



**EVALUATION WORK PLAN AND PROVISIONAL
BUDGET 2020/2021**

20 February 2020

to: UNIDO Executive Board
Approved as per EB Decision EB/2020/1 (20 Feb 20)

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Decision by the UNIDO Executive Board

As provided in the Charter of the Office of Evaluation and Internal Oversight¹ and in the UNIDO Evaluation Policy², the present document seeks the decision of the UNIDO Executive Board for the approval of the biennial Evaluation work plan and provisional budget for 2020/2021 to discharge the mandate of the Office of Evaluation and Internal Oversight (EIO) evaluation function in order to:

1. Conduct strategic/thematic and country-level evaluations as detailed in this document to maximize learning, accountability and continuous improvement and to focus on the inclusive and sustainable industrial development agenda, as well as on the assessment of results and pathways at outcome and impact levels.
2. Ensure that mandatory project/programme evaluations are conducted and quality assured.
3. Mainstream issues related to contributions to inclusive and sustainable industrial development (ISID), and the operationalization and follow-up on the implementation of the sustainable development goals (SDGs), in particular SDG-9 and those to which UNIDO contributes directly.
4. Continue with joint activities with the United Nations Evaluation Group (UNEG) and other international cooperation agencies, and activities to build national evaluation capacity of UNIDO counterpart ministries.
5. Implement the evaluation work plan 2020/2021 as presented in this document with a budget allocation of euro 280,000 for 2020, and provisional budget of 300,000 for 2021.

¹ UNIDO. (2019). Director General's Bulletin. Charter of the Office of Evaluation and Internal Oversight (DGB/2019/07, 26 March 2019)

² UNIDO. (2018). UNIDO Evaluation Policy (DGB/2018/08, 1 June 2018)

A. Background and introduction

1. The Director, EIO ensures that the work plans of the Internal Oversight and Evaluation are duly coordinated. Consideration of the External Auditor work plan and of JIU on-going and planned activities are also taken into account in the determination of activities under the individual work plans.
2. The evaluation work plan 2020/2021 is also in line with the **EIO Strategy 2020-2024**. The latter is to provide a longer-term perspective for the contribution and to add value of EIO's oversight functions to UNIDO strategic goals and programmatic priorities while further enhancing transparency, governance and accountability for the Organization.
3. The evaluation work plan is also in line with the UNEG Norms and Standards for Evaluation³ and their **principles of independence, credibility and utility**. Due consideration has been given to aspects of accountability and availability of evidence-based information about development results, learning and informed decision-making, and strategy formulation.
4. Based on an evidence gap assessment performed in the fourth quarter of 2019, EIO presents with this document the evaluation work plan and provisional budget for 2020/2021.
5. The biennial evaluation work plan and provisional budget 2020/2021 has been developed on the basis of an evidence gap analysis and in consultation with senior UNIDO staff. In addition, proposals for evaluations were collected from within the Organization and from Member States' expressions made in briefings and policymaking meetings. The work plan (WP) at hand proposes strategic evaluations that are linked to UNIDO priorities, specific programmes and horizontal themes and/or that are of relevance to the core organizational functions and strategies.
6. The UNIDO Evaluation Policy states, inter alia, that the Director General and the UNIDO Executive Board ensure that adequate resources are allocated to evaluation. Accordantly they approve the biennial evaluation work plan and provisional budget. Since 2008, the budgets allocated by the UNIDO Executive Board for the evaluation work plan were stable with a biennial budget ranging between euro 600,000 to euro 700,000.
7. In accordance with the Charter of the Office of Evaluation and Internal Oversight and with the UNIDO Evaluation Policy, the biennial evaluation work plan and provisional budget for 2020/2021 is presented to the UNIDO Executive Board for approval.
8. The Director General's Administrative Instruction No. 3⁴ and No.17/Rev.1⁵, No.18/Rev.1⁶ (and Director General's Bulletin No. 6⁷ provide guidance on the management of technical cooperation programmes and projects. These Guidelines specify, inter alia, that independent terminal evaluations are mandatory for programmes/projects:
 - (i) with UNIDO inputs (budget without support costs) exceeding USD 2 million⁸; and,
 - (ii) being considered for extension in excess of euro 0.7 million.

³ UNEG. (2016). Norms and Standards for Evaluation. (June 2016)

⁴ UNIDO. (2016). Director General's Administrative Instruction No. 3. Technical Cooperation (TC) programme/project revisions, budget revisions and extensions including funds availability controls (AI/2016/3, 30 May 2016)

⁵ UNIDO. (2006). Director General's Administrative Instruction No. 17/Rev.1. Guidelines for the Technical Cooperation Programme and Project Cycle (UNIDO/DGAI.17/Rev.1, 24 August 2006)

⁶ UNIDO. (2012). Director-General's Administrative Instruction No. 18/Revision 1. Alignment of DG/AI No. 18 Establishment of budget lines for monitoring and evaluation to new project management procedures (UNIDO/DGAI.18 Rev. 1, 4 December 2012)

⁷ UNIDO. (2016). Director General's Bulletin. The programme and project formulation and approval function (DGB/2016/6, 30 May 2016)

⁸ As per UNIDO Executive Board (EB) decision (EB/2016/4-Page 10): "In order to reduce work load of the independent evaluation division, to lift threshold of mandatory project evaluations to USD 2 million (from previously EUR 1 million)"

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and also, independent evaluations should be conducted for projects that are:

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

9. In particular instances, donors, counterparts, senior UNIDO management or EIO may commission an independent evaluation at any time.

10. The biennial WP budget enables the EIO Evaluation function, *inter alia*, to conduct strategic/thematic and country-level evaluations, implement activities jointly with other United Nations agencies and to contribute to the development and/or strengthening of national evaluation capacities of counterpart ministries and key government stakeholders. The demand for strengthening evaluation capacities is rapidly growing as policymakers increasingly voice their concern over the lack of relevant information to support evidence-based policymaking for sustainable development and towards the 2030 Agenda.

11. The WP is implemented through the EIO's Independent Evaluation Division (EIO/IED), duly coordinated and managed by the Chief, EIO/IED, and under the overall authority and responsibility of the Director, EIO.

12. The evaluation WP 2020/2021 includes mandatory independent project evaluations that are managed and quality assured by the EIO Evaluation function in close cooperation with project managers, and in line with the roles and responsibilities defined in the UNIDO Evaluation Manual⁹. The project manager assumes the delegated responsibility of administering the respective evaluation budget¹⁰ allocated under the concerned project. EIO will continue assuming the overall responsibility for independent project evaluations (including clearance of respective evaluation terms of references, selection of independent external evaluators and approval of evaluation reports) and will provide quality assurance and evaluation technical backstopping throughout the evaluation process.¹¹ The EIO Evaluation function will also continue supporting the management response system, as building block for organizational learning and improvement.

13. The evaluation work plan and provisional budget 2020/2021 continues to respond to the provisions of the Lima Declaration¹² and the recent Abu Dhabi Declaration¹³ for UNIDO to report on results in achieving enhanced levels of inclusive and sustainable industrial development and on their development impact. It also provides that the UNIDO evaluation function further contributes to the relevant monitoring and evaluation mechanisms for the follow-up on the operationalization and implementation of ISID and, in particular, SDG-9 and those SDGs to which UNIDO contributes directly under the 2030 agenda.

⁹ UNIDO. (2018). UNIDO Evaluation Manual

¹⁰ *ibid*; and UNIDO. (2012). DGAI.18/Rev.1 (see above)

¹¹ *ibid*

¹² UNIDO. (2013). Lima Declaration: Towards inclusive and sustainable industrial development (adopted by the 15th session of the UNIDO General Conference, Lima, Peru, 2 December 2013)

¹³ UNIDO. (2019). Abu Dhabi Declaration (adopted by the 18th session of the UNIDO General Conference, Abu Dhabi, United Arab Emirates, 5 November 2019)

B. Summary of results from EIO evaluation work in 2018/2019

14. In 2018, 28 project evaluations, three country-level evaluations (**Nigeria, India, Colombia**), the independent **thematic evaluation on UNIDO's staff competency development** and the independent **thematic review on UNIDO operations integration** were issued.

15. In 2019, 27 project evaluations, the **synthesis of UNIDO independent evaluations from 2015 to 2018**, the **thematic review on strengthening knowledge and institutions and policy advice**, the **impact evaluation of UNIDO's industrial energy efficiency programme**, and the **independent thematic evaluation of the UNIDO Field Network** were issued. The first terminal evaluation of a **UNIDO Programme for country partnership (PCP), the PCP Ethiopia**, was conducted.

16. Also in 2019, EIO conducted a briefing on the management of UNIDO independent project evaluation for project managers' teams who were expected to be involved in an evaluation activity during 2019/2020. EIO also participated in the annual UNEG Evaluation Practice Exchange Seminar and Annual General Meeting (May 2019. Nairobi, Kenya). As part of its national evaluation capacity development initiative, a regional evaluation capacity-building workshop was conducted for UNIDO Member States' counterpart ministries and UNIDO Field and project staff of the East-Europe region (September 2019. Istanbul, Turkey). Within the framework of the Global Assembly of the International Development Evaluation Association (IDEAS) the UNIDO EIO/IED chaired and sponsored, under the conference theme – Evaluation for transformative change: Bringing experiences of the Global South to the Global North – a panel session on complex systems-based theories of change (October 2019. Prague, Czech Republic).

17. EIO continued to conduct briefings on evaluation-related activities to UNIDO Member States during 2018 and 2019 and to update staff regularly on its activities by issuance of its electronic EVANews brief.

C. Priority areas and planned evaluations in 2020/2021

18. The evaluation work plan includes three types of evaluation:

- Strategic evaluations (incl. thematic/process/corporate-level evaluations)
- Country-level evaluations
- Project/programme evaluations

C.1 Strategic evaluations

19. The evaluation work plan 2020/21 includes thematic/strategic or corporate-level evaluations as these have been found instrumental to increasing the utility of and broader institutional learning from evaluation.

20. Strategic evaluations have been selected on the basis of in-house and external (with Member States' representatives) consultations. Evidence gaps for accountability and learning are the overall criteria for the identification and prioritization of evaluations. These criteria include, among others, the dimensions of strategic alignment, evaluation demand, potential use of evaluation results, new learning potential. Due attention will be given to feeding evaluation findings and recommendations into results-oriented reporting, strategic planning frameworks and organizational learning and to link them with ongoing in-house research activities. Annex 1 provides the list and priority ranking of strategic evaluations identified and considered in preparation of the evaluation work plan 2020/2021. Table 1 below summarizes the selected strategic evaluations for the biennium 2020/2021.

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Table 1: Strategic (incl. thematic/process) evaluations planned during 2020/2021 and to be funded from evaluation work plan budget

| Theme | Background and approach |
|---|---|
| 1. Thematic evaluation: UNIDO's capacity to contribute to transformational change, broader adoption, replication and long term impact | <p><u>Background:</u> Agenda 2030 demands increased efforts to contribute to transformational and systemic change. The evaluation will analyse performance and recommend options for improved UNIDO contributions</p> <p><u>Approach:</u> Theory of change (TOC) analysis for different UNIDO TC areas, case studies (e.g., related to trade, investment and innovation; agro-business), review of relevant past evaluations</p> <p><u>Main User:</u> UNIDO senior management, UNIDO staff from substantive offices in the Directorate of Programme Development and Technical Cooperation (PTC), and External Relations and Policy Research (EPR)</p> |
| 2. Strategic evaluation: UNIDO's medium-term programme framework (MTPF), 2018-2021 | <p><u>Background:</u> mandatory evaluation as per end of MTPF cycle.</p> <p><u>Approach:</u> MTPF and integrated results and performance framework (IRPF) effectiveness as results-based management (RBM) tools. Is UNIDO getting more results oriented using these tools?</p> <p><u>Main User/use:</u> UNIDO senior management; findings to feed into next MTPF/IRPF process</p> |
| 3. Process evaluation: UNIDO's project design, appraisal and approval process for technical cooperation projects and programmes | <p><u>Background:</u> Design, appraisal and approval have been signalled as weaknesses in a number of UNIDO evaluations (e.g. synthesis of evaluations). The evaluation will aim at identifying potentials for improvement.</p> <p><u>Approach:</u> TOC approach to analyse effects of design, appraisal and approval on results and performance. Benchmarking of related processes in UNIDO against other models. Analysis of evaluations. Staff, donor and counterpart interviews/survey. Possibility to conduct jointly with Internal Audit function.</p> <p><u>Main User:</u> UNIDO Senior management, UNIDO staff in PTC</p> |
| 4. The UNIDO Country programme framework/modality | <p><u>Background:</u> Country programmes are a key modality for UNIDO cooperation with member states. PTC requested an evaluation of this framework and its comparison with the PCP approach.</p> <p><u>Approach:</u> Portfolio review of ongoing and finalized UNIDO CPs; comparison with other modalities (projects/programmes, PCP, CSF, IP), case studies of selected CPs including field visits</p> <p><u>Main User/use:</u> UNIDO Senior management and UNIDO staff in PTC. For review of next CP policy framework</p> |

Table 2 - Strategic (incl. thematic-) evaluations planned during 2020/2021 and to be funded from their own project/programme resources

| Theme | Background and approach |
|--|--|
| 1. Strategic evaluation: UNIDO's Strategy and policy on Gender Equality and the Empowerment of Women | <p><u>Background:</u> Mandatory evaluation foreseen as per DGB/M.110/Rev 2. (2015) and DGB/2019/16 (2016)</p> <p><u>Approach:</u> Evaluation against standard evaluation criteria, including new DAC evaluation criteria "coherence". TOC and/or SWOT analysis.</p> <p><u>Main User/use:</u> UNIDO senior management; responsible(s) for overseeing the functions of Gender Equality and Empowerment of Women Office (CMO/HRM/GEW); responsible leading CMO/HRM/GEW; and the Gender Mainstreaming Steering Board</p> |

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| | |
|---|---|
| | and individual Gender Focal Points. The review of the policy and preparation of the next strategy cycle. UPDATE 20-02-2020: Funding for this evaluation to be part of the current EIO EVAL WP 2020-21. |
| 2. Thematic evaluation: ITPO Network | <u>Background:</u> PTC/TII/INV request to assess current ITPO Network performance beyond functioning of individual ITPOs. <u>Approach:</u> Follow up on ITPO Network evaluation 2010, theory of change and SWOT analysis, evaluation ITPOs Shanghai (P.R. China) and Seoul (Republic of Korea) as case studies. <u>Main User:</u> UNIDO senior management, PTC/TII Department, ITPOs. |

C.2 Country-level evaluations

21. The evaluation work plan 2020/2021 encompasses four country-level evaluations, including one PCP terminal and one PCP mid-term evaluation, and two country evaluations. Due consideration was, inter alia, given to the size of the technical cooperation (TC) portfolio, including country programme, projects funded by the Global Environment Facility (GEF) and by the Multilateral Fund for the Implementation of the Montreal Protocol (MP).

22. Annex 2 provides the list and priority ranking of country-level evaluations identified and considered in preparation of the evaluation work plan 2020/2021.

Table 3: Country evaluations planned for 2020/2021 and to be funded from evaluation work plan budget

| Country | Portfolio to be covered by the country evaluation (est. million USD) | Remarks |
|-------------|--|---|
| P. R. China | > 240 | Last independent evaluation in 2010, country programme ends 2020, high volume of TC portfolio, good learning potential, high accountability requirement |
| Kenya | >15 | Formal request from Government of Kenya; last independent evaluation 2012, PCP self-starter country |

Table 4: PCP country evaluations planned for 2020/2021 and to be funded from the respective PCP

| PCP | Remarks |
|---------|---|
| Senegal | PCP due for mandatory terminal evaluation |

C.3 Project/programme evaluations

23. The 2020/2021 biennium foresees approximately 90 mandatory independent project terminal evaluations (based on information submitted by PTC and EIO TC portfolio review and on requests received from individual project managers; also includes evaluations that are carried over from the previous work plan) compared to a total number of 81 independent project terminal evaluations during 2018/2019, 102 during 2016/2017, 63 during 2014/2015, and 45 during 2012/2013. This includes evaluations of two major UNIDO umbrella programmes (i.e., Global Quality and Standards

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Programme; and Eco Industrial Parks Programme), including their country projects. In accordance with the UNIDO Evaluation Manual, slightly different procedures apply for different types of projects (in particular as regards GEF and non-GEF projects). The EIO Evaluation function will continue to be involved in evaluations of UNIDO executed projects conducted by donors, or other partner agencies. To this category belong, among other, projects funded by the EU.

24. It is also noted that a significant number of GEF projects is due for an independent terminal evaluation (TE) during the 2020/2021 biennium. In this category, a total number of 22 GEF TEs¹⁴ are planned. 14 such TEs are foreseen in 2020, and 8 in 2021. In addition, a number of GEF TEs had to be deferred from the previous work plan to 2020/2021.

25. In line with the UNIDO Evaluation Policy, the TC Guidelines and following guidance provided in the UNIDO Evaluation Manual, independent project terminal evaluations will continue to be financed from the respective project budgets and it is the responsibility of project managers to ensure that an evaluation budget adequate to the size of the project is allocated and available at the time of the evaluation under the concerned project. Actual evaluation 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.

26. As an alternative to discharge administrative workload of project managers, and to further ensure implementation of its evaluation mandate, EIO Evaluation function will continue its discussions with UNIDO senior management on the establishment of an UNIDO Evaluation Fund (EF) or similar pooled funding mechanism for evaluations in 2020/2021. The EF will receive the evaluation budget allocation from each approved UNIDO project/programme for the purpose of evaluation of the same project/programme, or as a contribution to the Organization's evaluation (learning and accountability) mandate. As such, the EF follows similar and sustainable evaluation funding models in the UN system that are already operational (e.g. in the Food and Agriculture Organization (FAO)).

C.4 Participation in UNEG and other external working groups

27. The EIO Evaluation function will continue to play an active role in the United Nations Evaluation Group (UNEG), including participating in various UNEG Task Forces and sharing experiences within the UN evaluation community. To the extent possible, it will also participate in inter-agency collaboration in connection with UNSDCF (former UNDAFs), in activities to enhancing UN evaluation norms and standards, evaluating SDGs and engaging in system-wide evaluation challenges, and in joint country-/thematic-level evaluation.

28. Together with the evaluation offices of FAO and IFAD, EIO will participate in a working group to develop adequate and tailor made evaluation approaches for value chain initiatives.

D. Methodological development, learning and capacity building

29. The EIO Evaluation function will pursue its efforts to further develop and strengthen evaluation capacities within UNIDO and those of UNIDO Member States' counterpart ministries.

30. In this respect, EIO will keep organizing evaluation workshops for UNIDO project managers/teams who will have a role in independent evaluations during the new biennium. EIO will continue its engagement in cross-divisional exchange and learning activities.

31. Additionally, and in order to further develop/strengthen national evaluation capacities of Member States' counterpart ministries, EIO will continue its training programme. As in previous biennia, two national evaluation capacity workshops are planned. The trainings will be implemented

¹⁴ The number of evaluations is based on information provided by Senior Management following ODG/EIO/IED's request dated 30 September 2019 and information confirmed to ODG/EIO/IED directly.

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in close cooperation with the respective UNIDO Field Offices, Regional Division, and PTC technical divisions as appropriate.

32. EIO will also continue to conduct evaluation-related briefings for UNIDO Member States to continue engaging in and fostering exchange in the subject of evaluation.

33. The EIO Evaluation function will also continue to further develop its tools and methods. In particular the development of innovative learning products, the further improvement of the evaluation quality review process, the development of a recommendation database and the assessment of a web-based solution for evaluation tracking and management are planned during the period 2020/2021.

E. Estimated budget

Project and Programme evaluations

34. In line with the UNIDO Evaluation Policy, TC Guidelines and executive issuances, mandatory project/programme evaluations will continue to be financed from the respective project budgets and it is the responsibility of a project manager to ensure that the respective evaluation output is created and corresponding budget allocations made and available at the time of the evaluation.

35. This also applies to mandatory independent evaluations of: Country Programmes (CPs), Partnership Country Programmes (PCPs), Investment and Technology Promotion Offices (ITPOs) or similar project/programmes. With regard to CPs about 15 are planned to become due for evaluation in the biennium. Two PCPs will undergo an independent evaluation and two ITPOs will be evaluated in combination with the planned ITPO Network evaluation in 2020.

Evaluation work plan and provisional budget 2020/2021

36. The budget for the implementation of the evaluation work plan for the biennium 2020/2021 has been approved at euro 280,000 for 2020 and preliminary approved at euro 300,000 for 2021.

37. The independent terminal evaluation of PCP Senegal and the thematic evaluation of the ITPO Network will be funded from the respective budget allocations established for this purpose under these activities. All other country-level and/or strategic evaluations are included in this WP budget along with the requirements for evaluation capacity building, the participation of EIO in UN networks and other evaluation support.

38. During the biennium 2020/2021, and though the evaluation threshold was raised to USD 2 million in February 2016¹⁵, EIO will be faced with a continued heavy workload of mandatory independent project terminal evaluations. Thus, complementary evaluation resources are required to keep ensuring that UNIDO is aligned to donors' evaluation requirements and fiduciary standards, to keep improving the internal process attached to the evaluation function, to produce aggregated products or reviews on the basis of previous evaluations, to allow EIO participation in UNEG meetings and joint UN evaluation activities, to further consolidate and follow-up on recommendations and lessons learned from evaluations, and to engage in the development of learning products.

39. The overall budget breakdown for the evaluation work plan 2020/2021 is shown in table 4 below.

¹⁵ As per EB Decision EB/2016/4-Page 10: "In order to reduce work load of the Independent Evaluation Division, to lift threshold of mandatory project evaluations to USD 2 million (from previously EUR 1 million)"

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Table 4: Overall yearly budget for Evaluation work plan 2020/2021 (in euro)

| 2020 | Estimated budget (in euro) | Overall budget (euro) |
|---|-------------------------------|--------------------------|
| Evaluations | | 116,000 |
| <ul style="list-style-type: none"> • Strategic evaluation (Thematic/process evaluation: UNIDO's project design, appraisal and approval process for technical cooperation projects and programmes) | 36,000 | |
| <ul style="list-style-type: none"> • One country-level evaluation (Kenya) | 60,000 | |
| <ul style="list-style-type: none"> • Strategic evaluation (UNIDO's Strategy and policy on Gender Equality and the Empowerment of Women) | 20,000 | |
| UN activities, eval. support and capacity building | | 164,000 |
| <ul style="list-style-type: none"> • Evaluations support: GEF evaluations and project evaluations, Aggregated products, development of evaluation methodologies, learning products, participation in UNEG (system-wide or joint UN evaluations) & other cooperation activities | 120,000 | |
| <ul style="list-style-type: none"> • Training and capacity building of partners | 44,000 | |
| Total amount for 2020 (Approved) | | 280,000 |
| 2021 (Preliminarily) | | |
| <ul style="list-style-type: none"> • One country-level evaluation (P.R China) | 60,000 | |
| <ul style="list-style-type: none"> • Strategic evaluation (Strategic evaluation: UNIDO's medium-term programme framework (MTPF), 2018-2021) | 30,000 | |
| <ul style="list-style-type: none"> • Strategic evaluation: (Thematic evaluation: UNIDO's capacity to contribute to transformational change, broader adoption, replication and long term impact) | 60,000 | |
| <ul style="list-style-type: none"> • Strategic evaluation: (The UNIDO Country programme framework) | 70,000 | |
| <ul style="list-style-type: none"> • Training and capacity building of partners | (50,000) | |
| <ul style="list-style-type: none"> • Evaluations support: GEF evaluations and project evaluations, Aggregated products, development of evaluation methodologies, learning products, participation in UNEG (system-wide or Joint evaluations) & other cooperation activities | 80,000 | |
| Total amount for 2021 (preliminary approved) | 300,000 (350,000) | |
| Grand total (2020/2021) | 580,000 (630,000) | |

F. Advisory services

40. Formal advisory services are usually requested from management and based upon a specific assignment on an ongoing basis. The EIO Evaluation function will develop a thematically focused advisory product in a specific technical field (e.g. renewable energy, quality infrastructure, environment, agro-business) and based on the review of relevant past project evaluations. This will be tested in the biennium 2020/2021.

41. The EIO Evaluation function will continue providing advice on evaluation provisions in proposed donor agreements in a timely manner, as and when requested.

G. Complementary audit and evaluation engagement

42. Audit and evaluation are two distinct functions in the Office of Independent Evaluation and Internal Oversight. Both functions share commonalities that will be the basis for stronger synergies in 2020/2021. Complementary and/or joint assessments by both functions are intended to provide a more holistic and robust view on a subject matter assessed and beyond what an audit or an evaluation can achieve separately. While preserving the specific mandate of each function, **a complementary engagement** is included in both work plans for 2021; namely the thematic evaluation of "UNIDO's project design, appraisal and approval process for technical cooperation projects and programmes" under the Evaluation WP, and the Audit on "UNIDO Governance and strategic decision-making" under the audit WP. It is understood that the differences in methodology (planning tools, observations/findings, reporting and publication, as well as follow-up and escalation procedures) will be considered and carefully planned before a complementary/joint engagement. EIO will explore best practices in the United Nations system and bring on board experiences of other organizations that have already undertaken complementary/joint engagements (i.e., UNDP and IAEA).

H. Limitations on Evaluation function scope of work

43. The allocation of resources and timing required for an evaluation task considers available evaluation staff resources, the time allocation required for preparatory planning, quality assurance and other activities specific to a particular evaluation task. Generally, the project evaluation management will take about 1 person-month to complete spread over 3 to 4 months by one Evaluation Officer and one Evaluation Assistant. A strategic evaluation (country level, thematic, process, impact) will take 3 person-months of one/two Evaluation Officers and one Evaluation Assistant, over 6-7 months. Depending on the nature of the evaluation activity, the available human resources will also be dedicated to joint UN evaluation activities, methodological development, learning products and advisory services as described in this document. Therefore, the evaluation work plan 2020/2021 is based on the assumption that the EIO Evaluation function will continue to be composed of one Chief, three Evaluation Officers and two Evaluation Assistants throughout the next biennium.

44. EIO would like to reiterate that the current level of resources for the EIO Evaluation function does not allow to adequately cover all areas identified from the evidence-gap analysis performed.

Annex 1 – Evidence Gap & Ranking of Strategic evaluations

| Evaluation subject | Focus of the strategic evaluation | Ranking |
|---|---|---------|
| UNIDO's project design, appraisal and approval process for technical cooperation through projects and programmes. | TOC and SWOT approach to analyze effects of design, appraisal and approval on results and performance. Benchmarking of related processes in UNIDO against other models (Complementary engagement with internal audit) | 1 |
| MTPF 2018-2021 (incl. monitoring, IRPF) | MTPF and IRPF effectiveness as RBM tools. Is UNIDO getting more results oriented using these tools? | 1 |
| UNIDO's capacity to contribute to transformational change, broader adoption, replication and large scale impact. | Portfolio review, case studies, TOC analysis Current interest of donor community and evaluation community; can feed into IRPF induced results orientation efforts and therefore be of direct use | 1 |
| Gender Policy | As per policy requirement: "progress in implementing this policy and the associated GEEW Strategies shall be monitored on a biennial basis by the Organization and independently evaluated on a regular basis" | 1 |
| One JOINT-UN System Wide country level and/or thematic evaluation. | To be coordinated with UNEG. The UN Reform process includes also the establishment of the UN system wide evaluation function. EIO will contribute to and benefit from a direct involvement through better evidence on UNIDO's system wide role and impact. | 2 |
| UNIDO Country Programmes (CPs) Framework | To understand the value addition and derive useful recommendations to be integrated with the PCPs Suggested by PTC MD for WP 2020/2021 | 2 |
| UNIDO Industrial Development Report | Quality, "standing", reach. Scope: latest 3 IDR in depth. Comparative review of all IDRs. Clients' satisfaction survey. Peer review among renowned experts. Benchmarking against other agencies flagship publications. Interviews with staff and partners. | 3 |
| UNIDO Human Resource Management | Possible Joint exercise with audit: Evaluation focusing on benchmarking with other agencies and international organization; Audit focusing on compliance of existing policies Request expressed by delegations during the briefing to Member States' representative on evaluation activities (6 March 2019). | 3 |
| UNIDO Capacity Development | Assessing UNIDO's capacity development activities, including the UNIDO Institute and related training initiatives. | 3 |

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Annex 2 – Evidence Gap & Ranking of Country Evaluations

| Country | Total budget USD (*) | accountability/ risk | | new learning | | demand | | use | | evaluability (if below 5 deemed critical) | | Total score |
|--------------|----------------------|--|----|--|----|--------------------------------------|----|--|----|---|----|----------------|
| | | 30% | | 25% | | 15% | | 20% | | 10% | | |
| Senegal | 15,104,397 | PCP high visibility and co-funding risks | 10 | PCP approach | 10 | mandatory PCP | 10 | PCP new phase | 10 | few project evaluations available | 5 | 10 |
| China | 202,147,814 | Very high volume of TC | 10 | high level of Government funding, several innovative projects | 8 | no specific evidence | 0 | CP ends in 2020, CE can feed into new CP | 10 | no limitations known | 10 | 8 |
| Egypt | 27,273,872 | high volume of TC; transition period new UR/RD | 8 | several innovative projects, has not been evaluated recently | 8 | was foreseen in WP 18/19 | 3 | new UR/RD will come in 2020 | 8 | no limitations known, several project evaluations available | 10 | 7 |
| Kenya | 10,873,622 | PCP Self-starter Medium volume TC; | 8 | TC portfolio mix. UN Hub in Africa | 8 | Country Eval Requested by Government | 8 | Feed into PCP planning | 8 | No limitations. Last country evaluation in 2012. | 8 | 8 |
| Sudan | 24,237,457 | high volume of TC | 8 | focus on fisheries potential for learning | 7 | no specific evidence | 0 | no specific evidence | 5 | no limitations, few old project evaluations available | 7 | 6 |
| Liberia | 29,627,889 | high volume of TC | 8 | almost all projects TVET, focus offers potential for impact focus | 9 | no specific evidence | 0 | no specific evidence | 5 | no limitations, few old project evaluations available | 7 | 6 |
| South Africa | 24,743,696 | high volume of TC | 8 | 75% of TC focused on low carbon, potential for impact focus | 9 | no specific evidence | 0 | no specific evidence | 5 | no limitations, two recent project evaluations | 7 | 6 |
| Philippines | 16,293,878 | medium TC, one EU TC project stalled | 7 | some innovative projects, | 7 | CP needs evaluation in 2023 | 0 | no specific evidence | 5 | 4 recent evaluations available | 7 | 6 |
| Iran | 15,391,609 | medium TC, | 5 | change of office type potential for learning, high level Govt. funding | 10 | CP ends 2021; PTC request | 8 | no specific evidence | 5 | 2 evaluation s available | 5 | 7 |
| Cuba | 8,792,058 | Low TC | 3 | several innovative projects (music industry, policy) | 8 | proposed by EFR-RPF | 8 | CP ends 2020 | 8 | no project evaluations | 5 | 6 |

(*) UNIDO Open data platform, as of 01-02-2020