which they want to work. Bilateral and implementing agencies are required to involve national bodies in project identification. Project documents are developed by the agencies in conjunction with NOUs. However, the project design documents reviewed provide little evidence of explicit lesson learning from previous or related interventions (although MLF staff emphasised that all stakeholders continuously learn lessons and adapt their modalities accordingly). Project completion reports, on the other hand, include lessons learned; these are captured on a database which is available for consultation.

Interventions are adequately informed by contextual analysis within the country concerned, but there is less evidence of systematic risk and capacity analysis. Contextual information is required for all country programmes and national phase-out plans, and all interventions funded by the Multilateral Fund require a statement that positions the intervention within the operating context. According to the Secretariat, risk and capacity analysis is an integral part of project review. However, there is no formal risk analysis, no risk register and no risk mitigation plan. Reviews of policy and guidance documents found no analysis of the capacity of national partners, although MOPAN was informed that the Secretariat and the responsible bilateral and implementing agencies explicitly consider the capacities of enterprises and national institutions and systems.

Analysis of gender in project and programme designs is weak. Project proposal templates require information on climate and environmental impacts but not on gender.¹ The 2018 desk evaluation of gender mainstreaming found that gender issues were seldom taken into account in project design.

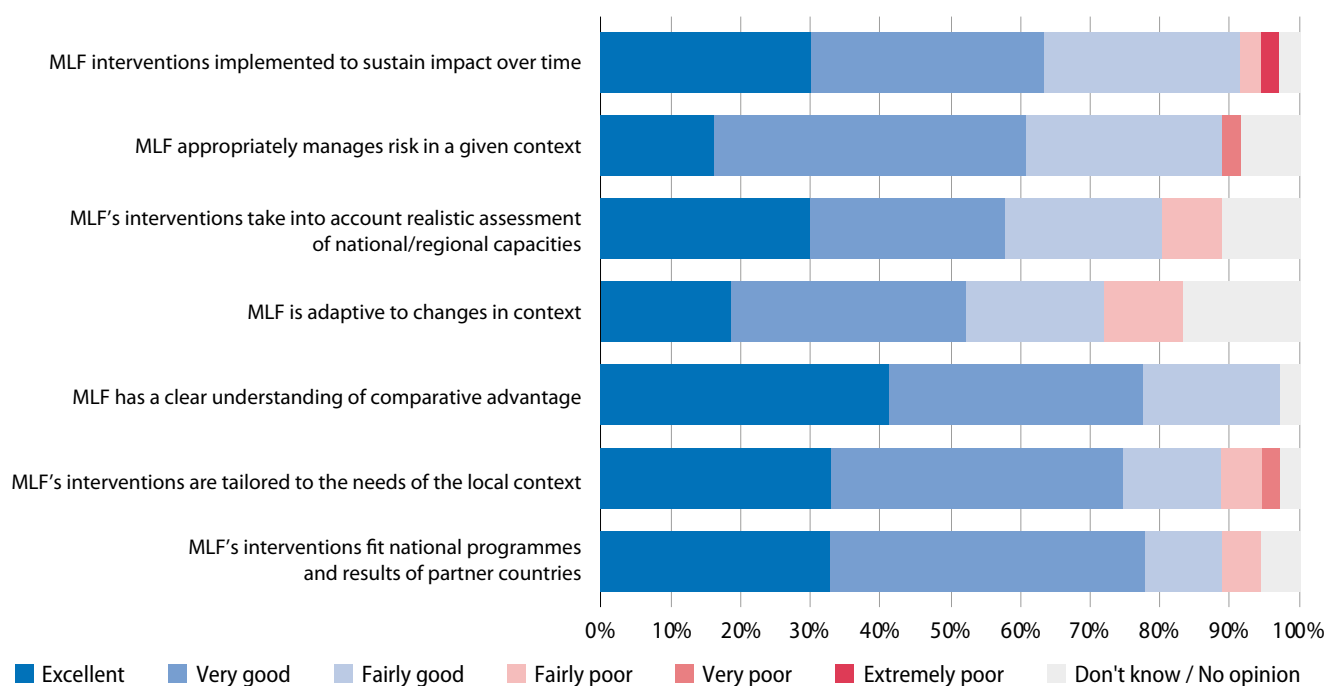
Measures to ensure sustainability have been reasonable. The Fund emphasises incorporating Montreal Protocol obligations in national legal and policy frameworks. Policies and procedures governing the design of interventions require a thorough analysis of the issues associated with long-term sustainability prior to being submitted for approval. Funding under the Montreal Protocol is based on a commitment by the country concerned to sustainably and permanently reduce the consumption and production of controlled substances.

Given efforts to detect and prevent illegal production and use of controlled substances, it had been assumed that the results achieved would be permanent once the substances were phased out under the terms of the Montreal Protocol. The unexpected scale of the emissions of trichlorofluoromethane (CFC-11) and its associated illegal use and production in one country have undermined this assumption to some extent and forced the Meeting of the Parties to request that “all parties take appropriate measures to ensure that the phase-out of CFC-11 is effectively sustained and enforced”.² In addition, the Secretariat of the Multilateral Fund was asked to prepare an overview of current monitoring, reporting and verification procedures; this was first presented to the 83rd Meeting of the Executive Committee in May 2019 and will continue to be discussed. A desk evaluation of sustainability has also started. It must take into consideration that the monitoring of all countries’ compliance with the phase-out schedules of the Montreal Protocol is the task of the Meeting of the Parties and its Secretariat based at UNEP in Nairobi which collects and compiles the relevant data and reports.

1 Since the assessment, project proposal templates have been updated to include gender.

2 Matters relevant to the Multilateral Fund arising from the 40th Meeting of the Open-Ended Working Group and the Thirtieth Meeting of the Parties, Annex 1 (UNEP, December 2018).

Figure 4. Design and implementation of interventions



Source: Based on responses to the 2019 MOPAN Partner Survey: MLF, August-September 2019.

Speed of implementation is tracked, and there is evidence of systematic action on programme delays. Regular reports to the Executive Committee track and explain any implementation delays, and action is taken on all project and programme delays identified. The average time from approval to disbursement is also reported. However, while information on delays by country, IAs and projects exists and is reported, there is little evidence of any recent systematic analysis of the reasons for the delays, the wider steps taken to address them or lesson learning from other delayed programmes. MOPAN identified no evidence of benchmarking the speed of implementation, either internally or externally. It is important to point out that none of the implementation delays have led to a country becoming non-compliant or to the overall Montreal Protocol Control Schedule being missed.

KPI 6: Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources.

This KPI looks at how the Multilateral Fund engages in partnerships to maximise the effect of its investment resources and its wider engagement. This assessment considers the partnerships that exist between the IAs and national authorities. The links between the Secretariat and IAs are seen as internal to the Fund and are not considered to be partnerships.

Partnerships between the Fund and NOUs are key to the successful implementation of the Montreal Protocol. All project preparation and reporting processes are a joint effort between NOUs, IAs and the Secretariat. Fund mechanisms allow for programmatic changes and adjustments within partnerships as conditions change. Information gaps are discussed at, among others, six-monthly Executive Committee meetings, annual meetings of the Parties and bi-annual regional network meetings.

While all relevant information is available on the Fund website, documents are not as accessible as they could be for partners and external audiences. Executive Committee minutes and meeting documents are extremely detailed and comprehensive, and they meet the needs of the Parties, Executive Committee and Secretariat. However, they are not written to be accessible to partners and external audiences. Information can be difficult to find. For example, significant discussion of the CFC-11 issue – seen by some as the major threat to the success and reputation of the Montreal Protocol – is contained in a document entitled “Matters relevant to the Multilateral Fund arising from the 40th Meeting of the Open-Ended Working Group and the Thirtieth Meeting of the Parties” (December 2018) and in a later document on monitoring, reporting and verification.³ The Multilateral Fund does not invest significantly in creating knowledge products based on its activities.

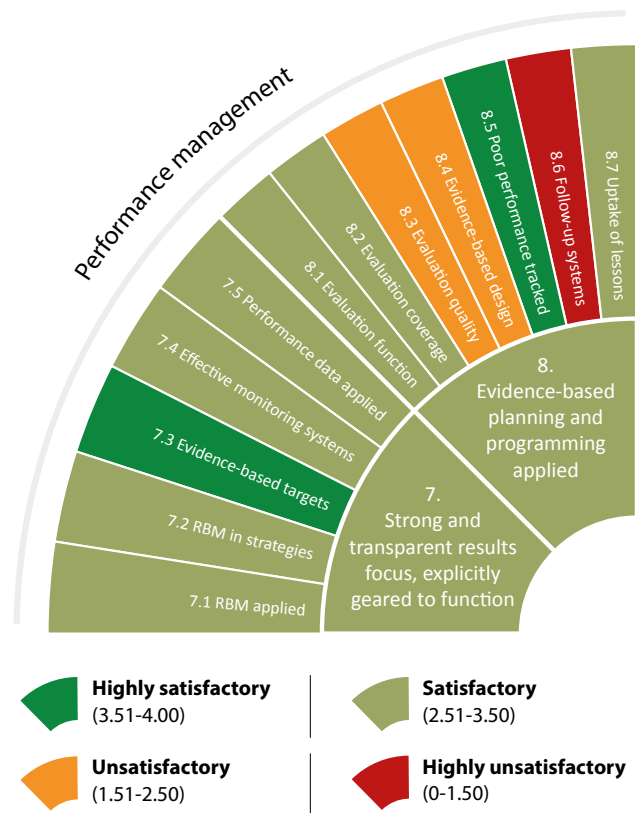
3. UNEP (2019). Overview of current monitoring, reporting, verification and enforceable licensing and quota systems

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.

The Multilateral Fund has a strong focus on medium- and long-term results as outlined in the Montreal Protocol Control Schedule. These results are clear, transparent, measurable and time-bound. The periodic reporting and independent verification for each tranche of national phase-out plans has been a key and successful element of the Fund. At the same time, the results framework does not address the overall quality or sustainability of results, in the form of a set of performance measures for the Fund as a whole.

Evaluations have covered a wide range of issues and countries and reflect Executive Committee priorities. While formally independent, the evaluation function is not fully independent in practice and is insufficiently challenging and analytical. Evaluations tend to present findings rather than explanations, analysis, lessons learned or specific recommendations. Although lessons are learned by the Fund, there is limited evidence demonstrating the use of evaluations in designing new interventions.



KPI 7: The focus on results is strong, transparent and explicitly geared towards function.

This KPI looks at how the Multilateral Fund transparently interprets and delivers an organisation-wide focus on results.

The Multilateral Fund has a strong focus on medium- and long-term results as outlined in the Montreal Protocol Control Schedule. These results are clear, transparent, measurable and time-bound. For example, Article 5 countries are to achieve a 67.5% reduction of HCFCs (based on a baseline of the average of 2009 and 2010 production and consumption) by 1 January 2025, a 97.5% reduction by 1 January 2030 and a total phase-out by 1 January 2040.⁴ All interventions financed by the Fund – with the exception of institutional strengthening projects and the Compliance Assistance Programme – are similarly directed at specific, time-bound targets. The Montreal Protocol allows these targets to be revised over time in the light of new scientific evidence and economic developments.

The periodic reporting and independent verification for each tranche of national phase-out plans has been a key and successful element of the Fund. The plans are set up so that funding for an entire plan is approved in principle, but funding is provided over several tranches spread out over a number of years. In order to receive approval for a tranche of funding (except for the initial one), a comprehensive report on progress and results needs to be provided, usually together with an independent verification report that shows that targets have been met.

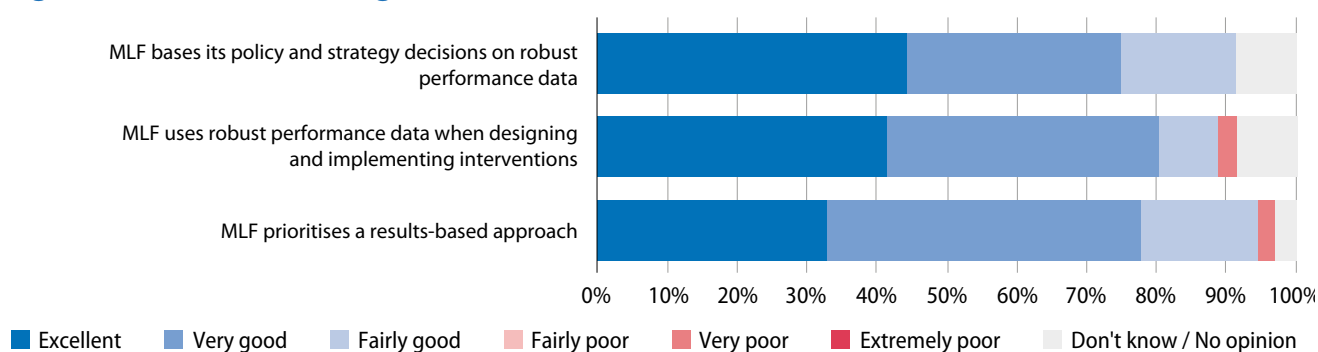
While the results focus is strong, the Multilateral Fund as a whole lacks any clear intermediate results statement. Shorter-term targets for each individual country phase-out plan are reflected and updated in the three-year business

4. Technically, Article 5 countries are to achieve 100% phase-out by 2030 with a 2.5% average over ten years (2030-40) for specific uses.

plan spreadsheet. Also, the Fund reports on a range of medium-term targets applicable to implementing agencies and recipient countries. However, there is no consolidated intermediate results statement for the Fund as a whole, and no results framework in the classic sense of a hierarchy of objectives and indicators linking activities to long-term results, nor is there a clear way of seeing whether the performance of the Fund is improving over time. A large gap exists between the activities as defined in the consolidated business plan for the Fund and the long-term results as outlined in the Montreal Protocol Control Schedule. It could be argued that this is not necessarily a significant drawback for the MLF, because the same types of results are valid and measurable over all time periods. While this is true, it would be both possible and desirable for the Fund to include consolidated annual or triennial targets within its business plans, in addition to clear annual or triennial reporting of results achieved (as well as other organisational performance measures).

Results targets and monitoring are less developed for institutional strengthening (IS) projects and the Compliance Assistance Programme (CAP). The majority of the costs – USD 140 million or 95% – in the 2019 consolidated business plan relates to phase-out projects which contribute to specific results in the Control Schedule. However, there are significant expenditures on IS projects (USD 10.4 million) and the CAP (USD 11.3 million). The Fund has no consolidated results targets for these expenditures (by year, by business plan period or for the long term) and has limited specific reporting. The performance indicators for the CAP contained in the UNEP business plan are undeveloped. It is recognised that defining effective indicators for capacity building is a more challenging task than it is for technology investment projects.

Figure 5. Performance management



Source: Based on responses to the 2019 MOPAN Partner Survey: MLF, August-September 2019.

KPI 8: The organisation applies evidence-based planning and programming.

This KPI focuses on the evaluation function and its positioning within the MLF structures, attention to quality, accountability and putting learning into practice.

Evaluations have covered a wide range of issues and countries and reflect Executive Committee priorities.

Draft monitoring and evaluation work programmes are presented to the Executive Committee for approval on an annual basis. This ensures that evaluation activities are relevant and reflect current Fund and Protocol priorities. For example, the Nineteenth Meeting of the Parties to the Montreal Protocol gave priority to the phase-out of HCFCs in the foam sector. Thus, the 2014-15 evaluation programme involved foam sector projects. However, the link is not usually as direct, and the timing and topics proposed for evaluation depend on many factors, such as the number of projects completed in the sectors or when specific issues might have come to light.⁵ Recent evaluation activities have included gender, energy efficiency and sustainability, all of which are important issues. The evaluation of the

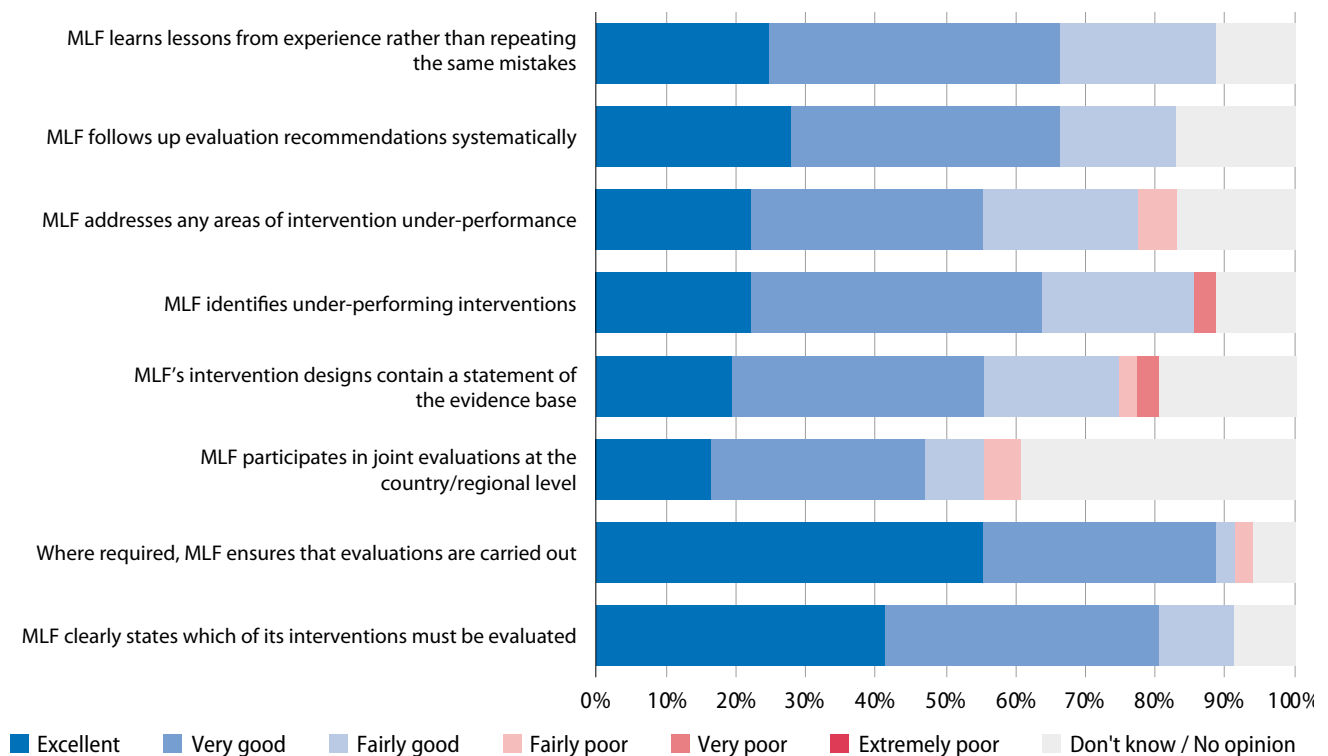
5. Interviews with the MLF in July 2019

sustainability of achieving the Montreal Protocol is particularly relevant in the light of the unexplained increase in CFC-11 emissions since 2012 and the reported ongoing emissions of carbon tetrachloride (CTC).

The evaluation function is formally independent, reporting directly to the Executive Committee, but is not fully independent in practice. The evaluation function is provided by a single member of staff in the Secretariat: the Senior Monitoring and Evaluation Officer (SMEO). While the SMEO reports directly to the Executive Committee (as per his or her terms of reference decided by the Executive Committee), in practice the Chief Officer of the Secretariat maintains a level of administrative control. The SMEO implements the evaluation work programme as guided and approved by the Executive Committee. This was confirmed in 2009 at the 58th Executive Committee meeting. Nevertheless, the Chief Officer maintains some control over the SMEO's mission requests, for example the selection of consultants, and how documents are submitted to the Executive Committee. This limits to some extent the space for innovation or full independence.

Evaluations tend to present findings rather than explanations, analysis, lessons learned or specific recommendations. All evaluations follow the same process. Evaluation reports provide limited details on the methodology used for data collection or analysis and do not routinely include a management response. Reports focus on presenting findings rather than on providing analysis and explanations for these findings. While evaluation reports include a section on lessons learned and recommendations, the lessons tend to be articulated as the evaluator's perceptions rather than being substantiated by analysis. This is partly due to the fact that evaluations are more designed to check that results are achieved rather than ask analytical evaluative questions. Similarly, the evaluation reports reviewed tend to make recommendations of an administrative nature (e.g. recommending that the Executive Committee approve the findings of the reports) rather than technical suggestions as to how to resolve issues or shortcomings identified in the reports. There is no annual report on the use and implementation of evaluation recommendations.

Figure 6. Evidence-based planning and programming



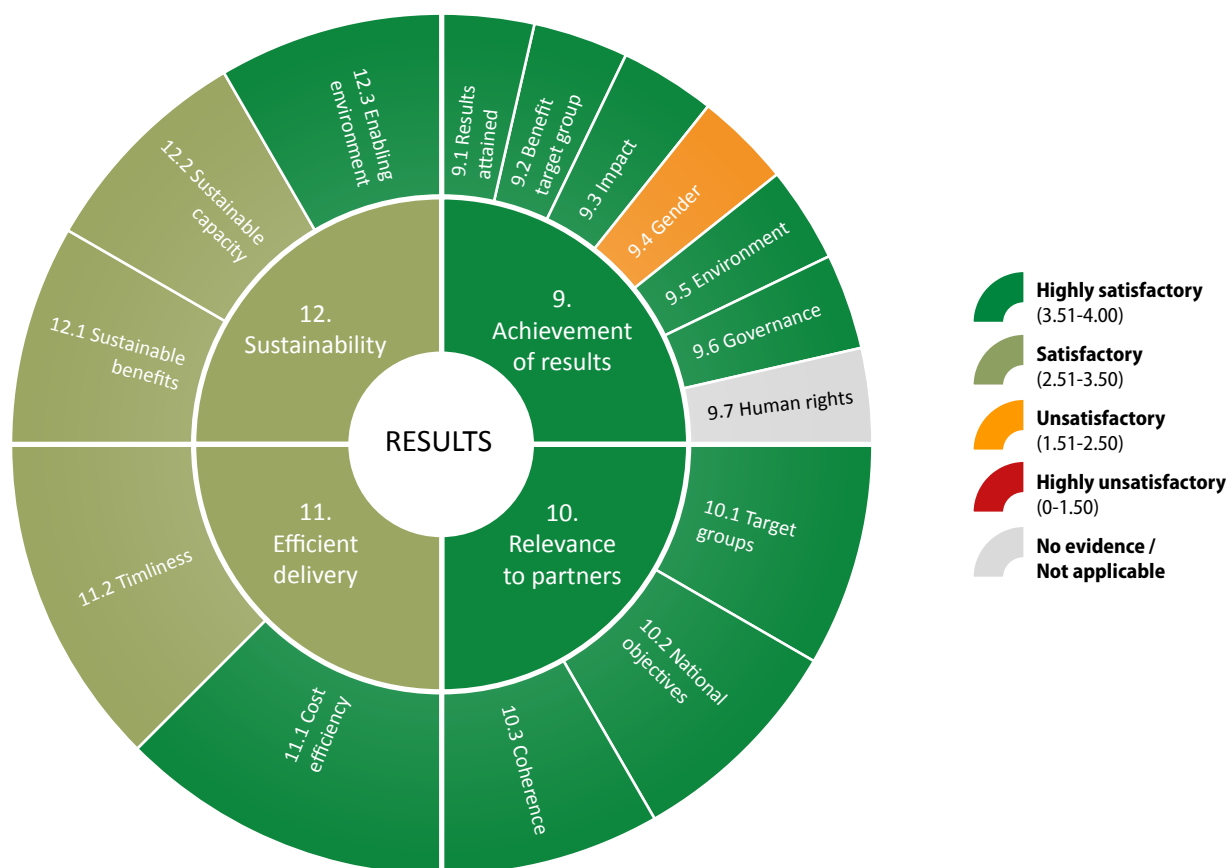
Source: Based on responses to the 2019 MOPAN Partner Survey: MLF, August-September 2019.

Although lessons are learned, there is limited evidence demonstrating the use of evaluation evidence in designing new interventions. Despite recommendations from the Executive Committee that project proposals should build on lessons learned, MOPAN found limited documentary evidence that this happens consistently. Lessons learned are available in a lessons database, but the tool is not user-friendly and is largely a descriptive depository of lessons. On the other hand, interviews suggest that an informal system of lesson learning does exist within the Fund and that lessons learned are incorporated into project proposals and policies. The central role of the Secretariat in reviewing all funding proposals, regular meetings involving the Secretariat and IAs, and the limited number of individuals involved are conducive to tacit lesson learning. Two qualitative survey responses pertinent to this performance area identified the need to identify and apply lessons more specifically.

2.2. DEVELOPMENT/HUMANITARIAN EFFECTIVENESS⁶

PERFORMANCE AREA: RESULTS

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



The Multilateral Fund has contributed to the environmental success of the Montreal Protocol in repairing the damage to the ozone layer. The reduction in ODS, to which the Fund has contributed through its support for Article 5 countries, has had significant human health and climate change mitigation impacts and has contributed to a number of other Sustainable Development Goals (SDGs). It has promoted positive change in national policies, legislation and regulatory systems, and its results have been highly relevant to partner countries.

6. Since the MLF's primary mandate is neither humanitarian nor development, the achievements of the MLF have to be measured in terms of targets reached in the areas of stopping the use and production of ODS (and, in due course, the phase-down of hydrofluorocarbons); thus, MOPAN looks at the indicator through this lens.

The Multilateral Fund is a highly cost-conscious and cost-efficient facility. Projects have generally taken longer than planned, but this has not affected compliance with the Montreal Protocol Control Schedule. Most of the results of the Multilateral Fund – the phase-out of ODS – are intended to be permanent and therefore inherently sustainable. However, following recent controversy over continued CFC-11 and CTC emissions, the Multilateral Fund has recognised that additional measures will be required to ensure sustainability.

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.

This KPI examines the nature and scale of the results the Multilateral Fund is achieving against the targets it sets and its expectations on making a difference.

The Multilateral Fund has contributed to the environmental success of the Montreal Protocol in repairing damage to the ozone layer. Increasing concern regarding the effects of ODS on the ozone layer led to the Vienna Convention in 1985 and then to the Montreal Protocol in 1987. The Protocol has since achieved a 99% phase-out in the reported levels of production and consumption of ODS.⁷ Global observations have confirmed the reduction in atmospheric levels of key ODS and, subject to the full implementation of the Protocol's provisions, ozone is expected to recover to early 1970 levels around the middle of the century. For these reasons, the Montreal Protocol has been described as “perhaps the single most successful international environmental agreement to date”.⁸ As the financial mechanism that has supported the implementation of the Protocol in Article 5 countries, the Multilateral Fund has made a significant contribution to this achievement.

While the Montreal Protocol and Multilateral Fund do not have specific development and humanitarian objectives, the reduction in ODS has had very significant human health and climate change mitigation impacts. The human health impacts stem from the role of the ultraviolet layer in protecting the earth from harmful ultraviolet radiation. Modelling by the United States National Aeronautics and Space Administration showed that full implementation of the Montreal Protocol is expected to avoid more than 280 million cases of skin cancer, approximately 1.6 million skin cancer deaths and more than 45 million cases of cataracts in the United States alone.⁹ UNEP reported that, globally, up to 2 million cases of skin cancer may be prevented each year by 2030.¹⁰ While the MLF has helped reduce ODS use and emissions solely in Article 5 countries, it has contributed to these global health and climate change benefits. In addition, it has led to other health benefits (e.g. decreasing worker exposure to dangerous fumes).

The Montreal Protocol has also delivered substantial climate benefits. As well as depleting the ozone layer, CFCs and other ODS are potent greenhouse gases, thousands of times more potent than the equivalent mass of carbon dioxide. A recent paper estimated that the Montreal Protocol has avoided global mean warming of at least one degree centigrade by 2050 and three to four degrees over parts of the Arctic. This makes it eight times more effective at mitigating global warming than the Kyoto Protocol.¹¹ In addition, the phase-down of HFCs under the Kigali Amendment is estimated to avoid additional emissions equivalent to 25 to 78 gigatons of carbon dioxide¹² and up to 0.4°C of global warming by the end of the century.¹³ The phase-out of CFCs has greatly contributed to reducing global warming, although this positive impact has been somewhat diminished by the fact that some replacements were HCFCs and HFCs, which tend to have significantly lower but still substantial global warming potentials than CFCs.

7. In adjusted tonnes of ozone depleting potential. See the latest developments under the Montreal Protocol. Ozone Secretariat, UNEP, July 2017

8. Kofi Anan, UN Secretary-General, 1997-2006

9. United States EPA(2017). Stratospheric Ozone Protection. 30 years of progress and achievements

10. UNEP (2017). The latest developments under the Montreal Protocol. Ozone Secretariat, July 2017

11. Goyal, R. et al. (2019). Reduction in surface climate change achieved by the 1987 Montreal Protocol. Environmental Research Letters, December 2019

12. www.drawdown.org/solutions/materials/refrigerant-management

13. UN Environment (2019). The Kigali Amendment comes into force. January 2019

The Multilateral Fund has supported positive change in national policies, legislation and regulatory systems.

Numerous reports show that legislation and policy have changed and adapted in all the countries supported by the Fund and that the Protocol provided the impetus and resource for institutional changes at the national level. Governance has been improved in terms of developing legislation and maintaining compliance. The ICF evaluation of the Montreal Protocol in 2012 mentioned a number of positive legislative and institutional outcomes, with many stakeholders regarding institutional strengthening activities as a fundamental component contributing to the Protocol's overall success. Institutional strengthening funding and capacity building efforts to help Article 5 countries achieve and maintain compliance are a particular strength of the mechanism. These efforts will continue to be important for HCFC and HFC phase-down.

There is no evidence of results in terms of gender equality (Sustainable Development Goal 5), but the Multilateral Fund has contributed to other Sustainable Development Goals (SDGs).

At the time of this assessment, the MLF did not yet have a gender policy¹⁴ but had relied on IAs having gender policies in place. In fairness, it could be argued that gender is less directly relevant to the Fund than to other more traditional development or humanitarian interventions. For example, while men and women are unequally represented in the refrigerant sector, both benefit from the repair of the ozone layer and the reduction in the use of chemicals with high global warming potential. An analysis for UNDP found clear linkages between work funded by the Multilateral Fund and SDGs 1, 2, 3, 7, 9, 12 and 13 but noted that the Montreal Protocol needed to report on its contributions to the SDGs.¹⁵ The TEAP 2018 Assessment Report concluded that the Protocol had made a major and effective contribution to sustainable development.¹⁶

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate.

This KPI centres on the relevance of the Multilateral Fund engagement given the needs and priorities of its partner countries and its results focus.

The Multilateral Fund has helped deliver a coherent, global response to a major identified problem. The Montreal Protocol was a response to a global problem affecting all countries: the loss of ozone resulting from the use of CFCs and other ODS. It represents "one of the biggest collective action efforts in human history with very effective stakeholder engagement on an international scale".¹⁷ It has been universally ratified by 197 Parties.

The Fund has been highly relevant to partner countries. It has responded effectively to the needs of Article 5 countries, enabling them to meet their obligations under the Montreal Protocol. Funding from the Multilateral Fund has depended on demonstrated relevance between funded activities and compliance with specific Montreal Protocol control measures. The Fund has followed a country-driven approach and has responded to the particular needs of each Article 5 country to phase out the production and/or consumption of specific ODS. The ODS phase-out has been achieved or is near to being achieved in all countries, the deadline for the last HCFCs being 2030. The health, climate mitigation and other benefits outlined above are relevant to all countries.

The Fund has been singularly focused on the results mandate provided by the Montreal Protocol. Unlike most multilateral organisations, the Multilateral Fund has had a specific focus: the phase-out of ODS and phase-down of HFCs. To date, the Fund has solely worked towards this mandate. In 2018, the Parties directed the Fund to explore co-operation and co-funding with other funds and financial institutions to maintain or enhance the energy efficiency

14. A new gender policy was approved by the Executive Committee in December 2019.

15. UNDP. The Sustainable Development Goals (SDGs) and the Montreal Protocol on Substances that Deplete the Ozone Layer, based on Jacques Van Engel, "The Sustainable Development Goals and the Montreal Protocol", an analysis prepared for UNDP's Montreal Protocol/Chemicals Unit, 20 August 2017.

16. UNEP (2019). Technology and Economic Assessment Panel (TEAP) - 2018 Assessment Report. Montreal Protocol

17. Schaefer, L. (2019). The Montreal Protocol. Great Policy Successes Case Study, September 2019

of cooling equipment in parallel with the mandated phase-down of HFCs; their decision potentially diversifies the Fund's mandate. The addition of energy efficiency as an objective would, if approved, need to be matched by developments in guidance (to maintain or enhance energy efficiency of equipment when phasing down HFCs¹⁸), resourcing,¹⁹ and in the results framework, monitoring, reporting and evaluation of the Fund.

KPI 11: Results are delivered efficiently.

This KPI looks at the extent to which the Multilateral Fund is meeting its own aims and standards on delivering results efficiently.

The Multilateral Fund is a highly cost-conscious and cost-efficient facility. Incremental cost allocations and expenditures are tightly scrutinised by the Secretariat. Executive Committee documents report that, on average, the actual cost-effectiveness of projects has been close to planned cost-effectiveness at the time of Executive Committee approval. In terms of project costs, most projects have used slightly less funding than initially planned.

Cost guidelines are the subject of intensive discussion in the Executive Committee. A recent example is the development of cost guidelines for the phase-down of HFCs in Article 5 countries. The administrative cost regime has also been recently reviewed by the Executive Committee, as have cost-effective options for controlling trifluoromethane (HFC-23) by-product emissions. The Secretariat closely scrutinises the costs and cost-effectiveness of programme proposals and tightly monitors all programme expenditure. The appropriate level of incentives for adopting new technologies is considered in evaluations. Comparisons of cost-effectiveness (USD per kilogramme of chemical removed or destroyed) are included in relevant project documents.

While projects have generally taken longer than planned, this has not affected compliance with the Montreal Protocol Control Schedule. On average, projects take 31 months to reach completion compared with a planned implementation time of 24 months. However, judged against the overall timetable of the Control Schedule, results in terms of compliance have been, and are being, achieved on time. As at their Twenty-Ninth (2018) and Thirtieth (2019) Meetings, the Parties did not find any Article 5 countries in non-compliance with their obligations under the Montreal Protocol.

KPI 12: Results are sustainable.

This KPI looks at the degree to which the Multilateral Fund successfully delivers results that are sustainable in the longer term.

MLF support has helped to build the legal, regulatory and institutional capacity for sustainability. The emphasis on capacity building and institutional strengthening would suggest a strong likelihood that efforts to comply with the Montreal Protocol will be sustained in most countries. Some countries have already added the financial support of NOUs to their national budget, which is evidence of commitment. However, for other countries, it is not clear whether NOUs will continue to be funded beyond Montreal Protocol support.

Most of the results of the Multilateral Fund – the phase-out of controlled substances – are intended to be permanent and therefore inherently sustainable. According to UNEP, by 2010 virtually all Parties had reported compliance with their phase-out obligations in respect of ODS, and the Protocol has now achieved the phase-out of 99% of the historic levels of production and consumption of ODS. These phase-outs were intended to be permanent.

18. Decision XXVIII/2: Decision related to the amendment phasing down hydrofluorocarbons, 28th Meeting of the Parties to the Montreal Protocol, 2016

19. Decision XXX/5: Access of parties operating under paragraph 1 of Article 5 of the Montreal Protocol to energy-efficient technologies in the refrigeration, air-conditioning and heat-pump sectors, 30th Meeting of the Parties to the Montreal Protocol, 2018

The bulk of the phase-outs reported under the Montreal Protocol is indeed permanent. Atmospheric readings confirm the repair to the ozone layer.

However, two anomalies have been reported. The first concerns CTC, production and consumption of which was recorded as 100% phased out by 2010.²⁰ A 2014 report found that emissions of CTC have continued since at a higher level than would be expected; it calculated a significant discrepancy between report-based emissions and those derived from atmospheric observations.²¹ A more recent report has confirmed the discrepancy, albeit smaller but still sizeable.²² However, it is important to note that there is nothing to suggest that the discrepancy is related to the work of the Multilateral Fund in phasing out the production and consumption of CTC. In fact, recent scientific and technical reports suggest that the additional emissions of CTC stem from unaccounted emission sources unrelated to the production of CTC reported under the Montreal Protocol, and therefore, are not within the current scope and mandate of the Multilateral Fund.²³ The second, and more serious anomaly for the Multilateral Fund, was the unexpected increase in global emissions of CFC-11 (reported as phased out by January 2010). This increase probably resulted from a reversion to CFC-11 use from dichloro-1-fluoroethane (HCFC-141b) in closed-cell foam production in eastern Asia. According to the TEAP report, between 40 000 to 70 000 tonnes per year of CFC-11 production would have been required from 2012 onwards to account for the increased CFC-11 emissions; between 45 000 and 120 000 tonnes of CTC would have been necessary to produce them.²⁴ While it appears these are isolated incidents, this anomaly – between the results that were reportedly achieved with the Fund's support and the evidence of continued production and use of CFC-11 – challenges the assumed sustainability of the results achieved and the wider reputation of the Montreal Protocol.

Following recent controversy over continued CFC-11 emissions, the Multilateral Fund has recognised that additional measures will be required to ensure sustainability. Both the Multilateral Fund and the Parties to the Montreal Protocol have responded strongly to the challenge. In addition to the TEAP report referred to above, the Fund Secretariat produced an overview of current monitoring, reporting, verification, and enforceable licencing and quota systems for the 83rd Executive Committee meeting in May 2019. A desk evaluation of the sustainability of the Montreal Protocol achievements was also commissioned. A report on this desk study was produced in December 2019 for the 84th Executive Committee meeting.

20. Continued production of CTC for feedstock uses and other exempted uses is permitted under the Montreal Protocol.

21. Unlike the case with CFC-11, the discrepancy observed with respect to CTC emissions does not necessarily point to illegal production or consumption of CTC. CTC can be unintentionally by-produced, it can continue to be used under the Montreal Protocol as a chemical feedstock, and there are some uncertainties surrounding its atmospheric lifetime.

22. Sherry, D. et al. (2018). Current sources of carbon tetrachloride in our atmosphere, *Environmental Research Letters*, January 2018.

23. The SPARC 2016 report which looked into the issue of unexplained CTC emissions attributed the emissions to various sources, such as legacy emissions from landfills and contaminated soil; several industrial processes characterized as “unreported”, namely use of chlorine, chloromethane plants, and PCE/CCl4 plants; and feedstock usage, which is reported under the MP but not controlled. See SPARC (2016), SPARC Report on the Mystery of Carbon Tetrachloride. Q. Liang, P.A. Newman, S. Reimann (Eds.), SPARC Report No. 7, WCRP-13/2016.

24. UNEP (2019). Report of the Technology and Economic Assessment Panel, Volume 1, September 2019.



3. OVERALL PERFORMANCE OF THE MULTILATERAL FUND

Chapter 3. Overall performance of the Multilateral Fund

The performance conclusions first consider four key attributes of an effective organisation: (i) whether it understands future needs and demands; (ii) whether it is organised and makes use of its assets and comparative advantages; (iii) whether it has mandate-oriented systems, planning and operations; and (iv) whether it makes consistent developments according to its resource level and operational context. The journey of the organisation is then mapped - when available - against external assessments of the Multilateral Fund.

Lastly, the assessment report presents the key findings: the observed strengths and areas for improvement.

3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

Is the Multilateral Fund future facing?

The Montreal Protocol – for which the Multilateral Fund for the Implementation of the Montreal Protocol (MLF) is the financial mechanism – has evolved over the years in the light of scientific, technical and economic developments. In its early years, the Protocol primarily focused on the production and consumption of chlorofluorocarbons (CFCs). Over the past 30 years, the Protocol has been amended to address the use of additional chemicals and to adjust the timeframes for phasing out chemicals. The most recent amendment (2016) – the Kigali Amendment – added a global phase-down of hydrofluorocarbons (HFCs). These were introduced as non-ozone depleting alternatives to CFCs and hydrochlorofluorocarbons (HCFCs) but are powerful greenhouse gases.

The Multilateral Fund is fortunate in having a long-term set of targets as detailed in the Montreal Protocol Control Schedule. These include targets for HCFCs up to 2040 and for HFCs up to 2047. This gives the Fund a very long and definite future perspective. The potentially very significant contribution of the Kigali Amendment to climate change mitigation puts the Fund at the centre of this key global issue.

The Protocol and the Multilateral Fund have shown an awareness of two developing challenges. The first relates to energy efficiency. Phasing down HFCs under the Kigali Amendment could potentially avoid up to 0.5 °C of warming by the end of the century, as HFCs are a potent global warming agent. According to the Technology and Economic Assessment Panel (TEAP), “[I]f this amendment resulted in the use of more energy-efficient equipment, the total reduction of greenhouse gas emissions both from direct and indirect sources, could double that”.¹ At the request of the Parties, the Executive Committee is discussing the options for co-operating with other funds and financial institutions to maintain or enhance the energy efficiency of replacement technologies and equipment that have low or zero global warming potential, when phasing down HFCs. It will need to develop guidance to maintain or enhance energy efficiency of equipment when phasing down HFCs,² and explore the mobilisation of additional resources to address this issue,³ in accordance with decisions of the parties to the Montreal Protocol.

The second developing challenge relates to the unexplained trichlorofluoromethane (CFC-11) emissions and the wider implications for the sustainability of the results and reputation of both the Montreal Protocol and the Multilateral Fund. As outlined above, the Protocol and the Fund have recognised the severity of the problem presented by the CFC-11 emissions. As the TEAP 2018 Assessment Report concluded, “[C]ontinued vigilance through atmospheric

1. UNEP (2018). Report of the Technology and Economic Assessment Panel, September 2018

2. Decision XXVIII/2: Decision related to the amendment phasing down hydrofluorocarbons, 28th Meeting of the Parties to the Montreal Protocol, 2016

3. Decision XXX/5: Access of parties operating under paragraph 1 of Article 5 of the Montreal Protocol to energy-efficient technologies in the refrigeration, air-conditioning and heat-pump sectors, 30th Meeting of the Parties to the Montreal Protocol, 2018

monitoring and regular assessments of ODS consumption and use and inventories (banks) is needed to monitor the progress and achievements under the Montreal Protocol".⁴

Is the Multilateral Fund making best use of what it has?

The Multilateral Fund is organised as a hierarchy and network of small-size teams of professionals under the management of the Executive Committee: the Fund Secretariat, Montreal Protocol units in four implementing agencies and in several bilateral agencies, and National Ozone Units. The Fund is replenished every three years based on a detailed assessment of funding requirements by the TEAP; these replenishments have remained approximately constant in cash terms since 1994 and therefore decreased in real terms. The Fund's policies and procedures are extremely cost-conscious. As an organisation, it has delivered effectively and efficiently for over 30 years at a total cost of around USD 4 billion. It is difficult to see how the Fund could make better use of its assets and comparative advantage.

Is the Multilateral Fund a well-oiled machine?

The Multilateral Fund has, over the years, maintained a strict focus on the compliance targets set and amended by the Parties of the Montreal Protocol. It has been very successful in supporting the compliance of Article 5 countries through the phase-out of ODS – and in this respect has proved to be very effective in delivering on its mandate. This is not to say that it is as efficient as it might be in some respects. The complexities of implementing new technologies mean that programmes tend to take longer to deliver than planned, even if overall compliance targets are achieved on schedule. Reporting procedures can be more onerous than informative, and there is scope to update the Fund's information technology and website.

Is the Multilateral Fund making a difference?

As the financial mechanism of the Montreal Protocol, the Multilateral Fund only supports the implementation of the Protocol in Article 5 countries. It is therefore important to distinguish the impact of the Multilateral Fund with the larger impact of the Montreal Protocol as a whole. That said, the Multilateral Fund has made a very significant contribution to the achievements of the Montreal Protocol via its support for Article 5 countries. The Multilateral Fund can therefore be credited with significantly contributing to the phase-out and phase-down of controlled substances and to the enormous environmental, human health and climate change mitigation impacts detailed above, even if most ODS were phased out in non-Article 5 countries. It is no exaggeration to refer to the Montreal Protocol as probably the most effective international environmental treaty to date. Likewise, the almost USD 4 billion contributed to the Multilateral Fund over the period 1991-2019 (an average of just USD 137 million per year) could possibly be considered the most effective international expenditure to date.

When talking about the Montreal Protocol, United Nations Secretary-General Ban Ki-moon said that "the manner in which this instrument for repairing and recovering the Earth's protective shield has been financed and implemented serves as an inspiring example of what is possible". The Multilateral Fund has played the key role in that financing and implementation.

3.2. PERFORMANCE JOURNEY

The Montreal Protocol and the Multilateral Fund have evolved since the treaty was adopted in 1987 and the interim fund was established in 1991. The policies and procedures of the Fund have been developed and amended incrementally in 84 meetings of the Executive Committee operating under the overall direction of the Parties. An elaborate and evolving framework of rules, guidelines and decisions have been successfully negotiated, modified and agreed between parties with very different priorities in order to deliver support to nearly 150 countries. This

4. UNEP (2019). Technology and Economic Assessment Panel (TEAP) – 2018 Assessment Report. Ozone Secretariat

has required flexibility, agility and consensus. Funding modalities also have changed over time. For example, since 2000, the Fund has placed less emphasis on stand-alone investment projects and moved towards multi-year national phase-out plans where national governments have a greater responsibility for managing progress towards Montreal Protocol compliance targets.

The periodic reporting and independent verification for each tranche of the national phase-out plans is one of the strengths of the Fund; in other respects, results monitoring and evaluation have arguably evolved less than required. While admirably and singularly focused on clear, long-term compliance targets, the results framework provided by the Montreal Protocol Control Schedule does not provide a broad, multi-level performance framework for the Fund. Monitoring and evaluation of the institutional strengthening and capacity building work are under-developed compared with the main work of the Fund, partly reflecting the preponderance of investment projects. Lesson learning is tacit rather than explicit and systematic. Evaluation is excessively results-oriented rather than analytical and challenging.

The Multilateral Fund has now approved its own gender policy; this assessment came across no evidence that other cross-cutting norms – such as human rights – were an issue for the type of programmes supported by the Fund. However, all the implementing agencies (IAs) have policies and guidelines relating to other cross-cutting norms, as they have for additional matters such as evaluation and audit standards. This raises the question as to which policies and standards should apply to programmes supported by the Fund: only those required by the Fund, or also those required by each IA? The better approach for the Multilateral Fund going forward would be the latter. IAs should be encouraged to ensure that all their own policies and minimum standards apply to programmes supported by the Fund, as was expected when the agencies were invited to be part of it.

The performance journey of the Multilateral Fund is set to become more challenging in at least four respects. First, phasing down HFCs while taking into account energy efficiency may represent a greater challenge than was phasing out ODS. Second, the discovery of the unexpected emissions of CFC-11 will force greater attention to post-programme verification and monitoring. The sustainability of results can no longer be taken as a given. Greater public scrutiny will bring with it the need for better, more accessible communication. Third, the pressure on the Fund to consider explicitly other cross-cutting issues – as in the case of gender – will only increase. And fourth, if approved, the addition of objectives besides the phase-out or phase-down of specific substances – notably energy efficiency – will require attention to the results framework and reporting.

Main strengths and areas for improvement from previous external assessments

The Multilateral Fund has not been previously assessed by MOPAN. The most recent external assessment (ICF, 2012) reported the following strengths and weaknesses.

Box 3. Main strengths and areas for improvement from previous external assessments

Strengths in the 2012 ICF assessment

- The Multilateral Fund has a remarkable record of ODS phase-out and compliance achievements.
- MLF-funded activities have fundamentally transformed industry sectors, producing sustainable results.
- The Fund's approach is truly country-driven and includes funding for building in-country capacity for ozone issues.
- Procedures to develop, review and approve project proposals are effective, transparent and generally efficient.
- The Fund provides straightforward and relatively fast access to project grants.
- Policies and guidelines adapt to changing circumstances well.
- Agencies and countries have a track record of success that can be leveraged for HCFC phase-out.

Areas for improvement in the 2012 ICF assessment

- Reporting could be further streamlined.
- Tight schedules for project proposal submission to meet review deadlines allow little time to incorporate lessons learned into project design.
- The compliance-oriented approach limits the MLF's ability to address other relevant issues.
- HCFC Phase-Out Management Plans guidance sometimes appears to be inconsistent.

Boxes 4 and 5 (see below) present strengths and areas for improvement identified in the current assessment. They show that the pattern of strengths and weaknesses for the MLF has remained largely consistent overall. The nature of the challenges now facing the Multilateral Fund makes it important that the organisation addresses the areas of weakness identified.

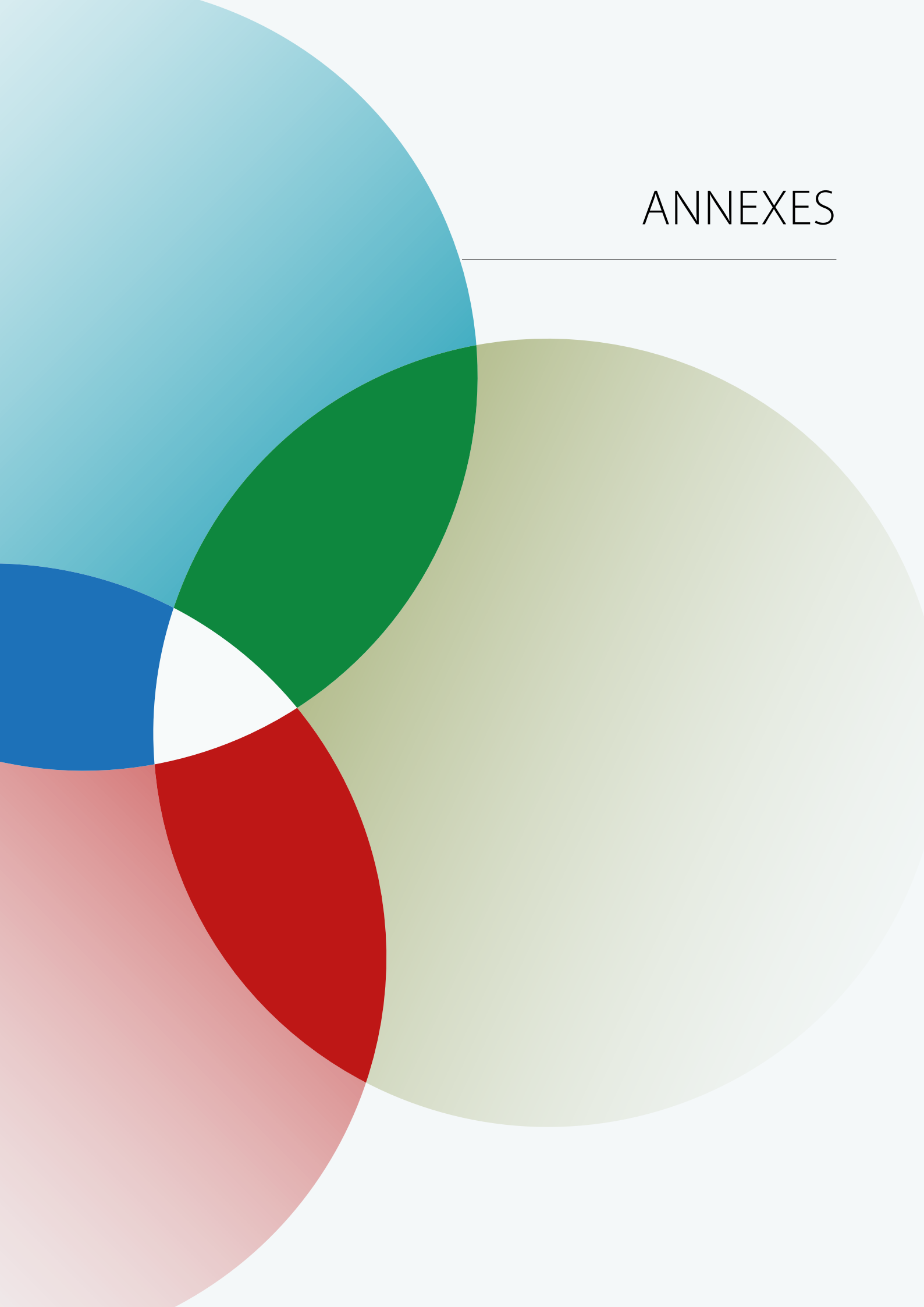
Box 4. Main strengths identified in the MOPAN 2019 assessment of the MLF

- The Multilateral Fund is a uniquely focused organisation with an extremely clear set of internationally mandated and achievable long-term targets. It has been extremely successful in supporting the compliance of Article 5 countries in phasing out controlled substances that affect the ozone layer and global climate.
- In terms of results, the Multilateral Fund has achieved, or is on track to achieve, the vast majority of the targets set under the Montreal Protocol for Article 5 countries. It has contributed to substantial, global-scale environmental, human health and climate change mitigation impacts.
- The organisation makes efficient use of a relatively small budget and limited staff. It is very cost-conscious and operates via a close network of small professional teams. The periodic reporting and independent verification for each tranche of the national phase-out plans is one of the key strengths.
- The Multilateral Fund is staffed with dedicated and technically focused professionals ensuring high-quality scrutiny of project proposals and monitoring. Staff turnover is low, resulting in long-established and trusting relationships between Secretariat staff, Executive Committee members and implementing agencies.

Box 5: Main areas for improvement identified in the 2019 assessment

- The evaluation function is insufficiently challenging, formative and analytical. Evaluations tend to present findings rather than providing analysis and explanations for these findings. Lesson learning is tacit rather than explicit and systematic.
- The results framework of the Multilateral Fund focuses on long-term Montreal Protocol targets. The Fund does not have a 'classic' results framework, separate from the Montreal Protocol Control Schedule, that would include a set of performance measures for the Multilateral Fund as a whole, and that would also address the overall quality or sustainability of results. Also, although the Multilateral Fund reports on a range of medium-term targets applicable to implementing agencies and recipient countries, it does not have a consolidated intermediate results statement for the Fund as a whole, in form of a corporate scorecard of some sort, either annual or for the replenishment triennium. Also, monitoring and reporting is less developed for institutional strengthening and capacity building than it is for investment projects.
- Multilateral Fund programme proposals do not analyse explicitly areas such as partner capacity, risks or the critical assumptions which underpin sustainability. Verifying and ensuring the sustainability of results achieved requires greater attention.
- The Multilateral Fund has been relatively slow to address gender equality as a cross-cutting issue, despite the existence of gender policies in each of the IAs. A new gender policy has been approved by the Fund. While a firm focus on the mandate of the Fund is creditable, IAs should be encouraged to ensure that all their own policies and minimum standards are applied in addition to those required by the Fund.
- Although publicly available, Multilateral Fund documentation is not clear and accessible to outsiders. Fund policies, plans and progress are embedded in multiple detailed and technical reports connected to Executive Committee meetings. The addition of an improved communications function – and an updated website – would enhance public information and accountability.

ANNEXES



Annex 1. Performance ratings and evidence table

Methodology for scoring and rating

The approach to scoring and rating under MOPAN 3.0* is described in the 2019 Methodology Manual. It draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). It uses a rating scale that has been adjusted from previous MOPAN assessments. Each rating, ranging from highly unsatisfactory to highly satisfactory, still represents the averaged numerical score attributed to each element, micro-indicator (MI), and key performance indicator (KPI). However, the threshold for each rating has been raised by 0.5 points compared to assessments prior to 2019.

In this assessment, in line with the 2019 Methodology Manual, each of the key performance indicators (KPIs) is rated according to the following rating scale:

3.51-4.00	Highly satisfactory
2.51-3.50	Satisfactory
1.51-2.50	Unsatisfactory
0.00-1.50	Highly unsatisfactory

Each of the 12 KPIs contains a number of micro-indicators (MIs), which vary in number. The KPI rating is calculated by taking the average of the ratings of its constituent MIs.

For **KPI 1-8**, the MIs are made up of elements representing international best practice. The number of elements also varies. The rating of MIs is calculated by taking the average of the constituent elements' scores. At element level, scores ranging from 0 to 4 are assigned, according to the extent to which an organisation implements the element. The following criteria frame the scores for elements:

- 4 = Element is fully implemented/implemented in all cases
- 3 = Element is substantially implemented/implemented in the majority of cases
- 2 = Element is partially implemented/implemented in some cases
- 1 = Element is present, but not implemented/implemented in zero cases
- 0 = Element is not present

For **KPIs 9-12**, the rating of MIs is based on thresholds defined in the methodology, rather than on elements.

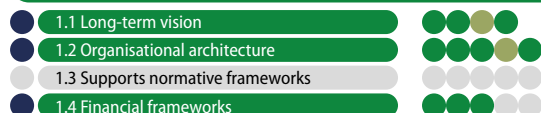
A score of "N/E" means "no evidence" and indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that "no evidence" does not necessarily mean that the element is not present (which would result in a zero score).

Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

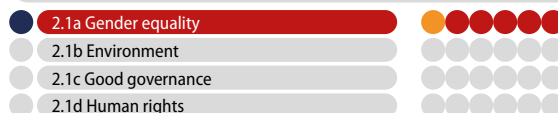
A note indicating "N/A" means that an element is considered to be "not applicable". This usually owes to the organisation's specific nature.

Strategic management

KPI 1: Organisational and financial framework

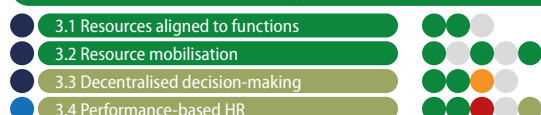


KPI 2: Structures for cross-cutting issues



Operational management

KPI 3: Relevance and agility



KPI 4: Cost-effective and transparent systems

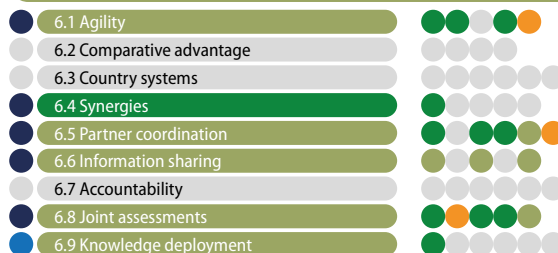


Relationship management

KPI 5: Relevance and agility in partnership



KPI 6: Partnerships and resources

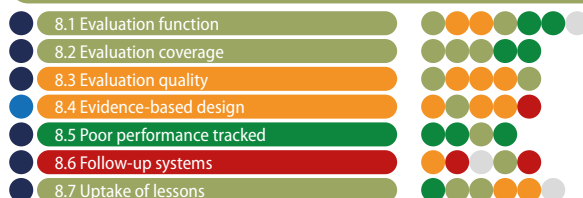


Performance management

KPI 7: Results focus

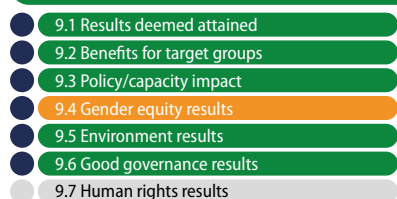


KPI 8: Evidence-based planning

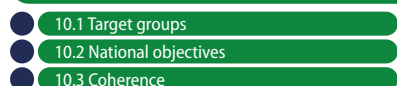


Results

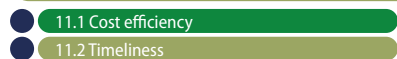
KPI 9: Achievement of results



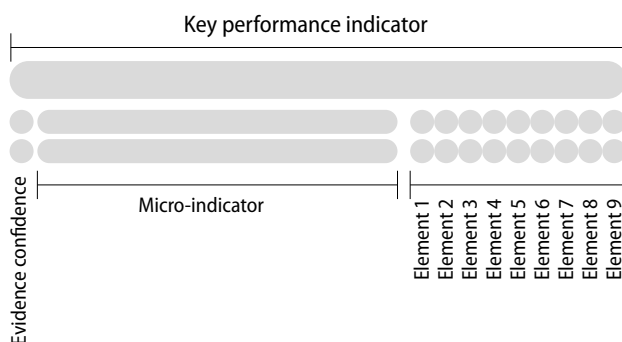
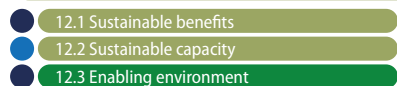
KPI 10: Relevance to partners



KPI 11: Results delivered efficiently



KPI 12: Sustainability of results



STRATEGIC MANAGEMENT

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

KPI 1: The organisational architecture and financial framework enable mandate implementation and achievement of expected results	KPI score
Highly satisfactory	3.85
<p>Performance for this KPI is rated as highly satisfactory. The Multilateral Fund for the Implementation of the Montreal Protocol (MLF) is the financial mechanism for the Montreal Protocol (MP) and is mandated to provide financing for the incremental costs of the phase-out of nearly 100 substances controlled by the MP. The Control Schedule for these substances provides an extremely clear long-term, time-bound vision and intended results for the MLF, which the Fund and its four implementing agencies operationalise through three-year rolling business plans. The MLF is the sole international financial mechanism for the phase-out of ozone depleting substances and for the phase-down of hydrofluorocarbons (HFCs) under the Kigali Amendment.</p> <p>The organisational architecture of the MLF was established under the MP in order to assist Article 5 countries (recipients) to comply with the terms of the Protocol. The Fund is not a programme but a financial mechanism under the authority of the Meeting of the Parties to the MP with the programmatic responsibility entrusted to the Executive Committee (EXCOM). Its programmes are carried out through four implementing agencies – the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO) and the World Bank – and a few bilateral agencies. As structured, it is fully congruent with a clear long-term vision and associated operating model.</p> <p>The MP is an international normative agreement in its own right, and the MLF is mandated solely to provide financing for Article 5 countries under this agreement. The extent to which the strategic plan of the MLF supports wider normative frameworks is therefore considered to be non-applicable for this assessment.</p> <p>The MLF is replenished every three years by the Parties to the MP. Financial and budgetary planning under the Montreal Protocol is based on a three-year rolling business plan approved by the EXCOM. Virtually all funding is non-earmarked. The financial framework is regularly reviewed by the EXCOM and by the Parties in order to ensure that it provides appropriate and effective support to compliance under the terms of the MP.</p>	
MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage	Score
Overall MI rating	Highly satisfactory
Overall MI score	3.75
Element 1: A publicly available strategic plan (or equivalent) contains a long-term vision	4
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	4
MI 1.1 Analysis	Source document
<p>The Montreal Protocol on Substances that Deplete the Ozone Layer, created under the Vienna Convention for the Protection of the Ozone Layer and adopted in 1987, is equivalent to a strategic plan for the MLF. The MLF produces a publicly available consolidated three-year business plan based on the business plans prepared by the four implementing agencies (IAs) and a few bilateral agencies. These are designed to help Article 5 countries comply with the control targets of the Montreal Protocol. The MP provides the long-term vision for the business plans, which in turn distribute the financial resources available under the MLF among Article 5 countries.</p>	

<p>The Montreal Protocol, subsequent amendments and the replenishment studies (which indicate the level of funding required to achieve the immediate phase-out targets of the MP) prepared by the Technology and Economic Assessment Panel for the Parties to the MP provide a clear analysis of the vision and the comparative advantage of the MLF in providing support to Article 5 countries. In response to the survey question “Strategies and policies demonstrate clarity of vision and good understanding of comparative advantage”, 40% of respondents answered “excellent” and 50% “very good”.</p> <p>The bilateral and implementing agencies’ three-year business plans operationalise the vision of the MP and define intended activities. However, the consolidated business plan for the MLF – and the individual business plans produced by the bilateral and implementing agencies – contains budgets by activity and country in Excel spreadsheets but not intended consolidated results. Intended results are detailed in the project proposals and in the Montreal Protocol Control Schedule. Tonnages planned to be phased out are listed by country and activity in the Excel business plans.</p> <p>The MLF consolidated business plan, as well as the bilateral and implementing agencies’ business plans, are reviewed once a year by the Executive Committee. Reports on the status of implementation of the consolidated business plan are considered in every Executive Committee meeting.</p>	5, 31, 52
MI 1.1 Evidence confidence	High confidence
MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model	Score
Overall MI rating	Highly satisfactory
Overall MI score	3.80
Element 1: The organisational architecture is congruent with the strategic plan	4
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
Element 4: The operating model allows for strong co-operation across the organisation and with other agencies	3
Element 5: The operating model clearly delineates responsibilities for results	4
MI 1.2 Analysis	Source document
<p>The organisational architecture of the MLF is congruent with the Montreal Protocol. The MLF is a financial mechanism established under Article 10 of the MP.</p> <p>The Meeting of the Parties takes place annually to review progress and implementation of the MP. The Executive Committee meets twice a year to review progress with the business plan. The operating model of the MLF was favourably evaluated in 2012. In response to the survey question on whether MLF “Defines and adapts its organisational architecture in a way that allows full support to the vision”, 28% of respondents answered “excellent” and 53% “very good”.</p> <p>The EXCOM discharges its tasks and responsibilities with the co-operation and assistance of the Secretariat as well as the four IAs and bilateral agencies. Programmes are implemented individually or jointly by the IAs and bilateral agencies. These agencies attend the EXCOM meetings. While co-operation was assessed to be strong by interviewees, there is an element of competition for MLF funding between agencies.</p>	1, 5, 6, 8, 29, 30, 50

The implementing agencies are assessed annually against targets set in their business plans. A document evaluating the performance of the IAs against their business plans is reviewed by the EXCOM at the same meeting where bilateral and implementing agencies' progress reports are presented. Article 5 countries are ultimately responsible for delivering against the Control Schedule under the terms of the MP.	1, 5, 6, 8, 29, 30, 50
MI 1.2 Evidence confidence	High confidence
MI 1.3: Strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), replenishment commitments, or other resource and results reviews)	Score
Overall MI rating	
Overall MI score	
Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	N/A
Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	N/A
Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable)	N/A
Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established	N/A
Element 5: Progress on implementation on an aggregated level is published at least annually	N/A
MI 1.3 Analysis	Source document
The MP is an international normative framework in its own right. Its subsidiary bodies (Secretariat, Executive Committee etc.) have been established with the sole objective of delivering the Montreal Protocol and its more recent amendments. As described in the 2019 MLF management document, the Multilateral Fund: Governance, Business Model, Accomplishments, the objective of the MLF is as follows: "Assist Article 5 countries (developing countries) to meet their obligations under the Montreal Protocol." Alignment with, and achievement of, other normative frameworks is considered to be not applicable in this assessment, although it clearly contributes to frameworks such as the SDGs (see Results below).	29
MI 1.3 Evidence confidence	
MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation	Score
Overall MI rating	Highly satisfactory
Overall MI score	4.00
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	4
Element 2: A single integrated budgetary framework ensures transparency	4
Element 3: The financial framework is reviewed regularly by the governing bodies	4

Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	N/A
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	N/A
MI 1.4 Analysis	Source document
<p>Financial and budgetary planning under the Montreal Protocol is based on a triennial assessment by the Parties and a three-year rolling business plan approved by the Parties (the 197 countries that have ratified the Protocol). As at May 2019, the total value of the 2019-21 consolidated business plan was USD 517 million. The total value of the 2019 consolidated business plan was USD 175 million, of which UNDP planned USD 32 million, UNEP USD 28 million, UNIDO USD 60 million, and the World Bank USD 46 million. At the end of each year, the cycle starts with the preparation of business plans for the following year by bilateral and implementing agencies. These plans propose target levels of controlled substances to be phased out and the level of funds to be disbursed, together with other performance indicators which provide the basis for the evaluation of the agencies' performance. The business plans of the agencies reflect the activities that need to be financed and implemented during the year. These are reviewed by the EXCOM, and a consolidated business plan is produced. Meetings of the EXCOM include discussion of funding levels.</p> <p>At the third meeting of the Executive Committee, it was decided that the budget of the MLF Secretariat should be in two separate parts: "the administrative budget, and the budget for operational activities (meetings, equipment and premises components)" (MLF, year unknown, Relevant Information on the Multilateral Fund). Financial and budgetary planning under the Montreal Protocol is based on a three-year rolling business plan approved by the EXCOM.</p> <p>Documents and interviews confirm that the financial framework is regularly reviewed by the EXCOM and by the Meeting of the Parties. In response to the MOPAN partner survey question "Financial framework supports the effective implementation of the mandate and strategy", 36% of respondents answered "excellent" and "44% "very good".</p> <p>Virtually all funding provided to the MLF by non-Article 5 countries is non-earmarked. Elements 4 and 5 are considered as not applicable for this reason. Non-Article 5 countries can use 20% of their annual contributions for bilateral projects. Only one non-core contribution was offered from the United Kingdom, but it was not accepted at that time. During 2017 and 2018, 17 donor countries (including Canada and the United Kingdom) did make voluntary "additional contributions" to the MLF for the purpose of assisting countries' "fast-track" implementation of the Kigali Amendment.</p>	1, 5, 6, 12, 19, 22, 25, 30
MI 1.4 Evidence confidence	High confidence

KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels	KPI score
	N/A
<p>This KPI was not rated.</p> <p>Environment and climate change, good governance, and human rights were considered to be not applicable as cross-cutting issues. Environment and climate change, and governance, are core to the mandate of the Multilateral Fund. Human rights was not assessed as documents and discussions indicated no evidence of human rights issues being connected with the implementation of the Fund, and the Fund does not have an explicit human rights policy statement or strategy.</p> <p>The only cross-cutting issue considered applicable to MLF was considered to be gender equality and women's empowerment. It was found to be applicable not only because the MLF, as part of the UN, must abide to international norms, but also because evaluations of the MLF confirmed that some MLF projects may have gender dimensions, and because the EXCOM has, with its adoption of a gender policy for the MLF in December 2019, recognised the relevance of the issue for the Fund.</p> <p>MOPAN decided, however, not to apply a rating for KPI 2, as its rating – composed only of the gender rating – would highlight the issue in a way that is disproportionate to the role it plays in the Multilateral Fund, with its close focus on phasing-out ODS and phasing down HFCs.</p>	
MI 2.1 Corporate/sectoral and country strategies to respond to and/or reflect the intended results of normative frameworks for cross-cutting issues	
MI 2.1a: Gender equality and the empowerment of women	Score
Overall MI rating	Highly unsatisfactory
Overall MI score	0.33
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	2
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	0
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	0
Element 4: Gender screening checklists or similar tools used for all new Interventions	0
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	0
Element 6: Capacity development of staff on gender is underway or has been conducted	0
MI 2.1a Analysis	Source document
<p>The 2018 Desk Study for the Evaluation of Gender Mainstreaming in the Montreal Protocol identifies several weaknesses in the MLF's approach to gender, including the fact that the MLF does not have a dedicated policy statement on gender. However, all the IAs do have such a statement. The 2018 desk evaluation acknowledged that some MLF projects may have important gender dimensions. A gender mainstreaming policy has since been adopted by the EXCOM, in December 2019 (outside the time period for this assessment).</p> <p>The MLF has no gender equality indicators or targets within its business plans. Gender is not included in mandatory reporting. No gender disaggregated data are collected on projects and programmes. A 2018 evaluation survey found no formal gender screening checklists but recognised that more efforts might be happening in practice.</p>	48, 59

<p>The 2018 desk study reported a scarcity of dedicated resources for gender. The 2018 desk study on gender reports that “the scarcity of dedicated resources makes the gender impact of MLF projects unaccounted for, even if the MLF projects may have some important gender dimensions such as the creation of job opportunities for both men and women; the training of farmers exposed to toxic chemicals to better handle such unhealthy conditions; and the introduction of better occupational practices for both men and women”. There is no gender training for project staff and little or no collaboration with IA gender focal points/advisers.</p> <p>The survey found that the majority of respondents knew “just a little” or “almost nothing” about the gender equality strategy of the MLF.</p> <p>A gender analysis of the MP conducted in three countries in 2019 found similar issues regarding the role of women in the refrigeration sector and the constraints women face at entry points in projects design.</p>	48, 59
MI 2.1a Evidence confidence	High confidence
MI 2.1b: Environmental Sustainability and climate change	Score
Overall MI rating	
Overall MI score	
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	N/A
Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives	N/A
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	N/A
Element 4: Environmental screening checklists / impact assessments used for all new Interventions	N/A
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	N/A
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place	N/A
MI 2.1b Analysis	Source document
Environmental sustainability and climate change are core to the mandate and objectives of the MP and MLF, particularly since the Kigali Amendment. This cross-cutting issue is therefore considered to be not applicable.	
MI 2.1b Evidence confidence	
MI 2.1c: 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)	Score
Overall MI rating	
Overall MI score	
Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use	N/A
Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives	N/A

Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions	N/A
Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues	N/A
Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions	N/A
Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place	N/A
MI 2.1c Analysis	Source document
Good governance is core to the mandate of the MP and MLF and therefore considered to be not applicable for this assessment as a cross-cutting issue. The MP is an international environmental governance programme. Supporting and monitoring compliance with the Protocol is central to MLF work and reporting. The MLF also funds two governance-related activities – institutional strengthening (IS) projects and a Compliance Assistance Programme (CAP) through UNEP – both of which are integrated into the consolidated business plan.	
MI 2.1c Evidence confidence	
MI 2.1d: Human rights	Score
Overall MI rating	
Overall MI score	
Element 1: Dedicated policy statement on human rights issues available and showing evidence of use	N/A
Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	N/A
Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets	N/A
Element 4: Human rights screening checklists or similar tools used for all new interventions	N/A
Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues	N/A
Element 6: Capacity development of staff on human rights is underway or has been conducted	N/A
MI 2.1d Analysis	Source document
Human rights are considered to be not applicable as a cross-cutting issue for the MLF. While the right to health is an internationally agreed human right and MP has had significant environmental health benefits, no evidence was found in documents or interviews indicating a connection between human rights and the implementation of MLF-funded activities.	
Human rights was not assessed as a cross-cutting issue in previous MOPAN assessments of the World Bank, UNDP or UNEP. The promotion of human rights is not explicitly stated as policy for UNIDO or integrated in its strategic plan.	
MI 2.1d Evidence confidence	

OPERATIONAL MANAGEMENT

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

KPI 3: The operating model and human and financial resources support relevance and agility	KPI score
Highly satisfactory	3.58
<p>The organisational structures and staffing of the MLF ensure that human and financial resources are continuously aligned to the delivery of the functions of the MLF under the Montreal Protocol. Independent evaluations and interviews with IAs suggest the overall model of the MLF is well-suited to its role and provides an effective structure.</p> <p>Resource mobilisation efforts of the MLF are explicitly aligned to assisting Article 5 countries to meet their obligations under the Protocol. The MLF produces a publicly available consolidated three-year business plan based on the business plans prepared by the four IAs and a few bilateral agencies. These are designed to assist Article 5 countries to comply with the control targets of the Montreal Protocol. The MP provides the long-term vision for the business plans.</p> <p>As the MLF is a financial mechanism, it is not applicable to consider whether aid reallocation/programming decisions responsive to need can be made at a decentralised level in terms of country or regional offices. Instead, this assessment considers the extent to which IAs delivering activities under the Protocol are able to make responsive reallocation/programming decisions. The document review and interviews with MLF staff and IAs suggested that there is flexibility to make minor changes to implementation plans as required. The requirement for the MLF to review every request for a new tranche of funding creates a “self-cleaning mechanism” which allows for close monitoring of fund allocations and for well-informed adjustments to be made. It is noted, however, that the MLF reporting documents reviewed for this assessment provided limited commentary and analysis of this process.</p> <p>Due to its co-located nature, the MLF uses the human resources (HR) systems and policies of UNEP. As such, this assessment replicates the findings of the 2015-16 MOPAN assessment of UNEP. That assessment found UNEP’s HR function to be satisfactory but noted potential areas for improvement in the consistent and rigorous application of HR systems. The latest available MOPAN assessments for UNDP, UNIDO and the World Bank also reported satisfactory performance.</p>	
MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions	Score
Overall MI rating	Highly satisfactory
Overall MI score	4.00
Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current strategic plan	4
Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current strategic plan	4
Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current strategic plan	N/E
MI 3.1 Analysis	Source document
<p>The MLF does not publish a specific strategic plan. For the purposes of this review, the Montreal Protocol for the Protection of the Ozone Layer, created under the Vienna Convention, is considered the relevant strategic plan. Staffing and resource allocations appear to be aligned to the Protocol.</p> <p>The MLF Executive Committee Primer (2018) clarifies that the Multilateral Fund is not a programme but a financial mechanism under the authority of the Meeting of the Parties to the Montreal Protocol with programmatic responsibility entrusted to the Executive Committee. It has a legal personality to provide financial and technical assistance to Article 5 countries to comply with the</p>	1, 5, 6, 8, 27, 30, 50

<p>control measures set out in the Protocol. Responsibilities include deciding on overall policies and furnishing policy guidance on the implementation of the Protocol, including guiding principles, control measures and incentives for environmental benefits (The Multilateral Fund: Governance, Business Model, Accomplishments, 2019). The MLF Consolidated Text of the Montreal Protocol (2016) describes the role of the Executive Committee in the organisational structure. It states that “the Parties shall establish an Executive Committee to develop and monitor the implementation of specific operational policies, guidelines and administrative arrangements, including the disbursement of resources, for the purpose of achieving the objectives of the Multilateral Fund”. This document also describes the role of IAs under the Montreal Protocol.</p> <p>Although it falls outside the standard age range for documents considered for this review (a more recent equivalent was not available), the 2012 ICF Evaluation of the Financial Mechanism of the Montreal Protocol provides a positive assessment of the operating model of the ICF, which suggest it meets strategic requirements. “Some of the key features of how the MLF operates have been instrumental to its success, including: a compliance oriented approach, straightforward and relatively fast access provided to project funds, consistent application of the principle of incremental costs, a transparent and collaborative business planning process, continued support for institutional strengthening and capacity building efforts, and decision-making informed by comprehensive technical analysis”. This evaluation goes on to report that “the overall model for the financial mechanism of the Montreal Protocol works exceptionally well and could be considered a model for other multilateral environmental agreements (MEAs); it has clear objectives, universal participation, and directly links funding and compliance.”</p> <p>While the document is far outside the typical age-range of documents included in this review (a more recent version of the document was not available), the 2009 UNIDO Manual on Operations under Multilateral Environmental Agreements provides a similarly positive assessment of the operating model of the Montreal Protocol: “The Montreal Protocol and the MLF embody a simple but highly effective administrative structure”.</p> <p>The review process found no evidence of significant internal restructuring exercises.</p>	<p>1, 5, 6, 8, 27, 30, 50</p>
<p>MI 3.1 Evidence confidence</p>	<p>High confidence</p>
<p>MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities</p>	<p>Score</p>
<p>Overall MI rating</p>	<p>Highly satisfactory</p>
<p>Overall MI score</p>	<p>4.00</p>
<p>Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan</p>	<p>4</p>
<p>Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector</p>	<p>N/A</p>
<p>Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities</p>	<p>4</p>
<p>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</p>	<p>N/A</p>
<p>Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the strategic plan or equivalent</p>	<p>4</p>

MI 3.2 Analysis	Source document
<p>The document review suggests that the resource mobilisation strategy is explicitly aligned to the strategic plan and core mandate. The 2018 MLF Executive Committee Primer reports that “the Multilateral Fund provides financing for the incremental costs of the phase-out of substances controlled by the Montreal Protocol”. The Executive Committee Primer (2018) describes how “proposals for investment projects and activities are submitted to the Executive Committee with a recommendation based on a review of the project by the Secretariat”. The MLF Policies, Procedures, Guidelines and Criteria (2017) document, particularly the chapter on Project Proposals, provides detailed guidance on how funding is allocated. The MLF Multilateral Fund: Governance, Business Model, Accomplishments (2019) management document offers a useful overview concerning replenishment periods of the MLF. A 2015 evaluation by the World Bank, Resource Mobilisation for HCFC Phase-out and Climate Mitigation Co-Benefits, reported some of the challenges of securing long-term funding for obligations under the Montreal Protocol.</p> <p>Diversification of the funding base is considered non-applicable to this review. The 2012 ICF Evaluation of the Financial Mechanism of the Montreal Protocol suggested a possible means of diversifying the funding base of the Montreal Protocol; however, it is too old to fall within the range of documents considered for this review. The evaluation reported that “co-funding may be available through the voluntary carbon market to support the recovery and destruction of ODS [ozone depleting substances] in Article 5 countries. The Voluntary Carbon Standard (VCS) has recently approved a new methodology for these ODS destruction project activities. The Executive Committee should consider encouraging National Ozone Units (NOUs) and agencies to look at and pursue these synergies and linkages, as they serve to further the ozone agenda. It is important to note, however, that the pursuit of these synergies has associated costs and challenges; some “resource mobilisation” activities have already been approved”.</p> <p>Multi-year funding is sought and obtained. The MLF has been replenished every three years since 1994 by the Parties to the MP.</p> <p>Resource mobilisation prioritising the raising of domestic resources from partner countries/ institutions was considered non-applicable in the context of this review, given the nature of the Montreal Protocol and MLF receiving a level of resources determined by treaty.</p> <p>The MLF resource mobilisation strategy contains clear targets, monitoring and reporting mechanisms. Resource mobilisation is monitored through annual agency progress reports, annual accounts reconciliation, special reports on delays, reports on specific projects, procedures for cancellation, project competition reports, return of balances from completed projects, return of balances from completed projects and thematic evaluations by independent monitoring and evaluation (M&E) (MLF, 2019, The Multilateral Fund: Governance, Business Model, Accomplishments).</p>	<p>1, 5, 16, 29, 53</p>
MI 3.2 Evidence confidence	High confidence
MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level	Score
Overall MI rating	Satisfactory
Overall MI score	3.33
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	4

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	4
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	2
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	N/E
MI 3.3 Analysis	Source document
<p>The MLF is a financial mechanism to support developing countries in complying with their obligations under the Montreal Protocol. As such, this MI considers “the delegation of decision-making authorities at different levels” to refer to the extent to which IAs can make responsive resource allocation/programming decisions with the funds provided to them by the MLF.</p> <p>The 46th meeting of the Executive Committee (2005) decided that, consistent with the flexibility provisions in the relevant agreement, any annual implementation plan prepared and submitted to the Executive Committee for approval could include changes to the scope and nature of the activities and that minor changes to a project or “an annual implementation plan could be incorporated, as implementation proceeded during the year,” and subsequently reported (see Phase-out agreements: flexibility conditions, decision 46/37 of the 46th EXCOM Meeting). Proposed major changes to the scope and nature of activities foreshadowed in the project document should be referred to the Executive Committee for approval as part of the annual implementation plan for the subsequent year (MLF, 2017, Policies, Procedures, Guidelines and Criteria. 9. Project Proposals).</p> <p>The 24th meeting of the Executive Committee (1998) agreed that “that some flexibility should be shown in how countries used the funds approved under projects for renewal of institutional strengthening” (MLF, Policies, Procedures, Guidelines and Criteria – Institutional Strengthening, 2017). Different procedures apply depending on whether the change is considered major or minor. Where there is doubt as to the nature of a proposed change, the agency should seek the views of the Secretariat (MLF, 2017, Policies, Procedures, Guidelines and Criteria. 9. Project Proposals).</p> <p>No documentary evidence was found regarding whether evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at the country or other local level, as appropriate. While the monitoring system generates quality and useful performance data, documentation does not make explicit what adjustments have been made and the impact they have had, beyond a “Lessons Learned” section in project completion reports.</p> <p>No evidence was found regarding whether the MLF has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels.</p>	16, 17, 62
MI 3.3 Evidence confidence	High confidence
MI 3.4: HR systems and policies performance based and geared to the achievement of results	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	4

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	4
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	1
Element 4: The performance assessment of staff is applied in decision-making relating to promotion, incentives, rewards, sanctions, etc.	N/E
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	3
MI 3.4 Analysis	Source document
<p>The MLF Secretariat is a co-located entity and is administratively part of UNEP. Headquarters (HQ) interviews confirmed that the MLF Secretariat uses the HR systems and policies of UNEP, including the performance assessment system. Therefore, this assessment refers to the MOPAN assessment of UNEP produced in 2015-16. The UNEP assessment provided an overall rating of satisfactory for this MI, on the following basis:</p> <p>“There is evidence that UNEP has designed comprehensive HR systems and policies that are performance-based and geared to the achievement of programme results, including with regard to gender and evaluation. UNEP applies the United Nations (UN) Performance Management and Development System and the UN Performance Appraisal System and has systems and guidance in place to incorporate these into its operating model. UN System-wide Action Plan assessments suggest that this is starting to have the desired effect on practice within UNEP. However, the extent to which actual practice supports organisational relevance, agility and results delivery is not clear. Evidence from interviews suggested that HR systems are not applied rigorously or consistently, particularly during staff performance appraisals. As such, performance appraisal is not necessarily performance-based or well linked to organisational results.”</p> <p>The draft 2019 MOPAN assessment rated UNIDO as satisfactory for this MI. The 2015-16 MOPAN assessments for UNDP and the World Bank also rated performance as satisfactory.</p>	57, 62, 63, 64
MI 3.4 Evidence confidence	Medium confidence

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability	KPI score
Highly satisfactory	3.51
<p>Decision-making on resource allocation is highly transparent and consistent with the strategic priorities of the Montreal Protocol. Allocated resources are generally disbursed as planned, with clear explanations provided to the EXCOM for any variances between actual and planned disbursements. However, no evidence relating to causes of any variances was identified, beyond the factual explanations given to the EXCOM. Interviews and documents confirm that budget allocations are aligned with the objectives of the MP – and specifically Article 5 country progress towards agreed compliance targets –, and the consolidated business plan summarises the funds allocated to hydrochlorofluorocarbons (HCFCs) and HFCs. Interview evidence from both the Secretariat and IAs suggests that costing is extremely thorough, with little scope for improving the system.</p> <p>The Secretariat is administratively part of UNEP, and the MLF Treasurer is UNEP. This assessment suggests that MLF performance relating to international audit standards are highly satisfactory, and that relating to internal control mechanisms, and policies and procedures relating to fraud or corruption are satisfactory. Interviews with the Secretariat confirmed that these policies and procedures were actively applied with respect to Secretariat staff. This assessment is consistent with MOPAN assessments of UNDP, UNEP, UNIDO and the World Bank.</p>	

MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities	Score
Overall MI rating	Highly satisfactory
Overall MI score	4.00
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	4
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current strategic plan	4
Element 3: The organisational policy or statement is regularly reviewed and updated	4
Element 4: The organisational statement or policy is publicly available	4
MI 4.1 Analysis	Source document
<p>The MLF Policies, Procedures, Guidelines and Criteria (2017) document, particularly the chapter on Project Proposals, provides detailed guidance on how funding is approved and allocated to Article 5 countries via implementing and bilateral agencies.</p> <p>Financial and budgetary planning under the Montreal Protocol is based on a triennial assessment by the Parties and a three-year rolling business plan approved by the Parties. A good overview of the process of financial and budgetary planning under the Montreal Protocol is provided by the 2018 MLF Executive Committee Primer. The annual planning cycle starts with the preparation of business plans for the following year by bilateral and implementing agencies. These plans propose target levels of controlled substances to be phased out and the level of funds to be disbursed, together with other performance indicators which provide the basis for the evaluation of the agencies' performance. The business plans of the agencies reflect the activities that need to be financed and implemented during the year.</p> <p>The MLF Policies, Procedures, Guidelines and Criteria (2017) document and Executive Committee meeting minutes, confirm that the financial framework is regularly reviewed.</p> <p>All documents referred to in relation to this MI are publicly available on the MLF website.</p>	1, 2, 5, 6, 12, 16, 19, 22, 25, 29
MI 4.1 Evidence confidence	High confidence
MI 4.2: Allocated resources disbursed as planned	Score
Overall MI rating	Highly satisfactory
Overall MI score	3.67
Element 1: The institution sets clear targets for disbursement	4
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	3
Element 3: Clear explanations are available in relation to any variances	4
Element 4: Variances relate to external factors rather than internal procedural blockages	N/E
MI 4.2 Analysis	Source document
<p>The implicit target for disbursement is 100% of the business plan. Disbursement is reported to the EXCOM by the Treasurer at each meeting. The accounts of the Fund are presented annually. The MLF provides regular reporting on the status of contributions and disbursements to each Executive Committee meeting in a document entitled "Status of Contributions and Disbursements. Report from the Treasurer".</p>	5, 24, 25

<p>Disbursement of funds is monitored and reported at the meetings of the Executive Committee. However, there are no institutionally agreed margins as such. Regular reporting on the status of contributions and disbursements is provided by the regular reports from the Treasurer referred to above.</p> <p>The progress reports considered at the meetings of the Executive Committee provide explanations and/or investigations of variances between actual and planned disbursements. However, no evidence relating to causes of any variances was identified, beyond the factual explanations referred to above.</p>	5, 24, 25
MI 4.2 Evidence confidence	High confidence
MI 4.3: Principles of results-based budgeting applied	Score
Overall MI rating	Satisfactory
Overall MI score	2.75
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current strategic plan	3
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)	2
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
MI 4.3 Analysis	Source document
<p>Detailed financial planning and budgeting is core to the Fund. The inventory of approved project proposals records every project that has been approved since 1991. It contains detailed information including the substance to be phased out, the amount used and the substance to be phased in. Project proposals detail target levels of the controlled substances to be phased out (the results of the MP) and the level of funds required. At every meeting of the EXCOM, the Treasurer provides a document on the status of contributions and disbursements, as well as a report on balances and the availability of resources. Interviews and documents confirm that budget allocations are aligned with the objectives of the MP – and specifically Article 5 country progress towards agreed compliance targets –, but there is no single budget document that identifies the funds allocated to specific substances.</p> <p>Costs per tonne of ozone depleting potential (ODP) removed and destroyed are calculated in a number of documents. The consolidated business plan shows allocations by each HCFC and HFC activity.</p> <p>No system was found relating to Element 3 for the MLF. The previous MOPAN assessments reported no evidence for the World Bank, a system in development for UNEP and no system for UNIDO. Only UNDP has a system of this type.</p> <p>Interview evidence from both the Secretariat and IAs suggests that costing has always been very thorough, with little scope for improving the system. Costs per tonne are presented over time in the annual performance assessment of the IAs and in the progress reports. However, these show unexplained variances (possibly due to the different chemicals and programmes) and do not show evidence of improved costing over time.</p>	5, 19, 25
MI 4.3 Evidence confidence	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	Score
Overall MI rating	Highly satisfactory
Overall MI score	3.83
Element 1: External audit conducted which complies with international standards	4
Element 2: Most recent external audit confirms compliance with international standards across functions	4
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
Element 5: Internal audit functions meet international standards, including for independence	3
Element 6: Internal audit reports are publicly available	4
MI 4.4 Analysis	Source document
<p>The Secretariat is administratively part of UNEP, and the MLF Treasurer is UNEP. The Minutes of the 82nd Meeting of the EXCOM confirmed that the audited financial statements had been prepared in accordance with the International Public Sector Accounting Standards. Final accounts for the Multilateral Fund are audited annually as part of the UNEP Financial Report and Audited Statements, with a separate schedule for the Fund.</p> <p>Reports on the accounts of the MLF are provided annually by the United Nations Board of Auditors. These reports are prepared by an external board of auditors appointed by the UN General Assembly to audit the UN Secretariat, of which UNEP is part.</p> <p>The UNEP Financial Report and Audited Statements contain audit observations and recommendations for each UNEP fund as necessary. None have been made for the MLF in recent years. Were any to be made, a management response would be recorded in the report to the EXCOM.</p> <p>Internal audits of the Fund are periodically conducted by the Office of Internal Oversight (OIOS) of the UN. However, no internal audits of the Secretariat were conducted during the assessment period. The last audit of the Secretariat was conducted on the retirement of the previous Chief Officer in August 2013. In conducting its work, the Internal Audit Division is guided by the International Standards for the Professional Practice of Internal Auditing promulgated by the Institute of Internal Auditors. OIOS reports are publicly available on the OIOS website.</p> <p>Previous MOPAN assessments for UNDP, UNEP and the World Bank rated these IAs as highly satisfactory against this MI. UNIDO was assessed as satisfactory in the recent MOPAN assessment.</p>	57, 58, 62, 63, 64
MI 4.4 Evidence confidence	Medium confidence
MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed	Score
Overall MI rating	Satisfactory
Overall MI score	3.33
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	3
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 issue identified	3
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	3
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	4
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting	4
MI 4.5 Analysis	Source document
<p>The Secretariat is administratively part of UNEP, and the MLF Treasurer is UNEP. The last internal audit of the Fund Secretariat was carried out by the Internal Audit Division of the OIOS in 2013. The 2014 report on this audit included a management response from UNEP detailing the action taken in response to the recommendations.</p> <p>The 2017 IAD Internal Audit Manual describes how all recommendations from internal audits are maintained in an automated audit management system. Implementation of critical and important recommendations are monitored on a quarterly and annual basis, respectively. Long overdue recommendations (defined as overdue for more than one year past the target date for critical recommendations and three years past the target date for important recommendations) are reviewed for potential closure, unless reasonable action plans for full implementation are provided.</p> <p>The Secretariat has well-established procedures for reviewing all projects, for identifying any issues and for making recommendations to the EXCOM for any action proposed. Project amendment documents submitted to the EXCOM provide good evidence of actions required and taken to address any financial and operational issues identified in implementation. Progress reports are submitting annually by the bilateral and implementing agencies, with financial data as of 31 December of the previous year. Each project is reviewed annually and has a completion date and a status code. Once the completion date has been reached and the project has been completed, then any balances must be returned to the Fund. This process is well-established with very defined steps to be followed.</p> <p>The report on the final audited accounts submitted to the EXCOM each year includes a section commenting on any audit observations relating to the Multilateral Fund and the action to be taken. None of the final accounts during the assessment period have contained any such observations.</p> <p>In response to a survey question on whether the MLF adequately addresses concerns raised by internal control mechanisms, 28% and 33% of respondents rated the MLF as “excellent” and “very good”, respectively.</p> <p>The previous MOPAN assessment for the World Bank rated this MI as highly satisfactory. UNDP, UNEP and UNIDO were assessed as satisfactory.</p>	5, 57, 58, 62, 63, 64
MI 4.5 Evidence confidence	Medium confidence
MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities	Score
Overall MI rating	Satisfactory
Overall MI score	3.50
Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	4

Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	3
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	4
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)	4
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	3
MI 4.6 Analysis	Source document
<p>The Secretariat is administratively part of UNEP. UNEP, as a constituent part of the United Nations Secretariat, complies with General Assembly and Security Council Resolutions, United Nations Regulations and Rules, and administrative instructions and guidelines issued by the mandated authorities. Issues related to fraud, corruption and financial irregularities are directly addressed by OIOS through the UNEP Executive Office and the Corporate Services Division following UN directives and guidelines. More specifically, Information Circular ST/IC/2016/25 on the Anti-Fraud and Anti-Corruption Framework of the United Nations Secretariat governs UNEP as part of the UN Secretariat. In addition, UNEP issued Interim Anti-Fraud and Anti-Corruption Guidelines to operationalise the internal circular. These guidelines define the roles of management and staff. While clear, these policies and guidelines are not specific to the Fund.</p> <p>Interviews with Secretariat staff confirmed that policies and procedures are effective in practice, although there is no evidence of regular monitoring and reporting to the Governing Body. All staff at the Fund Secretariat have completed UN online anti-fraud training. No cases of fraud were reported to the Committee during the assessment period. Any cases would be handled by OIOS or the UNEP Corporate Services Division/Legal Unit on behalf of UNEP Executive Director.</p> <p>There are several mechanisms in place for reporting suspicion of misuse of funds. These include UNEP internal operating procedures on whistleblowing, training on integrity and prevention of fraud and retaliation, and annual financial disclosure by managers and staff with financial responsibilities. Furthermore, OIOS has established a reporting facility to provide a confidential mechanism for individuals wishing to report waste, fraud, mismanagement, sexual harassment or other types of misconduct. The Investigations Division reviews all reports of possible wrongdoing it receives to determine whether the report is receivable for investigation. The Division has discretionary authority to decide which matters to investigate and, where suitable, may also decide to refer a report to another entity for appropriate action, including investigation.</p> <p>UNEP, as part of the UN Secretariat, obtains oversight services from OIOS. Any fraud or attempted fraud would be directed to OIOS for investigation. UNEP does not issue a separate public report on fraud and corruption, although fraud, attempted fraud and corruption cases, if any, would be disclosed as part of its annual financial statements for audit to the Board of Auditors.</p> <p>Previous MOPAN assessments for UNDP and the World Bank rated this MI as highly satisfactory. UNEP and UNIDO were assessed as satisfactory.</p>	57, 58, 62, 63, 64
MI 4.6 Evidence confidence	Medium confidence

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	KPI score
Unsatisfactory	2.46
<p>The assessment found that interventions delivered under the Montreal Protocol were suitably aligned with national priorities. The MLF employs a country-driven approach to allow national authorities the flexibility to determine their preferred means to go about meeting their obligations under the Protocol.</p> <p>Intervention designs and implementation appear to employ suitable contextual analysis. Planning documents require that information be provided on the operating context, including potential climate and environmental impacts. At the time of the assessment, MLF did not consider gender in the development of interventions. Project submission guides have since been changed to require this.</p> <p>A review of MLF documentation relating to intervention design and implementation found almost no reference to capacity analysis – for example, assessments of national partner capacity. Neither did the document review find a reference to the requirements/expectations set by the MLF for the assessment and management of risk. The Secretariat affirmed that the MLF always considers capacities at national and enterprise levels and that operational risk analysis is done through project review.</p> <p>The extent to which intervention designs take into account cross-cutting issues is currently considered to be unsatisfactory. At the time of writing, no attention was paid to gender equality, though it is noted that steps are being taken to improve how gender is mainstreamed under the Montreal Protocol. The document review found almost no evidence that monitoring and evaluation outputs include attention to cross-cutting issues (see also KPI 2).</p> <p>Although intervention designs satisfactorily incorporated realistic measures to ensure sustainability, M&E documents were found not to explicitly examine the critical assumptions which underpin sustainability. This could be an important area for improvement. It is noted, however, that the 83rd meeting of the Executive Committee (2019) approved the terms of reference for a desk study on the sustainability of the achievements of the Montreal Protocol.</p> <p>MLF has suitable procedures in place to track the speed of intervention, although it does not appear to benchmark it – neither internally nor externally. It is noted that the 82nd meeting of the Executive Committee (2018) had discussed concerns regarding a large number of delays in project implementation under the Protocol and led to decision 84/85 on the cancellation of multi-year agreements. Documents reviewed during this assessment period found limited analysis from MLF on causes of delays or steps taken to address them, although such analysis has been carried out in the past. However, there is a systematic process to identify and address delays.</p>	
MI 5.1: Interventions aligned with national/regional priorities and intended national/regional results	Score
Overall MI rating	Highly satisfactory
Overall MI score	4.00
Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives	4
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	4
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	4

MI 5.1 Analysis	Source document
<p>The Montreal Protocol does not produce regional strategies, but individual projects and multi-year agreements can be considered country strategies – given their explicit focus on helping non-Article 5 countries comply with their obligation under the Protocol.</p> <p>Reviewed policy documents at the global level suggest how the implementation of the Montreal Protocol is conducted in reference to national strategies and objectives. The Consolidated Text of the Montreal Protocol (2016) mandates that “resources under the Multilateral Fund shall be disbursed with the concurrence of the beneficiary Party”. The MLF Policies, Procedures, Guidelines and Criteria’s Financial Mechanism chapter (2017) describes the intention for a country-driven implementation of the Montreal Protocol. This policy document states that “the Executive Committee at its Thirty-third Meeting ... reached a consensus on the need for a country-driven approach, allowing countries to retain the flexibility to determine the type of approach that would best enable Article 5 countries to meet their obligations under the Montreal Protocol”. The MLF Policies, Procedures, Guidelines and Criteria’s Country Programme chapter (2017) states that “the Executive Committee attaches great importance to an effective national strategy in the efforts of the Article 5 countries to comply with their obligations under the Montreal Protocol”. IAs are required to involve national bodies in project identification (Policies, Procedures, Guidelines and Criteria. 9. Project Proposals, 2017).</p> <p>HQ staff described how the MLF produces operational guidelines regarding how countries can access funds and what types of projects are eligible. These interviews also described how NOUs tended to have low capacity, creating an imbalance of power with IAs. An effort has been made to rebalance this dynamic and to give countries a more active role in phase-out. Countries are able to decide how fast they wish to reduce and phase out a given chemical – thus generating estimated levels of funding. The MLF negotiates what is eligible for the envelope of funds. Once this is decided on, funding tranches are established – these tranches then determine the business plan.</p> <p>As all interventions funded by the MLF have an explicit focus on helping Article 5 parties comply with their obligations under the Montreal Protocol, there is a direct link between national goals and the goals of an intervention funded under the Protocol.</p> <p>The MLF Policies, Procedures, Guidelines and Criteria’s Project Proposals chapter (2017) suggests that structures are in place for IA technical staff to invest time and effort in aligning with national goals. This document states that “the Implementing Agency will establish the necessary contacts with the Article 5 country concerned and elaborate the project documentation to meet all the necessary requirements”. MLF project design procedures and guidelines are intended to guide MLF and IA staff to ensure all interventions support national goals and respect compliance. An HQ interview suggested that once chlorofluorocarbons (CFCs) were phased out, the decision was made to shift attention to projects with a greater focus on national-level outcomes.</p>	<p>6, 8, 13, 14, 15, 16, 26, 27, 29, 44, 45</p>
	High confidence
MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation	Score
Overall MI rating	Satisfactory
Overall MI score	3.17
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	4
Element 2: Context statement has been developed jointly with partners	4

Element 3: Context analysis contains reference to gender issues, where relevant	1
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	4
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	2
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	4
MI 5.2 Analysis	Source document
<p>Contextual information is required for all country programmes. The MLF Policies, Procedures, Guidelines and Criteria's Country Programme chapter (2017) sets out the following requirements for the country programme documentation:</p> <ul style="list-style-type: none"> • “[a] review of recent production, imports, applications and use of controlled substances by the main producers, users, and consumers, and links to transnational producers or users (if information is available) • a description of the institutional framework governing controlled substances (government agencies, non-governmental organisations [NGOs], consumer groups, industry associations) • a description of the policy framework and of regulatory and incentive systems. <p>The MLF obliges interventions funded by the Montreal Protocol to provide a statement that positions them within the operating context. The MLF Policies, Procedures, Guidelines and Criteria's Project Proposals chapter (2017) requires that a project document contain information such as sector data, implementation arrangements, institutional framework and technical appraisal. Specific guidelines, requiring clear statements of operating context, are available for the various intervention types of the Montreal Protocol (e.g. The Updated Guide for the Preparation and Submission of Additional Projects to Demonstrate Climate-Friendly and Energy Efficient Alternative Technologies to HCFCs and Feasibility Studies, 2018). Project documents are developed by IAs, in conjunction with the NOU of the country in question according to a set format.</p> <p>Partners (in this context, NOUs) are involved in the development of context statements. The MLF Policies, Procedures, Guidelines and Criteria's Financial Mechanism chapter (2017) suggests NOUs have the flexibility to determine the type of approach that would best enable Article 5 countries to meet their obligations under the Montreal Protocol. IAs are required to involve national bodies in project identification (Policies, Procedures, Guidelines and Criteria. 9. Project Proposals, 2017).</p> <p>The 2018 Desk Study for the Evaluation of Gender Mainstreaming in the Montreal Protocol found that gender issues are seldom taken into account in project design. Staff at HQ described how project gender balance does not currently need to be reported to the Executive Committee, but they also stated that the MLF is investigating means of increasing its gender focus in projects. IAs have been invited to consider how they could address gender under the Montreal Protocol, with the intention that this would be presented to the 84th meeting of the Executive Committee (2019).</p> <p>Project proposal templates require submitting detailed information on climate and environmental impacts. Management structures and institutional responsibility for M&E are mentioned in the guidelines for project proposals, as well as in the agreements between governments and the Executive Committee. In addition, the existence of conflict is taken into account in EXCOM decisions relating to particular countries when relevant, but the analysis of governance issues is less extensive.</p>	15, 16, 26, 27, 44, 45, 50

HQ interviews suggested evidence of reflection points between MLF and partners concerning funds. Partners submit detailed budgets for review by the MLF for every funding tranche request and adjustment (such as a reduction in project funds to make up for a shortfall caused by high administrative costs) as needed. Every project is monitored from beginning to end, with deviations requiring an explanation and a suitable response. All unused, or unneeded, funds are required to be returned – “down to the dollar”. There is some flexibility on how money can be used, but significant changes would require the project/multi-year agreement to be reviewed.	15, 16, 26, 27, 44, 45, 50
MI 5.2 Evidence confidence	Medium confidence
MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed	Score
Overall MI rating	Unsatisfactory
Overall MI score	1.80
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	1
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	3
Element 3: Capacity analysis statement has been developed jointly where feasible	1
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	1
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	3
MI 5.3 Analysis	Source document
<p>This review considers partnerships as those between the IAs of the Montreal Protocol and national authorities while following MLF guidelines and requirements. HQ staff described how project documents are developed by IAs, in conjunction with the NOU of the country in question following a format set by the MLF. The MLF also prepares guidelines (available online) for IAs to follow when developing a project. These are shared at inter-agency co-ordination meetings and updated following every Executive Committee meeting. HQ staff described how updates to guidelines are based on “learning by doing” and cumulative precedent. Reviews of MLF guidance and policy documents (such as Policies, Procedures, Guidelines and Criteria. 9. Project Proposals, 2017; and Guide for the Presentation of Stage II of HCFC Phase-Out Management Plans, 2019) found no reference to the capacities of national partners or requirements for stating them.</p> <p>From document reviews, the extent to which capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance is unclear. The Secretariat stated that MLF activities always take into account capacities at the national level and frequently at the regional level and that capacity analysis is promoted by the Secretariat during project review.</p> <p>The document review found no requirement from MLF on IAs’ jointly developing capacity analysis statements with NOUs.</p> <p>The document review found no requirement for the production of strategies which address identified weaknesses in capacity.</p> <p>The document review found no specific requirement from the MLF for regular reflection points between IAs and NOUs. However, HQ interviews suggested evidence of reflection points between</p>	

MLF and partners, as partners submit detailed budgets for review by the MLF for every funding tranche request and adjustment (such as a reduction in project funds to make up for a shortfall caused by high administrative costs) are made as needed.	26, 27, 44, 45, 48
MI 5.3 Evidence confidence	Medium confidence
MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks	Score
Overall MI rating	Highly unsatisfactory
Overall MI score	1.00
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	3
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	0
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	0
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	0
Element 5: Risks are routinely monitored and reflected upon by the partnership	3
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	0
MI 5.4 Analysis	Source document
No documentary evidence was found on this MI. Key MLF documents relating to the project proposal process (such as Policies, Procedures, Guidelines and Criteria. 9. Project Proposals, 2017) provide no guidance on how project proposals should address risk or risk management. The Secretariat stated that operational risk analysis and mitigation is done through project review. Countries' risk of compliance is closely monitored through documents on country programme data and prospect for compliance and tranche submission delays. Risk management is an integral part of project reviews. Risk assessment is undertaken by the agencies in consultation with governments during project submission.	5, 12, 16
MI 5.4 Evidence confidence	Medium confidence
MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)	Score
Overall MI rating	Unsatisfactory
Overall MI score	1.75
Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues	2
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	N/E
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	2
Element 4: Intervention designs include the analysis of gender issues	2
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	N/A
Element 6: Intervention designs include the analysis of good governance issues	N/A
Element 8: Plans for intervention monitoring and evaluation include attention to cross-cutting issues	1

MI 5.5 Analysis	Source document
<p>Reviews of the UNEP Project proposal: Bahamas (The) (2017), and the UNEP Project proposal: Argentina (2017) found no cross-cutting issues specifically addressed in the proposals. The document review of MLF guidance documents, policy documents, etc. found no specific reference to “cross-cutting issues” or guidance on how they should be addressed by staff in the context of project design, approval, or M&E (with the exception of climate and environmental issues).</p> <p>The document review suggests that approval procedures consider climate and environmental issues but not gender or anything else which might be regarded as a “cross-cutting issue”.</p> <p>The 2018 Desk Study for the Evaluation of Gender Mainstreaming in the Montreal Protocol found that gender issues are seldom taken into account in project design.</p> <p>Project proposal templates require that information be submitted on climate and environmental impacts, but in line with KPI 2 this and good governance are considered to be not applicable as cross-cutting issues.</p> <p>Document review found almost no evidence that M&E outputs include attention to cross-cutting issues. The questions in some of the evaluation terms of reference reviewed were worded in such a way that they could have incorporated certain cross-cutting issues. MOPAN acknowledges that cross-cutting issues were not seen as relevant when the MLF was conceived.</p>	26, 27, 44, 45, 48
MI 5.5 Evidence confidence	Medium confidence
MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12)	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
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	4
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	4
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	1
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	3
MI 5.6 Analysis	Source document
<p>Given the nature of most projects under the Montreal Protocol (the reduction of ODS), intervention designs include by default aspects of sustainability, such as technical developments, phase-out strategies and impacts on the environment. The Executive Committee Primer (2019) describes how funding under the Protocol is “based on a commitment by the country to achieve sustainable, permanent reductions in consumption and production of controlled substances”. However, the document review found all MLF documents to contain multiple references to sustainable reductions but no overarching statement on an approach to/definition of sustainability. The MLF Policies, Procedures, Guidelines and Criteria’s Project Proposals chapter (2017) reports that “the Fortieth Meeting of the Executive Committee decided to request implementing and bilateral agencies to indicate qualitatively in all relevant reports, especially those related to tranches of funding, the extent to which reductions in phase-out had been influenced by factors external to</p>	7, 16, 26, 27

<p>the project in the country concerned". This policy document also urges bilateral and implementing agencies to "complete a thorough analysis of the technical, economic, financial, co-funding and environmental issues associated with the replacement, and to demonstrate the economic viability and long-term sustainability prior to submitting a request for approval" for their activities.</p> <p>Interviews with HQ staff described how key elements of enabling policy are defined in intervention design as a matter of course in practice. For example, the Guide for the Presentation of Stage II of HCFC Phase-Out Management Plans (2019) requires documentation on what relevant HCFC regulations are in place.</p> <p>M&E plans assessed during the document review found no explicit reference to the critical assumptions that underpin sustainability. The 83rd meeting of the Executive Committee (2019) approved the terms of reference for a desk study on the sustainability of the achievements of the Montreal Protocol.</p> <p>HQ staff described in interviews how project design discussions required shifts in policy or legislation as a matter of course.</p>	7, 16, 26, 27
MI 5.6 Evidence confidence	Medium confidence
MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.5
Element 1: Internal standards are set to track the speed of implementation	4
Element 2: The organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	0
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
MI 5.7 Analysis	Source document
<p>Internal standards are in place to track the speed of implementation in the form of a consolidated progress report, which examines and explains any delays. The MLF reports on the average time from approval to the first disbursement. The MLF Executive Committee Primer (2018) reports that "there were a total of 269 ongoing investment projects under implementation at the end of 2017. These projects, on average, are experiencing a delay of 26 months".</p> <p>The document review found no evidence of the MLF benchmarking speed of implementation internally (e.g. intervention speed in low-income vs. medium-income countries) or externally (e.g. implementation speed of Montreal Protocol funded interventions vs. Global Environment Facility [GEF] funded interventions).</p> <p>The MLF Report of the 82nd meeting of the Executive Committee (2018) states that "one member said that ... she was concerned by the large number of delays in project implementation and the consequent need for additional status reports. While some of those delays had been caused by security issues in the country, other delays were unrelated and needed to be explained. HFC enabling projects had not started yet and action needed to be taken in that respect, and on the other projects, as soon as possible". Interviews with HQ staff described the process of submission,</p>	5, 6, 24

<p>comments, redraft and resubmission of project documents as a time-consuming process. An interview with the UNDP Montreal Protocol unit suggested that the Montreal Protocol has more technical requirements than the Global Environment Facility and is very technical and compliance-driven. It was suggested that “every change has to be approved by the Secretariat, even very small ones”. While time-consuming, this was also referred to in HQ and IA interviews as providing very clear guidance on expectations and requirements. On a more negative note, one IA described MLF databases as “antiquated and hard to use”. The Secretariat stated that the Fund is extremely fast at making the resources available to IAs to operate and implement projects as soon as they are approved and that financial procedures have not hindered implementation. The EXCOM has exercised flexibility by considering proposals in advance of their due meeting in order to avoid hindering the speed of implementation.</p>	5, 6, 24
<p>There is some evidence from the document review that MLF has taken steps in the past to improve on identified bottlenecks. The Twenty-second Meeting of the Executive Committee (1998) introduced rules to review and address implementation and completion delays, and a comprehensive review of project delays was made in 2002 (EXCOM document 36/15). Documents reviewed for this assessment found information on delays by country and IA but very limited information on the explicit steps being taken to identify overarching/common causes for the delays, the steps taken to address them or on improvement in the speed of implementation over time. The Secretariat affirmed that specific reasons for project and tranche submission delays are identified and addressed, and there is evidence of a systematic process to identify and address project delays. HQ interviews described how the project management unit is essential for any reduction project – it monitors, organises, reports, plans etc. – and how this creates a “self-cleaning mechanism”, monitored by the MLF. A detailed budget is submitted for each tranche request, and funding adjustments (such as a reduction in project funds to make up for a shortfall caused by high administrative costs) are made. Every project is monitored from beginning to end, with deviations requiring an explanation and a suitable response. All unused, or unneeded, funds are required to be returned – “down to the dollar”. However, the extent to which this process successfully addresses identified bottlenecks is not made explicit in the documentation reviewed for this assessment. The Secretariat stated that information on how delays were addressed is contained in individual project completion reports.</p>	
MI 5.7 Evidence confidence	Medium confidence

KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources	KPI score
Satisfactory	3.38
<p>Joint working with other organisations is an intrinsic part of how the Montreal Protocol is delivered. The Executive Committee Primer (2018) describes how “bilateral cooperation encompasses the full range of projects and activities funded under the Multilateral Fund. Project proposals from bilateral agencies are submitted by the donor country and are usually presented in a single bilateral cooperation document together with the Secretariat’s reviews of and recommendations on these project proposals”. Working with the IAs is central to how the Montreal Protocol is delivered. This review considers partnerships as those between the IAs of the Montreal Protocol and national authorities. The MLF has no partners because of its unique role – its sole remit is to follow the instructions of the Executive Committee, and it only interacts with the IAs. Mechanisms are in place to allow IAs to make programming adjustments as required, and reviews points exist between the MLF and IAs through regular meetings and in the reviews of requests for new tranches of funding.</p>	
<p>This assessment considers the partnerships that exist between the IAs and national authorities. The links between the Secretariat and IAs are seen as internal to the Fund and are not generally considered to be partnerships. The exception relates to MI 6.2, where the comparative advantage of the four IAs – in effect “internal partnerships” – was taken as the most appropriate</p>	

interpretation of the methodology. It is uncertain to what extent the internal partnerships between MLF and IAs are aligned to comparative advantage. MLF documents provide some details on the differences in roles of the IAs, though without offering an explicit statement regarding competitive advantage. In practice, all IAs are expected to perform all types of projects under the IA. The selection of an IA to work with is at the discretion of the national authority. Each IA has its own area of expertise, although the national authority's selection of an IA may be based on a number of factors beyond comparative advantage.

Adherence to the Busan Partnership for Effective Development is considered non-applicable in the context of the MLF.

Key MLF documents make no reference to “leverage” or “synergy”. However, one of the key concepts of the Multilateral Fund is that it provides financing for the incremental costs of the phase-out of substances controlled by the Montreal Protocol. This is, by definition, leveraging the use of resources.

Joint working with other organisations is an intrinsic part of how the Montreal Protocol is delivered. Shared information gaps between the bodies of the Montreal Protocol, IAs and national authorities are addressed at the twice-annual meetings of the Executive Committee, at Meetings of the Parties to the Montreal Protocol, and at other meetings/workshops with IAs and NOUs.

All relevant current information is available on the MLF website, although it was the opinion of the assessment team that MLF/Montreal Protocol documents are not produced in a manner which is clear and accessible to external audiences. All relevant information on budgeting, management, etc. is available from the MLF, and there are no indications that it is inaccurate or that it is not in line with relevant reporting guidelines. Management information/reporting available from the MLF is weakened by a lack of focus on analysis. For example, specific delays in project implementation are reported and acted upon, but no overall analysis of underlying causes was identified.

The MLF is a financial mechanism of the Montreal Protocol, with legal personality to provide financial and technical assistance to Article 5 countries to comply with the control measures set out in the Protocol. As such, accountability to beneficiaries is considered non-applicable to the MLF.

All reporting of results of Montreal Protocol funded activities is a joint enterprise between the MLF and the relevant IA. It is unclear from documentation the extent to which national authorities are involved in assessments of interventions. Consolidated progress reports summarising progress and financial information provided by bilateral and implementing agencies are produced annually.

The MLF has a number of roles in knowledge production, such as producing fact sheets on demonstration projects. However, there is neither a clear statement on the exact role of the MLF in knowledge production nor evidence on how knowledge products produced by the MLF have been perceived by partners.

MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change	Score
Overall MI rating	Satisfactory
Overall MI score	3.50
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	4
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)	N/A
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	4
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	2

MI 6.1 Analysis	Source document
<p>As noted above, this review considers partnerships as those between the IAs of the Montreal Protocol and national authorities. HQ interviews described how the MLF has no partners because of its unique role – its sole remit is to follow the instructions of the Executive Committee, and only interacts with the IAs. The MLF Policies, Procedures, Guidelines and Criteria (2017) document suggests that mechanisms are in place to allow programmatic changes and adjustments, as well as the flexible use of programming funds, when conditions change. This policy document reports the following:</p> <p>“The 46th meeting of the Executive Committee (2005) decided the following:</p> <ul style="list-style-type: none"> • Consistent with the flexibility provisions in the relevant agreement, any annual implementation plan prepared and submitted to the Executive Committee for approval could include changes to the scope and nature of the activities foreshadowed in the project document, on which approval in principle of the overall phase-out plan was based • To reiterate its expectation that each annual implementation plan would be implemented as approved and would achieve, as a minimum, the phase-out proposed in the project document and the agreement, where relevant • That minor changes to a project or an annual implementation plan could be incorporated, as implementation proceeded during the year, and reported on in the annual report on implementation of the annual implementation plan”. <p>Changes to use of programmatic funds can be proposed to the Executive Committee through annual implementation plans. HQ staff described how there is flexibility over the course of a project to make adjustments as needed, on a tranche-by-tranche basis.</p> <p>The question of whether institutional procedures can be made at a decentralised level within a limited timeframe is considered non-applicable to this assessment, as revisions are tied to the submission and approval of a new tranche request.</p> <p>This process provides regular review points, as each request for a new funding tranche requires a review from the MLF to determine its suitability. HQ staff described this process as a “self-cleaning mechanism”.</p> <p>HQ interviews described how this “self-cleaning mechanism” can identify and act on institutional bottlenecks in procedures, as a lack of progress must be explained and followed up on and funds returned if necessary. Reasons for the delays in the submission of tranches are reported to the Executive Committee. However, the extent to which this process, or the report on tranche submission delays, successfully addresses commonly identified bottlenecks, or the common causes of delays, is not made explicit in documentation reviewed for this assessment.</p>	5, 16, 17
MI 6.1 Evidence confidence	High confidence
MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy	Score
Overall MI rating	
Overall MI score	
Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	N/A
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	N/A

Element 3: The organisation aligns its resources/ competencies to its perceived comparative advantage	N/A
Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect	N/A
MI 6.2 Analysis	Source document
<p>This MI considers the four IAs as “internal partners”. The MLF’s Executive Committee Primer (2018) provides some (limited) commentary on the roles of the four IAs (UNDP, UNEP, UNIDO and the World Bank): “Broadly speaking, UNDP, UNIDO and the World Bank are responsible for the preparations and implementation of investment projects. The main thrust of UNEP’s activities is on information dissemination, capacity-building, institutional strengthening, networking, and assistance to low-volume-consuming (LVC) Article 5 countries. However, since 2011, UNEP is also involved in the preparation and implementation of investment projects”.</p> <p>HQ interviews, as well as interviews with the UNDP and World Bank Montreal Protocol teams, described how IAs do slightly different kinds of projects, but in practice all IAs are expected to be able to “do the same thing” under the Montreal Protocol. Countries are free to select any IA they wish to work with, and interviewees described the process of a country selecting which IA to work with on a given project as “ad hoc” and influenced by factors such as IA presence in country and the country’s prior relationship with a particular IA.</p> <p>The question of whether the organisation aligns its resources/competencies to its perceived comparative advantage is considered non-applicable to this assessment. This is because the MLF has a singular mandate to act as a financial mechanism for the Montreal Protocol.</p> <p>The Secretariat affirmed that external partnerships between IAs and others are part of the day-to-day work funded under the MLF. These partnerships are generally at the local level and take advantage of comparative advantages at that scale/ level, even if this is not clearly and explicitly documented.</p>	5
MI 6.2 Evidence confidence	
MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems	Score
Overall MI rating	
Overall MI score	
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	N/A
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	N/A
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	N/A
Element 4: Reasons for non-use of country systems clearly and transparently communicated	N/A
Element 5: Internal structures and incentives supportive of greater use of country systems	N/A
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	N/A
MI 6.3 Analysis	Source document

The Montreal Protocol and the MLF are not listed by the OECD as an organisation adhering to the Busan Partnership for Effective Development Co-operation. This indicator is therefore considered not applicable.	
MI 6.3 Evidence confidence	
MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation	Score
Overall MI rating	Highly satisfactory
Overall MI score	4.00
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	4
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	N/A
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	N/A
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	N/A
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	N/A
MI 6.4 Analysis	Source document
<p>Key MLF documents, such as the Executive Committee Primer (2018) and the Consolidated Text of the Montreal Protocol (2016) make no reference to “leverage” or “synergy”. However, one of the key concepts of the Multilateral Fund is that it provides financing for the incremental costs of the phase-out of substances controlled by the Montreal Protocol. This is, by definition, leveraging the use of resources. The work of IAs is co-ordinated by the MLF to ensure co-operation in delivering the requirements of the Protocol – there is no evidence of fragmentation. An interview with the UNDP Montreal Protocol unit described the twice-yearly inter-agency co-operation meetings, held before Executive Committee meetings, and the incentives and mechanisms for sharing information and co-operating with other IAs.</p> <p>All other elements of this MI are considered non-applicable in the context of this assessment. This is due to the MLF’s mandated role in serving as a financial mechanism to help developing countries meet their obligations under the Montreal Protocol.</p>	5, 6, 19
MI 6.4 Evidence confidence	High confidence
MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.)	Score
Overall MI rating	Satisfactory
Overall MI score	3.40
Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	4
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	N/A
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	4

Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.)	4
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	3
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	3
MI 6.5 Analysis	Source document
<p>As noted above, this review considers partnership working as the co-operation between IAs and national authorities. Joint working with other organisations is an intrinsic part of how the Montreal Protocol is delivered. The Executive Committee Primer (2018) describes how “bilateral cooperation encompasses the full range of projects and activities funded under the Multilateral Fund. Project proposals from bilateral agencies are submitted by the donor country and are usually presented in a single bilateral cooperation document together with the Secretariat’s reviews of and recommendations on these project proposals”. Working with the IAs is central to how the Montreal Protocol is delivered. The mandate of the IAs is to “(a) be requested by the Committee, in the context of country programmes to facilitate compliance with the Protocol, to co-operate with and assist the Parties within their respective areas of expertise; and (b) to develop an inter-agency agreement and specific agreements with the Committee acting on behalf of the Parties” (MLF, 2017, Policies, Procedures, Guidelines and Criteria – Implementing Agencies). Each IA prepares an annual work programme for their delivery on Montreal Protocol activities (MLF, 2018, Report of the 81st Meeting of the Executive Committee). The MLF management document, The Multilateral Fund: Governance, Business Model, Accomplishments (2019) provides a useful summary of the role of the IAs. The document review also suggests that the IAs each have a more strategic role, based on their expertise. Recent MOPAN reports are available on the four IAs.</p> <p>All monitoring and reporting processes under the Montreal Protocol are a joint effort between NOUs, IAs and the MLF.</p> <p>Co-ordination between governments and implementing agencies is provided by regional network meetings (MLF, 2017, Policies, Procedures, Guidelines and Criteria. 9. Project Proposals). In 2018, the report of the 82nd meeting of the Executive Committee (2018) noted that “one member expressed continued concern at the irregular attendance of representatives of the Secretariat at the regional network meetings”. The main reason reported was that Secretariat staff were engaged in project review while the network meetings were taking place. The Secretariat always attempted to attend the meetings, if only remotely.</p> <p>HQ staff interviews described how shared information gaps between the bodies of the Montreal Protocol, IAs and national authorities are discussed at the twice-annual meetings of the Executive Committee, at Meetings of the Parties to the Montreal Protocol, and at other meetings/workshops with IAs and NOUs. Any actions taken to address such gaps are detailed in the reports which are released after each meeting. For example, the Report of the 82nd Meeting of the Executive Committee (2018) states that “one member pointed out that paragraphs 1, 2 and 7 of decision XXX/5 would require consideration in the context of discussions on energy efficiency and would need to be taken up appropriately during consultations. The Secretariat might be requested to undertake additional work on some of the elements”.</p>	5, 12, 16, 22, 24, 29

No evidence was found of MLF participation in joint planning, management and delivery of evaluation activities. According to the Secretariat, topics and terms of reference for evaluations are discussed with the Secretariat and IAs, and planning is done with the IAs and NOUs.	5, 12, 16, 22, 24, 29
MI 6.5 Evidence confidence	High confidence
MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
Element 1: Information on the organisation's website is easily accessible and current	3
Element 2: The organisation has signed up to the International Aid Transparency Initiative or reports through the OECD-DAC systems	N/A
Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (Creditor Reporting System, CRS) guidelines	3
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	N/E
Element 5: Evidence that information shared is accurate and of good quality	3
MI 6.6 Analysis	Source document
<p>The information on the MLF website is current and accessible. However, it is the opinion of the assessment team that the documents and information provided on the MLF website are not written and presented in an accessible manner. The view of the Secretariat is that the documents are written to be accessible to the Executive Committee and are accessible to bilateral and implementing agencies and NOUs.</p> <p>The MLF is not listed as a signatory of the International Aid Transparency Initiative. Given its unique and very specific role in existing to follow the instructions of the Executive Committee of the Montreal Protocol, this element is considered not applicable.</p> <p>All relevant information on budgeting, management, etc. is available from the MLF. There are no indications that it is inaccurate or that it is not in line with relevant reporting guidelines. The Montreal Protocol and Multilateral Fund do not report through the Creditor Reporting System database of the OECD Development Assistance Committee. Management information available from the MLF is weakened by a lack of focus on analysis. For example, similar reasons for delays in project implementation are reported on in the consolidated project completion report produced annually, but without any detailed analysis of the underlying causes.</p> <p>No evidence was found during the document review relating to the timeliness of the MLF's responses to partner queries on analysis, budgeting, management and results. The Secretariat stated that all comments and responses have to be dealt with upon receipt.</p> <p>Information shared by the MLF gives every indication of being accurate and of good quality. Written materials assessed during the document review were found to be presented in such a manner that was challenging for an external person to gauge.</p>	10, 31
MI 6.6 Evidence confidence	High confidence

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented	Score
Overall MI rating	
Overall MI score	
Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	N/A
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	N/A
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	N/A
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	N/A
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	N/A
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	N/A
MI 6.7 Analysis	Source document
The Multilateral Fund for the Implementation of the Montreal Protocol is a financial mechanism established under Article 10 of the Montreal Protocol, with legal personality to provide financial and technical assistance to Article 5 countries to comply with the control measures set out in the Protocol (MLF, 2019, The Multilateral Fund: Governance, Business Model, Accomplishments). The beneficiaries and target group of the Multilateral Fund's work are general and universal: Article 5 countries and humanity as a whole. As such, this MI is considered to be non-applicable in this review.	29
MI 6.7 Evidence confidence	
MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments	Score
Overall MI rating	Satisfactory
Overall MI score	3.40
Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments	4
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	2
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	4
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	4
Element 5: Surveys or other methods applied to assess partner perception of progress	3

MI 6.8 Analysis	Source document
<p>All reporting of results of Montreal Protocol funded activities is a joint enterprise between the MLF and the relevant IA. It is unclear from documentation the extent to which NOUs are involved in assessments of interventions.</p> <p>No evidence was found of MLF participation in multi-stakeholder dialogue (e.g. involving non-governmental organisations or civil society) around the normative commitments of the Montreal Protocol during the period of assessment. However, NGOs have influenced the international negotiations in the past and are engaged in lobbying activities related to the Protocol.</p> <p>Given the MLF's role in funding incremental costs of investment projects and other activities which support countries to meet their obligations under the Protocol, the contributions of the MLF and partners are quantified to an exact financial value in reporting documents.</p> <p>Consolidated progress reports summarising progress and financial information provided by bilateral and implementing agencies are produced annually and considered by the Executive Committee.</p> <p>The Secretariat sends out a survey to all NOUs annually in order to get their feedback on the agencies they work with. The responses are mostly treated as confidential.</p>	12, 23, 24
MI 6.8 Evidence confidence	High confidence
MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	3
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	N/E
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	N/E
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	N/E
Element 5: Evidence that knowledge products are perceived as high quality by partners	N/E
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	N/E
MI 6.9 Analysis	Source document
<p>The 2016 Consolidated Text of the Montreal Protocol states that parties to the Montreal Protocol shall, individually, jointly or through international bodies, "co-operate in promoting public awareness of the environmental effects of the emissions of controlled substances and other substances that deplete the ozone layer". Within two years of the entry into force of this Protocol and every two years thereafter, each Party is required to submit to the Secretariat a summary of the activities it has conducted pursuant to this Article. Opportunities for knowledge production are discussed at Executive Committee meetings; "the Executive Committee has recently decided:</p> <p>(a) to request that the Secretariat continue to make available through the Multilateral Fund website the outcome of the demonstration projects implemented to date</p> <p>(b) to further share the results of the demonstration projects through dedicated communication products such as project fact sheets (MLF, 2018, Report of the 81st Meeting of the Executive Committee).</p>	6, 12, 16, 22

<p>Regional networks and workshops are used as a tool for sharing knowledge: “The Executive Committee agreed that, given the opportunities provided through the regional networks, other regional and national training workshops, the process of country programme preparation and institutional strengthening activities, there should normally not be a need for regional workshops specifically on data collection and reporting. It further agreed that, on the understanding that there were no financial implications for the Fund in such a project, UNEP should be invited to proceed with the preparation of a manual on data collection” (MLF, 2017, Policies, Procedures, Guidelines and Criteria. 9. Project Proposals). HQ interviews described how a major role of the MLF in knowledge management is the experience it gains from reviewing all projects under the Montreal Protocol and sharing this learning with IAs and NOUs.</p> <p>An information strategy for the MLF was produced in 2003. HQ staff described how the MLF website provides a “wealth of information”, how reporting is generated after each meeting of the Executive Committee (to be shared with all parties) and how the MLF produces a colloquial report which it provides to UNEP – which then distributes it to all countries. HQ interviews suggested that the unique role of the MLF in knowledge production is supporting demonstration projects for new technologies and generating factsheets on the results. Guides produced by the Secretariat are also knowledge products.</p> <p>Within the MLF, it is principally the role of UNEP to produce knowledge products and assess their utility. UNEP has a clearinghouse function under the Montreal Protocol and occasionally produces knowledge products for technicians involved in the phase-out of ODS, as well as for other audiences. UNEP has produced many products over the years for a wide range of stakeholders.</p> <p>The document review found no evidence regarding how MLF knowledge products have been used by partners to inform action.</p> <p>The document review found no evidence regarding whether MLF knowledge products have been applied to inform advocacy at country, regional or global level.</p> <p>The document review found no evidence regarding whether knowledge products have been perceived as timely by partners.</p> <p>The document review found no evidence regarding whether knowledge products have been perceived as high quality by partners.</p>	<p>6, 12, 16, 22</p>
<p>MI 6.9 Evidence confidence</p>	<p>Medium confidence</p>

PERFORMANCE MANAGEMENT

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

<p>KPI 7: The focus on results is strong, transparent and explicitly geared towards function</p>	<p>KPI score</p>
<p>Satisfactory</p>	<p>3.32</p>
<p>The objectives of the MP are clear and arguably narrow compared to more traditional multilateral organisations. Hence the results framework is also straightforward, and there is no complex theory of change with multiple pathways. The monitoring of the MP concerns reducing and phasing out controlled substances and focuses on gathering data to this effect. Target indicators, baselines and results targets are clear. While the monitoring system generates quality and useful performance data, documentation does not sufficiently make explicit how much planning is done based on performance data or how adjustments are decided. It is difficult to assess whether the M&E system is adequately resourced because the activity budget is decided on a yearly basis, and there is no overall strategic M&E plan for the MLF besides monitoring the achievement of targets.</p>	

<p>In project documents, there is limited information about how decisions develop or how performance data of previous projects may have been used. There is also limited information about how adjustments to projects, if any, are made. Discussions with staff describe a process of monitoring performance and addressing issues in practice, but there was limited documentary evidence seen by the assessment team.</p>	
MI 7.1: Leadership ensures application of an organisation-wide RBM approach	Score
Overall MI rating	Satisfactory
Overall MI score	3.33
Element 1: Corporate commitment to a results culture is made clear in strategic planning documents	4
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	4
Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff	3
Element 4: Tools and methods for measuring and managing results are available	3
Element 5: Adequate resources are allocated to the RBM system	3
Element 6: All relevant staff are trained in RBM approaches and methods	3
MI 7.1 Analysis	Source document
<p>Every year, a draft monitoring and evaluation work programme for the following year is presented for consideration by the Executive Committee. For every meeting, the Secretariat produces a Consolidated Completion project report which synthesises the results of completed projects in various countries. The 2019 document entitled The Multilateral Fund: Governance, Business Model, Accomplishments provides a detailed list of areas to consider while monitoring programme impact. Chapter 8 of Policies, Procedures, Guidelines and Criteria (MLF, 2017) puts the emphasis on expecting IAs to expand the scope of data collection during the country programme preparation to cover the base years for respective ODS. "The Committee also agreed that Implementing Agencies should also advise Article 5 Parties to report their data to the Ozone Secretariat as required by Article 7 of the Protocol following completion of the country programmes."</p> <p>The results targets are set by the Executive Committee, and the Secretariat monitors the achievement of targets on an annual basis. However, targets are not set on a yearly basis, and each project has a specified target within a specified timespan. All this information is clearly laid out in each project document and available for all to see.</p> <p>We have not found any specific document setting out tools and methods in the traditional M&E sense. However, in the case of the MLF, the results targets are straightforward, and there exist specific methods to measure reductions in ODS consumption.</p> <p>It is difficult to assess the "adequacy" of the resources allocated to RBM. Each project reports on its results, and every now and then the Executive Committee commissions a thematic evaluation covering a number of similar projects across different countries. This evaluation starts with a desk review which determines the need to carry out field visits in a small number of countries. Each year since 2008, the monitoring and evaluation work programme includes a detailed budget for the following year. This annual work programme is submitted to the Executive Committee for approval. These budgets are very detailed and show that resources are carefully considered for each M&E activity beforehand and that the budget needs to be approved.</p>	3, 4, 15, 18, 20, 29, 30

There is also no written evidence that relevant staff have followed specific training. However, all staff met seemed highly professional and competent, thus it can be inferred that they are appropriately trained. The MLF assesses competence during the recruitment process.	3, 4, 15, 18, 20, 29, 30
MI 7.1 Evidence confidence	High confidence
MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic	Score
Overall MI rating	Satisfactory
Overall MI score	3.20
Element 1: Organisation-wide plans and strategies include results frameworks	3
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	3
Element 3: An annual report on performance is discussed with the governing bodies	4
Element 4: Corporate strategies are updated regularly	3
Element 5: The annual corporate reports show progress over time and note areas of strong performance as well as deviations between planned and actual results	3
MI 7.2 Analysis	Source document
<p>There is no results framework available in the classic sense of a hierarchy of objectives (e.g. a logical framework), nor is there regular reporting against a number of indicators linked to such a framework. The results are the targets to phase out ODS, to phase-down HFCs and, in the case of non-investments projects targets, to build capacity within countries.</p> <p>The MLF effectively operates on a single-layer results framework. The MLF policies and procedures for IAs include guidelines on indicators and targets given for IA programmes over the history of the Montreal Protocol. Business plans for the years 2018-20 of UNDP, UNEP, UNIDO and the World Bank also include indicators and targets for the current business plans.</p> <p>The MLF policies and procedures for countries set out the monitoring arrangements required in a country programme's documentation. The monitoring arrangements for each proposal are as follows:</p> <ul style="list-style-type: none"> • monitoring the annual consumption of ODS in the country and the extent to which consumption is less than Protocol limits • monitoring the effectiveness of government actions in achieving their intended results • monitoring the implementation of projects identified in the Action Plan. <p>Proposals may include:</p> <ul style="list-style-type: none"> • reporting by customs of the quantities of ODS at the point of import • arrangements with industry groups and trade associations that they should operate recording and reporting systems • direct arrangements with major suppliers and their agents to report quantities supplied and planned, actual supply of substitutes, and user sectors • direct arrangements with user sectors to report quantities used and planned, the actual use of substitutes and alternatives, and planned phase-out dates. <p>Each IA reports on project completion every year, and the NOU reports on progress made in the reduction of ODS use. Project completion reports are submitted by IAs to the Secretariat. The consolidated project completion report (CPCR) is compiled by the MLF Secretariat and is discussed</p>	5, 12, 15, 18, 25, 30, 38, 40 49, 54, 55

<p>by the Executive Committee. The CPCR includes data on targets achieved in relation to planned targets by sectors, countries, and investment and non-investment projects.</p> <p>An annual MLF report is submitted to and discussed by the Parties to the Montreal Protocol.</p> <p>The MLF works on the basis of policies and procedures rather than corporate strategies in the conventional sense. These policies and procedures are discussed and updated regularly.</p> <p>There is no annual corporate report in the classic sense, although the MLF does produce a consolidated progress report as an Executive Committee document and an annual report to the Parties of the MP. A consolidated project completion report (7.1.1) includes evidence of progress but only for projects completed, with some comments on delays when relevant.</p>	5, 12, 15, 18, 25, 30, 38, 40 49, 54, 55
MI 7.2 Evidence confidence	High confidence
MI 7.3: Results targets set based on a sound evidence base and logic	Score
Overall MI rating	Highly satisfactory
Overall MI score	3.75
Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	4
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	3
Element 3: Development of baselines are mandatory for new interventions	4
Element 4: Results targets are regularly reviewed and adjusted when needed	4
MI 7.3 Analysis	Source document
<p>The targets of the MP are straightforward given that the objective is the removal of ODS from the market and from use (or phase-down in the case of HFCs). Targets are being set for each country, and projects are reviewed regularly.</p> <p>According to the text of the Montreal Protocol, Parties are to assess the control measures provided for in Article 2 on the basis of available scientific, environmental, technical and economic information. At least one year before each assessment, the Parties convene appropriate panels of experts qualified in specific fields and determine the composition and terms of reference of the panels. Within one year of being convened, the panels report their conclusions, through the Secretariat, to the Parties.</p> <p>The relevance of expected results is reviewed regularly.</p> <p>The Secretariat works with the IAs to finalise the criteria and indicators for institutional strengthening and clearinghouse activities and to incorporate suggestions received during each meeting of the Executive Committee, for submission to the Executive Committee at the following meeting. Some indicators for non-investment projects should include more outcome-focused indicators, and those for investment projects should be set out in absolute and relative terms. The results and outcomes of capacity building projects can be difficult to assess but are not being monitored as effectively as they could be.</p> <p>Baselines have been established for all controlled substances under the Protocol, except for HFCs for which the baseline years are still in the future. Each Party has to provide to the Ozone Secretariat, within three months of becoming a Party, statistical data on its production, imports and exports of each of the controlled substances, or the best possible estimates of such data where actual data are not available.</p>	6, 18, 31, 41, 54

<p>MLF policies and procedures on M&E make it mandatory “to ensure that sufficient baseline information is available to allow for meaningful monitoring and evaluation of projects, Implementing Agencies will continue to include project implementation schedules and ODS to be phased out in their project documents. They shall also specify which equipment, if any, will be destroyed and other relevant parameters in project proposals submitted to the Executive Committee.”</p> <p>Target results are monitored through consolidated progress reports and the Country Programme Data and Prospects for Compliance. In the latter, there is a comparison of the consumption and production data under consolidated progress reports with the data reported under Article 7 of the Protocol, and potential data inconsistencies between the two data sets are identified. In cases of unexplained data inconsistency, the Executive Committee requests relevant bilateral and implementing agencies to assist the governments concerned in clarifying the cause of the inconsistency. The two independent data sets and the comparison of data reported under each provide a useful quality assurance mechanism.</p>	6, 18, 31, 41, 54
MI 7.3 Evidence confidence	High confidence
MI 7.4: Monitoring systems generate high quality and useful performance data	Score
Overall MI rating	Satisfactory
Overall MI score	3.33
Element 1: The corporate monitoring system is adequately resourced	3
Element 2: Monitoring systems generate data at output and outcome level of the results chain	3
Element 3: Reporting structures are clear	4
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	4
Element 5: A system for ensuring data quality exists	3
Element 6: Data adequately captures key corporate results	3
MI 7.4 Analysis	Source document
<p>The monitoring workplan is budgeted each year, and the expenses related to M&E are reviewed regularly. The Nineteenth Meeting of the Executive Committee appointed a consultant to design the monitoring system. The Twentieth Meeting of the Executive Committee, having taken note of the presentation of a draft report decided that the M&E function should not engender excessive cost, nor inflate a presently lean and efficient Secretariat.</p> <p>The results chain for the MLF represents a straightforward link between project investments and the phase-out/phase-down of controlled substances. Monitoring systems generate adequate data on investment projects – which comprise the major part of expenditure – but produce less data on institutional strengthening activities. The periodic reporting and independent verification for each tranche of national phase-out plans is a key element of the Fund. The plans are set up so that funding for the entire plan is approved in principle, but funding is provided over several tranches spread out over a number of years (for instance, five or six tranches over ten years). In order to receive approval for a tranche of funding (except for the initial one), a comprehensive report on progress/results needs to be provided, usually together with an independent verification report that targets have been made. According to the EXCOM members interviewed, this system has proved very effective and thorough for monitoring progress and ensures that corrective action is taken when needed.</p>	1,6,16,18,24, 36, 41, 44, 55, 56

<p>Reporting structures are clear. The Secretariat aggregates information from project completion reports. It reports to the Executive Committee on the success of the Fund in meeting Fund and project objectives, based on criteria and indicators from the business plan and key project parameters. In addition, the Secretariat reports on the performance of each agency using the same criteria while considering the special nature of an agency's portfolio. NOUs and bilateral and implementing agencies have the overall responsibility for monitoring the projects. In addition, the staff of bilateral and implementing agencies carry out regular evaluation missions and discuss the progress of implementation with relevant authorities at the country level. Furthermore, the bilateral and implementing agencies report to the Executive Committee in accordance with the reporting requirements. Two of the IAs mentioned the heavy reporting burden, and two mentioned that the MLF information technology system and databases were antiquated and needed to be upgraded. The Secretariat accepts that the website also needs updating.</p> <p>The Secretariat submitted to the Executive Committee, for approval, the terms of reference and workload for the Senior Monitoring and Evaluation Officer (SMEO). Annex XII.2 of the Policy guidelines (M&E Chapter 8) provides a detailed description of the process for commissioning, designing and reporting of evaluations. For each evaluation, it is the responsibility of the SMEO to prepare terms of reference leading to the contracting of external consultants. The guidelines also detail the responsibility of the evaluation team and the IAs.</p> <p>The desk study for the evaluation of the HCFC phase-out in the refrigeration servicing sector pointed out, "The reporting record of some of the countries points to the need for a more focused assistance concerning HCFC consumption monitoring and reporting, which is an issue that may also affect future endeavours. The analysis of reporting suggests that there may be an excess of data not necessarily useful. One solution is to streamline the regular reporting requirements and undertake specific data collecting efforts in a database that would allow online consultation. This approach would require a more advanced planning of the information needs in order to produce timely results, but it would certainly constitute the foundation of a more comprehensive and cost-effective reporting system for the future."</p> <p>The 2019 CPCR reports issues regarding data quality and lists a number of recommendations to overcome some shortcomings of the system. Concerns relating to the availability and quality of data have been the most recurring lessons from surveys on ODS alternatives. This is due to a wide array of reasons, mainly to the flawed methods and non-mandatory collection, recording and archiving of data.</p> <p>The key corporate results relate to substances phased out or down and to institutional strengthening objectives. Data is more adequate for the former than the latter.</p>	<p>1,6,16,18,24, 36, 41, 44, 55, 56</p>
MI 7.4 Evidence confidence	High confidence
MI 7.5: Performance data transparently applied in planning and decision-making	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
Element 1: Planning documents are clearly based on performance data	2
Element 2: Proposed adjustments to interventions are clearly informed by performance data	3
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	4
Element 4: Performance data support dialogue in partnerships at global, regional and country level	3

MI 7.5 Analysis	Source document
<p>The wording of this MI is more appropriate to the design and planning of “traditional” interventions. The objective of the MP is to phase out ODS (or phase down HFCs) and, as such, project documents are not based on performance related to a number of indicators but on the need to comply with the MP and to eradicate ODS from the country. Surveys on ODS alternatives assist to better understand historical and predicted consumption trends for ODS alternatives in countries, including medium, low and high global warming potential alternatives, and their distribution by sector and subsector. The surveys provide the countries with a comprehensive overview of their national markets where ODS alternatives have been and will be phased in, while taking into consideration other existing technologies. It is expected that both consumption and production data will be collected, where available.</p> <p>Thus, though projects are based on specifically identified targets of ODS to eradicate or on numbers of NOU staff to train, there is no performance data collected or analysed as such. There is no documentary evidence that adjustments to projects are informed by performance (achieving targets), although the Secretariat stated that, for example, under-performance on training targets in tranche implementation reports are followed up. Through the project completion reports and the CPR, the Secretariat identifies delays in reaching targets and expects explanation for the delays. However, though at times fund disbursement is stopped because of limited progress towards targets, ultimately countries have to comply with the MP, and thus projects are not adjusted. There is no documentary evidence revealing whether, for example, a different approach was considered to speed up a project’s completion in a particular country. The Secretariat stated that this had happened in a number of cases: in multi-year agreements, funding tranches have been combined to catch up on progress due to delays; a stage could be shortened or a sector could be removed from a stage due to technologies not being available, thus allowing remaining activities to be included in the next stage. In several cases, enterprises to be converted, that were removed from a sector plan, were replaced by other enterprises allowing for additional phase-out of controlled substances without delaying the implementation.</p> <p>The Executive Committee regularly reviews project progress and consolidated completion reports, as well as data on compliance. The Twenty-ninth Meeting of the Executive Committee decided to “request the Senior Monitoring and Evaluation Officer to organise a workshop, bringing together the Implementing Agencies and the Secretariat, to discuss and finalise elements to be included in a revised project completion report format, including the issue of improving the quality of information contained therein”.</p> <p>The performance of IAs is evaluated and reported annually both qualitatively and quantitatively, but it is difficult to see from documentary evidence what actions may be taken or are taken as a result of this. The Secretariat states that dialogues take place between NOUs and IAs when ratings are less than satisfactory. Interviews suggest that progress on projects and compliance more generally is regularly discussed between the Secretariat and IAs, between IAs, and with countries, and that these discussions inform programming.</p>	<p>7, 18, 42</p>
MI 7.5 Evidence confidence	Medium confidence

KPI 8: The organisation applies evidence-based planning and programming	KPI score
Satisfactory	2.66
<p>There is a separate M&E function which has a separate budget line. However, this budget is renegotiated on an annual basis, which limits the capacity of the SMEO to plan for the long term or to react swiftly if there is a need to explore an unexpected emerging issue. The SMEO does not have total independence since the EXCOM decides on terms of reference for M&E activities. Terms of reference for evaluations are specified in the MP handbook and follow a standard format. This leaves limited space for innovation or independence.</p> <p>Evaluation reports consulted include limited information on methodology for data collection. They confuse results with findings and do not include recommendations linked to findings. Lessons, when included, are rarely linked to findings. Although every year since 2008 the EXCOM has recommended that lessons learned be taken into account in planning, there is no documentary evidence that lessons are taken into account. The recurring delays in project completion that are regularly pointed out suggest that limited lessons are learned in this respect. On the other hand, interviews with Secretariat and IA staff suggest that lesson learning is implicit in the programme planning and review process.</p> <p>There is no documentary evidence of a management response in evaluation reports, although the Executive Committee comments on reports during its meetings.</p>	
MI 8.1: A corporate independent evaluation function exists	Score
Overall MI rating	Satisfactory
Overall MI score	3.00
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (operational independence)	3
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (Structural independence)	2
Element 3: The evaluation office has full discretion in deciding the evaluation programme	2
Element 4: A separate budget line (approved by the Governing Body) ensures budgetary independence	3
Element 5: The central evaluation programme is fully funded by core funds	4
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	4
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (Behavioural independence)	N/E
MI 8.1 Analysis	Source document
<p>The SMEO within the Fund Secretariat has some, but not complete, independence. The SMEO implements the evaluation programme as approved by the EXCOM which might modify his/her proposed annual evaluation programme. The evaluation programme is selected after discussions with the Secretariat, IAs and the Executive Committee to ensure that it addresses topics of interest in programme implementation. Although reporting directly to the EXCOM as per decision 22/19 (h) (but not to the Meeting of the Parties), in practice the Chief Officer may exercise some oversight and influence over the implementation of the plan, as the SMEO reports administratively to him/her. A Secretariat member sometimes takes part in evaluation missions. The SMEO does not have the freedom to commission any evaluation without approval by the EXCOM in the annual evaluation work programme.</p>	3, 5, 9, 18, 30, 54

A budget for M&E is approved as part of the M&E work programme document but is not separately identified in the budget of the Fund Secretariat. The central evaluation programme is fully funded by core funds as part of the work of the Fund Secretariat. Evaluations are submitted to the Executive Committee for consideration.	3, 5, 9, 18, 30, 54
MI 8.1 Evidence confidence	High confidence
MI 8.2: Consistent, independent evaluation of results (coverage)	Score
Overall MI rating	Satisfactory
Overall MI score	3.40
Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	3
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	3
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities	4
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	4
MI 8.2 Analysis	Source document
<p>There is no evaluation policy as such, but rather detailed guidelines which have evolved over time. The Executive Committee started to address evaluation in 1995 at which time it approved the preparation of evaluation guidelines.</p> <p>Annex XI.2 (p. 43 and p. 63) of the Policies, Procedures, Guidelines and Criteria includes an M&E chapter which provides all the procedures for evaluation, including different types of evaluations, differentiating between investment and non-investment projects. The Annex also includes online information on decision-making and operationalisation. The draft M&E work programme for each year (including a detailed budget) is validated by the EXCOM on an annual basis.</p> <p>The choice of evaluations follows a logic linked to the different projects and to the assessment of targets. Evaluations usually focus on the eradication of substances (results) rather than on outcomes.</p> <p>A review of a number of evaluations shows a similar pattern: the SMEO submits to the EXCOM a proposal for evaluation which usually includes, first, terms of reference and, second, a desk study on a specific theme. Country case studies are then used to validate (or not) desk study findings. The findings of the desk study point towards a set of evaluation questions needing field visits (in a sample of countries).</p> <p>The SMEO introduces the draft M&E work programme. The Executive Committee decides which of them should be included in the work programme and then approves the budget and notes the terms of reference for the evaluation to go ahead.</p> <p>The Executive Committee's decision to approve an evaluation is linked to the Executive Committee priorities. For example, in Decision XIX/6 of the Nineteenth Meeting of the Parties to the Montreal Protocol, the Executive Committee gave priority to the phase-out of HCFCs in the foam sector. Thus, the 2014-15 evaluation programme involved the evaluation of foam sector projects. The.</p>	2, 3, 5, 18, 24, 30, 35, 43

<p>evaluation took place in two stages, namely (a) a desk study and (b) a series of field studies in a sample of countries. In combination with the desk study, the findings of this report based on country case studies helped formulate lessons learned and recommendations for consideration by the Executive Committee at its 74th meeting in 2015.</p> <p>Evaluations cover a wide range of countries. The desk study on the evaluation of HCFC phase-out projects in the refrigeration and air-conditioning manufacturing sector covered 19 countries. The final report for the evaluation of the chiller projects with co-funding modalities covered 8 countries.</p>	2, 3, 5, 18, 24, 30, 35, 43
MI 8.2 Evidence confidence	High confidence
MI 8.3: Systems are applied to ensure the quality of evaluations	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.40
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	3
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	2
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	2
Element 4: The methodology presented includes the methodological limitations and concerns	2
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	3
MI 8.3 Analysis	Source document
<p>The evaluation process is harmonised through the evaluation guidelines. All evaluations follow the same process.</p> <p>The Executive Committee stresses the importance of good technical reviews and requests IAs to follow Executive Committee guidance and use the format for reviews adopted by the Executive Committee. Information on design planning and methodology are consistently presented in the evaluation reports in one paragraph as per guidelines in the terms of reference.</p> <p>However, it is fair to say that evaluation reports provide limited details on the methodology used for data collection or analysis.</p> <p>Evaluation reports consulted did not provide any details on how data was analysed. It is therefore difficult to comment on the appropriateness of methodologies since there is no reflection on limitations and the same methodology paragraphs are consistently applied across all evaluations reviewed.</p> <p>Additionally, evaluation reports focus on presenting findings rather than on providing analysis and explanations for these findings. This is due to the fact that evaluations are designed to check that results are achieved, not to ask analytical evaluative questions. Although there is a recommendations section in the reports, these are usually not clearly linked to findings. Recommendations are worded more as requests to the EXCOM to “take note” of the findings or to “invite the bilateral and implementing agencies to apply, when appropriate, the findings and recommendations of the evaluation”. Every evaluation report, however, has specific recommendations related to the projects evaluated. Reports are reviewed by the SMEO, and findings are discussed with the relevant stakeholders.</p>	1, 2, 3, 4, 16, 18, 35, 39, 41, 44, 46, 47
MI 8.3 Evidence confidence	High confidence

MI 8.4: Mandatory demonstration of the evidence base to design new interventions	Score
Overall MI rating	Unsatisfactory
Overall MI score	2.00
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	2
Element 2: Clear feedback loops exist to feed lessons into new interventions design	3
Element 3: There is evidence that lessons from past interventions have informed new interventions	2
Element 4: Incentives exist to apply lessons learnt to new interventions	2
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	1
MI 8.4 Analysis	Source document
The MLF has set up a database for collecting lessons learned, but it is difficult to navigate. The database is unable to triangulate different keywords, such as types of lessons or geographies. As already mentioned, reports also contain a limited number of lessons. Since 2008, there has been an annual recommendation that new projects should take into account lessons from previous evaluations, but the assessment team found no documentary evidence in project proposals that this has happened. Similarly, there is no written evidence of any incentives to apply lessons. The Secretariat provided a number of examples of lesson learning: the policy paper on end-user incentive schemes led to a new policy being established, and an analysis of low global warming potential demonstration projects led to a new window for demonstration projects. Regional network meetings also provide evidence of the way lessons from past interventions have informed new interventions.	18, 27, 34
MI 8.4 Evidence confidence	Medium confidence
MI 8.5: Poorly performing interventions proactively identified, tracked and addressed	Score
Overall MI rating	Highly satisfactory
Overall MI score	3.75
Element 1: A system exists to identify poorly performing interventions	4
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	4
Element 3: A process for addressing the poor performance exists, with evidence of its use	3
Element 4: The process clearly delineates the responsibility to take action	4
MI 8.5 Analysis	Source document
Each IA produces an annual progress report which highlights poorly performing interventions. Performance is also discussed at an annual meeting between the Secretariat and the IA. However, it is not clear what happens in cases of poor performance. According to the MLF, when problems are identified through the annual progress report, tranche report or verification report, the Secretariat usually notifies the EXCOM and proposes a recommendation to address it. An update on the project needs to be provided at the following meeting, and the monitoring should continue until the problem or performance issue is resolved. Projects can be cancelled, but this rarely happens. When it does, the MLF has a clear procedure for project cancellation.	3, 5, 16, 20, 34, 38, 39, 40, 43, 49, 55
MI 8.5 Evidence confidence	High confidence

MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations	Score
Overall MI rating	Highly unsatisfactory
Overall MI score	1.25
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	2
Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities	0
Element 3: A timeline for implementation of key recommendations is proposed	N/A
Element 4: A system exists to regularly track status of implementation	3
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	0
MI 8.6 Analysis	Source document
<p>Evaluation reports reviewed did not include a management response. However, comments are requested from all the stakeholders, and Executive Committee comments are included in the Executive Committee report. As mentioned under MI 8.3, evaluation reports do not include recommendations explicitly linked to findings. Evaluation reports consulted mostly address compliance with procedures or phasing-out processes – rather than, for example, including an analysis of the reasons for non-compliance –, so it is not surprising that there are no management responses. Given the absence of recommendations and management response, no timeline for the implementation of a recommendation exists, nor is there an annual report on the use and implementation of evaluation recommendations. The Secretariat commented that evaluations address what the Executive Committee considers useful or necessary and that evaluation reports have contributed to improvements in project design and implementation.</p> <p>The annual completion report together with the consolidated completion reports regularly track the status of implementation. Each IA's progress is assessed annually against its business plan. The annual progress reports together with the consolidated completion reports regularly track the status of implementation, and these are available on the MLF website. Thus, although not widely advertised, this information is publicly available.</p>	5, 20, 34, 38, 41, 43, 49, 54
MI 8.6 Evidence confidence	High confidence
MI 8.7: Uptake of lessons learned and best practices from evaluations and other reports	Score
Overall MI rating	Satisfactory
Overall MI score	2.80
Element 1: A complete and current repository of evaluations and their recommendations is available for use	4
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	3
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	3
Element 4: A system is available and used to track the uptake of lessons learned	2
Element 5: Evidence is available that lessons learned and good practices are being applied	2
Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations	N/E

MI 8.7 Analysis	Source document
<p>All final evaluation reports are submitted to the EXCOM and are publicly available on the website. A minority of reports are in a restricted access section. Although there is a repository for lessons learned, this database is not very user friendly, and there is no documentary evidence that lessons are being discussed. One major issue is that evaluation reports consulted did not include any real lessons. Though the reports have a “lessons learned” section, in many reports what is indicated as a lesson learned is either a result (i.e. whether the target has been achieved) or a lesson not substantiated with findings or other evidence.</p> <p>Although findings are discussed annually with the IA, there is no system in use to track how lessons are being used or even evidence that lessons are analysed systematically. According to the Secretariat, lessons are used in the project review process on a case-by-case basis.</p>	
MI 8.7 Evidence confidence	High confidence

RESULTS

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

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals	KPI score
Highly satisfactory	3.67
<p>The objectives of the MLF are very different from those of most multilateral organisations. The standard MOPAN results assessment framework is therefore difficult to apply. The MLF assists developing countries to comply with the terms of the Montreal Protocol, the aim of which is to address the depletion of the ozone layer. While ozone depletion has large potential health and environmental impacts, the MLF itself does not address humanitarian or development results, and thus some of the MIs (such as human rights) were considered to be not applicable. There was some debate as to whether gender should be considered as applicable or not. Gender as a concept is taken into account by IAs, although in projects and evaluations reports there is no evidence that gender was ever considered beyond counting the number of women who may have taken part in training. To be fair, the extent to which a gender dimension is directly relevant within the context of most MLF activities can be questioned. The achievement of MLF targets does not have an impact on the relationships between men and women. The contribution to the repair to the ozone layer, and to the reduction in the use of high global warming potential chemicals, is beyond doubt. Interventions funded by the MLF have realised substantial global health and environmental benefits.</p>	
MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attained expected results	Score
MI rating	Highly satisfactory
MI score	4.00
MI 9.1 Analysis	Source document
<p>The MLF does not have development or humanitarian objectives per se, although the repair of the ozone layer does provide significant global health and environmental benefits, and the MP makes important contributions to several SDGs. The direct achievements of the MP have to be measured in terms of targets reached in the areas of stopping the use and production of ODS (and, in due course, the phase-down of HFCs); thus, MOPAN looked at this indicator through this lens. In this, the MLF and the MP have been very successful.</p> <p>Implementation of projects and activities by bilateral and implementing agencies for 2017 and cumulative from 1991 to 31 December 2017 is summarised as follows:</p>	1, 20, 29, 53

<p>“(a) Phase-out: In 2017, 1,455.1 ODP tonnes of consumption were phased out and an additional 261.6 ODP tonnes of consumption were approved for phase-out. Since 1991, 286,176 ODP tonnes of consumption and 204,189 ODP tonnes of production had been phased out of an expected total of 465,791 ODP tonnes from projects approved (excluding cancelled and transferred projects);</p> <p>(b) Disbursements/approvals: In 2017, US \$115.82 million was disbursed and US \$110.51 million was planned for disbursement based on the 2016 progress report representing a rate of disbursement of 105 per cent of that planned. Cumulatively, US \$2.91 billion had been disbursed out of the total US \$3.16 billion approved for disbursement (excluding agency support costs). This represents a rate of disbursement of 92 per cent. In 2017, US \$68.37 million was approved for implementation;</p> <p>Number of projects completed: In 2017, 396 projects were completed. Since 1991, 7,197 projects of the 7,930 projects (excluding closed or transferred projects) financed by the Multilateral Fund were completed. This represents a completion rate of 91 per cent.”</p> <p>However, a study on Resource Mobilisation for HCFC Phase-out and Climate Mitigation Co-benefits by the World Bank reported some limitations. This study sought “to identify potential investment opportunities and sources of co-financing to meet the additional costs of energy efficiency and climate mitigation benefits associated with HCFC phase-out projects supported by the Multilateral Fund of the Montreal Protocol. As it stands, the Multilateral Fund only supports eligible incremental costs related to ozone depleting substances and does not fund the additional costs of additional energy efficiency related improvements. Currently, therefore, the Multilateral Fund does not directly incentivise the uptake of the most energy efficient technology, leading to missed opportunities to enhance support to ozone depleting substances phase-out projects which would have maximised associated climate mitigation outcomes, and risking technology lock-in.”</p>	<p>1, 20, 29, 53</p>
MI 9.1 Evidence confidence	High confidence
MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members	Score
MI rating	Highly satisfactory
MI score	4.00
MI 9.2 Analysis	Source document
<p>The MP does not have people as a direct target group. The direct targets are companies that need support to transition to the use of new technologies and staff of NOUs who need training to control the implementation of the MP. Given that most targets seem to have been reached and NOU officers trained, it can be concluded that interventions have been successful for these target groups.</p> <p>As the MP is a global international agreement, the ultimate target group of the MP and the MLF is the global population. Given the success of the MP in repairing the ozone layer and reducing the use of high global warming potential chemicals, interventions funded by the MLF have realised the expected global health and environmental benefits.</p>	<p>1</p>
MI 9.2 Evidence confidence	High confidence

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms	Score
MI rating	Highly satisfactory
MI score	4.00
MI 9.3 Analysis	Source document
<p>Numerous reports show that legislation and policy have changed and adapted in all the countries supported by the MLF. The MP provided the impetus and resource for institutional changes at the national level. For example, during the second tranche implementation, the Government of Armenia updated and amended HCFC legislation to include quotas for HCFC imports from 2013 based on the Montreal Protocol Control Schedule and a ban on the import of HCFC-based equipment as of January 2015. The government also developed a guide on ODS imports and exports. Another example is the energy conservation policy adopted by the Government of Thailand which included funding mechanisms. It encompassed the early replacement of energy non-efficient CFC chillers nationwide by providing low-interest credits.</p> <p>The ICF evaluation of the MP in 2012 mentions a number of positive outcomes such as these:</p> <ul style="list-style-type: none"> • “Support for developing ODS legislation, establishing licensing and quota systems, and preventing illegal trade are seen as some of the most effective contributions of the Compliance Assistance Programme (CAP) managed by UNEP [... The] CAP has facilitated information exchange and co-operation among NOUs through regional network meetings, workshops and South-South co-operation activities. • Many stakeholders regard institutional strengthening (IS) activities as the most effective of the non-investment project types and a fundamental component contributing to the overall success of the Montreal Protocol.” <p>The MLF’s country-driven approach promotes capacity building and ownership and has been successful at transforming industry and producing sustainable results. IS funding and capacity building efforts to help Article 5 countries achieve and maintain compliance are a particular strength of the mechanism, and these efforts will continue to be important with HCFC phase-down.</p> <p>Governance has been improved in terms of developing legislation and maintaining compliance:</p> <p>“Support for developing ODS legislation, establishing licensing and quota systems, and preventing illegal trade are seen as some of the most effective contributions of the [CAP (...)]. The] CAP has facilitated information exchange and co-operation among NOUs through regional network meetings, workshops and South-South co-operation activities.</p> <p>“Many stakeholders regard institutional strengthening (IS) activities as the most effective of the non-investment project types and a fundamental component of the Montreal Protocol. While CAP assistance is considered particularly important for LVC countries, as well as for countries that ratified the Montreal Protocol only recently, even high-volume-consuming Article 5 Parties report successful contributions from the CAP related to negotiations for amendment signatures and customs training programmes.</p> <p>In order to improve the monitoring and control of trade in ODS and other controlled substances, it was also necessary to create new customs codes relating to substances controlled under the Montreal Protocol in the Harmonised Commodity Description and Coding System (HS) codes.</p>	1, 2, 33, 36, 37, 43, 47
MI 9.3 Evidence confidence	High confidence

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women	Score
MI rating	Unsatisfactory
MI score	2.00
MI 9.4 Analysis	Source document
<p>At the time of this assessment, the MLF had no gender policy but relied on IAs having gender policies in place. The MLF has operated under the assumption that IAs would implement their gender policies. There is, however, no documentary evidence showing that the MLF or the SMEO have specifically considered gender in their performance assessments or evaluations. Gender has only been mentioned in the context of capacity building projects where the number of women trained has been reported. However, the Secretariat has become increasingly aware of the need to develop its own gender policy. The SMEO commissioned a desk review on gender in 2018 as part of the evaluation programme, and the EXCOM approved a gender policy in December 2019.</p> <p>In fairness, it could be argued that gender is less directly relevant to the MLF than in other more traditional or humanitarian interventions. For example, while men and women are unequally represented in the refrigerant sector, both benefit from the repair of the ozone layer and the reduction in the use of chemicals with high global warming potential.</p>	
MI 9.4 Evidence confidence	High confidence
MI 9.5: Interventions assessed as having helped improve environmental sustainability/ helped tackle the effects of climate change	Score
MI rating	Highly satisfactory
MI score	4.00
MI 9.5 Analysis	Source document
<p>The MLF was set up by Parties to the MP is to assist developing countries to comply with the phase-out of ODS. The Kigali Amendment in 2016 added HFCs, non-ODS greenhouse gases, to the list of substances controlled under the Protocol. Evidence for the positive impacts of the MP on both the ozone layer and global temperatures is widely available. Until the recent findings related to CFC-11, it had been recognised internationally as an unqualified success.</p> <p>There are numerous environmental benefits, health benefits and co-benefits associated with activities funded by the MLF to phase out ODS:</p> <ul style="list-style-type: none"> • MLF activities have led to substantial climate benefits given the high global warming potential of many ODS. The overall reduction in consumption and production of greenhouse gases from 1993 to 2011, relative to the consumption and production baseline, is estimated at 1 387 million metric tonnes of carbon dioxide equivalent (MMTCO₂eq) and 943 MMTCO₂eq, respectively. • Using conservative assumptions about emissions in each end-use and calculating reductions over a 15-year period, it is estimated that overall GHG emission reductions are 6 700 MMTCO₂eq. <p>The phase-out of CFCs contributed significantly to reducing global warming, although this positive impact was somewhat mitigated by the fact that some replacements were HCFCs and HFCs, which tend to have significantly lower but still substantial global warming potentials than CFCs.</p> <p>Environmental benefits from ozone layer protection include:</p> <ul style="list-style-type: none"> • reduced impacts on terrestrial ecosystems, crops and forests, including changes to plant composition, detrimental effects on some crops and plants, and resulting negative impacts on ecosystem processes 	1, 60

<ul style="list-style-type: none"> • reduced impacts on aquatic life, including detrimental effects on phytoplankton, fish eggs and larvae, and zooplankton • reduced impacts on broader environmental processes and cycles, such as the biological productivity of oceans. <p>Below are other environmental benefits from MLF-funded activities:</p> <ul style="list-style-type: none"> • substantial climate benefits given the high global warming potential of many ODS • greater use of integrated pest management and environmentally sensitive forms of agricultural pest control • in the case of some NOUs, realised synergies between ozone and other environmental issues that improve overall environmental protection efforts • strengthened waste management initiatives and greater consideration given to the life cycle of products. <p>“In an estimate by the US Environmental Protection Agency (EPA), the ozone layer would have collapsed by 2050 without the Montreal Protocol. Accordingly, the UV [ultraviolet] index measure would have increased dramatically. This could have led to an additional 280 million estimated cases of skin cancer, 1.5 million skin cancer deaths and 45 million cataracts in the United States alone.” This is related to the MP and to non-A5 countries which had the most emissions, while the MLF only funded the phase-out in Article 5 countries.</p>	<p>1, 60</p>
MI 9.5 Evidence confidence	High confidence
MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1c)	Score
MI rating	Highly satisfactory
MI score	4.00
MI 9.6 Analysis	Source document
<p>As stated in MI 9.3, governance has been improved in terms of developing legislation and maintaining compliance. “Support for developing ODS legislation, establishing licensing and quota systems, and preventing illegal trade are seen as some of the most effective contributions of the [CAP (...)]. The CAP has facilitated information exchange and co-operation among NOUs through regional network meetings, workshops and South-South co-operation activities.”</p> <p>“Many stakeholders regard IS activities as the most effective of the non-investment project types and a fundamental component of the Montreal Protocol.” While CAP assistance is considered particularly important for LVC countries, as well as for countries that ratified the Montreal Protocol only recently, even high-volume-consuming Article 5 Parties report successful contributions from the CAP related to negotiations for amendment signatures and customs training programmes.</p>	<p>1, 2, 33, 36, 37, 43, 47</p>
MI 9.6 Evidence confidence	High confidence
MI 9.7: Interventions assessed as having helped improve human rights	Score
MI rating	
MI score	
MI 9.7 Analysis	Source document
N/A	
MI 9.7 Evidence confidence	

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate	KPI score
Highly satisfactory	4.00
Overall, the MP is achieving its intended results and has responded to the needs and priorities of the Parties. It involves the targeted stakeholder groups. The MP has influenced policy change and legal adjustments in Article 5 countries, and targets have been reached.	
MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups	Score
MI rating	Highly satisfactory
MI score	4.00
MI 10.1 Analysis	Source document
The target groups of the MP have been enterprises producing or importing ODS. After the discovery of the ozone hole over the Antarctic in 1985, the scientific and NGO community at large actively supported banning CFCs to protect the ozone layer. Contrarily, chemical producers, drawing on their previous experience with battling national ozone regulations, realised their economic interest in creating a global ozone regulation. They began to see economic benefit in a global even playing field for all CFCs producers. At the same time, the development of affordable CFC substitutes globally created an incentive for chemical producers to develop a CFC alternative first. During the final stage of negotiations of the Montreal Protocol, industry had shifted from its previous position towards being supportive of regulations on a global scale.	60
MI 10.1 Evidence confidence	High confidence
MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives	Score
MI rating	Highly satisfactory
MI score	4.00
MI 10.2 Analysis	Source document
The objective of the signatory countries was to phase out ODS. This has been achieved or is being finalised in all countries. There is an overall consensus that the MP has delivered its goals and objectives (even though these are not development objectives per se) ODS and CFCs reached a 98% phase-out by 2010 while the remaining 2% are HCFCs. HCFCs are alternatives to CFCs and became popular substitutes in consumer products which previously relied on CFCs. HCFCs, although still broken down in the atmosphere like CFCs, are a much smaller risk to the ozone layer but are still potent greenhouse gases. The worldwide production of ODS has plummeted from some 1.2 million tonnes in 1986 to 80 000 tonnes in 2006 to being nearly eliminated in 2016 at 23 000 tonnes. Global ODS consumption has seen a similar trend dropping from 1.3 million tonnes in 1986 to 86 000 tonnes in 2006 and 22 000 tonnes in 2016. Note that these reductions and quantities are in ODP-adjusted tonnes.	60, 61
A 2018 joint assessment by the World Meteorological Organisation, UNEP, the European Commission, the National Oceanic and Atmospheric Administration and the United States National Aeronautics and Space Administration concluded that “actions taken under the Montreal Protocol have led to decreases in the atmospheric abundance of controlled ozone-depleting substances (ODS) and the start of the recovery of stratospheric ozone”. This means that the Montreal Protocol can largely be credited with the ongoing recovery of the Antarctic ozone hole while avoiding much	

more severe ozone depletion in the polar regions. Further, the Montreal Protocol has fostered an increase in the upper stratospheric ozone of 1-3% per decade since 2000.	
A recent analysis for UNDP also identifies how the MP addresses the SDGs. The study confirms the contribution of the MP towards climate change mitigation, waste management, numerous positive health benefits and strengthening of food security.	60, 61
MI 10.2 Evidence confidence	High confidence
MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem	Score
MI rating	Highly satisfactory
MI score	4.00
MI 10.3 Analysis	Source document
The MP represents a coherent global response to the threat to the ozone layer and a political commitment by many nation states brought together under the auspices of UNEP. In terms of political commitment on the international stage, individual countries as well as groups of countries drove the development of the Montreal Protocol by drafting strategic proposals throughout the negotiation process. In general, many countries were increasingly willing to commit to addressing the serious environmental impact of CFCs and public health concerns that the ultraviolet light was posing to their populations.	60
MI 10.3 Evidence confidence	High confidence
KPI 11: Results are delivered efficiently	KPI score
Satisfactory	3.50
On average, this KPI is rated as satisfactory. Documentary and interview evidence from both the Secretariat and the IAs suggest that the MLF is a highly cost-efficient operation. Incremental cost allocations and expenditures are very tightly scrutinised by the Secretariat.	
Evidence points to implementation that takes longer than planned but that is still within the overall compliance timetable as set out in the MP and subsequent amendments. Judged against this timetable, results in terms of compliance have been achieved on time and are on schedule.	
MI 11.1: Interventions assessed as resource/cost-efficient	Score
MI rating	Highly satisfactory
MI score	4.00
MI 11.1 Analysis	Source document
Documentary and interview evidence suggests that the MLF is a highly cost-efficient operation. Incremental cost allocations and expenditures are very tightly scrutinised by the Secretariat. Executive Committee documents report that, on average, the actual cost-effectiveness of MLF projects has been very close to planned cost-effectiveness at the time of Executive Committee approval. In terms of project costs, MLF projects have in total used slightly less funding than initially planned for, since some funds have been returned to the Fund as a result of savings realised during project implementation or of cancelled projects. ODS consumption projects have been about 3% more cost-effective than planned, while ODS production projects have been about 9% more cost-effective than planned.	1, 20, 33

<p>Cost guidelines are the subject of intensive discussion in the Executive Committee. A recent example is the development of cost guidelines for the phase-down of HFCs in Article 5 countries. The administrative cost regime has also been recently reviewed by the Executive Committee, as have cost-effective options for controlling trifluoromethane by-product emissions. The costs and cost-effectiveness of programme proposals are closely scrutinised by the Secretariat, and all programme expenditure is tightly monitored by the Secretariat. The appropriate level of incentives for the adoption of new technologies is considered in evaluations. Comparisons of cost-effectiveness (USD per kilogramme of chemical removed or destroyed) are included in relevant documents, such as the synthesis report on the pilot ODS disposal projects and the evaluation of the performance of IAs.</p> <p>Interviews with both Secretariat and IA staff point to an organisation where costs and cost-effectiveness are tightly controlled and monitored. Even very small savings have to be returned to the Fund.</p>	1, 20, 33
MI 11.1 Evidence confidence	High confidence
MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)	Score
MI rating	Satisfactory
MI score	3.00
MI 11.2 Analysis	Source document
<p>Delays are reported regularly. Most are due to delays in signing Memoranda of Understanding with countries and various ministerial departments. A regular report on tranche submission delays, including the major reasons for the delays and the impact on compliance, is considered by the EXCOM. Projects funded under the MLF have generally taken longer to complete than initially anticipated. On average, projects have a planned implementation time of 24 months but take 31 months to reach completion (relative to the date that funding was approved).</p> <p>Planned versus achieved implementation time vary across time and projects categorised by agency, project type and sector. On the other hand, judged against the overall timetable of the Montreal Protocol Control Schedule, results in terms of compliance have been achieved on time.</p>	1, 20, 24, 43
MI 11.2 Evidence confidence	High confidence
KPI 12: Results are sustainable	KPI score
Satisfactory	3.33
<p>At one level, the results of the MLF can be considered as inherently sustainable. Once a substance has been phased out and its use made illegal, it is unlikely, given efforts to control illegal production and use, that it will come back on the market and be used on a large scale. Despite the recent controversy around illegal emissions of CFC-11 detected in China, there is no reason to question the sustainability of most of the MLF results. In addition to supportive policy and legal changes, there has also been investment in capacity development and human resources in the cooling sector. While it is difficult to predict whether NOUs will be funded by all Article 5 countries in perpetuity (rather than by the MP), it is likely that some countries will integrate the NOU within their national budget. Even where this does not happen, the development of an accreditation scheme for technical experts should ensure that the capacity within the sector remains.</p>	

MI 12.1: Benefits assessed as continuing or likely to continue after project programme completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term developmental results	Score
MI rating	Satisfactory
MI score	3.00
MI 12.1 Analysis	Source document
<p>It is important to note that a desk study on the sustainability of the MP has been planned and terms of reference discussed at the 83rd meeting of the EXCOM.</p> <p>Given the fact that ODS have been removed and replaced and that legislation is in place in countries to ban certain substances, it can be argued that benefits will be sustainable. The focus on capacity building and institutional strengthening would suggest a strong likelihood that efforts to comply with the MP will be sustained in most countries.</p> <p>An ICF evaluation in 2012 of the financial mechanism of the MLF concluded that private entity and government sustainability and commitment are critical drivers in the success of GEF investments in the ODS focal area, as they also are in the MLF. Strong private sector involvement, including through providing co-financing, contributed to the rapid and enduring phase-out of ODS:</p> <ul style="list-style-type: none"> • “In CEITs [countries with economies in transition], the NOUs ceased to function after GEF support ended, which may prevent measures being put in place to address the remaining threats to the ozone layer, including the phase-out of HCFCs and destruction of unwanted ODS stockpiles. • GEF operations have been less cost-effective than those of the MLF, in part because GEF projects did not always adhere to incremental financing procedures” (IFC, 2012). <p>The MLF’s country-driven approach promotes capacity building and ownership and has been successful at transforming industry and producing sustainable results. IS funding and capacity building efforts to help Article 5 countries achieve and maintain compliance are a particular strength of the mechanism, and these efforts will continue to be important with HFC phase-down. Furthermore, the ability to confirm results through reported Article 7 data has proved to be an important contributor to demonstrating the success of the Fund, ensuring compliance and effectively measuring progress.</p> <p>At the 83rd meeting, the issue of CFC-11 was discussed and generated a number of questions regarding the sustainability of achievements to date and the adequacy of verification and monitoring procedures. “During the review process of tranche funding requests submitted to the 83rd meeting, the Secretariat raised specific questions related to the sustainability of the phase-out achieved, including whether a ban on the import of controlled substances that have already been phased out and equipment containing those substances is in place; whether the current licensing and quota system still includes the monitoring of such substances; whether there have been cases of illegal imports of those substances; whether the national ozone officers (NOOs) are aware of stocks of such substances in their country; and whether the NOOs were aware of any use of those substances in the market, noting that such use would not necessarily constitute consumption.”</p>	1, 54, 55
MI 12.1 Evidence confidence	High confidence

MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government	Score
MI rating	Satisfactory
MI score	3.00
MI 12.2 Analysis	Source document
<p>Countries have established NOUs which are part of the government structure.</p> <p>In a recent evaluation, the NOUs confirmed that post-conversion monitoring is now in place, as well as a quota system. This will have an implicit impact on sustainability. It was noted that in Ecuador the industry complained about the complexity of the administrative procedures, which hindered the efficient control and co-ordination in the foam sector.</p> <p>An example from South Africa also indicates that institutional arrangements are in place to maintain the sustainability of results. Regarding the enforcement of the ban on imports of HCFC141b pure and contained in pre-blended polyols, UNIDO indicated that rigid control is maintained on the issuance of permits within the quotas, including information submitted by importers signed by their chief executive officers to ensure good governance and accountability. Random visits to importers to assess compliance with ODS regulations are undertaken by environmental inspectors. Converted enterprises are also monitored and visited after conversion. To date, no irregularities have been identified.</p>	36, 55
MI 12.2 Evidence confidence	Medium confidence
MI 12.3: Interventions assessed as having strengthened the enabling environment for development	Score
MI rating	Highly satisfactory
MI score	4.00
MI 12.3 Analysis	Source document
<p>Legal changes and capacity building have been assessed as having strengthened the enabling environment. Technology development has also increased energy efficiency, which encourages market adoption.</p> <p>Other factors contributing to a strengthened enabling environment as mentioned in different sources are:</p> <p>(a) the inclusion of the subject of good practices in the curricula of technical training schools, which has become part of the guidelines for the development of such courses</p> <p>(b) the certification of technicians which, even in its most basic implementation, becomes a well-respected badge of quality service sought after by technicians and workshops</p> <p>(c) the widespread adoption of formal codes of practice for the sector, which becomes part of the certification process.</p> <p>All of these elements may eventually evolve towards a formal process of national technician certification schemes, including formally adopted standards for refrigeration and air-conditioning servicing, thus contributing to the professionalisation of the trade.</p>	33, 39, 41, 42, 44, 55
MI 12.3 Evidence confidence	High confidence

Annex 2. List of documents

All documents listed below are MLF publications or official open access documents, unless indicated otherwise.

1. ICF, *Evaluation of the Financial Mechanism of the Montreal Protocol*, ICF International, 2012.
2. MLF, *Evaluation of the Phase-Out of HCFCs in the Foam Sector - Report on the Field Visit to Cameroon, 8-15 February 2015*.
3. MLF, *Evaluation of the Phase-Out of HCFCs in the Foam Sector - South Africa Mission report*, 2015.
4. MLF, *Draft monitoring and evaluation work programme for the year 2019*, 2018.
5. MLF, *Executive Committee Primer - 2018. An Introduction to the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2018.
6. MLF, *Consolidated Text of the Montreal Protocol as Adjusted and/or Amended to Date*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2016.
7. MLF, *Guide for Preparation of the Survey of ODS Alternatives (Re-issued)*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2016.
8. MLF, *Policies, Procedures, Guidelines and Criteria. 1. Financial Mechanism*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
9. MLF, *Policies, Procedures, Guidelines and Criteria. 2. Executive Committee*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
10. MLF, *Policies, Procedures, Guidelines and Criteria. 3. Fund Secretariat*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
11. MLF, *Policies, Procedures, Guidelines and Criteria. 4. Bilateral Cooperation*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
12. MLF, *Policies, Procedures, Guidelines and Criteria. 5. Implementing Agencies*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
13. MLF, *Policies, Procedures, Guidelines and Criteria. 6. Article 5 Parties*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
14. MLF, *Policies, Procedures, Guidelines and Criteria. 7. Controlled Substances*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
15. MLF, *Policies, Procedures, Guidelines and Criteria. 8. Country Programme*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
16. MLF, *Policies, Procedures, Guidelines and Criteria. 9. Project Proposals*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
17. MLF, *Policies, Procedures, Guidelines and Criteria. 10. Institutional Strengthening*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
18. MLF, *Policies, Procedures, Guidelines and Criteria. 11. Monitoring and Evaluation*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2017.
19. MLF, *Consolidated Business Plan of the Multilateral Fund for 2019-2021*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2018.
20. MLF, *Consolidated Progress Report as at 31 December 2017*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2018.
21. MLF, *Guide for the Submission of Institutional Strengthening Projects*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2018.
22. MLF, *Report of the 81st Meeting of the Executive Committee*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, June 2018.
23. MLF, *Report of the 81st Meeting of the Executive Committee*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, June 2018.

24. MLF, *Report of the 82nd Meeting of the Executive Committee*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, December 2018.
25. MLF, *Status of Contributions and Disbursements. Report from the Treasurer*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2018.
26. MLF, *Updated Guide for the Preparation and Submission of Additional Projects to Demonstrate Climate-Friendly and Energy Efficient Alternative Technologies to HCFCs and Feasibility Studies*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2018.
27. MLF, *Guide for the Presentation of Stage II of HSFC Phase-Out Management Plans (Updated)*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2019.
28. MLF, *Guide for the Submission of Enabling Activities*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2019.
29. MLF, *The Multilateral Fund: Governance, Business Model, Accomplishments*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, 2019.
30. MLF, *Relevant information on the Multilateral Fund, the Executive Committee, the Fund Secretariat, the implementing agencies, the Treasurer, and monitoring and evaluation*, Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol, n.d.
31. UN Environment, *Handbook for the Montreal Protocol on Substances that Deplete the Ozone Layer, Twelfth Edition*, UN Environment, 2018.
32. UNDP, *Protecting the Ozone Layer and Reducing Global Warming. Results, Case Studies and Lessons Learned from UNDP's Montreal Protocol Programme*, United Nations Development Programme, 2014.
33. UNEP, *The Montreal Protocol and the Green Economy. Assessing the contributions and co-benefits of a Multilateral Environmental Agreement*, United Nations Environment Programme, 2012.
34. UNEP, *Consolidated project completion report*, United Nations Environment Programme, 2015.
35. UNEP, *Desk study on the evaluation of HCFC phase-out projects in the refrigeration and air-conditioning manufacturing sector*, United Nations Environment Programme, 2015.
36. UNEP, *Final report on the evaluation of HCFC phase-out projects in the foam sector*, United Nations Environment Programme, 2015.
37. UNEP, *Project proposal: Armenia*, United Nations Environment Programme, 2015.
38. UNEP, *Consolidated project completion report*, United Nations Environment Programme, 2016.
39. UNEP, *Final report on the evaluation of HCFC phase-out projects in the refrigeration and air-conditioning manufacturing sector*, United Nations Environment Programme, 2016.
40. UNEP, *Consolidated project completion report*, United Nations Environment Programme, 2017.
41. UNEP, *Desk study for the evaluation of the HCFC phase-out in the refrigeration servicing sector*, United Nations Environment Programme, 2017.
42. UNEP, *Draft monitoring and evaluation work programme for 2018*, United Nations Environment Programme, 2017.
43. UNEP, *Final report for the evaluation of the chiller projects with co-funding modalities*, United Nations Environment Programme, 2017.
44. UNEP, *Project proposal: Bahamas (The)*, United Nations Environment Programme, 2017.
45. UNEP, *Project proposal: Argentina*, United Nations Environment Programme, 2017.
46. UNEP, *Desk study for the evaluation of HCFC phase-out management plan preparation activities to assist with the implementation of the Kigali Amendment*, United Nations Environment Programme, 2018.
47. UNEP, *Final report of the evaluation of the refrigeration servicing sector*, United Nations Environment Programme, 2018.
48. UNEP, *Desk study for the evaluation of gender mainstreaming in the Montreal Protocol projects and policies*, United Nations Environment Programme, 2018.
49. UNEP, *Consolidated project completion report*, United Nations Environment Programme, 2018.
50. UNIDO, *Manual on Operations under Multilateral Environmental Agreements*, United Nations Industrial Development Organization, 2009.

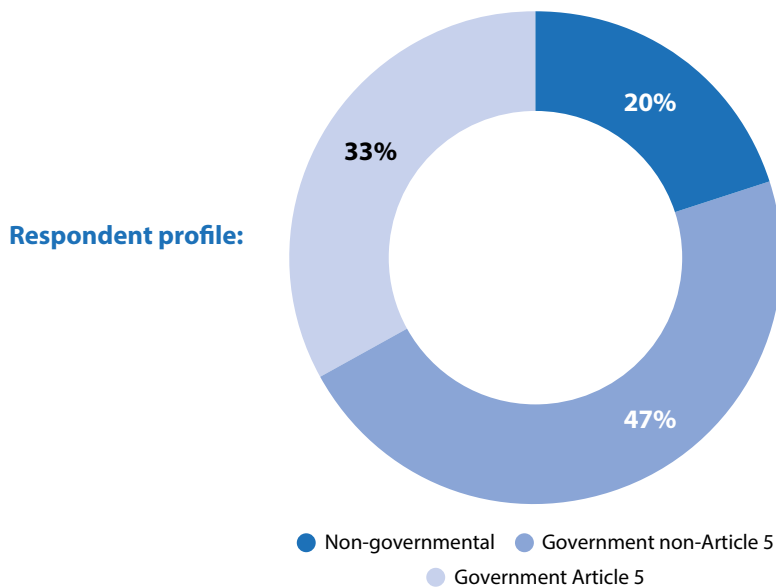
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51. UNIDO, *Some Like it Cool. UNIDO and the Montreal Protocol*. United Nations Industrial Development Organization, 2016.
 52. World Bank, *Resource Mobilization for HCFC Phase-out and Climate Mitigation Co-benefits. A Study Prepared for the Executive Committee of the Multilateral Fund*, The World Bank, 2015.
 53. UNEP, *Overview of current monitoring, reporting, verification and enforceable licensing and quota systems*, United Nations Environment Programme, 2019.
 54. UNEP, *Project Proposal: South Africa*, United Nations Environment Programme, 2019.
 55. UNEP, *Consolidated project completion reports*, United Nations Environment Programme, 2019.
 56. UNEP, *UNDP's work programme for 2019*, United Nations Environment Programme, 2019.
 57. MOPAN, *UNEP Institutional Assessment Report*, MOPAN 2015-16 Assessments, 2016.
 58. UNDP, *Gender analysis and action plan for Montreal Protocol Projects in China, Peru and Nigeria*
 59. Albrecht, F. and C. F. Parker, co-edited by Mallory Compton and Paul Hart, *Healing the Ozone Layer: The Montreal Protocol and the Lessons and Limits of a Global Governance Success Story*, in *Great Policy Successes*, 2019.
 60. Van Engel, J, *The Sustainable Development Goals and the Montreal Protocol, an analysis prepared for UNDP's Montreal Protocol/Chemicals Unit*, 2017.
 61. UNEP, *Consolidated Project Completion Report*, United Nations Environment Programme, 2018.
 62. MOPAN, *The World Bank Institutional Assessment Report*, MOPAN 2015-16 Assessments, 2016.
 63. MOPAN, *UNDP Institutional Assessment Report*, MOPAN 2015-16 Assessments, 2016.
 64. MOPAN, *Draft UNIDO Institutional Assessment Report*, MOPAN 2019 Assessments, 2020.
 65. UNEP, *Technology and Economic Assessment Panel (TEAP) - 2018 Assessment Report*, Montreal Protocol, United Nations Environment Programme, 2019.

Annex 3. Results of the 2019 MOPAN partner survey

The partner survey for the MLF assessment was slightly different from the partner surveys MOPAN usually undertakes for its organisational performance assessments, so as to adjust this tool to the MLF's characteristics. It did not limit inputs to partners from a pre-defined, limited number of countries. Rather, the assessment process was supported by inputs received from relevant interested parties of the Multilateral Fund, notably Executive Committee members, but also staff of National Ozone Units, relevant national Ministry officials, and relevant national industry/trade associations, gathered through an online partner survey.

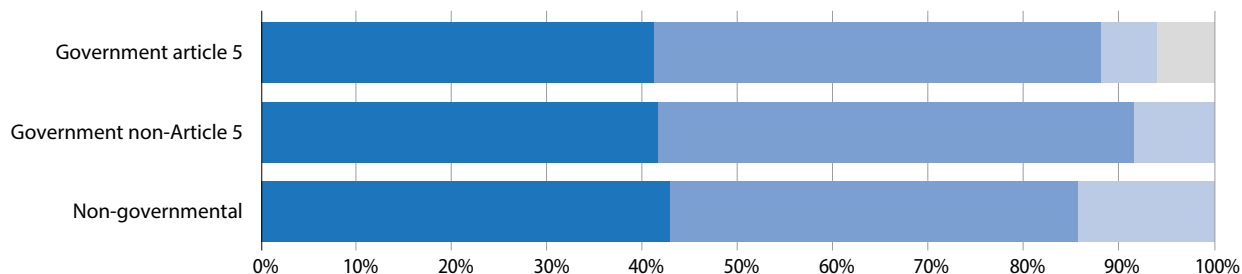
The online survey was administered by MOPAN and was conducted over a period of seven weeks in 2019, starting on 7 August and closing on 28 September 2019.

Number of respondents: 36 **Effective sample size:** 87 **Survey response rate:** 41%

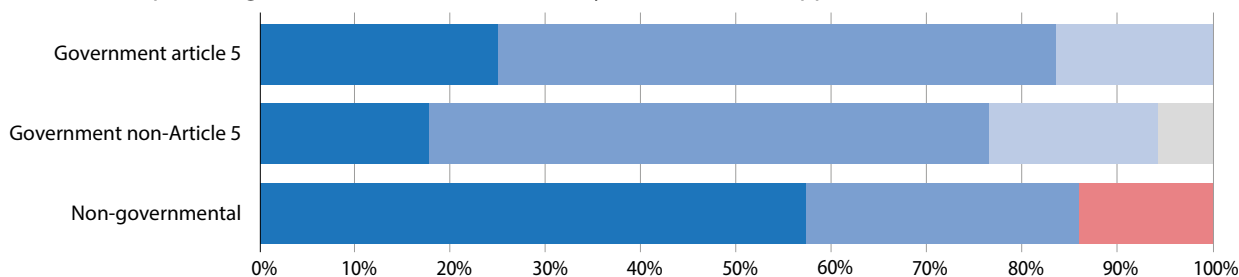


STRATEGIC MANAGEMENT

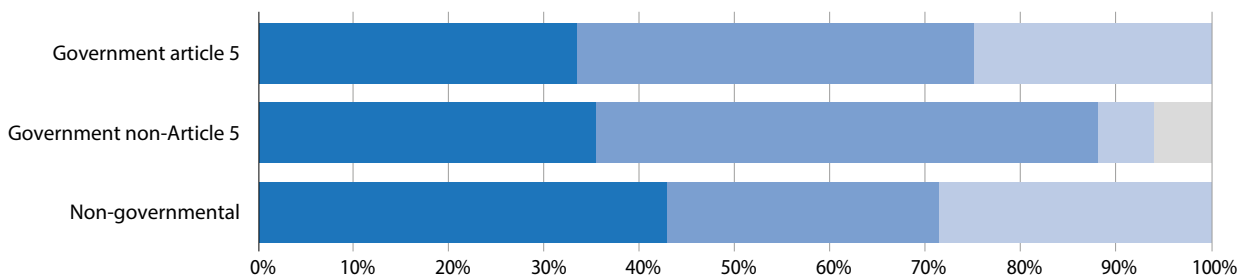
MLF's strategies and policies demonstrate clarity of vision and good understanding of comparative advantage



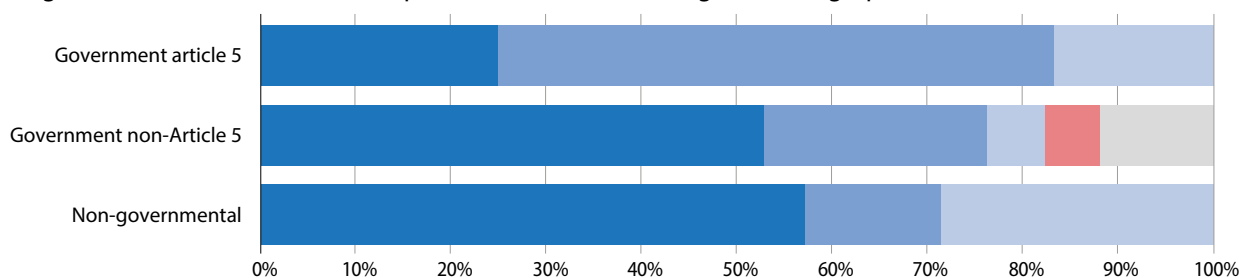
MLF defines and adapts its organisational architecture in a way that allows full support to the vision



MLF financial framework supports the effective implementation of the mandate and strategy

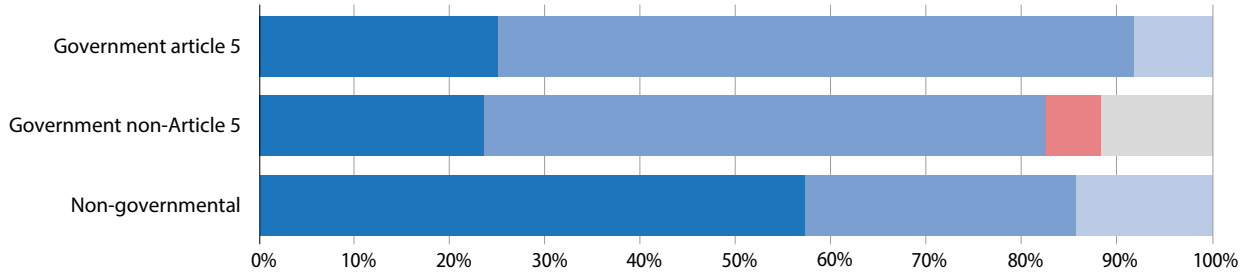


MLF strategic allocation of resources is transparent and coherent with agreed strategic priorities

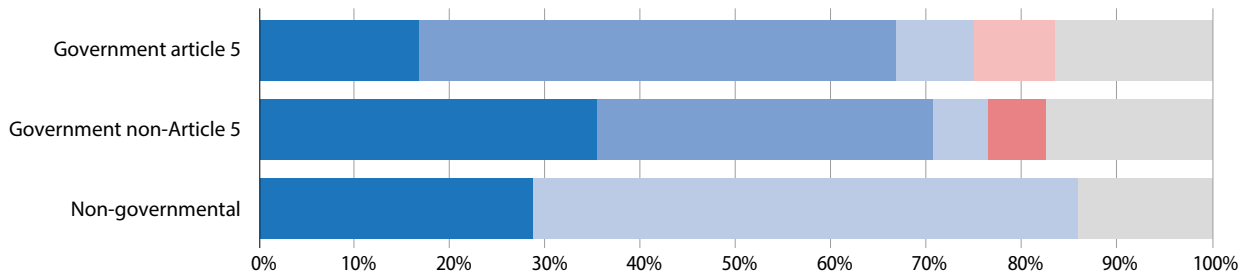


■ Excellent
 ■ Very good
 ■ Fairly good
 ■ Fairly poor
 ■ Very poor
 ■ Extremely poor
 ■ Don't know / No opinion

MLF transparently applies principles of results-based budgeting and reports expenditures according to results

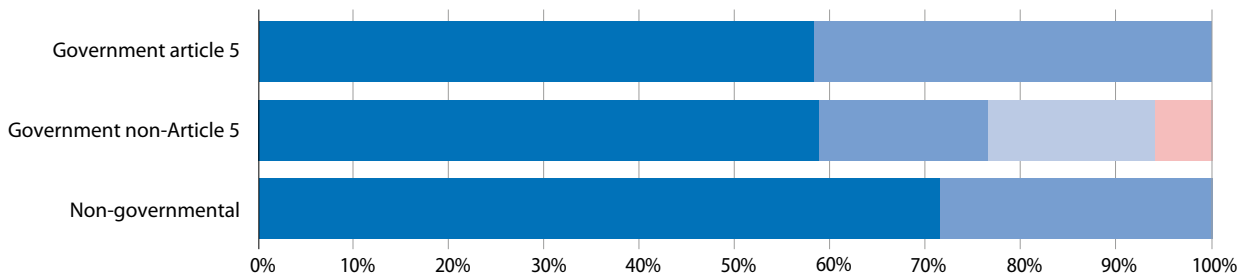


MLF adequately addresses issues and concerns raised by internal control mechanisms

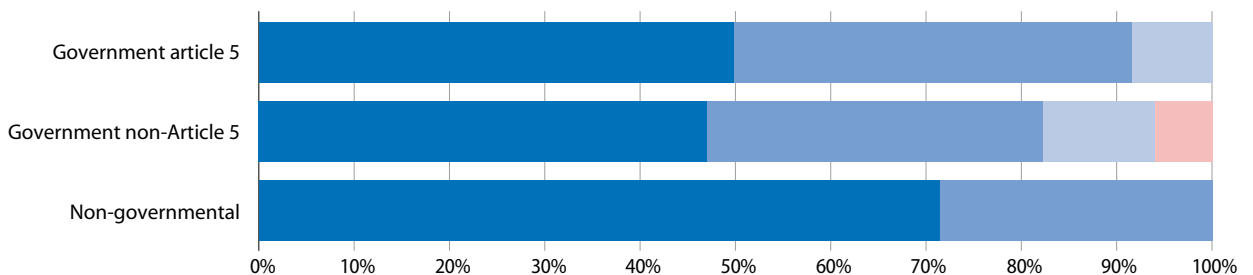


MANAGING FINANCIAL RESOURCES

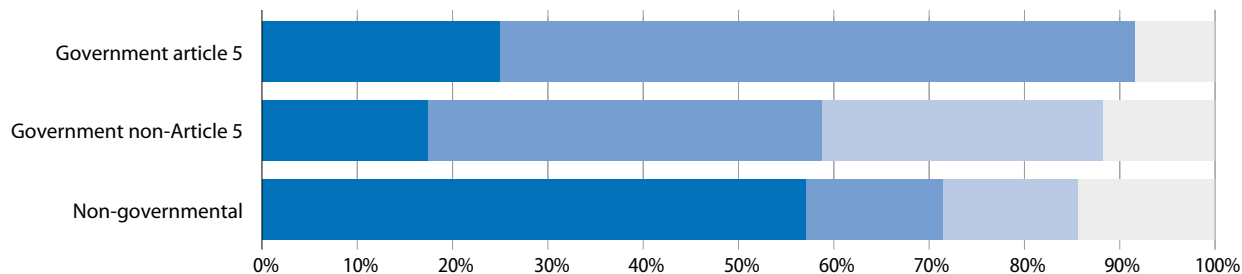
MLF provides transparent criteria for financial resource allocation



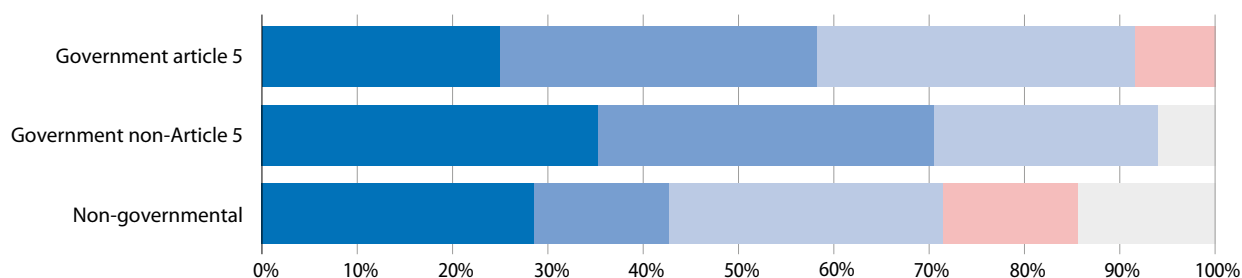
MLF provides predictable financial allocations, disbursements and payments



MLF financial co-operation is coherent/not fragmented

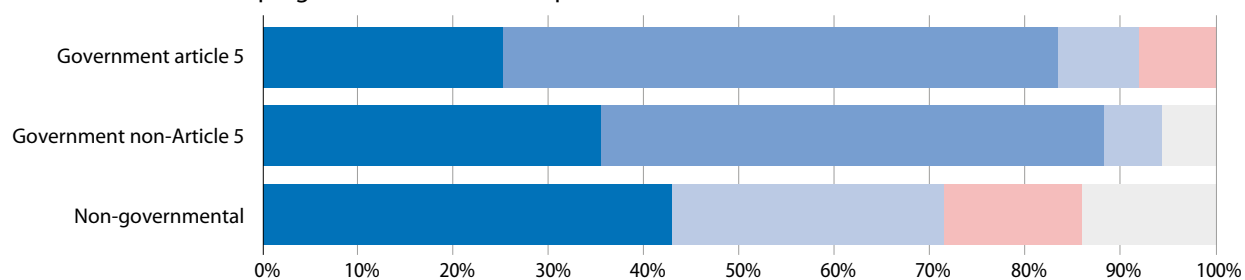


MLF has flexible resources

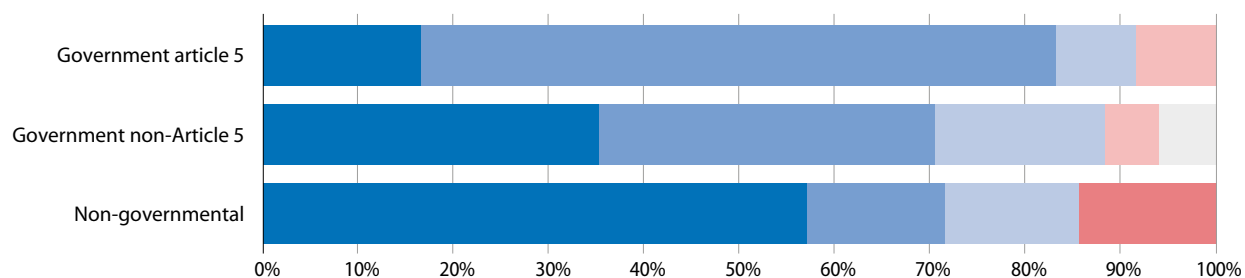


INTERVENTIONS (PROGRAMMES, PROJECTS, NORMATIVE WORK)

MLF interventions fit national programmes and results of partner countries

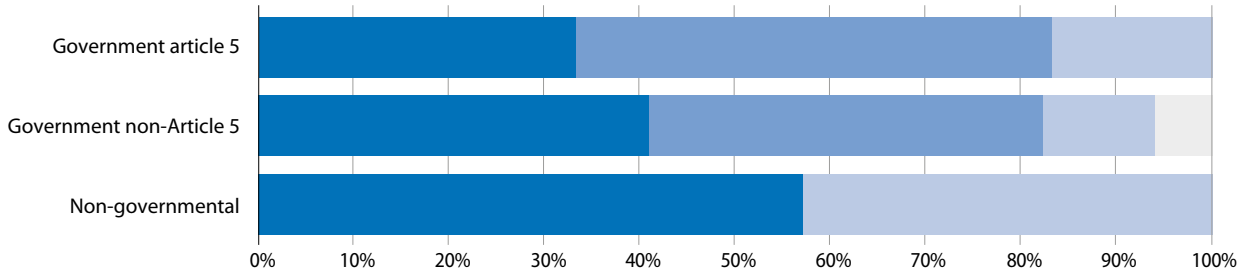


MLF interventions are tailored to the needs of the local context

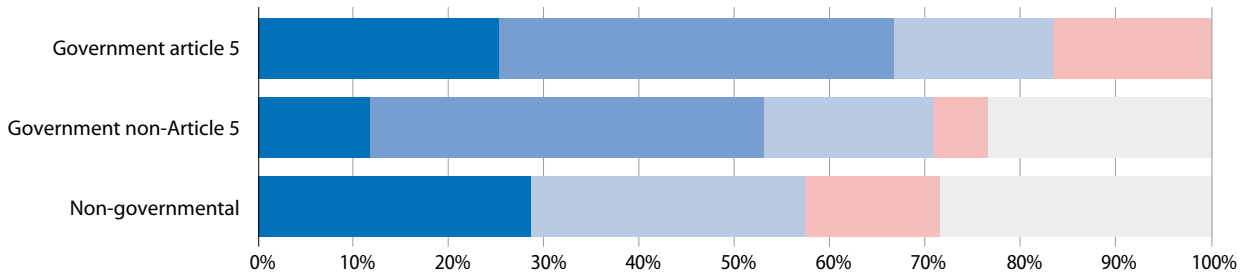


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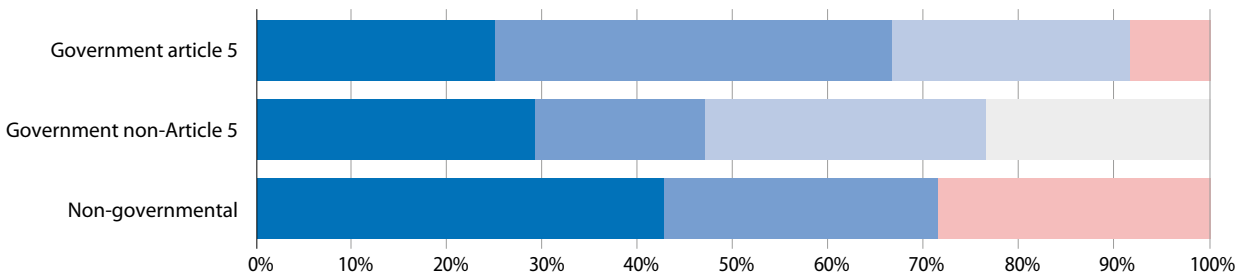
MLF has a clear understanding of its comparative advantage



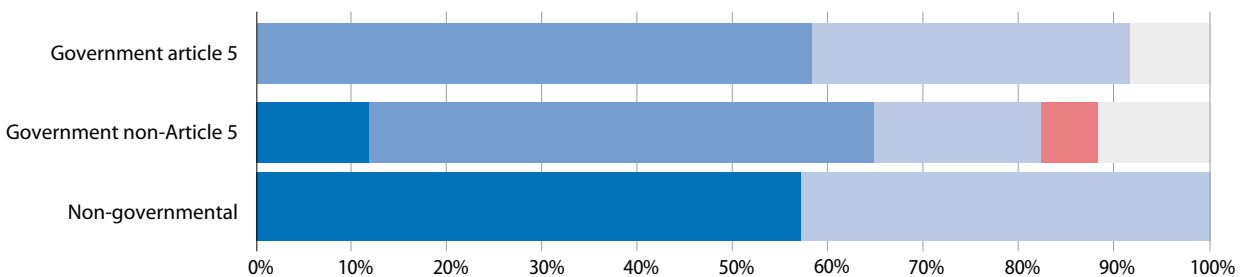
MLF is adaptive to changes in context



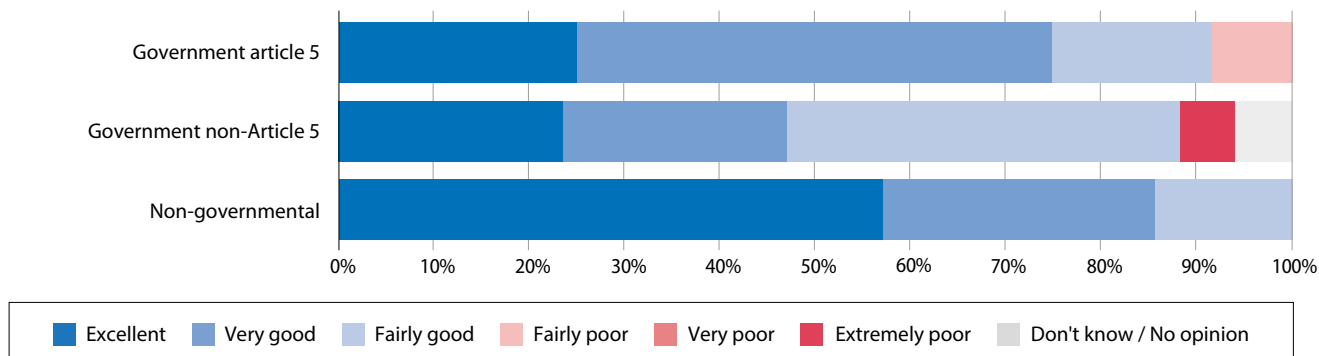
MLF is realistic in its assessment of national/regional capacities



MLF appropriately manages risk in a given context

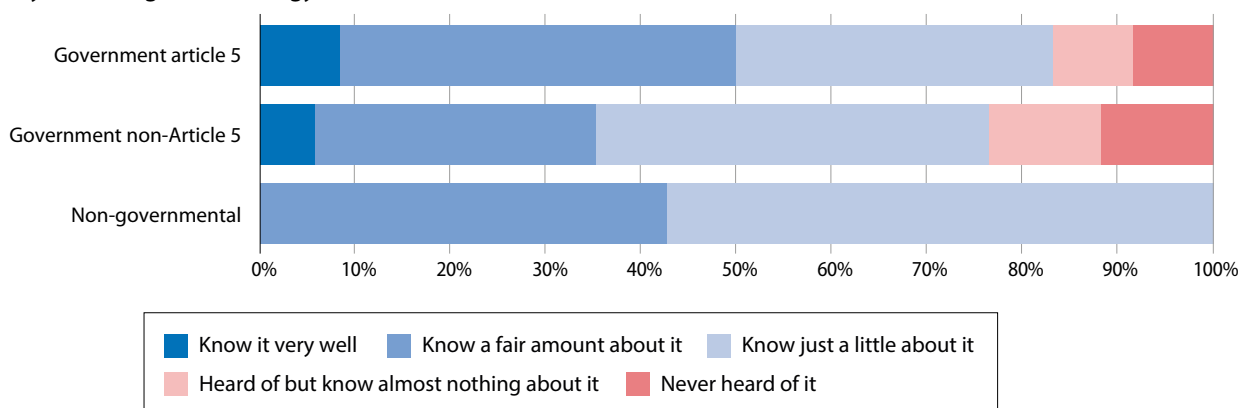


MLF interventions are implemented to sustain impact over time



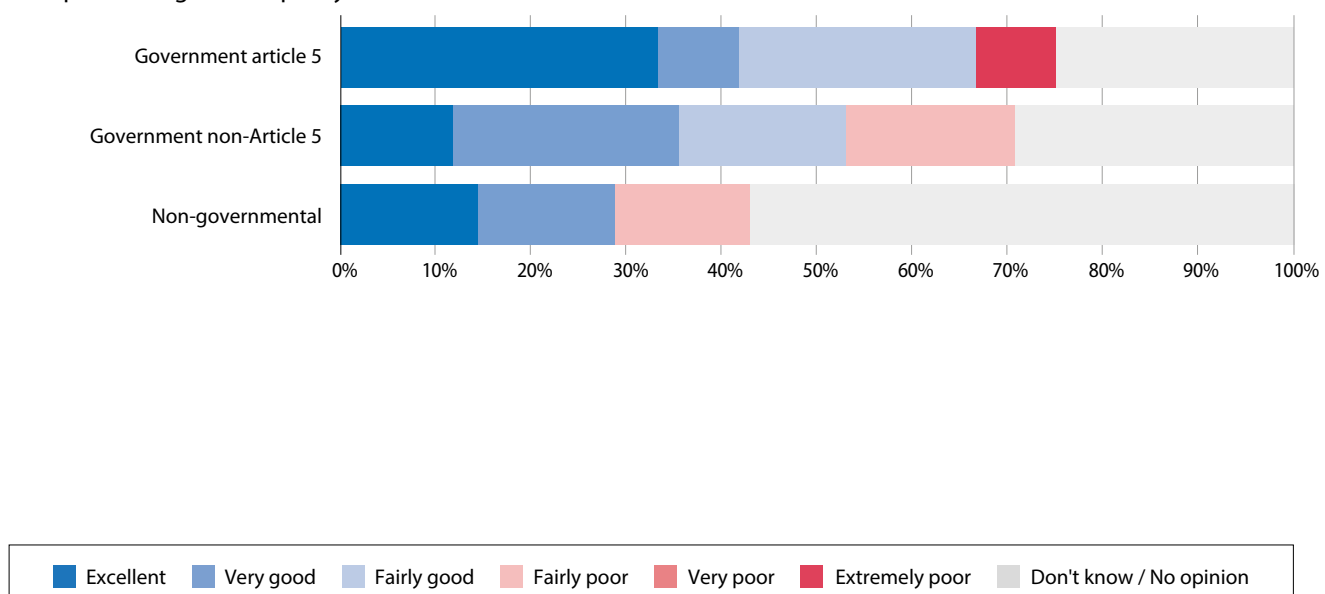
INTERVENTIONS (CROSS-CUTTING ISSUES)

Familiarity with the gender strategy of MLF



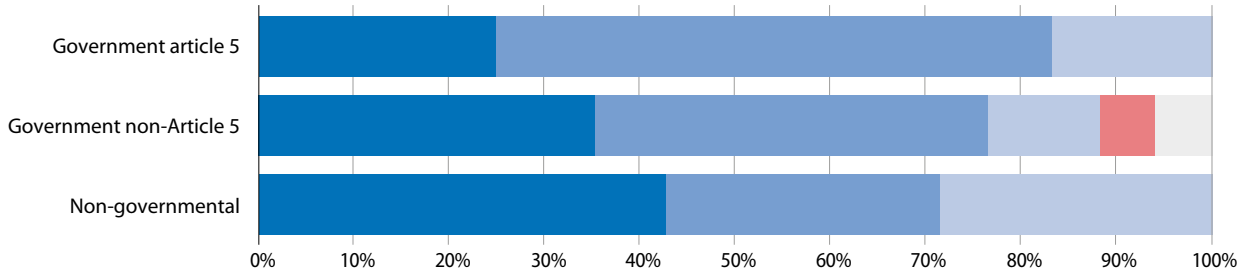
INTERVENTIONS (CROSS-CUTTING ISSUES, ORGANISATIONAL PERFORMANCE)

MLF promotes gender equality

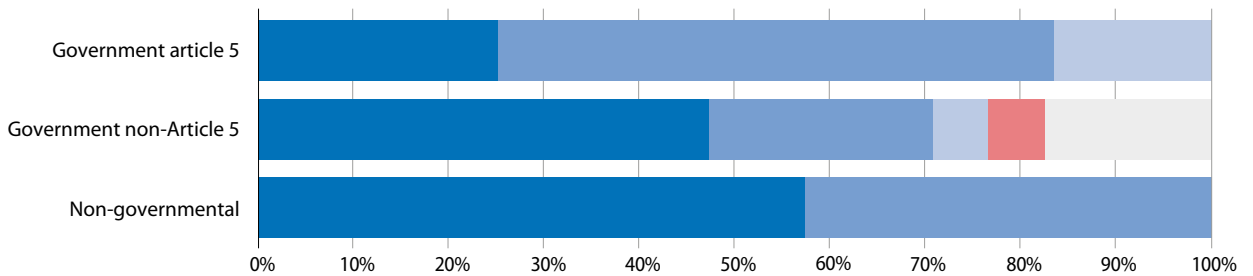


PERFORMANCE MANAGEMENT

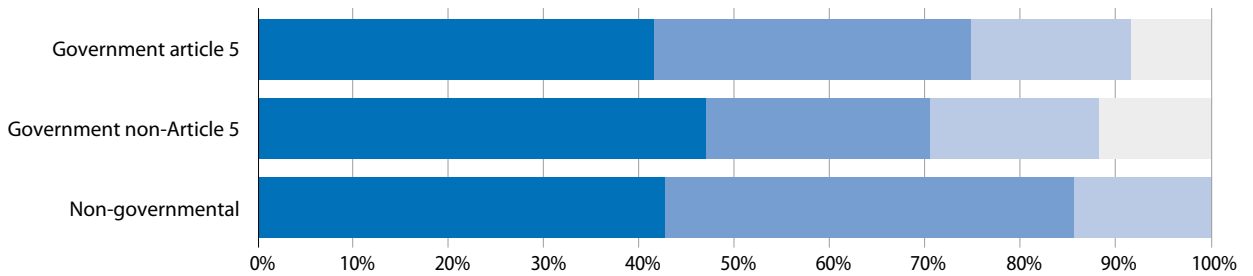
MLF prioritises a results-based approach



MLF uses robust performance data when designing and implementing interventions

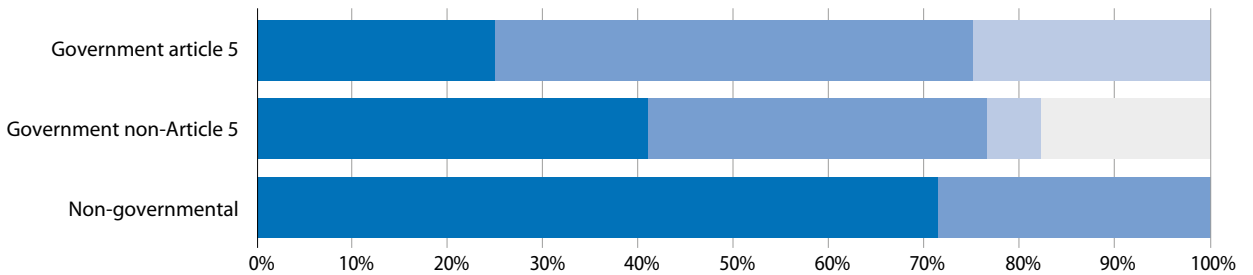


MLF bases its policy and strategy decisions on robust performance data

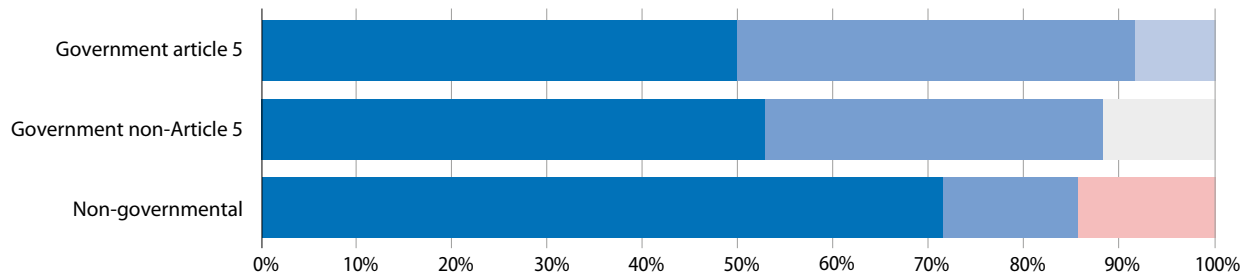


EVIDENCE BASE FOR PLANNING AND PROGRAMMING

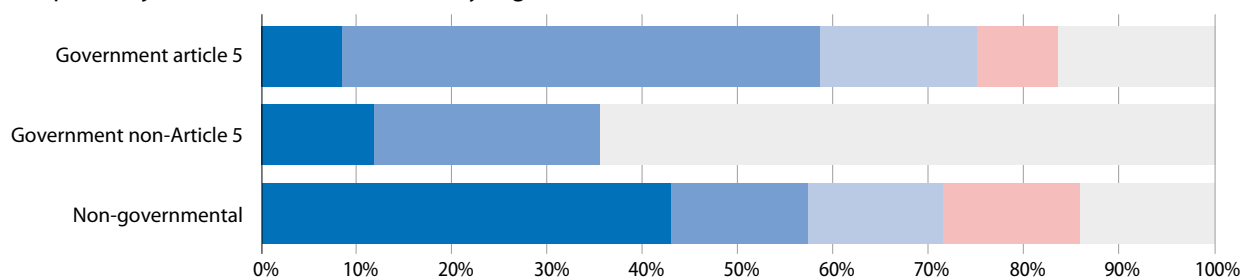
MLF has a clear statement on which of its interventions must be evaluated



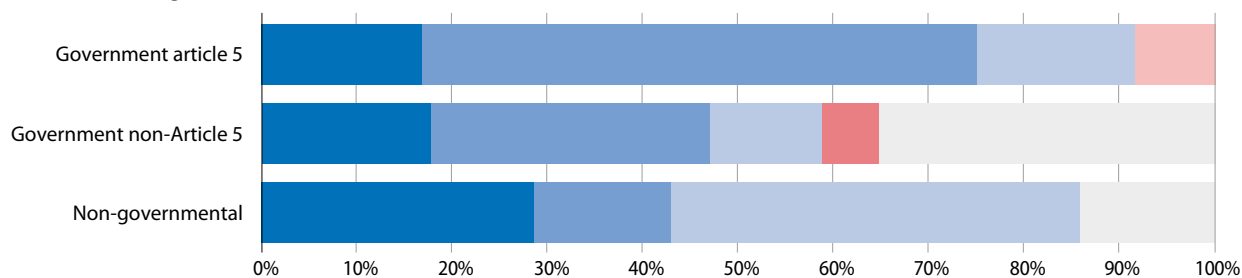
Where required, MLF ensures that evaluations are carried out



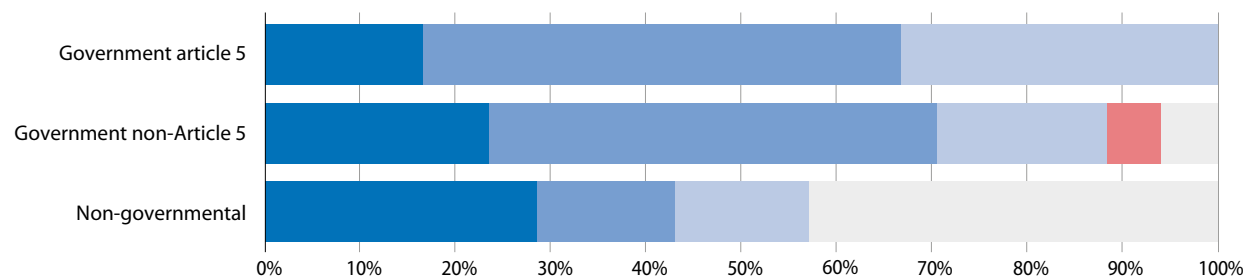
MLF participates in joint evaluations at the country/regional level



MLF intervention designs contain a statement of the evidence base

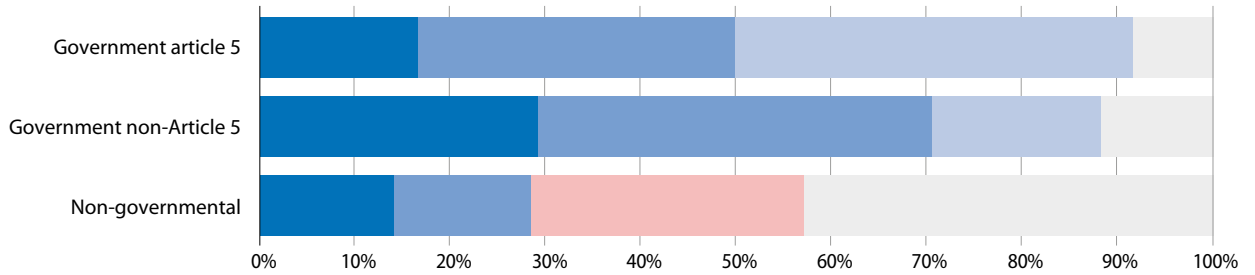


MLF identifies under-performing interventions

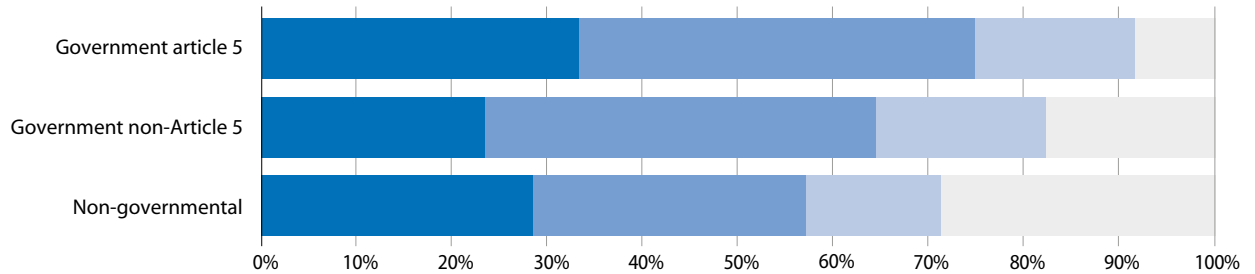


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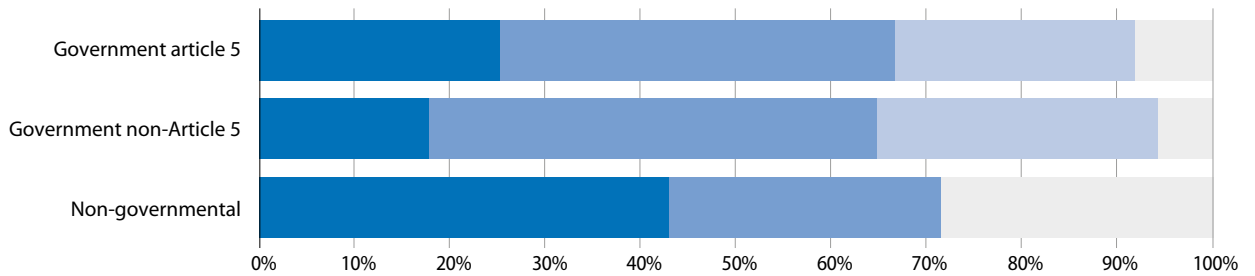
MLF addresses any areas of intervention under-performance



MLF follows up evaluation recommendations systematically



MLF learns lessons from experience rather than repeating the same mistakes





For any questions or comments,
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secretariat@mopanonline.org
www.mopanonline.org

