



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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**Evaluation Group**

**Work Programme and Provisional Budget  
for 2010/2011**

**AMENDMENT**

8 June 2010

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## **Decision Points for Consideration of the Executive Board**

The present document seeks the decision of the Executive Board on the following points;

- 1) Agreement on a continuation of the emphasis on strategic and thematic evaluations and on assessing results at outcome levels, together with an increased focus on organizational learning. Due attention will be given to capturing results also at the impact level and particularly in relation to UNIDO's contribution to relevant Millennium Development Goals (MDGs).
- 2) Agreement on an overarching evaluation of UNIDO's contribution to the achievement of MDGs, on a thematic evaluation of UNIDO's enterprise upgrading initiatives, on a thematic evaluation of Persistent Organic Pollutants (POPs) projects, on a thematic evaluation on UNIDO's contribution to One UN mechanisms, on a thematic evaluation on Field Office performance, on an evaluation of the online procurement training, on an evaluation of the UNIDO COMFAR activities and on an evaluation of UNIDO's climate change initiative.
- 3) Agreement on ten country evaluations, which will review the entirety of UNIDO's presence in the country. Thus, in addition to Integrated Programmes (IPs) or Country Service Frameworks (CSF), also components of regional programmes, individual projects, including Montreal Protocol (MP) and Global Environmental Facility (GEF) projects, the contribution to UNIDO's Global Forum function, UNDAFs and One UN mechanisms and the performance of the Field Office will be considered. Findings of individual country evaluations will be fed into the thematic evaluations.
- 4) Agreement on joint activities with the United Nations Evaluation Group (UNEG) and other international cooperation agencies and on interventions to support evaluation capacity building within UNIDO and of staff of counterpart ministries.
- 5) An allocation of an overall evaluation budget of euro 640,000 for the 2010/2011 biennium as the implementation of the Work programme will require external resources and expertise.

NB: Funds for the 2010 interventions need to be allocated promptly.

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## 1. Background and introduction

The present Work Programme (WP) and provisional budget of the Evaluation Group (ODG/EVA) covers the 2010/2011 biennium and serves four main purposes:

- 1) To provide a planning instrument for OSL/EVA,
- 2) To provide information to UNIDO managers and staff on evaluations planned,
- 3) To ensure that evaluation budgets will be available (from the project budgets), for projects for which an evaluation is mandatory,
- 4) To substantiate the request for thematic, meta and country evaluations and related funding.

The Work Programme has been developed in line with the UNIDO Evaluation Policy and keeping in mind the principles of independence, credibility and utility. Due consideration has been given to aspects of accountability for performance and results and learning for informed decision-making. A consultative process was used in developing the Work Programme and proposals for evaluations have been collected from all UNIDO divisions. Also, a request from an individual government has been incorporated.

Moreover, the Director-General's Administrative Instruction No.17/Rev.1 and the appended Guidelines for the Technical Cooperation Programme and Project Cycle (TC Guidelines) provide guidance on the management of technical cooperation programmes and projects. These Guidelines specify that independent terminal evaluations are mandatory in the case of programmes/projects:

- (i) with UNIDO inputs (budget without support costs) exceeding €1 million; and,
- (ii) those being considered for extension in excess of €0.7 million.

The TC Guidelines also specify that independent evaluations should be conducted in the case of projects:

- (i) subject to evaluation requirements and mechanisms established in the funding agreement with the donor;
- (ii) encountering major implementation problems and/or serious disagreement between stakeholders; or those displaying a remarkable measure of success or 'replicability'.

In these particular instances the donors, counterparts, senior UNIDO management or ODG/EVA may initiate an independent evaluation at any time.

Given the importance of ensuring that sufficient funds for independent project evaluations are available in a timely manner, a new budget line - 80xx - for the independent evaluation of technical cooperation projects is now available.

ODG/EVA will continue the move towards the decentralization of the evaluation function and, thus, a closer alignment to current practices within the UN system. The move to a closer involvement of PTC staff in planning and managing project evaluations, initiated during the previous biennium, has proven positive and to have increased the usefulness of evaluations and will be further explored. During the

biennium it is also proposed that URs should become more actively involved in the evaluation exercises and individual URs will be approached in order to solicit their support in managing project evaluations in countries of their coverage. The intention is to pilot different level of involvements of URS, from a pure supporting role to actually managing the evaluation process. ODG/EVA will, in these latter cases, have a capacity-building, advisory and quality ensuring role. The quest for the participation of individual URs in country level evaluations, for countries beyond their coverage, will continue.

The Work Programme incorporates various categories of evaluations: mandatory project evaluations, country evaluations and more strategic, thematic evaluations. The planned country level evaluations will be different from previous evaluations of IPs and CSFs as they will review the entirety of UNIDO's presence in the country. Thus in addition to IPs/CSFs and Country Programmes, components of regional programmes, individual projects, including MP and GEF projects, synergies between projects and programmes as well as the contribution to UNIDO's Global Forum function, to UN-wide mechanisms and the functions of the Field Office will be assessed. Objectives and criteria provided in the UNIDO Programme and Budget will be mainstreamed assessment criteria in all evaluations.

In 2009, a professional peer review of UNIDO's evaluation function took place. The recommendations of the Peer Review Report have been taken into consideration and many of the proposed changes, in this Work Programme, can be seen as reactions to the recommendations.

More specifically, the following recommendations of the Peer Review have been addressed;

- Focus on the core function of ODG/EVA - Evaluation
- Results-oriented evaluations assessing results at outcome and impact levels
- Promoting an evaluation culture and shared responsibility for evaluation
- ODG/EVA staff assuming more of an evaluation manager role as opposed to an evaluator role, especially for "straight-forward" project and programme evaluations
- Methodological development, especially for assessing impact
- A focus on terminal evaluations with the assumption that monitoring and mid-term reviews will be carried out by the substantive branches
- Increased emphasis on learning with the development of user-friendly systems and products for informing about evaluation findings, recommendations and lessons learned

The Work Programme is aligned to the criteria of both development effectiveness (results achieved) and organizational effectiveness. The latter, used by the Multilateral Organizations Performance Assessment Network (MOPAN), incorporates four dimensions of management: strategic, operational, relationship and knowledge management. Country evaluations will assess the performance of the respective Field Office or other field representation modalities against these criteria.

In addition, the Report of the DAC Evaluation Network Task Team Meeting on a New Approach for Joint Evaluation (Ottawa, October 15 and 16 2009) has been given due consideration with the aim of trying to provide the performance information being solicited by the donor community.

Due consideration has, moreover, been given to the relatively limited staff resources endowment of ODG/EVA, the increase in Technical Cooperation (TC) delivery and the new responsibilities related to GEF project evaluations, which consequently increases the number of projects for which evaluations are mandatory.

## **2. Work Programme priority areas and planned evaluations**

ODG/EVA will continue to carry out evaluations at three levels;

1. Strategic or thematic
2. Country
3. Project and programme

The evaluations proposed at the various levels are presented in the following. The basis for the selection of the evaluations formed in-house consultations with PCF, PSM and PTC, and the TC Guidelines. The Draft ODG/EVA Work Programme was shared with the Managing Directors and the Deputy to the Director General. Expected utility has been a major criterion when selecting strategic, thematic or country evaluations. All evaluations will have a major focus on results at the outcome level and due attention will be given to feeding evaluation findings and recommendations into strategic planning frameworks and organizational learning and to link up with ongoing in-house research activities.

### **2.1. Strategic or thematic evaluations**

ODG/EVA will continue to undertake thematic and strategic evaluations as this has been found to increase the utility of the evaluation function and significantly contribute to organizational learning and strategic planning. These evaluations concern strategies, policies and thematic (programme) areas. Five thematic evaluations will be implemented during the biennium: 1) *UNIDO's enterprise upgrading initiatives*, 2) *POPs projects*, 3) *UNIDO's contribution to One UN mechanisms*, 4) *Field Office performance* and 5) *UNIDO's contribution to MDGs*.

At its 13<sup>th</sup> session, the General Conference adopted resolution [GC.13/Res.6](#) - The crucial role of the productive sectors in supporting the achievements of the Millennium Development Goals and requested the Director-General to report on specific means through which UNIDO can further contribute to the achievement of the MDGs to the 37<sup>th</sup> session of the Industrial Development Board. Although results of evaluations will take some time to materialize, ODG/EVA has taken note of this request and will mainstream contributions to MDGs as one evaluation criteria in all its evaluations, in particular for strategic evaluations and country evaluations. An over-riding thematic review report on contributions to reach the MDGs will be prepared towards the end of each year. In addition to an assessment on actual contributions, ODG/EVA will provide recommendations as to how UNIDO's contributions to MDGs could be strengthened.

Moreover, thematic evaluations initiated in 2009 will be finalized. To this category belong: the thematic evaluation on Standards, Metrology, Testing and Quality (SMTQ), the thematic evaluation of UNIDO's post crisis rehabilitation Interventions and, the thematic evaluation of International Technology Centres.

### **Thematic evaluation on Standards, Metrology, Testing and Quality (SMTQ)**

This thematic evaluation was conducted between September 2008 and December 2009 and the draft final report was presented at a workshop of the TCB branch on "Revisiting UNIDO's TCB Approach" in November 2009. The exercise will be rounded up, during the first quarter of 2010, with an evaluation of a number of "Global Forum" activities in the area of SMTQ and a stakeholder survey.

### **Thematic evaluation on post-crisis interventions**

This thematic evaluation was launched in November 2009. The initial country coverage, foreseen in the 2008-2009 ODG/EVA Work Programme was limited to evaluations in Iraq and Lebanon. As some of these evaluations were delayed, an opportunity arose to expand the initial coverage with an evaluation in Uganda as well as results from ongoing post-conflict projects in the four countries of the Manu River Union (Guinea, Liberia, Sierra Leone and Côte d'Ivoire). The results of this thematic evaluation are expected by April 2010.

### **Thematic Evaluation of International Technology Centres**

During the past biennium a number of in-depth evaluations of UNIDO International Technology Centres (ITCs) were undertaken (SITPC, ICS, ICHET, ICM) and fed into a Thematic Evaluation of International Technology Centres that is still ongoing. The findings of the evaluation will become available during the second quarter of 2010.

### **Thematic evaluation of UNIDO's enterprise upgrading initiatives**

This thematic evaluation will complement the earlier thematic SMTQ evaluation and be initiated in 2010 but carry over into 2011. The subject was identified due to the many large size projects and the strategic importance of the portfolio. Table 1 below provides information about the mandatory project evaluations to be included in the evaluation as well as those projects that have already been evaluated and will be included.

**Table 1: Thematic evaluation: UNIDO's enterprise upgrading initiatives (Source: Agresso and UNIDO InfoBase, as at 2010-03-03)**

Country	Number(s)	Project Title	Allotment (USD)	Remarks
<b>Projects to be evaluated:</b>				
Bangladesh	EE/BGD/05/002	Bangladesh Quality Support Programme	3,355,248	PTC proposal, EU eval
Ethiopia	TE/ETH/08/008	Technical Assistance Project for Up-grading of Ethiopian Leather and Leather Product Industry	1,820,048	
	TE/RAF/07/001 TE/RAF/07/D01	Restructuring and Upgrading of Industries in UEMOA Countries	8,776,988 1,982,783	PTC proposal, to be eval. by UEMOA
Regional Africa	TE/RAF/06/014 and related projects (6)	Trade Capacity-building in Agro-Industry Products for the Establishment and Proof of Compliance with International Market Requirements	1,525,793 All together well above 1 Mio USD	PTC proposal, part of Burundi, Rwanda and Tanzania country eval.
Viet Nam	US/VIE/08/004	Post WTO Accession Support to Vietnam – TBT/SPS Compliance Capacity Development related to Key Support Sectors	2,142,000	Part of Viet Nam country eval.
<b>Projects that have already been evaluated and will be included:</b>				
Algeria	TE/ALG/04/001	Renforcement des capacités dans des domaines de la Normalisation, de la Certification et de la Qualité en Algérie	1,577,452	Mid-term eval. carried out, evaluated within IP Algeria (2006)
Egypt	US/EGY/00/095 TF/EGY/03/002 TE/EGY/05/012 TF/EGY/05/012	Setting-up of an upgrading unit at MIT Programme for modernization and upgrading of selected industries in Borg El Arab	1,295,823	Evaluated as part of CSF Egypt (2006)
Senegal	TE/SEN/03/001	Programme National de mise à niveau des entreprises du Sénégal	1,230,760	Evaluated as part of IP Senegal (2004)
Syrian Arab Republic	TE/SYR/05/003	Industrial Modernization and Upgrading Programme	2,281,393	Evaluated as part of IP Syrian Arab Republic (2009)
Tunisia	US/TUN/00/A43 US/TUN/00/143	Projet Pilote D'Assistance et D'Appui pour la Mise à Niveau et L'Introduction du HACCP aux Entreprises Agro-Alimentaires en Tunisie	444,351	Evaluated as part of IP Tunisia (2006)



### Thematic evaluation: UNIDO POPs projects

The thematic evaluation of UNIDO POPs projects includes three GEF projects to be evaluated during the biennium, of which one falls under the responsibility of UNDP, and, in addition, two projects that have already been evaluated. Table 2 below provides brief information about the projects and the related evaluations.

**Table 2: Thematic evaluation: UNIDO POPs projects (Source: Agresso and UNIDO InfoBase, as at 2010-03-03)**

Country	Number	Project Title	Allotment (USD)	Remarks
<b>Projects to be evaluated:</b>				
India	GF/IND/07/004	Development of a National Implementation Plan (NIP) in India as a First Step to Implement the Stockholm Convention on Persistent Organic Pollutants (POPs)	3,074,700	GEF project, evaluation Mar/Apr 2011
Philippines	GF/PHI/07/001	Global Programme to Demonstrate the Viability and Removal of Barriers that Impede Adoption and Successful Implementation of Available, Non-combustion Technologies for Destroying Persistent Organic Pollutants (POPs)	4,108,500	GEF project, evaluation October 2010
Global - Slovakia	EG/GLO/03/G31	Global Programme to Demonstrate the Viability and removal of Barriers that Impede Adoption and successful Implementation of Available Non-Combustion Technologies for Destroying Persistent Organic Pollutants (POPs) Slovakia	10,004,040	Will be evaluated by UNDP
<b>Projects that have been already evaluated and will be included:</b>				
China	GF/CPR/04/002	Building the capacity of the People's Republic of China to implement the Stockholm Convention on POPs and develop a national implementation plan	4,056,500	Evaluated in 2008
Global	GP/GLO/03/012	Fostering active and effective civil society participation in preparations for implementation of Stockholm Convention	972,768	Evaluated in 2007

## Thematic evaluation of UNIDO's contribution to One UN mechanisms

Findings from four country evaluations will feed into this thematic evaluation, which will also include an assessment of a project on resource efficiency and cleaner production and of the promotion of growth and economic opportunities component of the One UN Programme in Cape Verde, for which UNIDO is the lead agency. Additionally, a project on resource efficiency and cleaner production and two projects of the One UN Programme in Uruguay will be included.

**Table 3: Thematic evaluation: UNIDO's contribution to One UN mechanisms**

Country	Number(s)	Project Title	Remarks
CAPE VERDE	FB/CVI/09/001	One UN programme for Cape Verde	PCF proposal, UNIDO leadership of one component
	FB/CVI/09/C01	Cape Verde One UN programme: Resource efficient and cleaner production programme in Cape Verde	
UNITED REPUBLIC OF TANZANIA	FB/URT/09/004	One UN programme for Tanzania – Joint Programme on environment with a focus on climate change, land	Part of country evaluation
	US/URT/09/006	degradation/desertification and natural resources management	
	FB/URT/09/003	One UN Programme for Tanzania: Joint programme in education	
	US/URT/09/005	One UN programme for Tanzania – Joint programme – North-western Tanzania	
MOZAMBIQUE	FB/URT/09A02	One UN programme for Tanzania – Joint programme – North-western Tanzania	Part of country evaluation
	FB/URT/09/002	One UN programme for Mozambique (Women empowerment joint programme)	
RWANDA	FB/MOZ/08/004	One UN programme for Mozambique component 4.3.5/2: increased supply capacity for agricultural and fishery products	Part of country evaluation
	FB/MOZ/08/006	Country programme for Rwanda – development of One UN programme	
	XP/RWA/07/002	Promotion of Opportunities for Private Sector Enterprise Expansion, Development and Shared-growth (PROPSEEDS) – UNIDO contribution to support One UN programme, output 4.2	
VIET NAM	XP/RWA/06/005	Strengthening One UN implementation in Vietnam	Part of country evaluation
	XP/RWA/09/001	Technical assistance for development of policies to promote sustainable production and employment (component 4- Support the cooperative commission)	
URUGUAY	FB/URU/08/003	Institutional strengthening for the design of economic strategies – country international insertion and long-term energy policies development (Central monitoring and coordination)	
	FB/URU/08/002		

### Thematic evaluation of field offices

Based on the evidence collected through the country evaluations, a consolidated report on the performance of field offices will be prepared.

Table 4 below provides an overview of the thematic evaluations planned for 2010/11 and specifies the budgetary requirements.

**Table 4: Thematic evaluations planned for 2010/2011**

Theme	Proposed year	Budget (euro)
UNIDO's enterprise upgrading initiatives	2010 and 2011	40,000
UNIDO POPs projects	2011	30,000
UNIDO's contribution to One UN mechanisms	2011	30,000
Field Office performance	2010 and 11	30,000
UNIDO's contribution to MDGs	2011	30,000
<b>Total thematic evaluations</b>		<b>160,000</b>

## 2.2. Country evaluations

As mentioned above, the 2010/11 Work Programme introduces a move from IP and CSF evaluations to country evaluations. In addition to assessing country programme instruments (IPs and CSFs), country evaluations will include assessments of the Field Office or other forms of field representation, efficacy of various management functions/tools such as Imprest Accounts, regional programme interventions and national stand-alone projects and programmes outside the IP/CSF and Country Programme (CP), including Montreal Protocol and GEF projects. Specific evaluation criteria mainstreamed in these evaluations will be the contribution to MDGs and UNIDO Programme and Budget (P&B) outcomes; inter-disciplinarity; integration and Delivering as One UNIDO; progress towards the implementation of RBM-based work plans; contribution to UNIDO's Global Forum function; contribution to UN-wide mechanisms, such as UNDAFs and One UN Programmes and positioning of UNIDO vis-à-vis other agencies.

The OSL/EVA 2010/11 Work Programme encompasses ten country evaluations of which five are to be implemented in 2010 and five in 2011. Table 5 below lists the planned country evaluations and specifies the budgetary requirements.

**Table 5: Country evaluations planned for 2010/2011**

Country	Programme	MP projects	One UN pilot	PCF proposal	Timing	Budget (euro)
Burundi	IP			✓	2010	32,000
China	CP II	✓		✓	2010	50,000
Cuba	IP II			✓	2011	34,000
India II	CP (2008-2012)			✓	2010	50,000
Mexico	—	✓			2011	34,000
Morocco	IP II	✓		✓	2011	34,000
Mozambique	IP II		✓	✓	2010	34,000
Rwanda	IP		✓		2011	34,000
United Republic of Tanzania	IP II		✓	✓	2010	34,000
Viet Nam	IP II		✓		2011	34,000
<b>TOTAL</b>						<b>370,000</b>

The ten countries were selected in collaboration with PCF. Due consideration was given to the size of UNIDO's technical cooperation portfolio, including IPs and CSFs and MP projects; time passed since the last country-level evaluation; complexity and strategic orientation of the country portfolio; strategic importance of the country (for example One UN Country or LDC) and a Government request for evaluation. Specific Terms of Reference (ToR) will be developed for the country evaluations, encompassing the above mentioned criteria, in order to allow for comparisons and to identify generalized findings and lessons learned, but also country-specific issues will be identified and reviewed.

Specific attention is given to the *Delivering as One UN* pilot countries and to the contribution of UNIDO in One UN mechanisms. Four of the ten proposed country evaluations for the biennium will take place in One UN pilot countries. The ToRs of the country evaluations of One UN countries - namely United Republic of Tanzania, Rwanda, Mozambique and Viet Nam - will thus incorporate specific One UN issues and actual results in relation to One UN Plans and Objectives. In addition, there will be an evaluation of a One UN component in Cape Verde for which UNIDO is the lead agency and of projects in Uruguay. The Director of OSL/EVA will continue to be actively involved in the UNEG Delivering as One UN Task Force.

The country evaluations can thus be regarded as *multi-purpose evaluations*. Information about the major TC components of the country evaluations is provided in Annex B.

### **2.3. Project evaluations**

In the past, all UNIDO independent evaluations were managed by ODG/EVA. As mentioned earlier, the present Work Programme continues the piloting of decentralized evaluations at the level of project managers and URs. In the cases of “decentralized evaluations” project managers and URs will be responsible for drafting the Terms of Reference and Job Descriptions; recruiting external, independent evaluation consultants and for managing the evaluation process. A flow chart illustrating the various roles of the UR and of ODG/EVA in relation to the evaluation outputs can be found in Annex A. ODG/EVA will have an advisory role but also be responsible for quality assurance of evaluation ToRs, inception reports and the final evaluation reports, to be submitted to the Executive Board.

URs will, thus, be solicited to, on a voluntary basis and as a pilot exercise, manage project evaluations in countries in their area of coverage. This is expected to contribute to the empowerment of URs, provide an incentive for monitoring and contribute to the development of monitoring capacities.

A tentative list of all projects (Tables 6 and 7) to be evaluated in 2010 and 2011 has been drawn up using the following criteria:

- Projects for which an evaluation is mandatory in line with the TC Guidelines and notably projects with a budget above euro 1 million,
- Projects for which an evaluation is called for in the project document or in an agreement with a donor or recipient government,
- Projects for which an evaluation is specifically requested by PTC or another stakeholder and where there is a solid case for an independent evaluation,
- Project of strategic importance (important learning components or replication possibilities) or projects at risks.

**Table 6: Evaluations of stand-alone projects in 2010**

Country/ region	Project Number	Project Title	Allotment (USD)	Remarks
Côte d'Ivoire	TE/IVC/08/003	Qualifying Training – Insertion of the Youth	743,286	PTC proposal; mid- term eval. end of 2010, beginning of 2011
Global activities	US/GLO/07/119	ITPO TOKYO	3,270,740	ITPO
Guatemala	US/GUA/02/106	IP Comp II: Construction of CENAME Laboratory Building	1,759,204	PTC proposal
	FB/IRQ/04/003	Rehabilitation of the Dairy Plant in Diwaniya	4,130,387	PTC proposal
	FB/IRQ/06/003	Rebuilding Food Safety and Food Processing Industry Capacity in Iraq	1,656,637	Joint eval. with FAO and WHO (lead), as requested by UNAMI
	FB/IRQ/07/001 FB/IRQ/07/A01	Community Livelihoods and Micro- Industry Support – COTTAGE III	2,850,152	PTC proposal, joint eval. with FAO ongoing
Iraq	FB/IRQ/07/003	Rehabilitation of the Date Palm Sector in Iraq	2,949,721	PTC proposal, joint eval. with FAO (lead), third quarter 2010
	FB/IRQ/07/004	Enterprise Development and Investment Promotion in the SME Sector in Iraq	2,532,980	Third quarter 2010
	FB/IRQ/07/005	Support for Job Creation and Self- Employment through Promotion of Micro-Industries in Ninewa Governorate of Iraq	1,995,195	PTC proposal; joint eval. with FAO, lead to be decided
Lao PDR	TF/LAO/06/002	Post Opium Surpass Poverty Project (PSP)	2,348,500, half UNIDO, half UNODC	Joint evaluation with UNODC
Palestine	TE/PAL/05/001	Technology Transfer for “Recycling of Building Material Waste” a Platform for Production of low-cost Construction Products	3,168,704	Mid-term eval. 2010, Italy funds available
Regional Africa	TF/RAF/08/025	Multi-Stakeholder Programme for Productive and Decent Work for Youth in MRU Countries	5,000,000	PTC proposal
Regional Asia	TE/RAS/06/001	Trade Capacity Building in the Mekong Delta Countries Cambodia, Lao PDR and Vietnam, through Strengthening Institutional and National Capacities Related to SMTQ – Phase II	1,896,482	PTC proposal, also part of Viet Nam country eval.

**Table 7: Evaluations of stand-alone projects in 2011**

Country/ region	Project Number	Project Title	Allotment (USD)	Remarks
Ghana	US/GHA/06/005	Trade Capacity-building for Ghana	2,417,000	PTC proposal, final eval. 2011, SECO funds tentatively available
Global activities	UE/GLO/09/100	ITPO ITALY	1,860,033	ITPOs
Iraq	FB/IRQ/08/006	Technology acquisition to restart and generate economic transformation (TARGET)	2,784,112	
	TE/IRQ/08/004	Development of Micro-Industries for the Reintegration of Internally Displaced Persons	1,866,443	
Regional Africa	GF/RAF/07/024	Regional Project to Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals Listed in Annexes A, B and/or C of the Stockholm Convention	2,000,000	GEF funded project, (located in Ghana, Nigeria)

In addition to the above, there will be an evaluation of the **COMFAR Programme** in 2010.

### **MP projects**

As part of its 2008/2009 work programme, OSL/EVA carried out a review of a sample of Montreal Protocol projects with a view to learn more about the theory of change applied and the non-ozone depleting substance (ODS) effects achieved by MP projects. This review, to be finalized in the first quarter of 2010, clearly confirmed the existence of important non-ODS effects (e.g. productivity improvements, improved environmental performance of enterprises) and showed that MP projects represent an untapped learning potential for UNIDO (e.g. in the field of practical methods for technology transfer).

For the 2010/11 biennium, reviews of MP projects will be included in the country evaluations. The purpose of these reviews will be different from the purpose of evaluations of MP projects carried out by the Multilateral Fund Secretariat. While the latter focuses on ODS-phase out results, the UNIDO reviews will primarily look into non-ODS effects and the actual and potential synergies with other UNIDO interventions. This will contribute to the "Delivering as One UNIDO" assessments. Furthermore, towards the end of the biennium, the findings of MP project reviews will be consolidated in a separate thematic MP review report.

### **GEF projects**

During the 2010/11 biennium a number of Global Environment Facility projects is due for evaluation, including three POPs projects, discussed above under strategic evaluations, one International Water project and one Land Degradation project. In addition, two Climate Change (CC) projects (renewable energy) will be evaluated by UNEP and one POPs project and one CC project (energy efficiency) will be evaluated

by UNDP, in their capacity as implementing agencies (old GEF regime). These evaluations will be carried out in cooperation with OSL/EVA and the technical branches concerned.

All evaluations of GEF projects will need to meet GEF quality criteria. This includes realistic assessments of effectiveness and impact of GEF projects in terms of concrete project results (e.g. reduction of green-house gas emissions, phase-out of POPs, reduction of marine pollution). Assessing such results requires the establishment of a project baseline and a sound monitoring system throughout the project. In 2009, the GEF Evaluation Office did a review of the quality of Monitoring and Evaluation plans in GEF project documents. Out of five UNIDO proposals, three did not meet the minimum requirements. OSL/EVA will work together with the GEF team on improving the evaluability of GEF projects.

Together with the already existing evaluation reports of recent UNIDO executed GEF/POPs projects, the information gathered and the conclusions drawn from the POPs project evaluations will be analyzed and fed into a thematic evaluation.

### **Projects to be evaluated by donors**

OSL/EVA will continue to be closely involved in evaluations carried out by donors of UNIDO executed projects. To this category belong projects funded by the EU and the GEF. Annex C provides a list of the foreseen donor-implemented evaluations.

### **Other evaluations**

In order to learn from the e-learning initiative of the procurement unit, there will be an evaluation of the *On-line procurement training* in 2010. Furthermore, there will be an evaluation of UNIDO's *Climate change initiative* in 2011, covering the implementation of the Organization-wide climate policy and the various actions initiated in relation to procurement, business travel, staff awareness and in Buildings Management through the "Greening the VIC initiative".

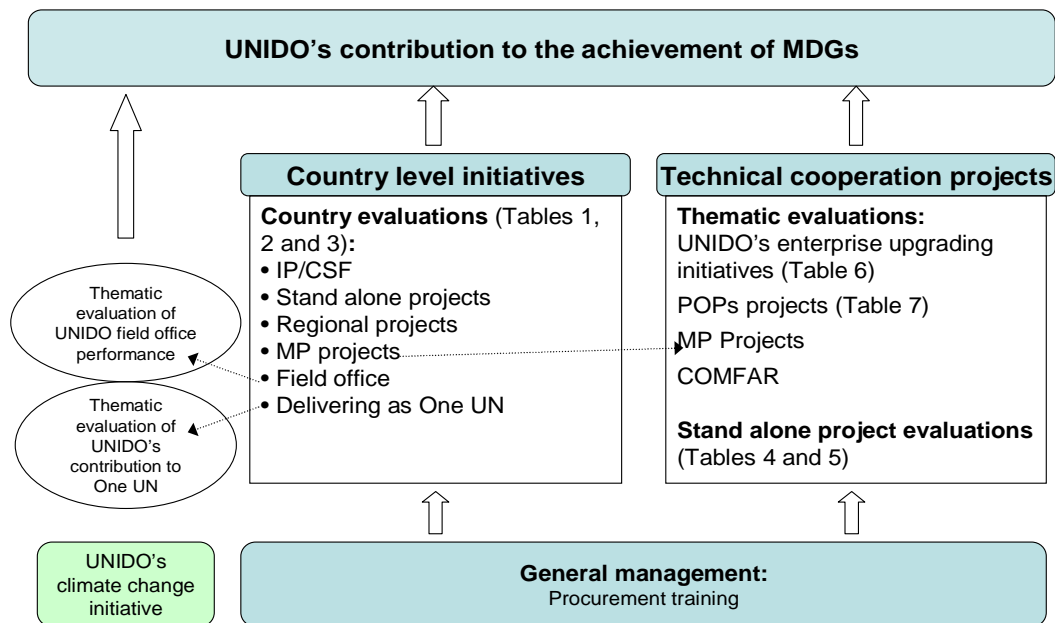
For each one of these evaluations a budget of euro 30,000 will be allocated. Thus, a total of euro 60,000.

## **2.4. Evaluation overview**

The figure below provides an overview of planned evaluations and how they relate to each other. Mandatory project evaluations and components of country evaluations will feed into the thematic evaluations of enterprise upgrading activities, MP projects, POPs, UNIDO Field Offices and UNIDO's contribution to One UN mechanisms. Mandatory evaluations of UNIDO's enterprise upgrading initiatives and POPs will feed into the corresponding thematic evaluations. Finally, and maybe most importantly, the thematic evaluations and their sub-components will assess UNIDO's contribution to the achievement of the MDGs. This means that MDG-related issues and criteria will form part of all ToRs.



**Figure 1: Overview of evaluations**



### 3. Methodological development, learning and capacity building

#### 3.1 Contribution to learning and capacity building

The 2008-2009 ODG/EVA Work Programme to a large extent focused on accountability and on the collection of results information for specific thematic programme areas. During 2010 and 2011 increased attention will be given to the promotion of learning from evaluations (within a broader UNIDO knowledge management strategy), including disseminating evaluation findings and lessons learned with targeted analytical briefing materials and presentations to UNIDO management, technical staff and member governments. Various products and strategies for the promotion of learning and as an input to change management will be developed and tested; evaluation briefs disseminating key findings, semi annual presentations to the executive Board, PTC quarterly presentations and semi-annual PCF presentations.

The thematic evaluations implemented during the previous Work Programme averred positive and have contributed to organizational learning by allowing for systematic analysis of a larger portfolio and synthesis of evaluation findings. During the present biennium ODG/EVA will continue its work to develop a meta/synthesis evaluation methodology.

ODG/EVA will pursue its efforts towards strengthening evaluation capacities of decentralized functions and of partner governments. This is in line with present practices of most development cooperation agencies and, in addition, the continuous

and rapid growth of UNIDO's technical assistance portfolio which makes it difficult for ODG/EVA, at its present capacity, to manage all mandatory project evaluations. However, as already mentioned, ODG/EVA will have a supportive and advisory role in relation to the decentralized project evaluations. In this connection, ODG/EVA will also perform a quality control function of various outputs; primarily ToRs, inception reports and draft evaluation reports.

Moreover, towards the end of 2009 OSL/EVA initiated the development of an **Evaluation Manual** to serve as guidance for ODG/EVA staff, evaluation consultants and UNIDO managers functioning as evaluation managers or evaluators. The first version of the manual will be finalized in 2010. Starting the second half of 2010, the Manual will be used in awareness-raising and training events within UNIDO but also for counterparts in recipient countries. The Manual is expected to serve as an important tool for knowledge management and for developing evaluation capacities of project managers and URs. In addition, ODG/EVA will in 2011, in cooperation with RSF and HRM, implement evaluation training for staff of counterpart ministries, within the context of the UNIDO Institute. It is expected that this will contribute to enhanced utility of evaluations through a closer involvement of host country partners in the evaluation process. OSL/EVA will, furthermore, continue to develop evaluation tools such as evaluation frameworks, evaluation plans, minimum standards, impact evaluation methodology and survey instruments.

### 3.2 Impact evaluations

OSL/EVA will continue its efforts to assess the long-term effects or impact of UNIDO's projects and programmes. The already mentioned overall thematic review of UNIDO's contribution to the MDGs is an illustration of this. Moreover, ODG/EVA will pursue the development of an appropriate methodology for assessing impact and will work together with a few project managers to incorporate impact evaluation modalities already in the planning and design phases of a project/programme. UNIDO will also continue to be active in the Network on Impact Evaluation (NONIE) and in the UNEG Impact Evaluation Task Force.

A major impact evaluation exercise, **SMTQ Sri Lanka**, was initiated by the previous work programme and will be carried over into 2010. This evaluation, which received substantial support from NORAD, allowed experimenting with new methodological tools for impact evaluation and adapting these tools for UNIDO.

An exploratory phase was launched in December 2008 and preliminary results presented and validated at a stakeholder workshop in March 2009. On this basis, a number of additional surveys among laboratories and companies in Sri Lanka and major European importers were carried out and a summary of preliminary findings has been circulated. The final report of this evaluation is expected in 2010.

## 4. Participation in UNEG and other external working groups

ODG/EVA will continue to play an active role in NONIE, in the Steering Group on Results Measurement of the Donor Committee on Enterprise Development as well as in UNEG, including participation in various UNEG task forces. The UNEG 2010 Annual Meeting will take place in April in Vienna and UNIDO will be one of the host organizations of this event. The possibility for joint evaluations with other UN agencies will be explored.

A budget allowing for ODG/EVA staff to participate in meetings and missions of the UN system and GEF has been allocated as well as a budget for capacity development of UNIDO staff and staff of counterpart ministries.

## 5. Estimated budget

The overall budget will cover the evaluations specified above. Each evaluation will be substantiated by a detailed ToR on the basis of which a PAD will be established and implemented, in accordance with UNIDO rules and procedures and in accordance with the procedures applied since 2002.

The implementation of the WP requires funding for fees of external evaluators and for travel of evaluation team members. Table 8 indicates the standard costs estimated for an evaluation of a euro 1 million project, i.e., 3.4 per cent of total cost.

**Table 8: Standard cost estimate for an evaluation (in euro)**

Item	Estimated cost (in euro)
International consultant (fee for 1.0 work month ) x n	15,000
International consultant (DSA, and transportation) x n	5,000
UNIDO evaluator (DSA and transportation) x n	6,000
National consultant (fee for 1.0 work month) x n	3,000
National consultant (DSA) x n	1,000
Local transport cost and miscellaneous expenditures	2,000
Publication cost	2,000
<b>Total per evaluation</b>	<b>34,000 (+)</b>

In accordance with the table above, the estimated cost of an evaluation with a team consisting of one international consultant, one ODG/EVA staff member and one national consultant is estimated at euro 34,000 per month. Actual costs will, *inter alia*, depend on the complexity of the evaluation; the number of evaluators needed, the duration of the evaluation exercise and the number of countries to be visited.

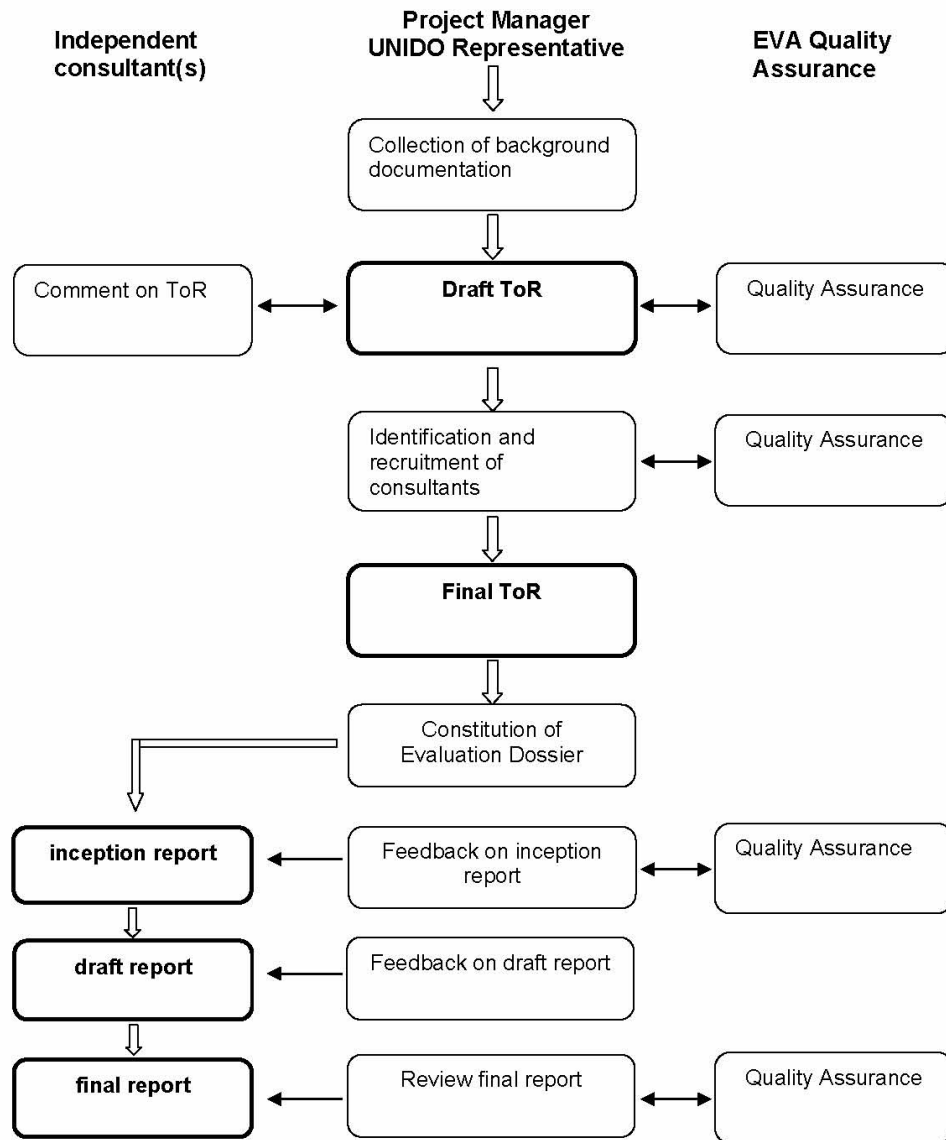
## Overall budget

The overall budget for the biennium is estimated at euro 640,000, out of which euro 290,000 have been allocated for 2010 and euro 350,000 for 2011. This is an 11 per cent increase compared to the 2008/09 ODG/EVA budget, which is justified by the overall growth of UNIDO's Technical Cooperation portfolio and the increased emphasis on learning. The budgetary requirements for the thematic and country evaluations were provided in Tables 4 and 5. The overall budget breakdown for the two years is shown in Table 9 below.

**Table 9: Overall ODG/EVA budgetary requirements 2010 and 2011 (in euro)**

<b>2010</b>	<b>Estimated budgetary requirements (in euro)</b>
Five country evaluations	200,000
Thematic evaluations	35,000
Other evaluations	30,000
Joint missions and activities with international agencies	10,000
Training and capacity building of partners and UNIDO field staff	15,000
<b>Total amount for 2010</b>	<b>290,000</b>
<b>2011</b>	
Five country evaluations	170,000
Thematic evaluations	125,000
Other evaluations	30,000
Joint missions with other international agencies	10,000
Training and capacity building of partners and UNIDO field staff	15,000
<b>Total amount for 2011</b>	<b>350,000</b>
<b>Total amount for biennium</b>	<b>640,000</b>

## ANNEX A: Evaluation Deliverables



## ANNEX B: Country evaluations

Table I. Country evaluations planned in 2010

Country	Project/Programme Title	Allotment (USD)	Remarks
BURUNDI			
Burundi	Integrated Programme	1,118,944	Government request, PCF proposal, 2010
CHINA			
China II	Country Programme	56,619,284	PCF proposal First quarter 2010
TF/CPR/05/005	Refrigeration Servicing Sector CFC phase-out Plan	4,109,091	
MP/CPR/02/071	Terminal umbrella project for the elimination of CFC-12 in manufacturing of epe foam packaging nets at 30 enterprises	4,325,709	Montreal Protocol projects
MP/CPR/03/001	Sector plan CFC final phase-out: domestic refrigeration and domestic refrigeration compressors	5,556,539	
MP/CPR/05/009	Sector plan for methyl bromide production sector	3,000,000	
MP/CPR/08/010	Sector Plan for Methyl Bromide Production Sector (phase II, second tranche)	3,000,000	
INDIA			
India II	Country Programme 2008-2012	29,300,000	PCF proposal Fourth quarter 2010 (mid term)
SF/IND/02/004*	Coal Bed Methane Recovery and Commercial Utilization	3,619,928	Together with UNDP
GF/IND/07/004	Development of a National Implementation Plan (NIP) in India as a First Step to Implement the Stockholm Convention on Persistent Organic Pollutants (POPs)	3,074,700	GEF project, also part of thematic evaluation
UNITED REPUBLIC OF TANZANIA – One UN pilot country			
United Republic of Tanzania II	Integrated Programme	4,653,740	PCF proposal 2010
MOZAMBIQUE – One UN pilot country			
Mozambique II	Integrated Programme	2,193,920	PCF proposal Second quarter 2010

\* this project was implemented together with the UNDP implemented, GEF funded project GNIND98G34 - Coal Bed Methane Recovery and Commercial Utilization, for which an evaluation was carried out by UNDP. The evaluation of SF/IND/02/004 will take the UNDP evaluation into account and will be carried out as part of the Country Evaluation, aiming at identifying complementary and more UNIDO-specific findings.

**Table II: Country evaluations planned in 2011**

Country	Project/Programme Title	Allotment (USD)	Remarks
<b>CUBA</b>			
Cuba II	Integrated Programme	3,079,982	PCF proposal , third quarter 2011
US/CUB/04/151	Transfer of EST for Cleaner Management of Municipal Solid Waste (MSW) in Havana City and "tourist poles" - Pilot Demonstration Project	2,011,000	Mid-term review done (not independent)
GF/MEX/09/001*	Integrated assessment and management of the gulf of Mexico large marine ecosystem (Cuba component of regional project)	4,502,500	PTC proposal, mid-term eval. in June 2011, project funds available
<b>MEXICO</b>			
US/GL0/05/001	UNIDO Service in Mexico for the promotion of industrial investment and technology (ITPO)	1,166,909	ITPO
GF/MEX/09/001*	Integrated assessment and management of the gulf of Mexico large marine ecosystem (Mexico component of regional project)	4,502,500	PTC proposal, mid-term eval. in June 2011, project funds available
SF/MEX/06/001	Establishment of a bamboo skills development and demonstration centre in Huatusco-Veracruz	899,007	Montreal Protocol projects
TF/MEX/08/002	National phase-out of MB-terminal project	994,018	
MP/MEX/08/001	National methyl bromide phase-out plan (FIRST TRANCHE)	2,000,000	
MP/MEX/07/005	Phase-out of CFC consumption in the manufacture of aerosol MDIS	2,630,503	
MP/MEX/07/003	Umbrella project for terminal phase-out of CTC	1,518,094	
<b>MOROCCO</b>			
Morocco II	Integrated Programme	9,545,64	PCF proposal , first quarter 2011
TF/MOR/00/001	Programme conjoint pour la constitution d'une cellule de promotion des investissements (CPI) au Maroc	1,573,362	IP project
GF/MOR/09/001	Participatory control of desertification and poverty reduction in the arid and semi-arid high plateful ecosystems of eastern Morocco	5,998,422	Mid-term eval. end of 2011
MP/MOR/05/003	Phase-out of methyl bromide used for soil fumigation in tomato production (third tranche)	1,670,995	Montreal Protocol project
<b>RWANDA – One UN pilot country</b>			
Rwanda	Integrated Programme	2,982,735	
<b>VIET NAM – One UN pilot country</b>			
Viet Nam II	Integrated Programme	15, 349,063	
US/VIE/08/004	Post WTO Accession Support to Vietnam-TBT/SPS Compliance capacity dev. related to key support sectors	2,142,000	Also part of thematic evaluation
TF/VIE/08/001	Technical Assistance to Business Registration Reform in Viet Nam (Phase A, Module I)	3,422,365	PTC proposal, second half of 2011, funds in PD foreseen
US/VIE/04/064	Promotion of new cleaner production services in Viet Nam through VNCPC: Cleaner technology promotion, implementation and transfer; second-generation CP services-Phase II	2,017,925	Evaluated in 2008 (thematic), final evaluation planned
TE/VIE/08/003	SME Cluster development	1,019,915	PTC proposal, end Oct. 2011, budget revision planned for EVA
TE/RAS/06/001	Trade Capacity Building in the Mekong Delta Countries Cambodia, Lao PDR and Viet Nam, through Strengthening Institutional and National Capacities Related to SMTQ – Phase II	1,896,482	PTC proposal; also part of Viet Nam country eval.

\* this is a regional project with activities in Mexico, Cuba and the USA. As local components of regional projects are part of the new Country Evaluations, the evaluation of this regional project will feed into both Country Evaluations in Cuba and Mexico.

## ANNEX C: Donor evaluations

**Table III: Projects to be evaluated by donors (UNIDO involvement to be decided)**

Donor	Number	Project Title	Allotment (USD)	Remarks
European Union	EE/BGD/05/A02	Bangladesh Quality Support Programme - Textile component	2,356,191	PTC proposal
	EE/BGD/05/B02	Strengthening the Fisheries/Shrimps Inspection Capacity and the Competitiveness of the Shrimp Sector	3,514,590	PTC proposal
	EE/CMR/08/002	Programme pilote d'appui à la mise a niveau, la normalisation et la qualité au Cameroun	1,111,403	PTC proposal
	EE/IVC/07/001	Programme de Prevention et de Controle de la Contamination du Cafe et Cacao par l'Ochratoxine A (OTA) en Côte d'Ivoire	2,525,108	PTC proposal
	EE/MOZ/08/001	Business Environment Support and Trade Facilitation	2,193,920	PTC proposal, considered in country eval.
	EE/RAF/07/017 EE/RAF/07/A17	Competitiveness Support and Harmonisation of TBT and SPS Measures	3,736,598	PTC proposal,
	EE/SUD/07/004	Enhancing the capacity of Khartoum State in the delivery of pro poor vocational training services	13,229,007	PTC proposal
France, EURO account	TE/RAF/07/001	Restructuring and Upgrading of Industries in UEMOA Countries	8,691,444	PTC proposal, by UEMOA, considered in upgrading eval.
UNDG Iraq Trust Fund	FB/IRQ/08/007	Private sector development programme for IRAQ	1,777,327	PTC proposal, evaluation by UNDP (upon completion Dec. 2011)
UNDP	EG/GLO/03/G31	Global Programme to Demonstrate the Viability and removal of Barriers that Impede Adoption and successful Implementation of Available Non-Combustion Technologies for Destroying POPs in Slovakia	10,004,040	Will be considered in thematic POP evaluation
	GN/IND/98/G34	Coal bed methane recovery and commercial utilization in India	8,155,640	
UNEP	GP/CUB/05/001	Generation and Delivery of Renewable Energy Based Modern Energy Services; the Case of Isla de la Juventud	2,400,000	
	GP/RAF/08/004	Demonstrating and capturing best practices and technologies for the reduction of land-sourced impacts resulting from coastal tourism	500,000	PTC proposal
	GP/ZAM/06/001	Renewable Energy Based Electricity Generation for Isolated Mini-Grids in Zambia	2,700,000	