Independent Evaluation Division
Office of Evaluation and Internal Oversight

Synthesis of UNIDO Independent Evaluations 2015-2018

Volume II - Annexes

UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

INDEPENDENT EVALUATION DIVISION
OFFICE OF EVALUATION AND INTERNAL OVERSIGHT

Synthesis of UNIDO Independent Evaluations 2015-2018

(Volume II - Annexes)

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Annex 1. METHODOLOGY

The Team conducted meta-analysis of UNIDO terminal evaluations. This type of approach is becoming increasingly prevalent in development agencies to capitalize on evaluation work conducted through the independent evaluation functions to gain an overall organizational perspective of performance. The methodology needed to be easily reproducible and take a consistent approach for the validation of ratings, baseline and performance indicators, targets, trends and counterfactuals. The methodology also allowed for lessons to be drawn from the realities of the scope and scale of UNIDO's operations.

1. Inception

The inception comprised of the formulation of the evaluation; the development of a project review summary template; and the identification of project, thematic and country evaluations to be included in the synthesis. The development of a project review summary necessitated the identification of key elements to be included in the synthesis.

2. Desk review

The desk review focused on the documentary review of the Terminal Evaluations for the identified projects. The review format followed the project review summary template in Annex 3.

3. Project evaluation summaries

Project evaluation summaries were developed as outcomes of the desk reviews completed in Phase 2. Key points included an overview of the project in terms of key dates, stakeholders and donors, co-financing, project rationale and objectives, and project results. Summaries also included project impacts, factors that impacted on project performance, and conclusions, recommendations and key lessons learnt. As Annex 3 shows, the summaries included an overview of the project performance as evaluated on the Bennett Hierarchy (see Section 4 for a description of the Bennett Hierarchy).

Summaries were completed by the research analysts and subsequently sent to the senior independent evaluator and internal IED evaluator for review. Project evaluations for which a rating was not allocated by the evaluation team underwent a ratings process during this phase. The research analysts allocated a rating and noted this rating in a separate Excel spreadsheet. The summary was then sent to the senior independent evaluator as well as to the internal IED evaluator to be allocated a rating. At no point during this process was the ratings per project shared. This approach to the triangulation of data allowed for the verification of the assigned ratings.

4. Analysis

A mixed method analysis of the evaluations was done using the summaries completed in Phase 3. For the qualitative analysis, the review made use of an inductive thematic analysis in which themes and patterns were identified within data. Qualitative data was summarised and a descriptive statistical analysis was done in Excel.

An analysis by exception was undertaken for projects identified as rating Highly Satisfactory (HS) or Satisfactory (S) in both design and implementation, as well as for projects that transitioned from a Moderately Satisfactory (MS) in design to an S in implementation, in order to identify key best practice in design and implementation.

5. **Synthesis**

The last phase, synthesis, comprised of the 'bringing together' of key issues related to the results and performance of UNIDO projects between 2015 and 2018 into a draft evaluation report. The synthesis assessed the evaluative evidence by utilising a mixed methods approach. The overall synthesis resulted in the identification of the main factors that affects the results and performance; the drivers of success and key constraints; and the lessons learnt, conclusions and recommendations that will inform future evaluations.

There are links between each of the UNIDO result domains and SDG 9 targets. For example, technology improvement can be linked with target 9.5 which aims to "enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, in particular developing countries"; target 9A "Facilitate sustainable and resilient infrastructure development in developing countries through enhanced financial, technological and technical support to African countries, least developed countries, landlocked developing countries and small island developing States" aligns with the results domain of financial investment/leverage. Therefore, the synthesis can assist UNIDO in its reporting on its role as SDG 9 custodian.

Results Domain

The result domains will be tested through the application of the synthesis process and may be subject to review and amendment. UNIDO has detailed output and outcome indicators but little detailed data that would enable reporting for these results domains. As first time initiative to assess results in this way, the evidence is evaluations will be extracted using the extraction template and analyzed. The same template will be used to generate the evidence for the focus chapter on M&E. A test of the methodology will be carried out and adjustments may be made before full analysis.

Methodological limitations

A discussion on the methodological limitations and actions taken to mitigate the effect of the limitations are available in section 2.2.

Limitations identified included: The table below explains these limitations and also any actions taken to mitigate the effect of the limitation on the report findings.

Limitations and Mitigation Measures

Limitation	Potential effect on Findings and Recommendations	Mitigation measures
1. Evaluations (with detailed data) are conducted for only a proportion of the portfolio. Data extraction for all projects in the UNIDO portfolio is not easily available.	Accurate and comprehensive data on the UNIDO portfolio would help to identify/analyze/represent the full portfolio. Little data is available on outcome and output level to substantiate/compare evaluation results with wider portfolio	• Some overall UNIDO portfolio data was manually extracted from the SAP database but this was time intensive so cross analyses is limited. • Suggestions for future analyses are included where they are important to deepen learning. • Use evaluation data on outcomes and impact to highlight achievements and barriers to

Limitation	Potential effect on Findings and Recommendations	Mitigation measures
		impact, which can be further tested in the wider portfolio. • As part of M&E recommendations raise issues of data system challenges & incomplete data
2. Only projects with a portfolio value of USD 1 million and over (changed to USD 2 m in March 2016) are subject to independent evaluation	Sample of project evaluations reviewed is biased towards larger projects and may not reflect lessons learned that are more appropriate to smaller projects.	• Limitation cannot be addressed within the scope of this contract • Ensure that limitation is clearly stated and recognized • Consider sample evaluations of smaller projects in future to assess if results differ due to project size.
3. Higher proportion of larger projects are also GEF projects	Potential bias of findings towards GEF projects.	• Clear statement of the proportion of GEF evaluations compared to total evaluations covered • Cross- analysis of GEF/other funder results. • Qualify any results emerging that are specific to GEF projects compared to other projects.
4. Evolution in resources/quality/ rating process of evaluation reports.	The evaluation process has evolved during the period of review with changes in methodology and processes. Resources for evaluation have not always been consistent. As a result, some variability of evaluation report content and data gaps are experienced.	• Apply a consistent methodology based on the UNIDO evaluation manual so that any variability can be identified and noted • Where ratings have not been generated for all evaluation criteria, have a robust, triangulated process of rating in line with current practice

Annex 2. EVALUATED PROJECTS, RATINGS/PROJECT ABBREVIATIONS

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
104122	Identification, evaluation and prioritization of pollution ''hot-spots" in the basins of transborder reservoirs and transfer of environmentally sound technologies	Pollution hotspots in trans-border reservoirs	Russian Federation		6	5	6	4	5
100046	Promoting energy efficiency technologies in beer brewery in Burkina Faso	EE technologies in beer brewery	GEF	5	6	4	3	5	4
GF/CPR/07/009	Strengthening institutions, regulations and enforcement (SIRE) capacities for effective and efficient implementation of the national implementation plan	SIRE capacities for implementation of NIP	GEF		6	6	5	5	5
GF/GLO/11/013	Development of the guidelines for updating of National implementation plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention	National Cleaner Production Programme	GEF	4	6	6	5	4	5
104143	National Cleaner Production Progamme - Republic of Moldova	Guidelines for NIPS under Stockholm Convention	Austria	6	5	6	6	5	5
104107	Strengthening of the National Cleaner Production Centre in Tunisia, part one: Phases 1 and 2	National Cleaner Production Centre strengthening	Switzerland		6	4	4	3	4
100340	Reduction of toxic pollution threatening the environment and health of vulnerable communities	Reduction of toxic pollution	EU	5	5	5	4	3	4

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
104149	Global programme to demonstrate the viability and removal of barriers that impede the adoption and successful implementation of available non-combustion technologies for destroying persistent organic pollutants	Implementation of non-combustion technologies for destroying POP's	GEF		5	4	3	4	4
100025	Horlivka Chemical Plant remediation	Horlivka Chemical Plant	multi donor	5	6	4	4	3	4
104052	Environmentally Sound Management and Disposal of PCBs	Management and Disposal of PCBs	GEF	5	6	4	5	4	5
104034	Reducing Greenhouse Gas Emissions through Improved Energy Efficiency in the Industrial Sector	Reducing Greenhouse Gas Emissions through improved EE	GEF		6	5	5	4	5
103081	Promoting Industrial Energy Efficiency through System Optimization and Energy Management Standards in Vietnam	Industrial EE through system optimisation	GEF		6	5	5	5	5
104121	BAT/BEP Center for Environmentally Safe Disposal of Potentially Hazardous Consumer Products and Industrial Wastes	BAT/BEP Centre disposal of hazardous waste	Russia	5	6	5	5	5	5
120107	Green Industry Initiative, phase II	Promoting RE based mini grids	Multi donors	3	4	4	3	3	3
100184	SPWA-CC:Promoting Renewable Energy Based Mini Grids for Rural Electrification and Productive Uses	Green Industry Initiative	GEF	3	5	5	3	4	4

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
106053	Upgrading the Medicinal and Aromatic Plant Value Chain – Access to Export Markets (EMAP)	Medicinal and Aromatic Plant Value Chain	Switzerland		4	5	3		4
130257	UNIDO Services in Japan for the promotion of industrial investment in developing countries (ITPO)	UNIDO services in Japan (ITPO)	Japan	4	5	5	5	5	5
102175	Country Framework of support to the United Nations Development Assistance Plan (UNDAP) 2011-2015: Economic growth. Tanzania Industrial Upgrading and Modernization Programme (TIUMP)	TIUMP	One UN	4	5	5	3	3	4
103017	Industrial Energy Efficiency in Ecuador (IEEE)	Industrial Energy Efficiency	GEF	3	5	4	4	5	4
140231	Countering Violence and Extremism through Skills Training and Livelihoods Support for At-Risk Youth in Kismayo (CSR II)	Countering violence and extremism	Japan	4	5	5	6	4	5
100186	Promoting Renewable Energy Based Grids in Rural Communities for Productive Uses in Côe d'Ivoire	Renewable Energy Based Grids	GEF	6	6	5	5	5	5
100338	Reduction of mercury emissions and promotion of sound chemical management in zinc smelting operations	Mercury emissions and zinc smelting operational management	GEF	5	6	6	5	4	5
150054	Enhancing youth employability and entrepreneurship in the United Republic of Tanzania	Youth employability	One UN	4	6	5	4	5	5

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
104066	Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm Convention on POPs	BAT and BEP in response to POPs	GEF	5	6	5	5	4	5
120182	Promoting ultra-low-head micro hydropower technology to increase access to renewable energy for productive uses in rural India	Ultra low-head micro hydropower technology	japan	4	6	5	5	5	5
140084	Support programme for mainstreaming UN system wide coherence and Delivering as One through the development of CCA/UNDAF/DaO activities and technical cooperation portfolio at UNIDO Field level	CAIME	UNIDO	2	4	4	3	2	3
100041	Evaluación final independiente. Centro de Automatización Industrial y Mecatrónica (CAIME)	Delivering as One	Uruguay	6	6	6	3	5	5
120016	Improve the Health and Environment of Artisanal and Gold Mining Communities in the Philippines by Reducing Mercury Emissions	Artisanal and Gold mining communities	GEF	4	6	5	5	5	5
120344	Clean Energy Technology Innovation Programme for increased Competitiveness of the National Economy in Armenia	Clean Energy Technology Innovation Programme	GEF	4	6	4	4	4	4

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
120212	Learning and Knowledge Development Facility: A SIDA-UNIDO Manufacturing Skills Development Resource	Environmentally sound management of PCBs	Sweden	6	6	6	5	4	5
130067	Revitalization of forest training centres in the SADC region for green employment	SIDA-UNIDO	Finland	5	5	5	5	4	5
104054	Environmentally sound management and disposal of Polychlorinated Biphenyls (PCBs)	Green employment	GEF	4	4	6	5	4	5
106034 and 106078	Market Access and Trade Facilitation for SAARC Countries (South Asian Association for Regional Cooperation) Bhutan, Nepal and Maldives, through strengthening of Institutional and National Capacities related to Standards, Metrology Testing and Quality (SMTQ) – Phase III	Market Access and Trade Facilitation Support for South Asian LDCS	Norway	3	4	4	3	3	3
140117	Improving Competitiveness of Export-Oriented Industries in Armenia through Modernization and Market Access	Modernisation and market access	Russia	5	6	5	5	4	5
104051	Safe PCB Management Programme in Morocco, Pillar II. Environmentally sound management and disposal of PCB-contaminated transformers in Morocco	Safe PCB Management Programme	GEF	5	6	4	4	4	4
120097	Reduce exposure of mercury to human health and the environment by	Reduced exposure to mercury	GEF	4	6	5	5	5	5

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
	promoting sound chemical management in Mongolia								
100271	Independent terminal evaluation. Implementing integrated measures for minimizing mercury releases from artisanal gold mining	Minimising mercury releases for artisanal gold mining	GEF	5	6	4	4	4	4
140026	Promoting women empowerment for Inclusive and Sustainable Industrial Development in the MENA region	Women empowerment in MENA region	Italy	5	6	6	5		5
104030	Independent terminal evaluation. Environmentally Sound Management and Disposal of Polychlorinated Biphenyls (PCBs) in the Republic of Azerbaijan	Management and disposal of PCBs in Azerbaijan	GEF	5	6	4	4	4	4
120220	Supporting Job Training for Youth in Guinea/ Appui à la formation à l'emploi des jeunes en Guinée	Job training for youth	Japan	2	4	4	3	2	3
130130	Independent terminal evaluation. Building institutional capacities for the sustainable management of the marine fishery in the Red Sea State	Marine fishery in Red Sea State	Norway	5	6	5	5	4	5
100089	Green Trade Initiative (GTI)	Green Trade Initiative	Egypt	5	5	5	4		4
100050	Joint UNIDO-UNEP Programme on Resource Efficient and Cleaner Production (RECP) in Developing and Transition Countries	UNIDO-UNEP programme on RECP	Switzerland	3	5	5	4	4	4
100336	Improve the Health and Environment of Artisanal Gold Mining Communities	Improve Health and Environment of Artisanal Gold	GEF		5	4	4	4	4

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
	by Reducing Mercury Emissions and Promoting Sound Chemical Management	Mining Communities by reducing mercury emissions							
120203 - 140098	Independent terminal evaluation. Human Security Through Inclusive Socio-economic Development in Upper Egypt (HAYAT)	HAYAT	Japan - Switzerland	4	6	6	4	5	5
120096	Independent terminal evaluation. GEF-UNIDO Cleantech Programme for SMEs in Malaysia	GEF-UNIDO Cleantech programme	GEF	4	6	5	5	4	5
104036	Independent terminal evaluation. Environmentally sustainable management of medical wastes in China	Medical waste management in China	GEF		6	5	4		5
120227	Independent terminal evaluation. Investment promotion on environmentally sound management of electrical and electronic waste: Up-scale and promotion of activities and initiatives on environmentally sound management of electrical and electronic waste	Management of electrical and electronic waste	GEF	5	6	4	4	4	4
103023	Independent terminal evaluation. Promoting renewable energy-based mini grids for productive uses in rural areas in the Gambia	Renewable energy-based mini grids	GEF	6	6	5	5	5	5
103042	Independent Terminal Evaluation: Industrial energy efficiency for	IEEMMS	GEF		6	5	5	4	5

SAP ID	Title of evaluation report	Abbreviation used in report	Donor	Overall design	Relevance	Effectiveness	Efficiency	Likelihood of sustainability	Overall performance assessment
	Malaysian manufacturing sector (IEEMMS)								
120621	Reducing greenhouse gas and ODS Emissions through technology transfer in industrial refrigeration	Reducing greenhouse gas and ODS emissions in industrial refrigeration	GEF	5	6	4	4	4	4
120623	Reducing greenhouse gases and ODS emissions through technology transfer in the industrial refrigeration and air conditioning sector	Reducing greenhouse gas and ODS emissions in the industrial refrigeration and air con sector	GEF	4	6	4	3	4	4
106078	Trade capacity-building in the Mekong Delta countries of Cambodia and Lao People's Democratic Republic through strengthening institutional and national capacities related to standards, metrology, testing and quality (SMTQ) phase III	Trade Capacity-Building in the Meking Delta	Norway	3	4	3	3	3	3

N=53

Annex 3. FRAMEWORK TO ANALYZE EVALUATION REPORTS

The following framework was developed by the Synthesis team to capture consistent data from each evaluation report to enable the aggregation and systematic analysis of information. The eight results domains were generated based on UNIDOs Integrated Results Performance Framework; a synthesis of outcomes emerging from the UNIDO portfolio, and drawing on work related to the Bennett Hierarchy[1].

1. Technological results

Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Customisation							
Transfer							
Adaptation to context (pilot)							
Industry/Business model							
Direct adoption							
Wider scale adoption							
Improved processes							
Improved access to business finance							
Business cost savings							
Environmental benefits							
Social benefits							
Hard infrastructure development							
Soft infrastructure development							

2. Viable business models/demonstration

Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Business model identified							
Business model proven/demonstrated							
Private sector investment in business model							
Improved access to business finance							

3. Finance leverage for replication/upscaling

[1] The Bennett hierarchy model presents a basic results chain, describing seven steps that are necessary to get from input to impact. This model has been applied by UNIDO as a results planning model that is scalable at project, programme, initiative, country, and corporate level, and supports the whole programme cycle. (Source: UNIDO 2018, Integrated results and performance framework - definition of indicators and setting of targets. (PBC.34_CRP.02)).

Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Replication mechanism proven							
Availability of incentives for replication/upscaling							
Upscaling mechanism with financial commitment							
Private sector investment in upscaling							
Increased co-financing							

4. **Policy**

Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Drafting of new/revised laws, regulations, adm. Procedures …							
Whole or part of new/revised laws, regulations, adm. Procedures … approved/adopted by the government							
Changes in new/revised laws, regulations, adm. Procedures …							
Changes resulting from the policy/legal changes (incentives, compliance, enforcement…)							

5. **Norms and standards**

Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Introduce new Trade/industry standards							
Improve existing Trade/industry standards							
New/improved trade/industry certification process							
Skills development on governance/implementation of trade/industry norms and standards							
Improve compliance with existing standards by industry							
Improve guidelines for implementation of norms and standard							

Introduction of trade/industry/entrepreneurship norms into education system							
Implementation of standards							

6. **Institutions**

Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Strengthen existing trade/industry institutions							
Strengthen institutions with a trade/industry governance role							
Establish new trade/industry/MSME service/support institutions							
Improve trade/industry/MSME service/support institutions							

7. **Partnerships**

Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Strengthen existing partnerships							
- Government partners							
- Technical partners							
- Private sector partners							
- Financial partners							
- Advocacy partners							
- Community partners							
Establish new partnerships							
- Technical partners							
- Private sector partners							
- Financial partners							
- Advocacy partners							

8. **Knowledge building**

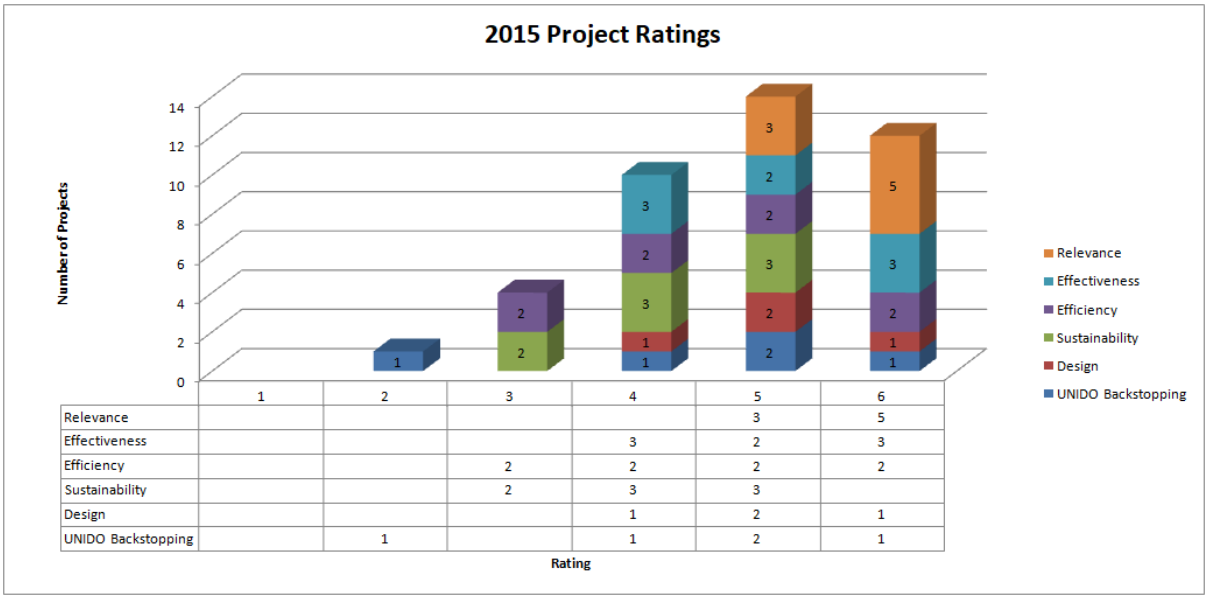
Description							
Bennett Hierarchy	1	2	3	4	5	6	7
Generate new trade/industry/MSME-related knowledge							
Compile existing trade/industry/MSME-related knowledge							

Dissemination of trade/industry/MSME-related knowledge							
Use of trade/industry/MSME-related knowledge							
Entrepreneurship/vocational development knowledge processes							

Annex 4. ADDITIONAL DATA ANALYSIS

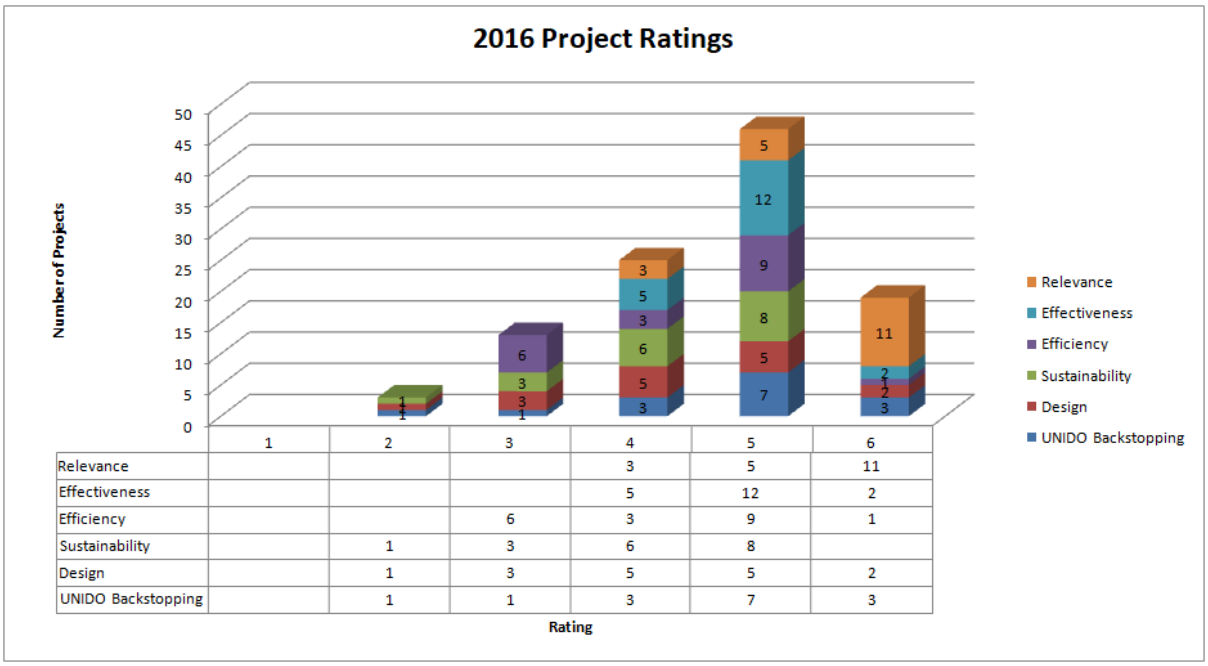
1. Performance data per year

a. Projects evaluated in 2015



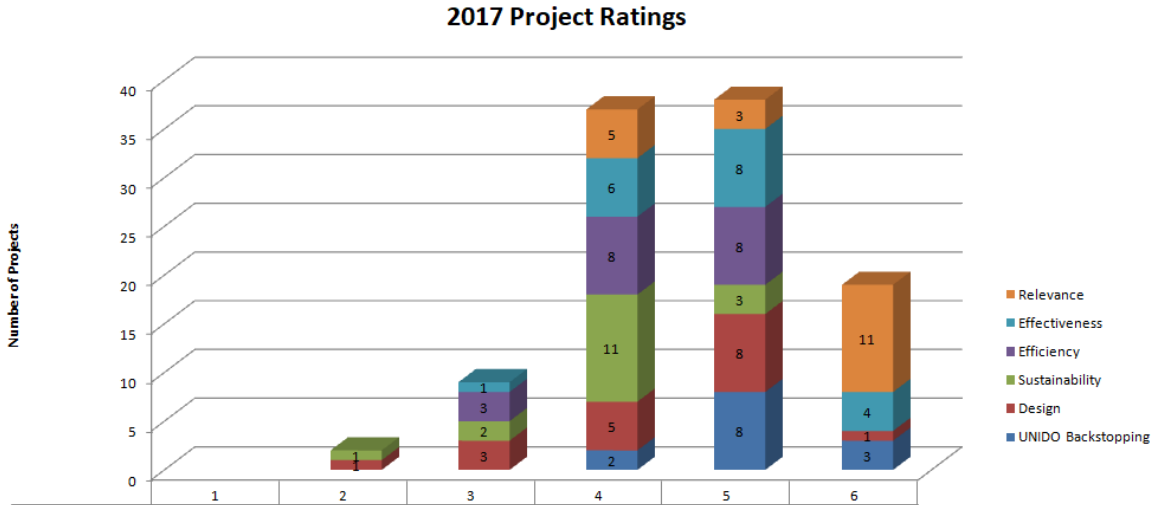
	1	2	3	4	5	6
Relevance					3	5
Effectiveness				3	2	3
Efficiency			2	2	2	2
Sustainability			2	3	3	
Design				1	2	1
UNIDO Backstopping		1		1	2	1

b. Projects evaluated in 2016



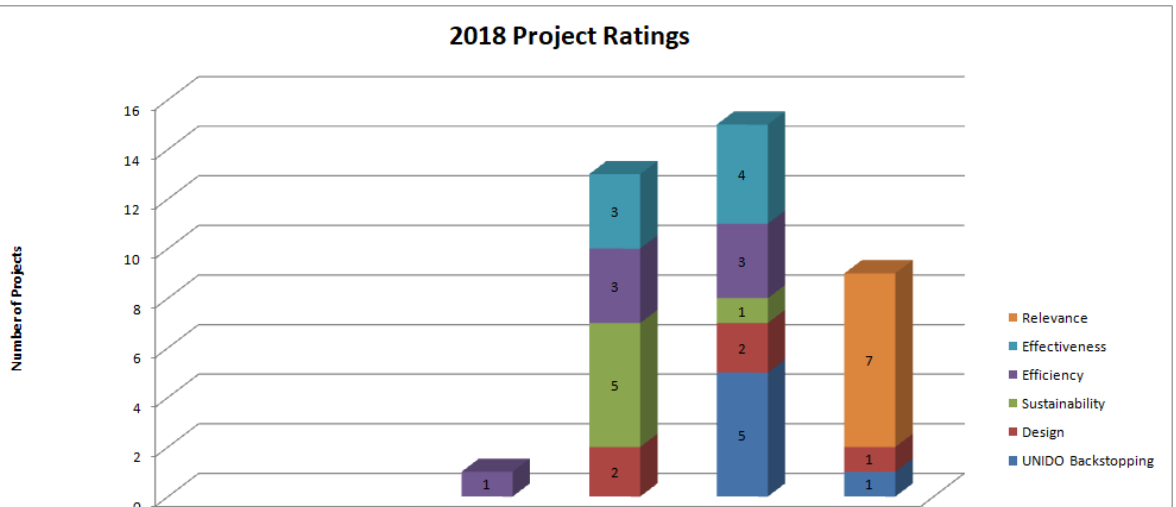
	1	2	3	4	5	6
Relevance				3	5	11
Effectiveness				5	12	2
Efficiency			6	3	9	1
Sustainability		1	3	6	8	
Design		1	3	5	5	2
UNIDO Backstopping		1	1	3	7	3

c. Projects evaluated in 2017



	1	2	3	4	5	6
Relevance				5	3	11
Effectiveness			1	6	8	4
Efficiency			3	8	8	
Sustainability		1	2	11	3	
Design		1	3	5	8	1
UNIDO Backstopping				2	8	3

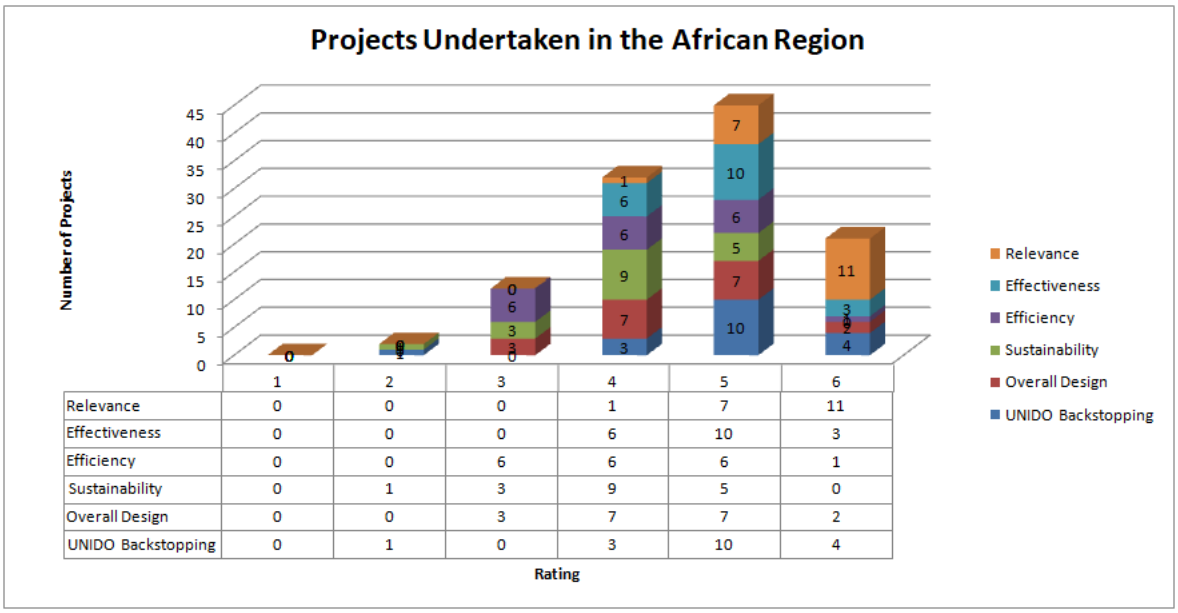
d. Projects evaluated in 2018



	1	2	3	4	5	6
Relevance						7
Effectiveness				3	4	
Efficiency			1	3	3	
Sustainability				5	1	
Design				2	2	1
UNIDO Backstopping					5	1

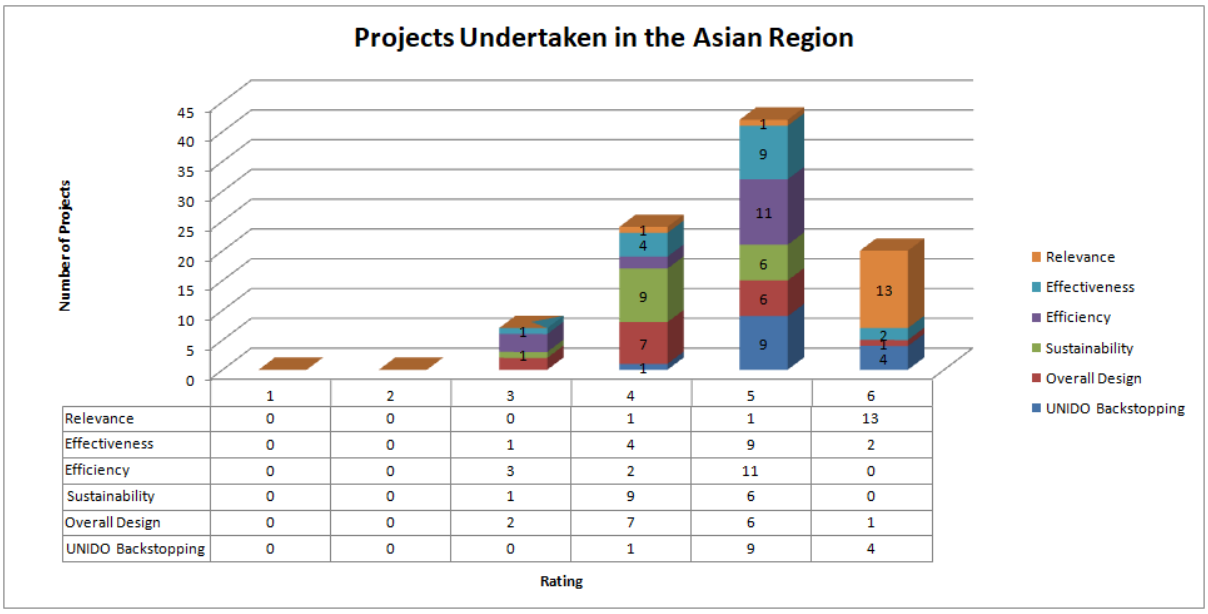
2. Performance data per region

a. Projects undertaken in the African region



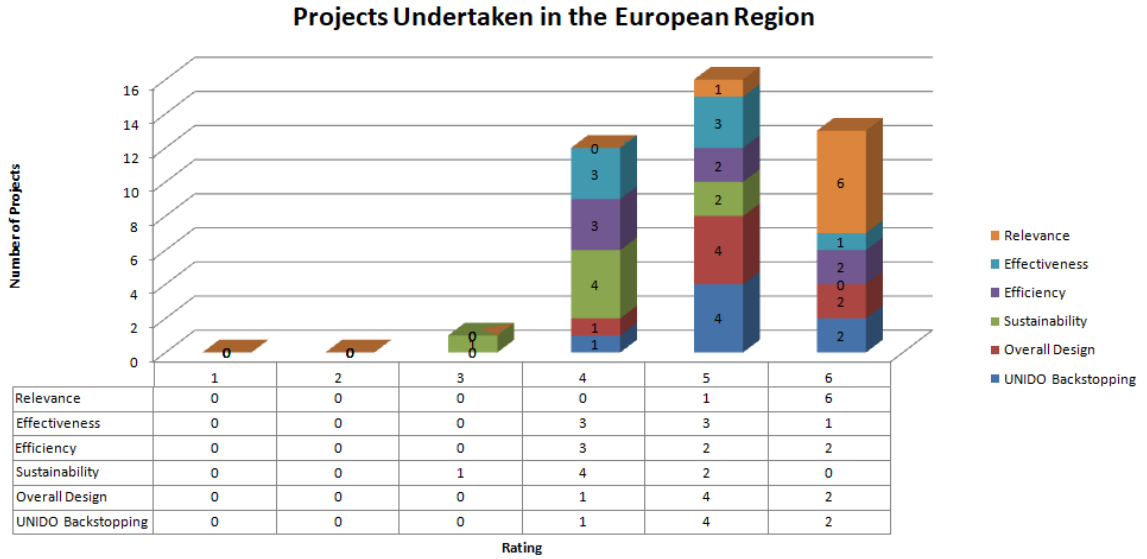
	1	2	3	4	5	6
Relevance	0	0	0	1	7	11
Effectiveness	0	0	0	6	10	3
Efficiency	0	0	6	6	6	1
Sustainability	0	1	3	9	5	0
Overall Design	0	0	3	7	7	2
UNIDO Backstopping	0	1	0	3	10	4

b. Projects undertaken in Asian region



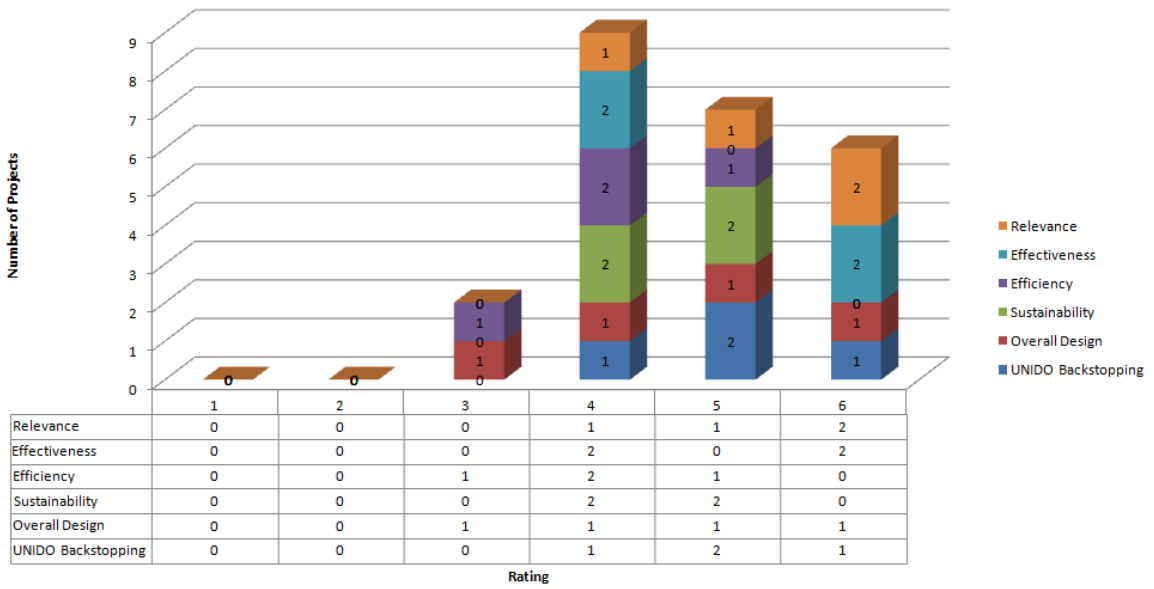
	1	2	3	4	5	6
Relevance	0	0	0	1	1	13
Effectiveness	0	0	1	4	9	2
Efficiency	0	0	3	2	11	0
Sustainability	0	0	1	9	6	0
Overall Design	0	0	2	7	6	1
UNIDO Backstopping	0	0	0	1	9	4

c. Projects undertaken in the European Region



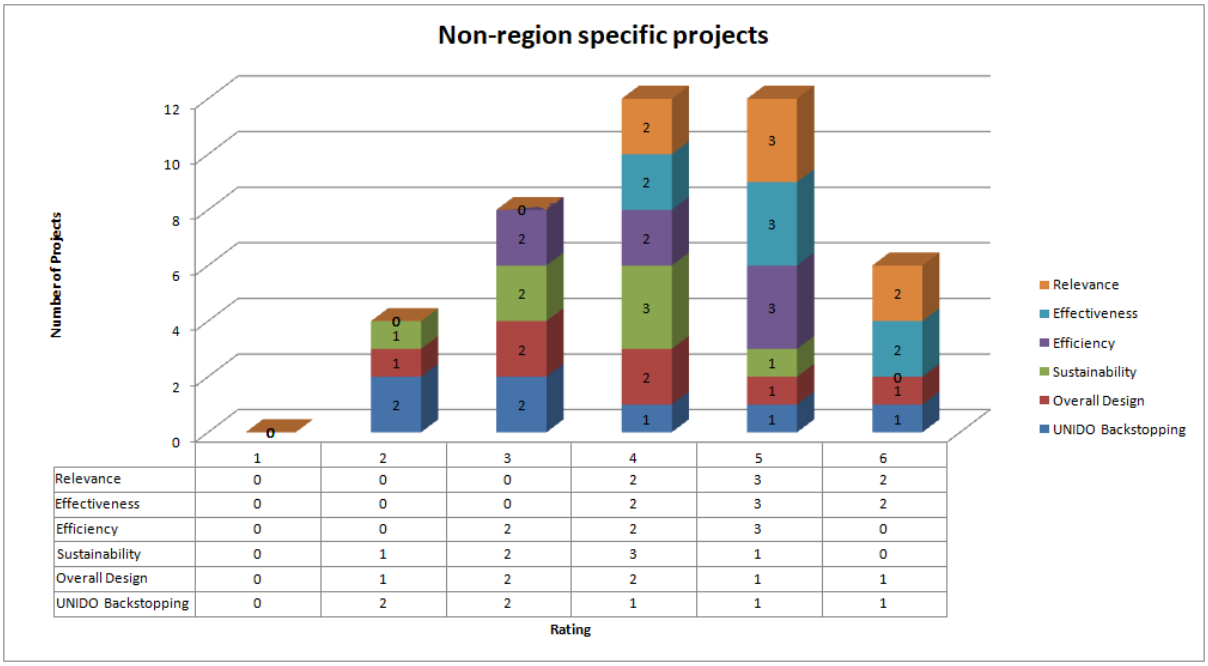
	1	2	3	4	5	6
Relevance	0	0	0	0	1	6
Effectiveness	0	0	0	3	3	1
Efficiency	0	0	0	3	2	2
Sustainability	0	0	1	4	2	0
Overall Design	0	0	0	1	4	2
UNIDO Backstopping	0	0	0	1	4	2

d. Projects undertaken in the Latin America region



	1	2	3	4	5	6
Relevance	0	0	0	1	1	2
Effectiveness	0	0	0	2	0	2
Efficiency	0	0	1	2	1	0
Sustainability	0	0	0	2	2	0
Overall Design	0	0	1	1	1	1
UNIDO Backstopping	0	0	0	1	2	1

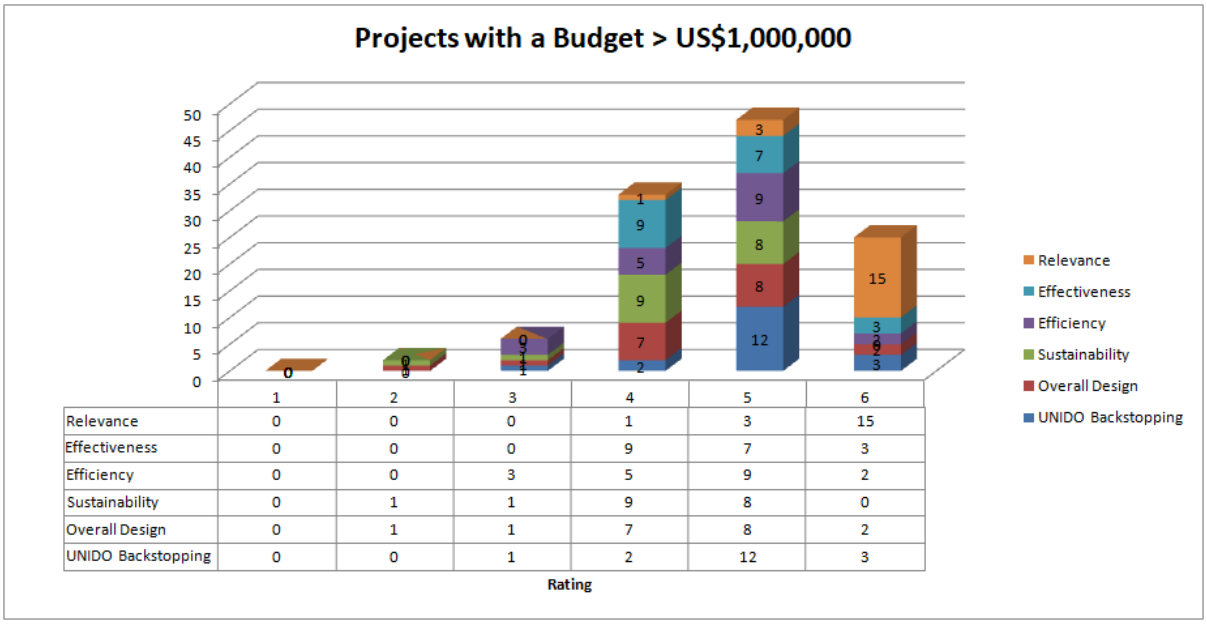
e. Projects undertaken in Non-region specific projects



	1	2	3	4	5	6
Relevance	0	0	0	2	3	2
Effectiveness	0	0	0	2	3	2
Efficiency	0	0	2	2	3	0
Sustainability	0	1	2	3	1	0
Overall Design	0	1	2	2	1	1
UNIDO Backstopping	0	2	2	1	1	1

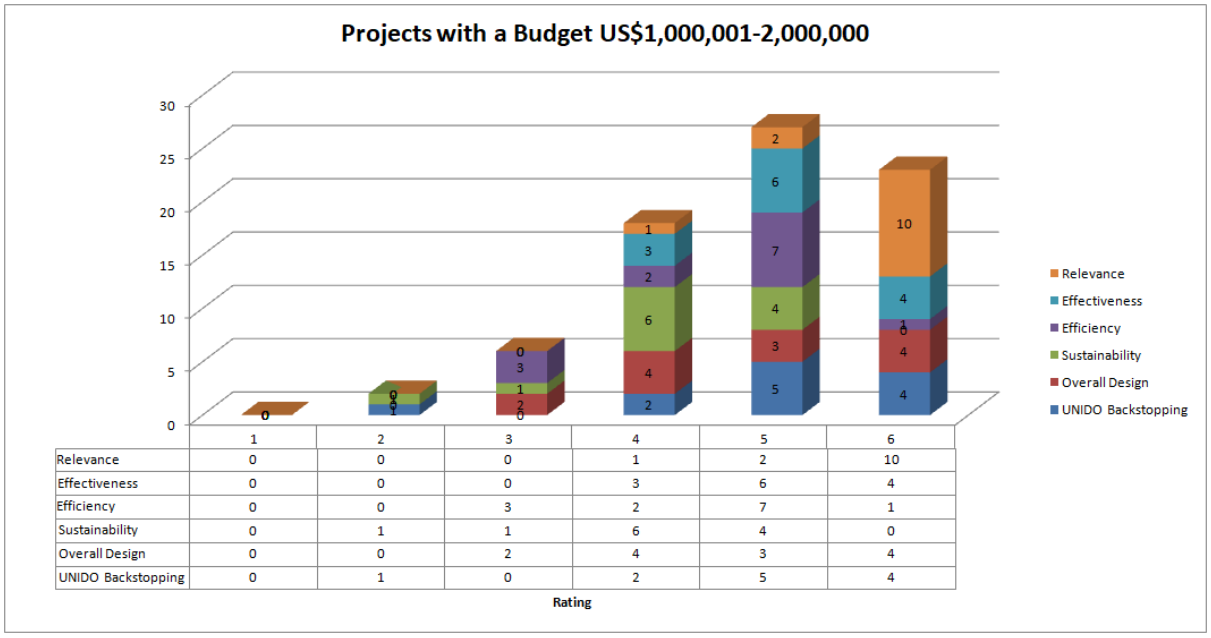
3. Performance rating per budget

a. Projects with a budget of <USD 1 Million



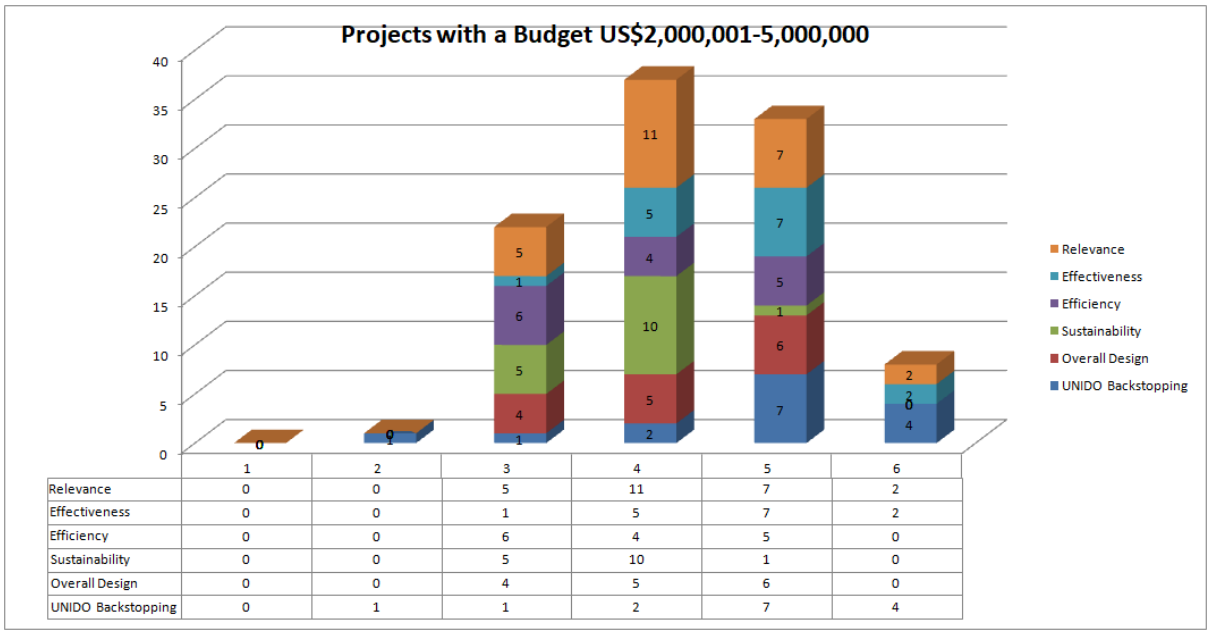
	1	2	3	4	5	6
Relevance	0	0	0	1	3	15
Effectiveness	0	0	0	9	7	3
Efficiency	0	0	3	5	9	2
Sustainability	0	1	1	9	8	0
Overall Design	0	1	1	7	8	2
UNIDO Backstopping	0	0	1	2	12	3

b. Projects with a budget of USD 1 – 2 Million



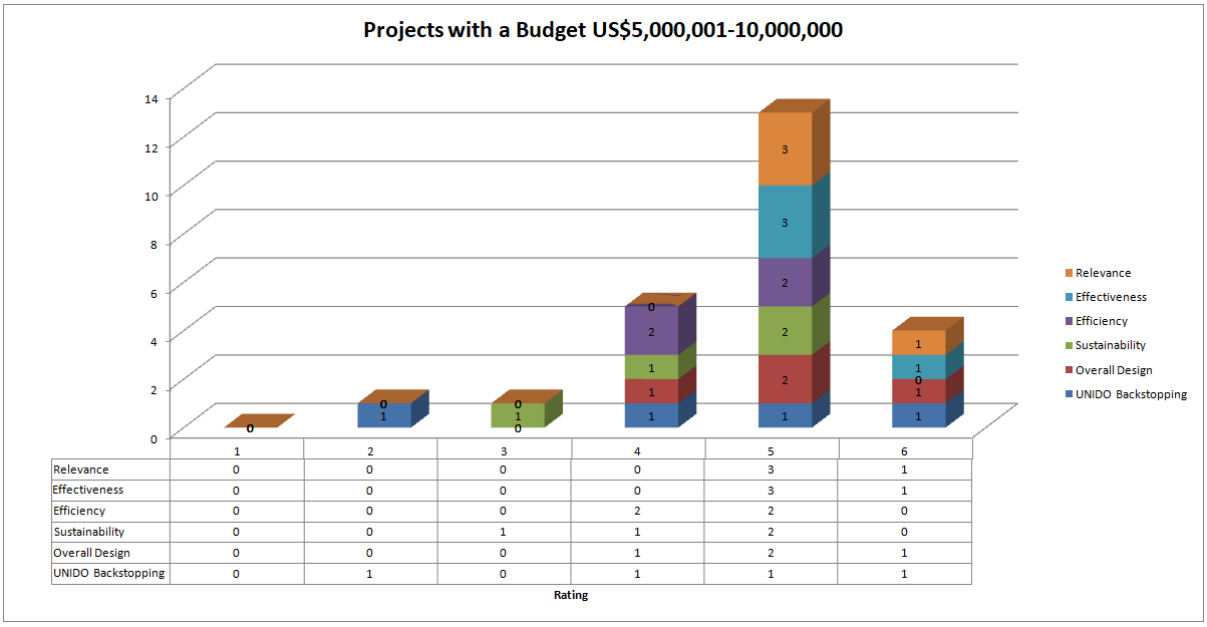
	1	2	3	4	5	6
Relevance	0	0	0	1	2	10
Effectiveness	0	0	0	3	6	4
Efficiency	0	0	3	2	7	1
Sustainability	0	1	1	6	4	0
Overall Design	0	0	2	4	3	4
UNIDO Backstopping	0	1	0	2	5	4

c. Projects with a budget of USD 2,000,001 to USD 5 Million



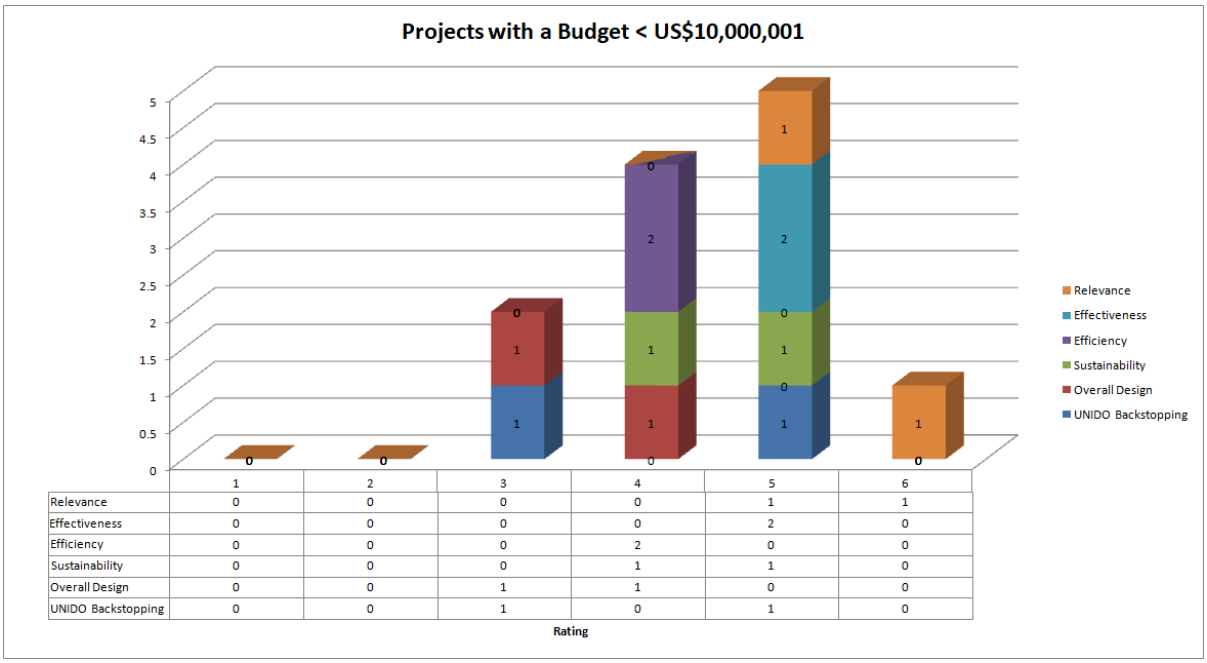
	1	2	3	4	5	6
Relevance	0	0	5	11	7	2
Effectiveness	0	0	1	5	7	2
Efficiency	0	0	6	4	5	0
Sustainability	0	0	5	10	1	0
Overall Design	0	0	4	5	6	0
UNIDO Backstopping	0	1	1	2	7	4

d. Projects with a budget of USD 5,000,001 to USD 10 million



	1	2	3	4	5	6
Relevance	0	0	0	0	3	1
Effectiveness	0	0	0	0	3	1
Efficiency	0	0	0	2	2	0
Sustainability	0	0	1	1	2	0
Overall Design	0	0	0	1	2	1
UNIDO Backstopping	0	1	0	1	1	1

e. Projects with a budget of USD 10,000,001 to USD 15 million



	1	2	3	4	5	6
Relevance	0	0	0	0	1	1
Effectiveness	0	0	0	0	2	0
Efficiency	0	0	0	2	0	0
Sustainability	0	0	0	1	1	0
Overall Design	0	0	1	1	0	0
UNIDO Backstopping	0	0	1	0	1	0

Annex 5. TERMS OF REFERENCE

Synthesis of UNIDO Results and Performance from Independent Evaluations 2015-2018

Terms of Reference (July 2018)

Background

For the last few years, UNIDO Member States and Senior Management have called for a greater emphasis on reporting and demonstrating the results and performance of UNIDO at corporate level in a more systematic and aggregated manner. The Strategic Guidance Document on the future of UNIDO in 2013 asked UNIDO management to 'provide consolidated reports at regular intervals' to demonstrate the development impact of UNIDO work[2]. The 2016-2019 Medium-Term Programme Framework in 2015 introduced an innovative tool 'Integrated Results and Performance Framework' (IRPF) to help UNIDO manage for results and demonstrate its results and performance at corporate level[3]. The 2018-2021 Medium-Term Programme Framework in 2017 emphasized the importance for 'the Organization to monitor, respond to and demonstrate tangible results …and to analyse and report the progress in organizational performance at all levels' based on the IRPF as the corporate long-term results framework[4]. This desire for results and performance at corporate level has also echoed the findings from a number of independent evaluations by the UNIDO Independent Evaluation Division (IED) in the last years. To contribute to the efforts, the IED will prepare a Synthesis of UNIDO Results and Performance based on independent evaluations conducted from September 2015 and June 2018 by IED. This exercise was approved by the UNIDO Executive Board as part of IED Work Programme and Budget for 2018.

Since 2010, IED has consistently taken stock of past independent evaluations and has consolidated key findings and lessons into synthesis reports to promote learning at UNIDO. Building on this work, the report will provide an independent and systematic overview of the results and performance of UNIDO programmes and projects evaluated between September 2015 and June 2018 by IED. The exercise aims at enhancing the learning at UNIDO to further improve the organization's performance and impact by identifying and capturing accumulated knowledge on UNIDO's results and performance. Synthesizing existing evaluation reports, together with latest research thinking allows evaluation evidence to be fed into UNIDO's decision-making process in an effective way. The report will provide inputs to the IRPF indicators on Organizational Performance (e.g. Programmes/projects rated successful at completion by evaluation in terms of relevance, effectiveness, efficiency, sustainability; Programmes/projects with adequate log-frames/monitoring and evaluation system; Programmes/projects with gender-responsive analysis, action and monitoring) and to a certain extent on Development Results.

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[2] UNIDO 2013, Strategic Guidance Document: https://www.unido.org/sites/default/files/2013-06/idb41_24e_0.pdf

[3] UNIDO 2015, Medium-term programme framework - 2016-2019. https://www.unido.org/sites/default/files/2015-04/pbc31_9en_0.pdf

[4] UNIDO 2017, Medium-term programme framework 2018-2021 Proposal on "Strengthening knowledge and institutions". https://www.unido.org/sites/default/files/2017-05/IDB.45_8_Add.2_2__E_Medium-term_programme_framework_2018-2021_1703143E_20170522__0.pdf

The report will take stock of UNIDO's results and contribution towards inclusive and sustainable industrial development; examine and synthetize in a qualitative and quantitative manner the performance of completed programmes and projects evaluated from September 2015 and June 2018; assess the drivers of success and failure to identify corrective actions to achieve better results; and draw attention to systemic issues.

This synthesis report will also concentrate on the specific learning theme of Monitoring and Evaluation (M&E) that is recurrent in IED's evaluations and merits additional reflection and debate. This topic has been identified as an area for improvement in many evaluations, and is in line with UNIDO management priority for the organization for 2018 as the Senior Management has decided to focus on 'a results-based approach with enhanced monitoring and improved reporting on clear results'[5].

Objectives, scope and key questions

The purpose of the synthesis report is to independently provide an overview of UNIDO results and performance from existing independent evaluations, to further enhance the impact of UNIDO work. The report will facilitate learning and wider use of evaluation findings by identifying and capturing accumulated knowledge from independent evaluations.

The synthesis report has the following objectives:

1. To independently present an overview of performance and results of UNIDO programmes and projects evaluated between September 2015 and June 2018;
2. To highlight key learning issues related to Monitoring and Evaluation at project level that UNIDO needs to address to enhance future operations;
3. To generate findings and recommendations to help UNIDO further improve its performance and results.

The scope of the exercise will cover 53 projects, four country and four thematic evaluations independently conducted by UNIDO IED between September 2015 and June 2018. All evaluations at project level are independent terminal evaluations. The total budget of the 53 projects is around USD 154 million, funded by the Global Environment Facility (GEF) or bilateral donors such as Finland, Italy, Japan, Sweden, Switzerland and etc. (see the full list in Annexes).

The primary audience of the report includes UNIDO Management and staff, the Member States, donors and partners. The report will also useful to the wider development community.

The report will seek to answer the following questions:

1. How did the evaluated programmes and projects perform in terms of relevance, effectiveness, efficiency, sustainability, impact, design, M&E and gender mainstreaming?
2. What have been the key results (output, outcome and impact)?
3. To what extent do the completed projects and programs achieve their expected results (outcome and impact)?
4. What are the factors enabling or hindering progress towards impact?

[5] UNIDO 2018, Management Priorities 2018 - Integration and scale-up – Driving change for UNIDO.

5. What is the quality of project M&E[6]? To what extent did M&E of evaluated projects and programmes help the project management to manage for results? What good M&E practices are evident from UNIDO projects? What can be learned from other comparable projects or programmes by other development partners? What are the factors promoting or hindering a good M&E system at project level?
6. What are the systemic opportunities, lesson and issues emerging from the evaluations?

Approach and methodology

The review will use mixed methods to collect data and information from a range of sources and informants. It will pay attention to triangulating the data and information before forming an assessment.

The main instruments for data collection will be:

i) **Desk and literature review** of independent evaluations conducted in between September 2015 and June 2018 and other relevant documents related to UNIDO or other organizations' results and performance at corporate level. Reports on corporate results and performance from other development organizations will also be studied for learning purposes.

ii) **Case study analysis** will be conducted for some projects with good M&E practices. More in-depth information will be obtained through document reviews and interviews with project managers or independent evaluators. Some good M&E practices from projects and programmes outside UNIDO will be analyzed to learning purposes.

iii) **Data analysis and aggregation of results.** Data and information from UNIDO programmes and projects evaluated between September 2015 and June 2018 by IED will be collected, analyzed and processed based on specific templates and tools developed at the inception phase. To the extent possible, the tools and templates to capture results will take into account some tools that have been used at UNIDO to capture the results at corporate level such as the Bennett hierarchy[7] or theories of change of some projects reconstructed for evaluations.

Team composition

Under the overall guidance of the Chief of the Independent Evaluation Division (IED), an assigned IED Evaluation Officer will lead and provide quality assurance to this exercise, supported by a team of independent external experts as per specific Job Descriptions.

The review team will be composed as follows:

- IED Evaluation Officer (team leader and manager of the review)
- One Senior International Evaluation Consultant

[6] The emphasis will be on Monitoring, Reporting and Review by project management.
[7] The Bennett hierarchy model presents a basic results chain, describing seven steps that are necessary to get from input to impact. This has been applied by UNIDO as a results planning model that is scalable at project, programme, initiative, country, and corporate level, and supports the whole programme cycle. (Source: UNIDO 2018, Integrated results and performance framework - definition of indicators and setting of targets. (PBC.34_CRP.02)).

- One Senior International M&E specialist
- One Evaluation analyst

In addition, an IED Senior Evaluation Assistant will provide administrative and analytical support.

Stakeholder engagement and dissemination

Stakeholder engagement will be sought throughout the exercises to solicit stakeholder feedback and comments to improve the relevance and accuracy of the report, and to promote the utility of the report once it is finalized.

As per standard practice in evaluations, the report will be presented to UNIDO Management and staff, Member States and other partners, and will be made available publicly in UNIDO's website. Knowledge products summarizing key findings might also be produced and disseminated. Learning events will be organized to share the main findings.

Work Plan

The evaluation will be conducted from July till December 2018. The evaluation will be implemented in four phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

i. Inception phase

ii. Desk review and data analysis

iv. Data analysis and report writing

v. Preparation of knowledge products and dissemination

Tentative timelines

Timelines	Tasks
End of June 2018	Draft ToR
July	ToR cleared and recruitment of consultants
August	Inception phase in Vienna: finalization of templates, tools and common understanding among the team members on the approach and methodology; following initial desk review and preparation of tools and templates.
August –October 2018	Desk & literature review, preparation of evaluation summaries, working papers, draft evaluation report
End of October 2018 November 2018	Zero draft report Debriefing in Vienna
End of November 2018	Draft report to IED Chief to review and clearance
Dec 2018	Draft report revised
Dec 2018	Sharing and stakeholder's comments to draft report
2019	Final evaluation report and Evaluation Brief
2019	Report issuance and dissemination

Report structure

(To be discussed/reviewed during the inception phase)

Acronyms and Abbreviations
Glossary of Terms
Executive summary (maximum 5 pages)
- Purpose and methodology of the synthesis report
- Key findings
- Conclusions and recommendations
- Tabular overview of key findings – conclusions – recommendations

1. **Introduction**
   1.1. Purpose, Objectives and Scope of the report
   1.2. Methodological issues and limitations
2. **Overview of projects, countries and themes evaluated**
   2.1. Geographic coverage and project type
   2.2. Country programme evaluations
   2.3. Thematic evaluations
3. **Performance of projects**
   3.1. Relevance, Efficiency, Effectiveness, Impact and Sustainability
   3.2. Systemic cross-cutting issues (e.g. Gender mainstreaming, M&E)
   3.3. Factors facilitating or limiting the achievement of results
4. **Results and progress toward impact**
5. **Monitoring and Evaluation at project level**
   5.1. Factors promoting or hindering a good M&E system at project level
   5.2. Good practices
   5.3. Key lessons
6. **Selected systemic issues raised by country and thematic evaluations**
7. **Factors promoting or hindering results and performance**
8. **Conclusions, recommendations and lessons learned**
   8.1. Conclusions
   8.2. Recommendations

Annexes (available online)
- Concept note
- List of documentation reviewed
- List of stakeholders consulted
- Primary data collection instruments: evaluation survey/questionnaire
- Statistical data from evaluation survey/questionnaire analysis

Annex 6. LIST OF DOCUMENTS CONSULTED

- UNIDO 65 project, country programme and thematic evaluations included in this Synthesis (The full list is in annex 2 and section 3 of the report).
- UNIDO 2018, Integrated results and performance framework - definition of indicators and setting of targets. (PBC.34_CRP.02)
- UNIDO 2018. Management Priorities 2018 - Integration and scale-up – Driving change for UNIDO.

- UNIDO, 2018. Annual Report 2017
- UNIDO 2017. Medium-term programme framework 2018-2021 - Proposal on “Strengthening knowledge and institutions”
- UNIDO 2015. Synthesis of finding and lessons from independent evaluations in the period 2012-2015
- UNIDO 2015. Medium-term programme framework - 2016-2019
- UNIDO 2013. Strategic Guidance Document
- GEF 2018. Annual Performance Report 2017
- GEF 2018. Updated Co-financing Policy
- GEF, 2018: Evaluation of the GEF-UNIDO Global Cleantech Innovation Programme
- GEF 2017. Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects.
- GEF 2014. Fifth Overall Performance Study of the GEF: OPS5 – At Crossroads for Higher Impact
- GEF 2013. Progress Towards Impact, OPS5 Technical Document #12
- IFAD 2018. 2018 Annual Report on Results and Impact of IFAD operations
- JIU 2017. Review of Management and Administration in the United Nations Industrial Development Organization (UNIDO), G. Tarasov and G. Achamkulangare, UN Joint Inspection Unit (JIU) 2017 Report # 1.
- World Bank 2013. Monitoring and Evaluation for Better Development Results.
- University of North Carolina at Chapel Hill 2001. Measure evaluation, Best Practices in Monitoring and Evaluation: Lessons from the USAID Turkey Population Program.

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INDUSTRIAL DEVELOPMENT ORGANIZATION

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