

Independent Evaluation Division

Independent Mid-Term Evaluation of **UNIDO's Programme for Country Partnership (PCP)**

Volume II - Annexes



UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

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Annex A: Evaluation Terms of Reference



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE

Independent Mid-term Evaluation

UNIDO's Programme for Country Partnership (PCP) Framework

Independent Evaluation Division (ODG/EVQ/IEV)
Office of the Director General, Office of Independent Evaluation and Quality
Monitoring

25 May 2017

I. Background and context

Policy background

Since the adoption of the Lima Declaration (GC.15/Res.1) by UNIDO's Member States and the 2030 Agenda for Sustainable Development of the UN, UNIDO is focusing its efforts on the implementation of this mandate to support its Member States towards enhanced inclusive and sustainable industrialization (ISID). To this end, and based on the Organization's experience and expertise on inclusive and sustainable industrial development, it has been developing and piloting a new programmatic framework, called the Programme for Country Partnership (PCP).

The development and expansion of UNIDO's partnership approach, the Programme for Country Partnerships was put before the General Conference at its sixteenth session (GC.16) as a note by the Secretariat (GC.16/CRP.5).

The General Conference at its sixteenth session (GC.16) adopted decisions and resolutions regarding the introduction of a new partnership approach for promoting inclusive and sustainable industrial development (ISID) and requested the Director General to continue to align, in accordance with UNIDO's mandate, its activities, technical cooperation delivery, partnership approach and country programmes with the goals and targets set out in the 2030 Agenda. It also requested UNIDO to continue to reach out to all United Nations Member States and encourage them to join the Organization in the spirit of a revitalized global partnership for sustainable development and with a view to strengthening the means of implementation for Sustainable Development Goal 9 and other relevant and interlinked goals and targets of the 2030 Agenda. In particular, UNIDO was requested to expand its pilot Partnership Country Programmes initiated in Senegal and Ethiopia to other LDCs in all regions taking into account lessons learnt and best practices.

International development context

In September 2015, Heads of State and Government agreed on the 2030 Agenda for Sustainable Development, including 17 Sustainable Development Goals, SDGs, which set out quantitative objectives across the social, economic, and environmental dimensions of sustainable development to be achieved by 2030.

Achieving the SDGs will require an unprecedented level of collaboration across all countries and stakeholders, pooling resources from diverse actors through multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources.

SDG 17 states the need to "strengthen the means of implementation and revitalize the global partnership for sustainable development", highlighting the central role of partnerships in fulfilling the 2030 Agenda. As such, new forms of collaboration are increasingly shaping between inter alia states, civil society, international organizations, financial institutions and the private sector, leveraging resources from various actors to allow for more scalable and sustainable development results.

UNIDO and inclusive and sustainable industrial development

UNIDO's vision to address today's economic, social and environmental challenges is enshrined in the Lima Declaration, adopted by the Organization's Member States in December 2013. The Lima Declaration provides UNIDO with a mandate to achieve inclusive and sustainable industrial development (ISID).

ISID is based on the recognition by Member States that poverty eradication "[...] can only be achieved through strong, inclusive, sustainable and resilient economic and industrial growth and the effective integration of the economic, social and environmental dimensions of sustainable development".

UNIDO's mandate for ISID is anchored within the internationally agreed 2030 Agenda. Of the 17 SDGs that comprise this agenda, Goal 9: "build resilient infrastructure, promote inclusive and sustainable industrialization, and foster innovation" is especially relevant to UNIDO's work. It recognizes that the industrial sector can serve as a primary engine not only of job creation and economic growth, but also of technology transfer, investment flows and skills development. In addition to Goal 9, UNIDO's mandate for ISID aligns with many other SDGs, including those related to poverty eradication (SDG 1), job creation (SDG 8), access to clean and affordable energy (SDG 7) and gender equality (SDG 5), among others.

II. UNIDO's Programme for Country Partnerships (PCPs)

What is the PCP?

Traditionally, UNIDO has been delivering its technical cooperation services in support of national development priorities, be Country Programmes, Integrated Programmes or Country Service Frameworks, as well as aligned with UNDAFs or DaOs.

UNIDO introduced the Programme for Country Partnerships (PCP) framework in mid-2014 as a mechanism for the implementation of its ISID mandate. Following extensive consultations with stakeholders and potential counterparts, including during two ISID Forums in 2014, the process culminated in the development of a new service package for UNIDO Member States: the Programme for Country Partnership (PCP). The PCP framework was launched on a pilot base in 2015 in Ethiopia and Senegal and in 2016 in Peru.

The stated objective of the new model is "to mobilize external partners and additional resources in order to extend the impact of UNIDO's technical cooperation and accelerate inclusive and sustainable industrial development in Member States".

UNIDO defines PCP as a process-oriented approach, coordinating all UNIDO relevant interventions towards enhance industrialization, from initiation and preliminary assessments, to consultations with different stakeholders and programme development, and throughout implementation. UNIDO aims at providing guidance and driving PCP interventions, jointly with the government, who maintains ultimate ownership of the programme to ensure sustainability and long-term impact. UNIDO

aims at providing an advisory function to the government on industry related issues, playing a catalyzing, facilitating and convening role. Through the PCP, UNIDO aims at supporting further the government in developing a strategy for prioritizing and ultimately accelerating industrialization.

The PCP is seen by UNIDO as an innovative model for accelerating inclusive and sustainable industrial development in Member States. Aligned with the national development agenda and focused on sectors with high growth potential, the programme supports a country in achieving its industrial development goals. The PCP is meant to rest on a multi-stakeholder partnership led by the host government. It seeks to build synergies with government and partner interventions relevant to industrial development. The PCP is also meant to leverage additional investment in selected priority sectors. As such, it is a model that seeks to mobilize partners and resources to achieve larger development impact.

Government ownership

The Government provides leadership through a national coordination mechanism. The PCP is aligned with the national industrialization strategy and targets prioritized industrial sectors.

The host government plays a lead role in the mobilization of resources for the implementation of the PCP. This is done in part through the direct allocation of its own resources and in part through loans, for example for industrial infrastructure development. Such public investment under the PCP helps to mobilize additional private finance.

UNIDO's role in the PCP

A UNIDO multidisciplinary team provides technical assistance and facilitates overall coordination.

UNIDO's role in the PCP is to provide support to the Government, e.g. identifying priority industrial sectors, namely those with a strong potential for job creation, increasing exports and attracting national and foreign direct investment. UNIDO also conducts value chain assessments within these sectors and advises on which interventions are required to advance inclusive and sustainable industrial development. During these processes, UNIDO prepares feasibility studies for large-scale industrial infrastructure development projects such as industrial parks directly geared to mobilize / catalyze additional investment for industrial development. UNIDO also identifies and reaches out to essential partners, with a focus on leveraging large-scale public and private investment. Additionally, a multidisciplinary UNIDO team provides technical assistance for the execution of the programme in line with the three pillars of ISID: promoting shared prosperity, advancing economic competitiveness and safeguarding the environment. This includes, among other interventions, skills training programmes and industrial energy efficiency projects.

The PCP supports the government in improving the overall business environment and in promoting specific investment opportunities to attract domestic as well as foreign direct investment. At the same time, UNIDO provides technical assistance designed specifically to unlock large-scale funding from development partners, such

as development finance institutions and bilateral donors. The PCP facilitates the mobilization and coordination of three streams of resources: public investment, private sector investment, and technical assistance.

In order to pilot the new model, UNIDO conducted high-level scoping missions to consult with relevant stakeholders in potential PCP countries. In mid-2014, Ethiopia and Senegal were selected as the first two pilots. Multidisciplinary technical teams were assembled who, in close collaboration with the respective governments and potential partners, formulated the PCP for each country. In December 2015, Peru became the third PCP pilot country. Over the next few years, UNIDO plans to roll-out the PCPs progressively to other geographical regions.

UNIDO has also established an overarching Partnership Trust Fund to support the development and roll-out of the PCPs. Through voluntary contributions, the Trust Fund supports activities such as the development of an industrialization strategy, preparatory activities in selected pilot countries, overall PCP coordination, and joint activities with PCP partners, bridging a funding gap where there is potential to trigger additional large-scale funding, and global forum activities aimed at promoting partnerships.

Programme for Country Partnership in Ethiopia

The PCP for Ethiopia is rooted in the country's national development strategy for the period 2015 to 2020, the Growth and Transformation Plan II (GTP II). The GTP II aims to bring about the structural transformation of the Ethiopian economy from one based on agriculture to one driven primarily by industries. The objective of the GTP II is for Ethiopia to become a middle-income country by 2025.

The Government identified the development of light-manufacturing and industrial zones as vehicles for accelerating industrialization, which are therefore integral parts of the PCP for Ethiopia. The three priority sectors of the PCP – agro-food processing, leather and leather products, and textiles and apparel – also lie at the heart of the GTP II.

In order to promote investment in the three priority sectors, UNIDO and the Government of Ethiopia are undertaking several activities in collaboration with PCP partners. This includes reviewing the related policy framework, preparing feasibility studies, mobilizing resources for infrastructure development, preparing specific investment projects and organizing international investment events. The PCP also integrates complementary cross-cutting interventions according to government-defined priorities in the fields of trade facilitation, environment and energy and institutional capacity-building.

Programme for Country Partnership in Senegal

The PCP for Senegal is being implemented within the framework of the Plan Senegal Emergent (PSE), the country's national development strategy. The overall objective of the PSE is to transform Senegal into "an emerging country by 2035 with social solidarity and a state of law". The PCP for Senegal supports the implementation of the industrial component of the PSE, with a focus on selected priority industrial projects. To this end, the PCP is supporting the Government in designing a national industrial policy and identifying sectors with high potential for economic growth.

A national coordination mechanism has been established under the leadership of the Government of Senegal, bringing together relevant ministries and PCP partners. This coordination body – the National Steering Committee – is chaired by the Prime

Minister's Office. A Partner and Donor Working Group will also be established under the auspices of the Ministry of Economy, Finance and Planning.

The Programme for Country Partnership (PCP) for Senegal, initiated in 2015, mobilizes development partners, UN agencies, development finance institutions (DFIs) and the private sector – under the leadership and ownership of the national Government – to advance inclusive and sustainable industrial development, within the framework of the PSE. The PCP will focus on five main areas:

- I. industrial policy development;
- II. establishment of Agro-poles for agricultural value chains; and
- III. operationalization of existing industrial parks and the development of new ones
- IV. support for Special Economic Zones and investment package reform; and
- V. establishment of mining regional hub

The Programme will also integrate complementary cross-cutting interventions according to government-defined priorities. These include:

- private sector development
- investment promotion;
- environment;
- energy;
- trade facilitation;
- south-south and triangular industrial cooperation;
- Innovation, science and technology for industry.

Programme for Country Partnership, Peru – Fostering Modern, Competitive and Inclusive Industrial Development

Through the Programme for Country Partnership (PCP) for Peru, launched in December 2015, UNIDO - together with the Ministry of Production (PRODUCE) and other national and international partners – will support the Government of Peru in fostering Inclusive and Sustainable Industrial Development (ISID). Within this framework, the PCP Peru will promote a modern, competitive and inclusive industrialization, in line with the country's national development strategy and goal of acquiring membership in the Organisation for Economic Cooperation and Development (OECD). UNIDO and the PRODUCE will work together to support Peru's continuing socio-economic progress, with a focus on promoting national quality infrastructure and innovation systems, , supporting the development of a national programme on industrial parks and identifying new business models for priority sectors and regions. The Technical Cooperation Framework jointly developed by UNIDO and the Ministry of Production (PRODUCE) is comprises four components:

- I. quality and innovation;
- II. value chain and enterprise development;
- III. sustainable industrial parks and
- IV. industrial resource and energy efficiency, including renewable energy for productive use and the environmentally sound management of chemical substances and waste.

These components will be implemented at the national level, with the support of partnering institutions.

III. Evaluation purpose, objectives, scope, methodology, key questions and process

As approved by the UNIDO Executive Board in February 2017, the Independent Evaluation Division (ODG/EVQ/IEV) will conduct a thematic mid-term evaluation of UNIDO's Programme for Country Partnerships (PCP). The mid-term evaluation will be undertaken within the framework of the UNIDO Evaluation Policy¹.

Further to the guidance in GC.16_CRP.5, the purpose of the mid-term evaluation is to draw lessons from the early implementation of the pilot phase to support UNIDO in further improving this programmatic framework.

Next to any available and related documentation (as listed in Annex 1), and further information with regard to the PCP framework and the related pilot interventions in Ethiopia, Senegal and Peru, the mid-term evaluation will also follow up and take into account the report: *Evaluability Assessment – Inclusive and Sustainable Industrial Development (ISID) Pilot Programmes for Country Partnership (PCPs) in Ethiopia and Senegal (2015)*. This report covers the findings of an evaluability assessment (EA) of the first two pilot interventions of the Programmes for Country Partnership (PCPs), namely the PCPs in Ethiopia and Senegal.

A. Evaluation objectives

This independent mid-term evaluation will provide evidence with regard to the current status, the potential and the requirements of the future PCP framework and related initiatives. It will do this by evaluating the PCP framework and the related pilot interventions in Ethiopia, Senegal and Peru, leading to concrete recommendations and lessons with regard to the future strategy of the PCP framework.

The mid-term evaluation of UNIDO's PCP Framework has four main objectives:

1. Assess the relevance and effectiveness of the PCP concept to UNIDO's ISID mandate and global 2030 Agenda of the UN.
2. Assess whether the implementation of the PCP Framework and the pilot phase in the three pilot countries Ethiopia, Senegal and Peru are likely to lead to achieving the expected outcomes.
3. Assess whether UNIDO's different roles / tasks in the PCP context, as well as the related models of engagement are conducive to the achievement of the expected outcomes.
4. Assess the potential of the PCP Framework for UNIDO's future mainstream interventions at the country level and, based on the lessons learned, make recommendations for future improvement of the PCP Framework.

Being mostly concerned about the performance of policies, strategies and processes rather than about the outcomes of the short pilot phase (2015-2017), this mid-term evaluation will be a forward-looking assessment, e.g. through a Theory of Change,

¹

http://www.unido.org/fileadmin/user_media_upgrade/Resources/Evaluation/UNIDO_Evaluation_Policy_UNIDO-DGB-M-98-Rev-1_150319.pdf

with a view to support achieving its stated strategic objectives and identify areas for possible improvement.

B. Evaluation scope

The mid-term evaluation will encompass:

- The PCP framework, with a focus on policies, strategies and processes that affect the design, development, implementation and monitoring of UNIDO's ISID based services;
- The implementation of the pilot phase;
- The implementation of the PCP in the three pilot countries, including the organizational arrangements and coordination of UNIDO services within UNIDO and at country level within the context of the PCP Framework.

C. Evaluation criteria and key questions

The evaluation will be carried out as an independent in-depth evaluation using a participatory approach whereby key stakeholders will be regularly consulted and informed throughout the evaluation process.

The participatory approach will not only allow to widely capture views and perspectives of all parties, but will enable, once the recommendations of the mid-term evaluation are finalized, a strong take up and implementation of those recommendations, and thus ensure a comprehensive learning process for UNIDO and its Member States.

It is necessary to clarify up front that the mid-term evaluation will not assess the impact of these PCPs in the three pilot countries, as the time span since their inception has been very short, i.e. between 1 and 2 years. The mid-term evaluation will further not look into the performance of individual UNIDO projects and programmes, which may form part of the PCP implementation in a given country as regards its potential to generate the desired development impact at country level.

The **relevance** of the PCP framework will be assessed on two levels:

- a) In relation to the PCP framework, with a focus on strategies and processes that affect the design, development, implementation and monitoring of the approach.
- b) In relation to the PCP pilot phase and the interventions in Ethiopia, Senegal and Peru.

The key questions for assessing relevance are as follows:

- i. To what extent are the objectives of PCP valid?
- ii. Are the activities and outputs of PCP consistent with the overall goal and the attainment of its objectives?
- iii. Is the PCP framework perceived as the most appropriate strategy for partner countries' governments to achieving their sustainable industrial development objectives and contribute to the implementation of the Agenda 2030? How strong is the ownership of the instrument by partner countries' governments?

The analysis of **effectiveness** of the partnerships will focus on whether their expected objectives have been achieved. However since most of the partnership agreements were developed only very recently and objectives and expected results

may yet not have been completely finalized, the mid-term evaluation will 'reconstruct' a theory of change with the assistance of key stakeholders to clarify the expected results chain(s), hence enhancing the transparency and clarity of the PCP framework under evaluation.

The key questions for assessing effectiveness are as follows:

- i. What are the key results and benefits of the PCP framework for UNIDO and for the three pilot countries? To what extent have the expected results been achieved or are likely to be achieved, in particular with regard to the four key dimensions of the PCP framework?
- ii. Within the aid architecture, what is the relation of the PCP framework in the pilot countries to the respective UNDAF processes and other UN as well as non-UN development planning and coordination mechanisms relevant to ISID?
- iii. Is the PCP framework reaching the set milestones on the way to the ultimate goal of supporting governments?

In analyzing the **efficiency** of the PCP framework, the mid-term evaluation will review the organizational arrangements and resources used in managing the PCP framework and its implementation in the three pilot countries, with a view to identify key elements for mainstreaming the PCP approach in UNIDO.

The key question for assessing efficiency is:

- i. Is the actual institutional organizational set up, i.e. organizational structure, functions, roles, responsibilities and availability of human and financial resources, adequate for developing and implementing the PCP Framework currently in (a) the three pilot countries and (b) further in a significant number of additional countries?
- ii. Are the institutional assets (e.g., policies, processes, tools and indicators) available for the PCPs to actually report on how they contribute to UNIDO's ISID mandate and the SDGs? How can UNIDO on the corporate level report on the achievements of the PCPs?
- iii. If the PCPs are actually creating a much larger development impact than the traditional CPs and stand-alone projects, can UNIDO report this systematically to its member states and partners?

The likelihood of **sustainability** of the PCP concept will be assessed in terms of the robustness of the organizational arrangements, systems/tools and methods put in place by UNIDO to implement the PCP and the potential for dissemination. From the implementation of the pilot phase, the evaluation will identify areas for improvement that would need to be incorporated into the Guidelines for the Technical Cooperation Programme and Project Cycle to ensure sustainability of the processes.

Cross cutting issues will be considered, such as the extent to which gender issues have been addressed within the PCP framework or in its implementation in the three pilot countries.

Learning from comparing the implementation of the PCP approach in different country contexts and from insights from the set up and realization of projects and programmes under the PCP approach will be invaluable. This mid-term evaluation will identify good practices from the respective PCP programmes in Ethiopia, Senegal and Peru. This component will seek to answer the three following questions:

- i. What recommendations and lessons can be drawn from the PCP implementation in the three pilot countries?

- ii. What is the potential of the PCP Framework for UNIDO's future interventions at the country level?
- iii. Can varying interventions at country level converge into a single engagement framework? How should and could stand-alone interventions, country programmes and PCP programmes converge?
- iv. What lessons can be learned to best engage with other partners?

These evaluation questions will be further fine-tuned during the inception phase of the evaluation.

D. Evaluation methodology

Evaluation instruments for data collection and analysis. The mid-term evaluation 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 collected before forming its assessment. This is essential to ensure an evidence-based and credible evaluation, with robust analytical underpinning.

Following are the main instruments for data collection and analysis:

1. **Desk review of documents and database** including reports from within UNIDO on the PCP approach and its implementation in the three pilot countries. In addition, external documentation from the three pilot countries in relation of the PCP implementation in those countries will be extensively reviewed.
2. **Stakeholder consultations.** These will be conducted through structured and semi-structured interviews and focus group discussion. A stakeholder mapping will be conducted in order to identify key stakeholders, followed by a sampling strategy in order to capture the views of key stakeholders on the PCP. Key stakeholders to be interviewed may include:
 - a. UNIDO Management and staff of departments and divisions involved in donor relationships management and resource mobilization;
 - b. Representatives of Permanent Delegation of relevant Member States
 - c. Representative of partner organizations
 - d. Others, as relevant
3. **Country case studies:** The three pilot countries will be visited and a case study on the implementation of the PCP Framework for each country will be prepared.
4. **Survey.** An electronic survey would be undertaken to collect a variety of perspectives and information from UNIDO project managers and other stakeholders as needed.
5. **SWOT analysis:** A SWOT analysis will be a key data analysis instrument.

E. Evaluation process and deliverables

The evaluation will be conducted from May to October 2017. The evaluation will be implemented in five phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- i. Inception phase (May, June 2017)

- ii. Desk review and data analysis (May – October 2017)
- iii. Interviews, focus groups, survey (June-July 2017)
- iv. Field Visit to Pilot Countries (Ethiopia, Senegal and Peru) July 2017
- v. Data analysis and report writing (September - October 2017)

IV. Evaluation team

This mid-term evaluation will be conducted by a team of three independent international evaluation consultants (team leader and two team members), supported by three national evaluation consultants (one in each pilot country), under the overall guidance of the Director of the Office of Independent Evaluation and Quality Monitoring (ODG/EVQ), in cooperation with staff from OEG/EVQ/IEV.

The team leader and team members will be high-level and senior evaluators who have in-depth knowledge of evaluation and results-based management. The evaluation team would be composed with relevant strong experience and skills on evaluation management and conduct together with strong expertise and experiences in the area of conceptual development for socio-economic development programmes in the context of the UN development agenda. The respective Job Descriptions are presented in Annex 2.

According to UNIDO Evaluation Policy, 'the members of an evaluation team must not have been directly responsible for the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future).

V. Quality assurance

All UNIDO terminal evaluations are subject to quality assessments by the UNIDO Independent Evaluation Division. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process), providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report, and ensuring the draft report is factual validated by stakeholders).

The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality. The draft and final terminal evaluation report are reviewed by the UNIDO Office of Independent Evaluation and Quality Monitoring and circulate it within UNIDO together with a management response sheet.

Annexes:

- Annex 1. List of Documents related to PCP Framework
- Annex 2. Job Descriptions (team leader, international team members and nationals)
- Annex 3. Checklist of evaluation report quality
- Annex 4. Draft outline of evaluation report

Annex 1. Preliminary List of PCP related documents

- Lima Declaration: Towards inclusive and sustainable industrial development, (15th Session of UNIDO General Conference, Lima, Peru, 2 December 2013)
- UNIDO Forum on Strategies and Instruments for Inclusive and Sustainable Industrial Development, 23 and 24 June 2014 (PBC.30/CRP.5 - 26 June 2014)
- Evaluability Assessment, Inclusive and sustainable industrial development (ISID) pilot programmes for country partnership (PCPs) in Ethiopia and Senegal, (ODG/EVA/15/R.7 - 2015)
- Programme for Country Partnership for Ethiopia and project portfolio
- Programme for Country Partnership for Senegal and project portfolio
- Programme Framework Document for the Programme for Country Partnership for the Republic of Peru and project portfolio
- PCP Brochure (UNIDO, November 2016)
- Establishing a UNIDO PCP Steering Group (PCPSG), (DGB/2017/01 - 3 March 2017)

Annex 2. Job descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Job description

Post title: Principal/Senior International Evaluation Consultant (Team Leader)

Duration: 40 days spread over 15 May– 30 October 2017

Duty station / missions: Home-based; UNIDO HQ, Vienna; missions

Duties of the consultant: The Principal/Senior International Evaluation Consultant will in collaboration in with two other international evaluation team members and the national evaluation consultants, lead and conduct the independent mid-term evaluation of UNIDO PCP Framework, in conformity with the evaluation TOR. More specifically the consultant will carry out the duties as per the table below:

Duties	Duration (work days)	Deliverables
Desk review of documents related to UNIDO's PCP framework, guiding and advising the team members, for preparing the inception report including the evaluation tools and work plan.	8 days	List of issues to be clarified in line with evaluation questions; inception report including interview guidelines, and evaluation conduct work plan.
Consolidating the Inception report: prepare an inception report based on the desk review and including an evaluation matrix and work plan	2 day	Inception report
Briefing with UNIDO IEV; and, as per inception report and work plan to conduct: HQ interviews relevant staff at UNIDO HQ interviews with members of Permanent Missions Preparation of field mission(s)	5 days (Vienna)	Information collected and analyzed, in line with the evaluation questions developed in the ToR and the Evaluation Matrix developed during the inception phase,
Field Mission(s) to PCP pilot countries	10 days	As per evaluation work plan from the inception phase.
Debriefing: Presentation of preliminary findings at UNIDO HQ and Permanent Missions	5 days (Vienna)	Information and findings analyzed for evaluation report. Power Point presentation with preliminary findings.
Drafting of evaluation report, collecting feedback and incorporation of comments received	10 days	Report chapters and sub-chapters including conclusions, recommendations and

Duties	Duration (work days)	Deliverables
Consolidating the Final Report.		lessons learned. Preparation of Executive Summary and 1-2 pages brief from the evaluation.
Total	40 days	

Qualifications:

- Advanced university degree in a field related to development studies, economics, public administration, business administration
- Have an in-depth knowledge of evaluation of development projects/ programmes, minimum of 20 years' experience.
- Have proven practical experience in evaluating high-level and strategic issues with a range of UN and international development agencies;
- Good knowledge of and experience working with multilateral and international development interventions
- Experience/knowledge in partnerships with multilateral organizations
- Excellent analytical and drafting skills

Languages: English

Impartiality: According to UNIDO rules, the consultant must not have been involved in the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future).



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Job description

Post title: Senior Evaluation Consultant (Team Member – 2 posts)

Duration: 35 days spread over 15 May– 30 October 2017

Duty station / missions: Home-based; UNIDO HQ, Vienna; missions

Duties of the consultant: Under the leadership of the team leader and in collaboration with the other team members, conduct this thematic evaluation in conformity with the TOR and carry out the duties as per the table below:

Duties	Duration (work days)	Deliverables
Desk review of documents related to UNIDO's PCP framework, under guidance and work distribution coordinated with the team leader for preparing the inception report including the evaluation tools and work plan.	7 days	List of issues to be clarified in line with evaluation questions; inception report including interview guidelines, and evaluation conduct work plan.
Briefing with UNIDO IEV; and, as per inception report and work plan to conduct: HQ interviews relevant staff at UNIDO HQ interviews with members of Permanent Missions Preparation of field mission(s)	5 days (Vienna)	Information collected and analyzed, in line with the evaluation questions developed in the ToR and the Evaluation Matrix developed during the inception phase,
Field Mission(s) to PCP pilot countries	5-10 days	As per evaluation work plan from the inception phase.
Debriefing: Presentation of preliminary findings at UNIDO HQ and Permanent Missions	5 days (Vienna)	Information and findings analyzed for evaluation report. Power Point presentation with preliminary findings.
Drafting of evaluation report, collecting feedback and incorporation of comments received	8 days	Report chapters and sub-chapters including conclusions, recommendations and lessons learned. Preparation of Executive Summary and 1-2 pages brief from the evaluation.
Total	30-35 days	

Qualifications:

- Advanced university degree in a field related to development studies, economics, public administration, business administration

- Have an in-depth knowledge of evaluation of development projects/ programmes, minimum of 15 years' experience.
- Have proven practical experience in evaluating high-level and strategic issues with a range of UN and international development agencies;
- Experience/knowledge in partnerships with multilateral organizations
- Knowledge of UNIDO would be an asset;
- Excellent analytical and drafting skills.

Languages: English. Spanish and French would be an asset

Impartiality: According to UNIDO rules, the consultant must not have been involved in the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future).



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Job description

Post title: National Evaluation Consultant (Team Member – 3 posts)

Duration: 15 days spread over 01 June – 30 September 2017

Duty station / missions: Home-based (Senegal or Ethiopia or Peru)

Duties of the consultant: in collaboration with the evaluation team leader and team member(s), to conduct this thematic evaluation in conformity with the TOR and carry out the duties as per the table below:

Duties	Duration (work days)	Deliverables
Desk review of documents related to UNIDO's PCP framework, and for the country under his/her coverage	3 days	List of issues to be clarified in line with evaluation questions; inception report including interview guidelines, and evaluation conduct work plan.
In coordination with national and field stakeholders to support the preparation of field mission(s) in his/her country	3 days	Information collected and analyzed, in line with the evaluation questions developed in the ToR and the Evaluation Matrix developed during the inception phase,
Participate in the Field Mission of the international team members.	5 days	As per evaluation work plan from the inception phase.
Providing inputs to the drafting of evaluation report,	4 days	Report chapters and sub-chapters including conclusions, recommendations and lessons learned.
Total	15 days	

Qualifications:

- Advanced university degree in a field related to development studies, economics, public administration, business administration
- Minimum of 5 years' experience on project/programme or evaluation
- Knowledge of UNIDO is an asset
- Excellent analytical and drafting skills.

Languages: English (main language), and French (for Senegal), and Spanish (for Peru)

Impartiality: According to UNIDO rules, the consultant must not have been involved in the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future).

Annex 3. Checklist on evaluation report quality

Independent Thematic Evaluation

Report title:

Evaluation team leader:

Quality review done by:

Date:

Report quality criteria	UNIDO IEV Assessment notes	Rating
a. Was the report well-structured and properly written? (Clear language, correct grammar, clear and logical structure)		
b. Was the evaluation objective clearly stated and the methodology appropriately defined?		
c. Did the report present an assessment of relevant outcomes and achievement of project objectives?		
d. Were the report consistent with the ToR and the evidence complete and convincing?		
e. Did the report present a sound assessment of sustainability of outcomes or did it explain why this is not (yet) possible? (Including assessment of assumptions, risks and impact drivers)		
f. Did the evidence presented support the lessons and recommendations? Are these directly based on findings?		
g. Did the report include the actual project costs (total, per activity, per source)?		
h. Did the report include an assessment of the quality of both the M&E plan at entry and the system used during the implementation? Was the M&E sufficiently budgeted for during preparation and properly funded during implementation?		
i. Quality of the lessons: were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
j. Quality of the recommendations: did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can these be immediately implemented with current resources?		
k. Are the main cross-cutting issues, such as gender, human rights and environment, appropriately covered?		
l. Was the report delivered in a timely manner? (Observance of deadlines)		

Rating system for quality of evaluation reports: A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

Annex 4. Draft outline of evaluation report

Executive summary

- Must provide a synopsis of the storyline which includes the main evaluation findings and recommendations
- Must present strengths and weaknesses of the project
- Must be self-explanatory and should be maximum 3-4 pages in length

I. Evaluation objectives, methodology and process

- Information on the evaluation: why, when, by whom, etc.
- Scope and objectives of the evaluation, main questions to be addressed
- Information sources and availability of information
- Methodological remarks, limitations encountered and validity of the findings

II. Evaluation findings

1. Overall Assessment of the PCP Framework

- Relevance, Effectiveness, Efficiency (or as per criteria agreed in the inception phase)

2. Case Studies

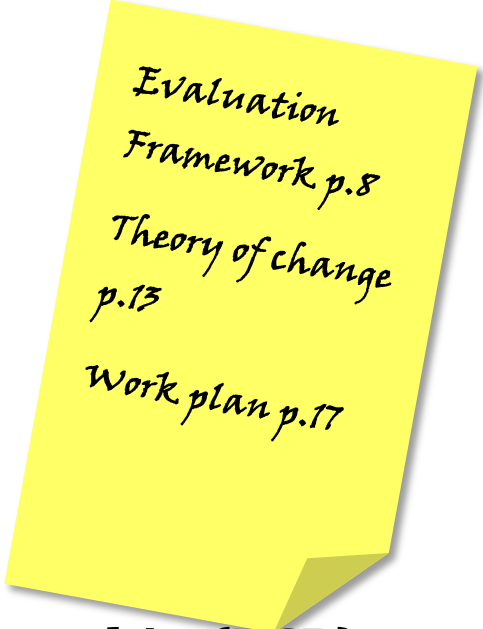
- Learning from the 3 different pilots under implementation

III. Conclusions, recommendations and lessons learned

- A. Conclusions
- B. Recommendations
- C. Lessons learned

Annexes should include the evaluation TOR, list of interviewees, documents reviewed, case studies, and any other detailed quantitative information. Dissident views or management responses to the evaluation findings may later be appended in an annex.

Annex B: Evaluation Inception Report



*Evaluation
Framework p.8
Theory of change
p.13
Work plan p.17*

**UNIDO's
Programme for Country Partnership (PCP)
Mid-term evaluation**

Inception Report

Draft, 22 June 2017

Evaluation Team:

Mr. Urs Zollinger, International Evaluation Consultant (Team Leader)

Ms. Silvia Alamo, Senior Evaluation Consultant

Mr. Cristóbal Vignal, International Evaluation Consultant

Ms. Simone La Rosa Monier, UNIDO IEV, Evaluation Analyst

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1. Introduction and background

This inception report is based on the terms of reference (TOR) dated 25 May 2017 and should be read in conjunction with the TOR. This inception report outlines the evaluation process and methodology in order to achieve the evaluation purpose and objectives. Moreover, the inception report provides early reflection on the concept of the PCP.

Evaluation purpose and objectives

According to the TOR, the purpose of the mid-term evaluation is to draw lessons from the early implementation of the pilot phase to support UNIDO in further improving the PCP. It is a forward-looking assessment based on a rather short pilot phase (2015-2017) with a view to support achieving stated strategic objectives and identify areas for possible improvement. As such, it is a formative evaluation.²

The objectives of the mid-term evaluation of UNIDO's PCP Concept are the following:

5. Assess the relevance and effectiveness of the PCP concept to UNIDO's ISID mandate and global 2030 Agenda of the UN.
6. Assess whether the implementation of the PCP Concept and the pilot phase in the three pilot countries Ethiopia, Senegal and Peru are likely to lead to achieving the expected outcomes.
7. Assess whether UNIDO's different roles / tasks in the PCP context, as well as the related models of engagement are conducive to the achievement of the expected outcomes.
8. Assess the potential of the PCP Concept for UNIDO's future mainstream interventions at the country level and, based on the lessons learned, make recommendations for future improvement of the PCP Concept.

Subject and scope of the evaluation

The mid-term evaluation will encompass:

- The *concept* of the PCP, with a focus on policies, strategies and processes that affect the design, development, implementation and monitoring of UNIDO's ISID based services;
- The implementation of the pilot phase at *UNIDO headquarters*;
- The implementation of the PCP in the *three pilot countries Ethiopia, Senegal and Peru*, including the organizational arrangements and coordination of UNIDO services within UNIDO and at country level within the context of the PCP Concept.

The scope in terms of time frame of this evaluation is from 2015 to July 2017.

Key evaluation questions

The TOR defines the key evaluation questions which guide the evaluation framework of this evaluation (see evaluation framework in chapter 5).

² A formative evaluation looks into the ways in which a program, policy, or project is implemented. It examines whether or not the assumed "operation logic" corresponds with actual operations and identifies the (immediate) consequences the implementation (stages) produces. This type of evaluation is conducted during the implementation phase of a project or programme. ... One type of formative evaluation is a midterm or midpoint evaluation. ... The purpose of a midterm evaluation is to help identify which features are working well and which features are not. (The Road to Results, The World Bank, 2009, p.9)

2. Work completed

The following work was conducted by the evaluation team which has been captured in the present inception report:

- Document review;
- Kick-off meeting in Vienna (see annex 3);
- Develop the evaluation methodology and evaluation framework (chapter 4 and 5);
- Stakeholder mapping and sampling (annex 6);
- Developing a draft PCP theory of change (see chapter 6);
- Early reflections on the PCP concept (chapter 7);
- Develop a work plan for the evaluation team (chapter 8);
- Preparation for the mission to Vienna (19 – 22 June 2017);
- Preparation of the SWOT analysis workshop (21 June 2017, Vienna) (Annex 9)
- Preparation for the pilot country missions (July/Sept 2017);
- Prepare the country case study template (Annex 2);

3. Assessment of evaluation issues and questions

The evaluation criteria and evaluation questions have been discussed with the UNIDO Office of Independent Evaluation during a kick-off meeting (Annex 3). The evaluation questions are understood by the evaluation team. Also the number of evaluation questions appears to be manageable. In order to further specify the evaluation questions, some sub-questions/sub-dimensions were added by the evaluation team. The additions are included in the evaluation framework in the 2nd column (see chapter 5).

It is clear to the team that this is a forward looking, formative evaluation which has to emphasize the assessment of the *concept* of the PCP, its *relevance* and *implementability* beyond the three pilot countries.

4. Evaluation methodology

Analytical framework and theory of change

The *evaluation criteria and questions* (see evaluation framework in chapter 5) provide the first analytical framework of this evaluation. Data will be collected, analysed and processed along these criteria and questions.

In addition, the evaluation is using as a second framework the *theory of change methodology* to analyse and assess the PCP as a concept, as well as the implemented of the PCP in the three pilot countries (see chapter 6). A theory of change methodology is used here for different reasons. First, as an explicit theory of change was not formulated when launching the PCP, the development of a theory of change retrospectively helps the evaluation team as well as the evaluation stakeholders to better understand the PCP concept. Second, the theory of change provides an analytical framework against which the PCP can be assessed. Third, since this evaluation is a mid-term evaluation, expected results are not achieved yet. The theory of change allows for assessing the likelihood that expected results will be achieved in future.

The two methodologies are interlinked. The theory of change is used to analyse and assess some of the evaluation questions (see evaluation framework chapter 5, 4th column).

Evaluation framework

The evaluation is guided by the evaluation framework (chapter 5). The framework lists the evaluation questions, some sub-questions/sub-dimensions, the source of information and the data collection methods, as well as the data analysis methods.

Data collection and analysis process

The data collection and analysis process is visualized in Figure 1.

The *data sources* are the three pilot countries on the one hand and UNIDO headquarters on the other hand. Stakeholders are a key source of data. The evaluation team has conducted a stakeholder mapping and sampling in order to identify the stakeholders for interviews from a quite large universe of potential informants (Annex 6). Selected projects visits of PCP initiative projects will be another source of information. Finally, UNIDO documents will be the third main source of data.

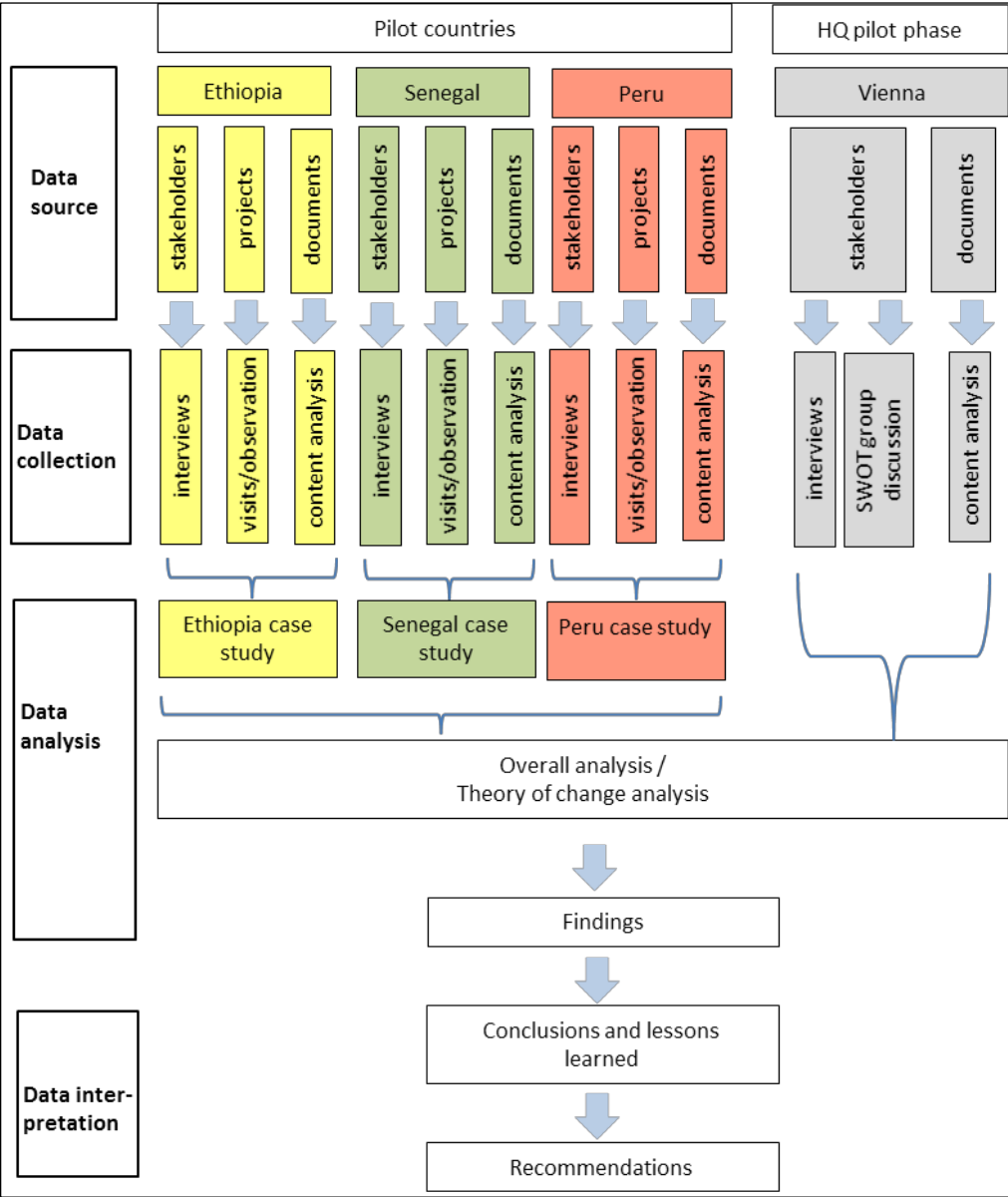


Figure 1: Data collection and analysis process for the PCP evaluation

Source: Evaluation team

Data will be *collected* through interviews in the three pilot countries and at HQs (Annex 8), a SWOT³ analysis workshop at HQ (Annex 9), project visits/observations and content analysis of documents. Especially the SWOT analysis workshop will emphasise the participatory nature of this formative evaluation.

Data collected will be *analysed* in different steps. First, for each country, a case study will be prepared following a predefined template (draft country cases study template Annex 2). The country case study will include a theory of change assessment for each country (Annex 2). In a second step, the three country case studies will be compared, aggregated and combined with the data collected at HQs. At this point, the overall theory of change will be assessed.

From the second step, the overall findings will be developed. Finally, the findings will be interpreted leading to the conclusions, lessons learned and recommendations.

Pilot country and HQ visits

As show above, the pilot country visits are a key element in the evaluation process. Each country will be visited by a team of at least two international evaluators, in order strengthen the data collection capacity and to assure impartiality. Each evaluator has the lead for one pilot country and is responsible for the country case study (Annex 2).

The entire team will be visiting UNIDO HQ in June in order to conduct interviews, the SWOT analysis workshop and to work as a team.

Table 1: Evaluation team organisation

Pilot country	Evaluator 1	Evaluator 2	Evaluator 3	Evaluation analyst
Ethiopia	Country team leader	Second evaluator	--	--
Senegal	Second evaluator	--	Country team leader	Evaluation support
Peru	--	Country team leader	Second evaluator	--
UNIDO HQ, Vienna	Mission team leader	Evaluator	Evaluator	Evaluation support

Source: Evaluation team

A detailed work plan has been prepared which shows the responsibilities of each evaluation team member and the allocation of work days. (Chapter 8).

³ SWOT = strengths, weaknesses, opportunities, and threats

5. Evaluation Framework

Evaluation criteria and questions	Sub-questions/sub-dimensions	Source of information and data collection methods	Data analysis methods
Relevance			
<p>i. To what extent are the objectives of PCP valid?</p> <p>Objectives: “To mobilize external partners and additional resources in order to extend the impact of UNIDO’s technical cooperation and accelerate inclusive and sustainable development in Member States.”</p>	<p>Is the PCP theory of change relevant in principle (in theory)?</p> <p>see draft PCP theory of change</p>	<p>Interviews with:</p> <ul style="list-style-type: none"> - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries - Interviews with Member State representatives (Vienna) <p>SWOT group discussion with UNIDO staff at HQ</p> <p>UNIDO documents</p>	<p>Content analysis of interview notes</p> <p>Content analysis of results of SWOT group discussion</p> <p>Theory of change analysis</p> <p>Content analysis of documents</p>
<p>ii. Are the activities and outputs of PCP consistent with the overall goal and the attainment of its objectives?</p>	<p>This relates to UNIDO’s role in the PCP. The question is: how relevant are UNIDO’s interventions/activities in contributing to the objective of the PCP? (UNIDO’s interventions: (1) technical assistance, (2) key advisor to governments, (3) reaching out to partners (convening role), (4) facilitating coordination</p> <p>See draft theory of change</p>	<p>Interviews with:</p> <ul style="list-style-type: none"> - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries <p>SWOT group discussion with UNIDO staff at HQ</p> <p>UNIDO documents</p>	<p>Content analysis of interview notes</p> <p>Content analysis of results of SWOT group discussion</p> <p>Theory of change analysis</p> <p>Content analysis of documents</p>
<p>iii. Is the PCP concept perceived as the most appropriate strategy for partner countries’ governments to achieving their sustainable industrial development objectives and contribute to the implementation of the Agenda 2030? How strong is the ownership of the instrument by</p>	<p>This is about alignment with national industrial development priorities, and the ownership and leadership of the PCP by governments.</p>	<p>Interviews with:</p> <ul style="list-style-type: none"> - Pilot country government representatives - Partner representatives in pilot countries - Interviews with Member State representatives (Vienna) 	<p>Content analysis of interview notes</p> <p>Theory of change analysis</p>

Evaluation criteria and questions	Sub-questions/sub-dimensions	Source of information and data collection methods	Data analysis methods
partner countries' governments?			
iv. Within the aid architecture, what is the relation of the PCP concept in the pilot countries to the respective UNDAF processes and other UN as well as non-UN development planning and coordination mechanisms relevant to ISID?	This is about how the different programmatic/financial frameworks relevant for ISID complement overlap or compete with each other. See also figure 'PCP and other programmatic/financial frameworks and coordination mechanism'	Interviews with: - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries UNIDO and partner documents	Content analysis of interview notes Content analysis of documents Comparative analysis in pilot countries of other development partners
Effectiveness			
i. What are the key results and benefits of the PCP concept for UNIDO and for the three pilot countries? To what extent have the expected results been achieved or are likely to be achieved, in particular with regard to the four key dimensions of the PCP concept?	Does the PCP theory of change work in in pilot countries? This is about assessing the results achieved and/or the likelihood of achieving expected results (as this is a mid-term evaluation) See draft theory of change and the intermediate changes at levels I, II and III (outcomes no. 5 to 12) For flagship projects: (1) explain the success; and (2) why did they work so well	PCP progress reports from pilot countries Interviews with: - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries Project visits/observations	Content analysis of progress reports Content analysis of interview notes and observation notes Theory of change assessment
ii. Is the PCP concept reaching the set milestones on the way to the ultimate goal of supporting governments?	What are the specific milestones in each pilot country? To what extent have they been achieved?	PCP progress reports from pilot countries Interviews with: - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries	Content analysis of progress reports Content analysis of interview notes
Efficiency			
i. Is the actual institutional organizational set up, i.e.	This is about developing a new PCP on the one hand and about the	PCP progress reports from pilot countries SWOT group discussion with UNIDO staff at HQ	Content analysis of progress reports

Evaluation criteria and questions	Sub-questions/sub-dimensions	Source of information and data collection methods	Data analysis methods
organizational structure, functions, roles, responsibilities and availability of human and financial resources, adequate for developing and implementing the PCP concept currently in (a) the three pilot countries and (b) further in a significant number of additional countries?	<p>implementation of the PCP on the other hand. Both dimensions in relation to:</p> <ul style="list-style-type: none"> - organizational structure (HQ and FO); - functions, roles, responsibilities (who does what); and - the availability of human and financial resources <p>And it is about the future: Does UNIDO have the capacity to roll out the PCP to many more countries?</p>	<p>Interviews with:</p> <ul style="list-style-type: none"> - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries <p>Project visits/observations</p>	<p>Content analysis of results of SWOT group discussion</p> <p>Content analysis of interview notes and observation notes</p>
ii. Are the institutional assets (e.g., policies, processes, tools and indicators) available for the PCPs to actually report on how they contribute to UNIDO's ISID mandate and the SDGs? How can UNIDO on the corporate level report on the achievements of the PCPs?	This is about monitoring and reporting.	<p>PCP progress reports and other reporting tools from pilot countries</p> <p>SWOT group discussion with UNIDO staff at HQ</p> <p>Interviews with:</p> <ul style="list-style-type: none"> - UNIDO staff (HQ/FO) 	<p>Content analysis of progress reports/other reporting tools</p> <p>Content analysis of results of SWOT group discussion</p> <p>Content analysis of interview notes</p>
iii. If the PCPs are actually creating a much larger development impact than the traditional CPs and stand-alone projects, can UNIDO report this systematically to its member states and partners?	This is also about monitoring and reporting.	<p>PCP progress reports and other reporting tools from pilot countries</p> <p>SWOT group discussion with UNIDO staff at HQ</p> <p>Interviews with:</p> <ul style="list-style-type: none"> - UNIDO staff (HQ/FO) - Interviews with Member State representatives (Vienna) 	<p>Content analysis of progress reports/other reporting tools</p> <p>Content analysis of results of SWOT group discussion</p> <p>Content analysis of interview notes</p>
Sustainability			
i. How robust are the organizational arrangements, systems/tools and methods put in place by UNIDO to	This question is similar to aspects of efficiency question no. i.	<p>SWOT group discussion with UNIDO staff at HQ</p> <p>Interviews with:</p>	<p>Content analysis of results of SWOT group discussion</p> <p>Content analysis of interview</p>

Evaluation criteria and questions	Sub-questions/sub-dimensions	Source of information and data collection methods	Data analysis methods
disseminate the PCP to other countries?		- UNIDO staff (HQ/FO)	notes
Cross cutting issues			
i. To what extent have gender issues been addressed within the PCP concept?	Review of PCPs in pilot countries and the importance given to gender issues. Discussion of gender dimensions in PCP concept with UNIDO HQ	PCP document/progress reports from pilot countries SWOT group discussion with UNIDO staff at HQ Interviews with: - UNIDO staff (HQ/FO)	Content analysis Content analysis of results of SWOT group discussion Content analysis of interview notes
Good practices/lessons			
i. What recommendations and lessons can be drawn from the PCP implementation in the three pilot countries?	Collect good PCP practices and lessons learned. Collect flagship projects ('PCP initiated projects').	PCP progress reports from pilot countries SWOT group discussion with UNIDO staff at HQ Interviews with: - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries Project visits/observations	Content analysis of progress reports Content analysis of results of SWOT group discussion Content analysis of interview notes and observation notes Final analysis of evaluation findings
ii. What is the potential of the PCP Concept for UNIDO's future interventions at the country level?	Is the PCP theory of change relevant in principle (in theory)? Does the PCP theory of change work in pilot countries? Does UNIDO have the capacity to roll out the PCP to many more countries? see draft PCP theory of change	SWOT group discussion with UNIDO staff at HQ Interviews with: - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries	Content analysis of results of SWOT group discussion Content analysis of interview notes Theory of change assessment
iii. Can varying interventions at country level converge into a single engagement concept? How should and could stand-alone interventions, country programmes and PCP	This is about on-going UNIDO activities at the time of a new PCP. How can these activities be integrated into the PCP?	SWOT group discussion with UNIDO staff at HQ Interviews with: - UNIDO staff (HQ/FO)	Content analysis of results of SWOT group discussion Content analysis of interview notes

Evaluation criteria and questions	Sub-questions/sub-dimensions	Source of information and data collection methods	Data analysis methods
programmes converge?			
iv. What lessons can be learned to best engage with other partners?	Collect good PCP practices and lessons learned related to the engagement with other partners.	SWOT group discussion with UNIDO staff at HQ Interviews with: - UNIDO staff (HQ/FO) - Pilot country government representatives - Partner representatives in pilot countries	Content analysis of results of SWOT group discussion Content analysis of interview notes Final analysis of evaluation findings

Source: Evaluation team, based on TOR.

6. Draft theory of change

During the inception phase, the evaluation team developed a draft theory of change (TOC) of the programme for country partnerships (PCP) in order to understand the concept behind the PCP and to have an analytical tool to assess the PCP first as a concept and second as it was implemented (Figure 2). The draft theory of change is based on the analysis of UNIDO documents related to the PCP. The draft TOC was discussed with the UNIDO Office of Independent Evaluation and with the UNIDO Country Partnerships Division. (Kick-off meeting Annex 3).

A theory of change is an attempt to capture complex reality in a simplified manner by identifying the fundamental logic and assumptions behind a concept.

The PCP theory of change begins with the key features of the PCP.

- Focus on selected priority sectors/areas
- Multi-stakeholder partnerships from programme design to implementation
- Mobilization of large-scale public & private investment
- Robust M&E mechanism
- Coordination under government leadership & ownership

The next level captures the UNIDO interventions. This is about UNIDO's role in the PCP and how UNIDO intends to support the PCP based on the key features of the PCP.

- 1. UNIDO technical assistance
- 2. UNIDO key advisor to governments on industrial development
- 3. UNIDO identifies & reaches out to partners (convening role)
- 4. UNIDO facilitates coordination

The next level – the intermediate change I – is about the outcomes resulting from the UNIDO interventions. The expected outcomes directly emanating from the UNIDO interventions are:

- 5. Outcomes of UNIDO TC projects
- 6. National industrial development strategy
- 7. Industrial development efforts of different partners linked
- 8. National coordination mechanism operational

The next level – the intermediate change II – is about the expected changes triggered by earlier outcomes. At the same time, this level captures the main objectives of the PCP:

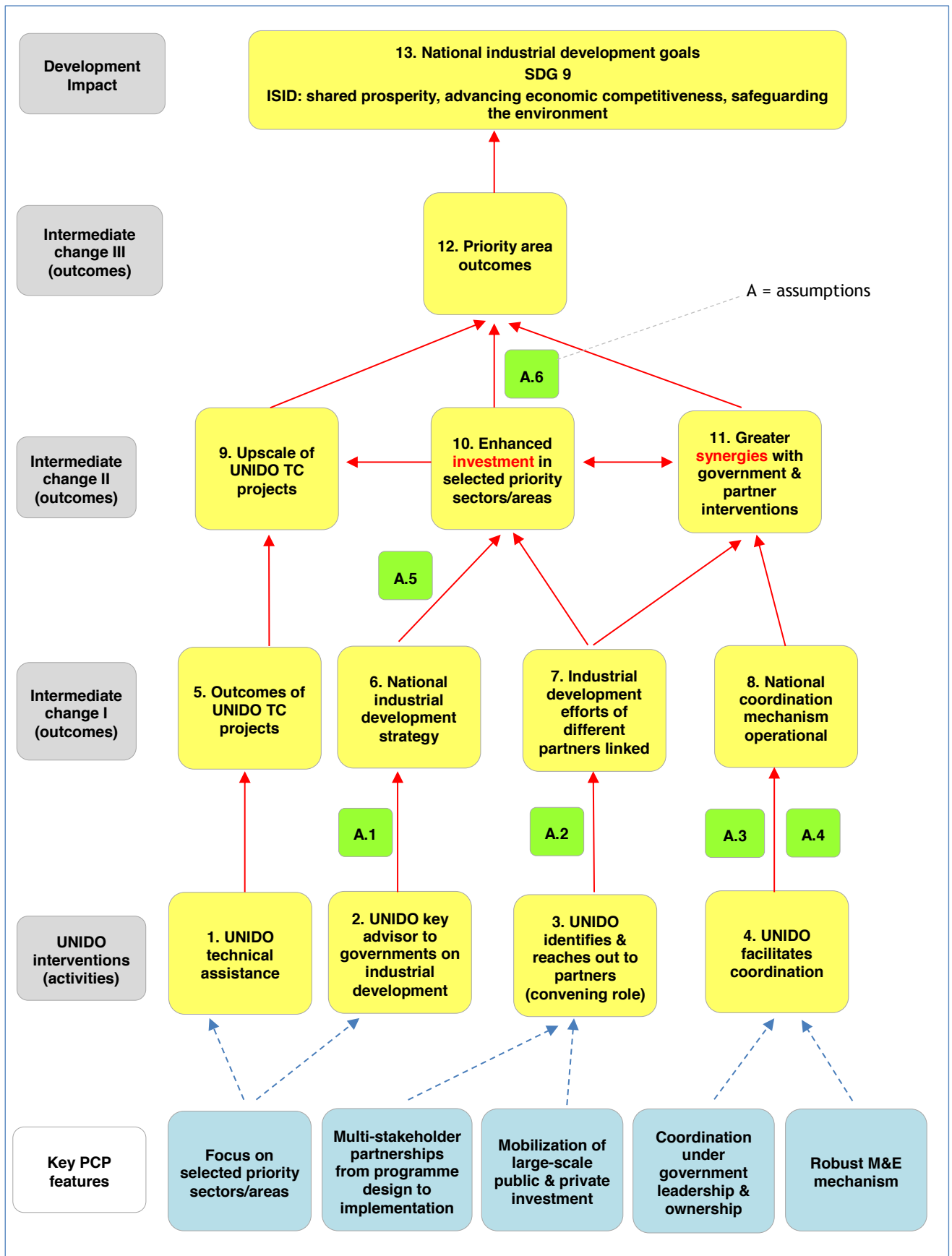
- 9. Upscale of UNIDO TC projects
- 10. Enhanced investment in selected priority sectors/areas
- 11. Greater synergies with government & partner interventions

If the main objectives of the PCP are achieved (intermediate changes II) - then – in theory – the outcomes in the priority areas (i.e. industrial sectors) should be achieved (12) and ultimately also the development objectives (13).

Assumptions are an important element in any theory of change. If assumptions are wrong, then the theory of change may not work or collapse entirely.⁴ The PCP theory of change is based on the several fundamental assumptions listed in Table 3.

⁴ assumptions can either be “accurate”, or “inaccurate” or “uncertain”

Figure 2: Draft theory of change of the Programme Country Partnership (PCP)



Source: Evaluation team, based on UNIDO documents and discussion with UNIDO staff.

Table 2: Assumptions upon which the draft PCP theory of change is based

A.1	UNIDO has capacity to play role of key advisor to governments on industrial development
A.2	Partners are willing to engage
A.3	UNIDO has capacity to facilitate coordination
A.4	Government willing to lead coordination (leadership) and welcomes UNIDO facilitating coordination
A.5	National industrial development strategy provides clear orientation
A.6	Context related assumptions: political stability in country; demand for goods and services produced in priority sectors;

Source: Evaluation team, based on UNIDO documents and discussion with UNIDO staff

Most likely there are more fundamental assumptions upon which the PCP theory of change is based on. They will be added if required.

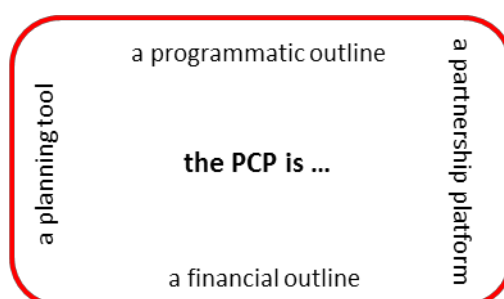
7. PCP concept – early reflections

As this is a formative evaluation, contributing to conceptual clarity of the PCP is important. In the PCP documentation, the PCP is labelled in different ways, i.e. a ‘programmatic framework’, a ‘service package’, a ‘model’, a ‘process-oriented approach’, a ‘tool’. UNIDO staff also suggested that the PCP is an ‘analytical framework’.

Clearly, the PCP is several things at the same time. First, the PCPs provide programmatic guidance (e.g. key priority industrial sectors). Second, the PCPs include budget estimates to achieve industrial development goals. So, the PCPs also provide a financial outline. On the other hand, not all PCPs have a time horizon or, if they do, time horizons may vary for the various components. Third, the PCPs have planning components in setting objectives, targets and timelines. Fourth, the PCPs provide a framework for other actors to contribute. So the PCPs can also be seen as a partnership and coordination platform.

Overall, it appears that the PCPs are quite tentative in nature and less binding compared to other programme frameworks like for example the UNDAF. At the outset, partners may not be on board and funding gaps are significant.

Figure 3: What is a PCP?



Source: Evaluation team

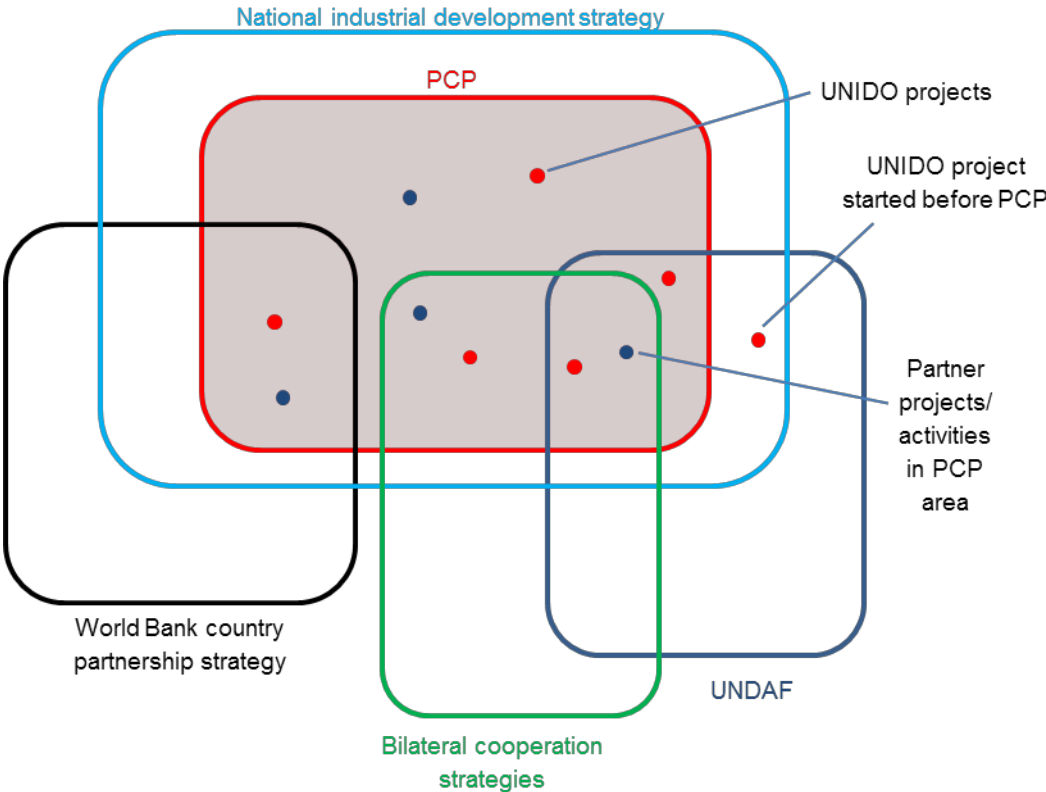
One of the key evaluation questions is the relation of the PCP concept in the pilot countries to the respective UNDAF processes and other UN as well as non-UN development planning and coordination mechanisms relevant to ISID. In Figure 4 the evaluation team makes a first attempt to visualize the relation to other planning and coordination mechanism. The PCP is part of the

national industrial development strategies. Moreover, being a UN system agency UNIDO is part of the UNDAF⁵. However, the PCP may go beyond the UNDAF. The PCP may also overlap with the World Bank country partnership strategies and bilateral cooperation strategies.⁶

UNIDO technical assistance projects are mostly in the PCP, although ‘older’ projects may be outside the PCP. Over time, all UNIDO technical assistance projects and activities are expected to be within the PCP area.

Generally speaking, the PCP is larger than UNIDO projects and provides a programmatic outline for other partner projects.

Figure 4: PCP and other programmatic/financial frameworks and coordination mechanism



Source: Evaluation team

⁵ United Nations Development Assistance Framework

⁶ In Ethiopia: the Government and the World Bank consider UNIDO as a partner in a 50 million USD loan on National Quality Infrastructure Development.

8. Work plan

Table 4: Evaluation work plan

Tasks	Schedule	Evaluation Team Responsibilities and work days					
		Urs Zollinger (team leader)	Cristóbal Vignal	Silvia Alamo	Simone La Rosa (IEV)	Total days	/%
Inception Phase							
Initial desk review, methodology, planning, drafting of inception report	15 June 2017	5	2	8	8	23	23/16%
Implementation Phase (data collection)							
Analysis of documents	10 July	4	4	4	3	15	68/49%
Meetings at UNIDO HQ	19-22 June	4	4	4	6	18	
Field mission to Ethiopia	10-14 July	5	-	5	-	10	
Field mission to Peru	17 -21 July	-	5	5	-	10	
Field mission to Senegal	4-8 Sept.	5	5	-	5	15	
Reporting Phase (data analysis)							
Country case-study templates <u>Ethiopia</u> and <u>Peru</u> completion	1 September	5	-	5	2	12	49/35%
Country case-study templates <u>Senegal</u> completion	15 Sept.	-	5	-	1	6	
First draft report	29 Sept.	8	2	2	2	14	
Presentation of draft report at UNIDO HQ	Early October	2	2	2	3	9	
Finalization of evaluation report	15 November	1	1	1	4	7	
Coordination of evaluation team		1	-	-	-	1	
Total number of work days		40	30	36	34	140	

Table: Evaluation Team

9. Logistics

The evaluation team will be supported by the UNIDO Representatives of each PCP Pilot country, namely Mr. Gustavo Aishemberg in Ethiopia, Mr. Victor Djemba in Senegal and Mr. Johannes Dobinger in Colombia, covering Peru. In Lima, Mr. Franz Paul Baumann, National Coordinator of the PCP Peru, will provide support to the evaluation team. In addition Ms. Simone La Rosa Monier, Senior Evaluation Assistant, Independent Evaluation Division (ODG/EVQ/IED), UNIDO, Vienna, will be part of the evaluation team and coordinate the logistical arrangements of the evaluation.

10. PCP descriptions

10.1 SENEGAL

Part 1: Basic information

SENEGAL PCP basic information	
Background	<p>Based on Programme Intégré de Développement Industriel (PIDI) cooperation and upon the request of the Government of Senegal a Technical Cooperation Framework was agreed between UNIDO and the Government of Senegal in April 2014, in full collaboration with the National Authorities, Development Partners and Private Sector⁷.</p> <ul style="list-style-type: none"> - The Technical Cooperation Framework served as a basis for developing the axes of intervention and was confirmed during the visit of UNIDO's Director General to Senegal in March 2014. - The implementation of the PCP will operationalize the Technical Cooperation Framework and will contribute to a joint delivery of technical services and expertise, to the efficient implementation of activities, and to the partnership and funds mobilization and coordination. <p><i>According to UNIDO's strategy "the main thrust behind the proposed partnership approach and its business model is the mobilization of partners and their resources to synergize with UNIDO's technical cooperation with the aim of helping accelerate the recipient countries' national programme for inclusive and sustainable industrial development".</i></p> <p>UNIDO established a systematic consultation process with Senegal's strategic donors and core partners at the international, national and local level.</p> <p>In November 2014, UNIDO organized the Second ISID Forum to debate on new mechanisms to mobilize resources and guidelines towards implementation of the ISID-PCP for Senegal. The Second ISID Forum allowed UNIDO to engage further with partners.</p>
Priority areas	<p><u>Industrial policy development</u></p> <p>Enhance the technical capacities of the Government of Senegal in designing, implementing and monitoring industrial policy;</p> <p>Support the establishment of a strategic unit within the Ministry of Industry, to develop a strategy and action plan for the implementation of Senegal's industrial policy.</p> <p>Sensitization and training workshops for government officials on conducting industrial diagnosis, selecting priority industrial sectors and assessing the social and environmental impacts of industrialization.</p> <p>The Growth Identification and Facilitation for Industrial Upgrading and Diversification (GIFIUD) programme will set up an analytical framework and provide recommendations for the promotion of labour-intensive industrial sectors with comparative advantages.</p> <p>Development of a manufacturing pole within the framework of the PARI Industriel Intégré Initiative.</p>

⁷ To be verified

Targets: 9,000 jobs and 300M Export Revenues by 2013 and 400M in new Foreign Direct Investment (FDI).

Establishment of Agro-poles for agricultural value chains

Senegal's agricultural sector (50% of the workforce) is mainly driven by rice, corn, manioc and peanuts. Livestock, fruits, vegetables and fishery products have high export potential.

The lack of access to quality inputs and land, particularly in remote rural areas, limits the development of agricultural cooperatives and processing companies, and undermines food production. Horticulture and other agricultural value chains suffer from poor coordination and limited access to external markets.

Development of agribusiness and agro-industries through the operationalization of competitive and integrated Agro-poles, in particular the establishment of three Agro-poles for high-potential value chains:

- Fruits, vegetables and cashew nuts;
- Aquaculture and fisheries;
- Livestock and other agro-value chains.

Each Agro-pole will operate as a private-public entity linking rural enterprises to the market and provide the appropriate infrastructure, technologies and services to support the development of small and medium-sized enterprises (SMEs).

Surrounding Rural Transformation Centres (RTCs) to provide community infrastructure and services for food processing, collection and storage facilities, and offer training and advisory support to farmers.

Targets: 3 Agro-Poles, 60 RTCs, as well as 18,000 and 230M Export revenues by 2023.

Operationalization of existing industrial parks and development of new ones

To transform Senegal into a regional industrial hub.

One of the flagship industrial projects is the Diamniadio industrial platform.

The PCP will support the operationalization of existing industrial parks and strengthen national capacities for industrial park management through institutional capacity-building, integrated management and investment promotion. The legal and institutional framework for industrial park management is currently under review.

The PCP will conduct feasibility studies for the development of new industrial parks, and elaborate business plans for their implementation.

Industrial parks will integrate a programme for the upgrading of SMEs to improve productivity and market access, through sub-contracting, cluster development and enhanced access to finance.

Targets: Diamniadio being operational, one mining and industrial hub operationalized, 40,000 new jobs and 1BN export revenues by 2023, as well as 900M in new FDI.

Cross-cutting components	<p><u>Private sector development and investment promotion</u> Foster private sector growth, especially of SMEs</p> <p><u>Environment</u> Environmental upgrading of SMEs, establishment of eco-industrial parks, support the Sustainable Cities Programme, greening of value chains</p> <p><u>Energy</u> Integration of renewable energy and energy efficiency technologies</p> <p><u>Trade facilitation</u> Provide quality-support services; strengthen the national quality infrastructure (NQI)</p> <p><u>South-South and Triangular Industrial Cooperation</u> Institutionalize South-South and Triangular Industrial Cooperation (SSTIC), to complement traditional “North-South” Cooperation.</p> <p><u>Innovation, science and technology for industry</u></p>				
Key actors/partners by priority sector	Cabinet of the Minister of Ministry of Industry and Mines (PCP Coordinator)				
Total budget/investment	Earmarked by Government	Earmarked by partners	Budget by UNIDO projects	Funding gap	Total
List/budget of PCP initiated projects (in addition, complete project-specific templates)					
Flagship projects	<p>Industrial park in Dianniadio (run jointly by the Government and the private sector for the period 2014-2017). Represents a substantial industrial Public-Private Partnership (PPP) project to establish a one-stop service center to provide maintenance, logistic, security, and equipment services as well as integration of renewable energy technologies and proper water management within the Park. The Park will cluster SMEs and local companies and it is expected to attract foreign investors for infrastructure development. (through strong trade and tax incentives)</p> <p>The Park will service enterprises registered with the <i>Société du Domaine Industriel de Dakar</i> (SODIDA) and is expected to generate 8,000 direct jobs and twice as many by indirect employment.</p>				
M&E framework	<ul style="list-style-type: none"> · Committee for Strategic Orientation, under the authority of the President of the Republic · Observation and Monitoring Office · Bureau d’Orientation de Suivi (BOS) <p>The M&E Process will be led by a National Team Leader of the PDWG, the PCP Operational Management Team and the National Task Force (tripartite process)</p>				

In-country organization	<p>UNIDO Representative and PCP SEN team leader, Mr. Victor DJEMBA National Programme Specialist, Ms. Louise SARR⁸</p> <p>PCP Senegal Organizational Structure and Management Framework</p> <ul style="list-style-type: none"> - UNIDO PCP Technical Team - National Steering Committee: Chaired by the Prime Minister’s Office, the National Steering Committee is the core body responsible for monitoring and coordinating PCP implementation. It is composed of high-level representatives from the Plan Senegal Emergent, all ministries involved in industrialization, the Chamber of Commerce, private sector associations, development partners and UNIDO.PCP Steering Committee - Partner and Donor Working Group (PDWG): the main focal point for coordination with bilateral donors and multilateral development finance institutions in resource mobilization and funds allocation for the PCP, under the auspices of the Ministry of Economy, Finance and Planning, and supported by UNIDO.
Expected results by priority area	TBD
Major results to date by priority area	TBD
Synergies, linkages, cooperation	TBD
Gender	

⁸ As per JD available

PCP Timeline https://isid.unido.org/senegal.html	<p>May 2017</p> <p>Following signing of the IDF between the GoS and UNIDO in October 2016, the first instalment (USD 900,000) of the Government's financial contribution to PCP implementation is transferred to UNIDO (resource and partnership mobilization component).</p> <p>Joint Annual Review Meeting of the Ministry of Investment and Partnership Promotion highlights UNIDO's support for SEZs and investment package reform.</p> <p>High-level Round Table on Green Industry co-organized by the African Institute for Economic Development and Planning (UNIDEP/UNECA), the GoS and UNIDO.</p> <p>UNIDO and GGGI (Global Green Growth Initiative) discuss partnership opportunities in Senegal through PCP and the GGGI-Senegal Cooperation framework 2016-2020. UNIDO contributes to the methodological workshop for the formulation of the Green Growth National Strategy (environment, energy and resource/partnership mobilization components).</p> <p>UNIDO becomes member of Steering committee for new initiative entitled "Zero faim au Sénégal". This is an initiative of the GoS, in cooperation with World Food Programme and the Alliance for Migration, Leadership and Development.</p> <p>First Steering Committee meeting for the Labs Xallat Defar project, which aims to promote 3D printing in Senegal including for industrial applications, co-chaired by Minister of Higher Education and the Ambassador of France to Senegal. Members include UNIDO, representatives of Airbus Defence and Space, France's External Trade Council, the Europeans Investors Council in Senegal, the Ministry of Industry and Mines, the Presidency of the Republic, and engineering schools in Senegal (innovation, science and technology for industry component of the PCP).</p>
	<p>April 2017</p> <p>The President of the Republic signs decree on application of SEZ reform and executive decree relating to the setting up and operations of the joint public-private committee (SEZ and investment package reform component of the PCP).</p> <p>NWG presents the agro-pole project at the Northern Senegal Economic Days organized by the National Confederation of Employers (agro-pole component).</p> <p>The Joint Annual Review meeting of industry and mining sectors, chaired by the Minister of Industry and Mines, discusses PCP achievements in 2016 in preparation of the National Public Policies Joint Annual Review meeting to be chaired by the President of the Republic.</p> <p>UNIDO and the Special Advisor to the President of the Republic on industry discuss challenges and strategies for accelerating industrialization in Senegal, including results achieved so far through PCP Senegal.</p>

Part 1.2: Project information

Project-specific template					
Project ID / Short title / Type	150038		Priority area		
	Senegal Partnership Country Programme				
Main Government counterparts /					
Main private sector counterparts / partners					
Short descriptions	Designed to enhance UNIDO's support to the Government of Senegal in implementing a road-map towards Inclusive and Sustainable Industrial Development (ISID)				
Project budget/investment	Earmarked by Government	Earmarked by partners	By the project	Funding gap	Total
Gender					
Youth					
Expected results					

Major results to date	<input checked="" type="checkbox"/> on track <input type="checkbox"/> partially on track <input type="checkbox"/> not on track		
Synergies, linkages, cooperation			
Relevance and strategic positioning	Efficiency: Quality of programme management and implementation		
Project coherence to national priorities and sector needs	<input checked="" type="checkbox"/> fully aligned	Project documentation available	<input type="checkbox"/> Yes
	<input type="checkbox"/> partly aligned	Delivery of funding/ inputs	<input checked="" type="checkbox"/> No
	<input type="checkbox"/> not aligned	Coordination HQ FO	Somehow sufficient. Project managed at Field Offic.

Part 1.3: Additional project information (to be verified)

- PROGRAMME DE DÉVELOPPEMENT DE LA SOUS-TRAITANCE MINIÈRE ET DU SECTEUR PRIVÉ – KÉDOUGOU (2015)
- PROGRAMME SPÉCIFIQUE DE MISE À NIVEAU DES ENTREPRISES CASAMANCE (2015)
- PROGRAMME DE MISE À NIVEAU SPÉCIFIQUE DES PETITES ET MOYENNES ENTREPRISES (2105)
- PARI Industriel Intégré (Industrial Policy/Priority 1)
- Création de 3 agropoles intégrés (Agropoles/Priority 2)
- Plateforme industrielles intégrées (Industrial Parks/Priority 3)

Project	Project title	Fund	Org. Unit	Total Budget (a+b) - \$	Expenditure (c+d) - \$
150038	Senegal Partnership Country Programme	UC	PRM	114,000.00	114,110.19
150038	Senegal Partnership Country Programme	US	CBU	86,000.00	83,742.90
150038	Senegal Partnership Country Programme	US	CBU	74,000.00	41,894.56
150038	Senegal Partnership Country Programme	US	RRE	43,000.00	41,666.80
150038	Senegal Partnership Country Programme	US	IRE	43,000.00	42,915.69

10.2 ETHIOPIA

ETHIOPIA PCP basic information					
Background	<ul style="list-style-type: none"> From PROGRAMME FOR COUNTRY PARTNERSHIPS, Ethiopia of December 2014 				
	<p>An independent evaluation commissioned by UNIDO of the Integrated Programme for Ethiopia yielded, the following recommendations: (a) strengthening the institutional capacity development of key sectorial institutions to increase sustainability; (b) developing a sound framework for scaling up pilot project activities; and, (c) establishing a sound resource mobilization strategy, including public-private partnerships. These goals constitute the basis on which the Partnership Country Programme for Ethiopia is being designed within the framework of UNIDO's new mandate to promote and support inclusive and sustainable industrial development (ISID).</p> <ul style="list-style-type: none"> PCP is closely aligned to the Growth and Transformation Plan (GTP) and the Industrial Development Strategy (IDSP) UNIDO's engagement based on the country's priorities, relevance for growth and poverty reduction, as well as UNIDO's comparative advantage and potential for building partnerships, and synergies with other development actors. 				
Priority sectors	<p>Three light manufacturing sectors, to act as a springboard for the transformation from an agriculture-based economy to one driven primarily by light industries:</p> <ul style="list-style-type: none"> Agro-food processing <ul style="list-style-type: none"> Manufactured goods with food and beverages constitute approx. 52%, employs 60,110 people, both in SMEs and in publicly and privately owned larger companies - in 2010/11, of 686 food-processing companies, 482 were operating under capacity, and 251 of the latter reported performance was affected mainly by raw material shortages. Integrated Agro-Industrial Parks (IAIPs) to transform Ethiopian agricultural production from fragmented and supply-driven to organized, safe, demand-led and quality-oriented. UNIDO in collaboration FAO and UNDP, with funding from Italian Cooperation, is finalizing a feasibility study and business plan for four IAIPs. 80 Rural Transformation Centres (RTCs) will also be established around the four parks. Textile and apparel; and Leather and leather products. 				
Key actors/partners by priority sector					
Total budget/investment	Earmarked by Government	Earmarked by partners	Budget by UNIDO projects	Funding gap	Total
	300 million (budgeted for IAIPs)				
List/budget of PCP initiated projects					

ETHIOPIA PCP basic information

Flagship projects

Ethiopia inaugurates integrated agro-industrial park as part of the Programme for Country Partnership

📅 Wednesday, 15 March 2017



YIRGALEM, Ethiopia, 15 March 2017 – Ethiopia yesterday inaugurated the third integrated agro-industrial park (IAIP) being developed within the framework of the Programme for Country Partnership (PCP) for Ethiopia, a flagship programme of the United Nations Industrial Development Organization (UNIDO).

The new industrial park is located in Yirgalem, a town in the Southern Nations, Nationalities and People's (SNNP) region, and will focus on agro-industries as a means to drive rural industrialization and job creation. The park is expected to create around 134,000 new jobs in the region.

M&E framework

In-country organization

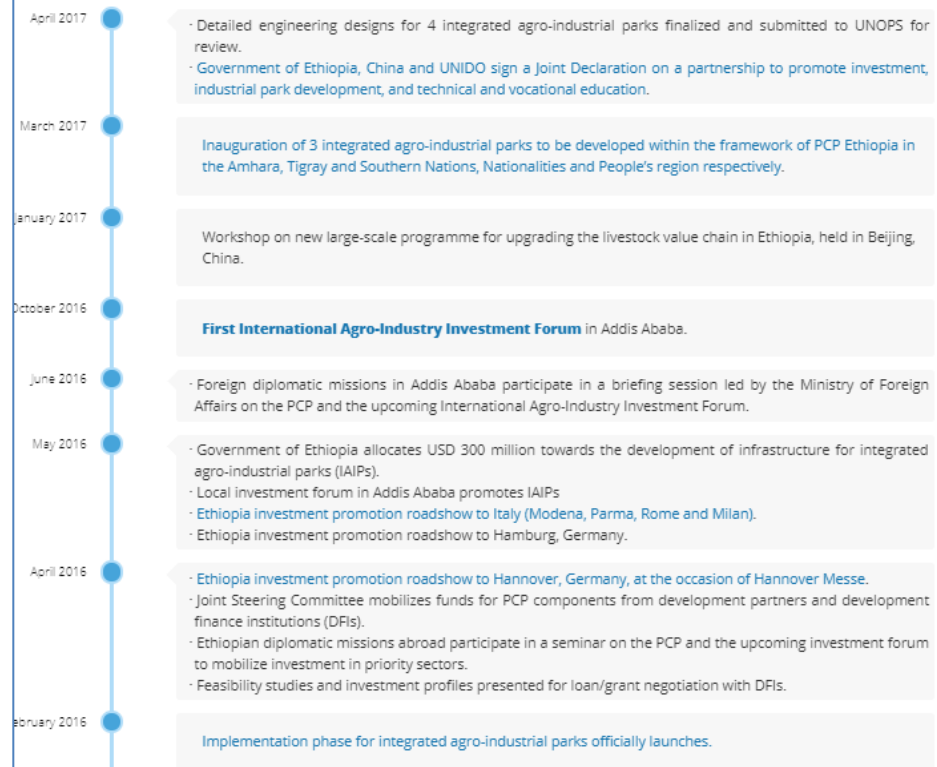
- **National Task Force (NTF) on the Programme for Country Partnership Ethiopia**
Mandate, e.g.:
 - Championing the IDSP and PCP-ETH; Providing strategic guidance to the PCP-ETH as well as monitoring and evaluation of overall programme implementation including annual reviews
 - **Providing strategic leadership of the PCP-ETH Fund**
 - Approve project documents and their budgets based on available fund allocation
 - Coordinate the implementation of PCP-ETH with programme of other partners
 - Prioritize projects and programmes and assign a steering committee for each project as necessary
 - **Mobilize resources** for the projects and programmes
 - Assign national project coordinators for projects
 - Assign its members to the **joint committee** (between the PCP-ETH task force and the bilateral and multilateral donors and Development Financial institutions)

ETHIOPIA PCP basic information

	<p>3. Membership of the Task force</p> <ul style="list-style-type: none"> - The task will consist of the representatives of the relevant ministries, and institutes from the Ministry of Industry and will include: <ul style="list-style-type: none"> o Ministry of Industry o Ministry of Agriculture o Ministry of finance and Economic Development (MoFED) o FBPD institute o Meat and Dairy Development Institute o Textile Industries Development Institute IDI o Leather Industries Development Institute IDI o Investment Promotion Council o UNIDO o Representatives of relevant regional governments <p>4. Appointment Subcommittees The Task Force may establish subcommittees (such as PSC) and Working Groups as needed, to consider specific issues. Subcommittees are responsible for preparation of their own agendas and minutes as required and making their own arrangements for meeting locations.</p> <p>5. Term of Office All members of the Task Force will be members of this task force for a term coincident with the term of PCP-ETH.</p> <p>6. Reporting Relationship The Task Force will be led by the MoI.</p> <p>7. Administration of the Committee The Task Force will elect a Chairperson. Members of the Task Force will serve without remuneration.</p> <ul style="list-style-type: none"> • National Coordination: national coordinator, international consultant, etc. (see 10.4 ANNEX IV: Budget requirements for coordination of the PCP ETH 2015; total budget 382, 460 USD)
Expected results by priority area	<ul style="list-style-type: none"> • IAIPs will host 90 large foreign and domestic companies, will create approximately 80,000 jobs in rural areas, and will link more than two million smallholding farmers to the food industries
Major results to date by priority area	TBD
Synergies, linkages, cooperation	Government of China

ETHIOPIA PCP basic information

Major timelines (<https://isid.unido.org/ethiopia.html>)



UNIDO, Ethiopia and China to strengthen cooperation on investment promotion, industrial park development and education

UNIDO, Ethiopia and China to strengthen cooperation on investment promotion, industrial park development and education

10 April 2017, Addis Ababa



ADDIS ABABA, 10 April 2017 – Ethiopia, China and UNIDO have agreed today to strengthen collaboration on investment promotion, industrial park development – including the Adam Industrial Park – and the upgrading of technical and vocational education. In the framework of Ethiopia's Programme for Country Partnership (PCP) signed with UNIDO, this agreement will contribute to the Government's objective of attaining middle-income status by 2025.

The Joint Declaration was signed by Ethiopia's Ministry of Industry and Ministry of Education, the Department of Commerce of the Hunan Province of China, and UNIDO at an investment forum held in Addis Ababa, Ethiopia. The forum took place as part of the ongoing economic and trading cooperation between Ethiopia and the Hunan Province of China, which is also responsible for the establishment of the Ethiopia-Hunan Equipment Manufacturing

ETHIOPIA PCP basic information	
Gender	

Part 1.2: Project information

Project	Project title	Fund	Org.Unit	Total Budget \$	Expenditure \$
150130	ISID Forum 3 - Financing for ISID	US	PRM	250,000.00	243,276.01
150037	PCP Ethiopia	UC	RJH	9,894.00	12,679.55
150037	PCP Ethiopia	US	RJH	127,106.00	126,158.28
150037	PCP Ethiopia	US	RPA	50,000.00	36,585.63
150037	PCP Ethiopia	US	PRM	46,000.00	24,255.04
150037	PCP Ethiopia	US	AIT	35,000.00	39,516.66
150037	PCP Ethiopia	US	INV	80,400.00	80,082.30
150037	PCP Ethiopia	US	AIT	35,000.00	34,795.19
150037	PCP Ethiopia	XP	RJH	213,652.92	215,584.71

PCP ETH Project overview ⁹						
SAP NUMBER	PCP COMPONENT	PROJECT ACRONYM	PROJECT NAME (as per project document)	PROJECTS CONTRIBUTION AND OBJECTIVES	TOTAL BUDGET (US\$)	FINANCIALS as per Open Data Platform
150037			PCP - Programme for Country Partnership in Ethiopia		1.1 M	
120211	CROSS-CUTTING	HDECoVA	Training Academy in Heavy Duty Equipment and Commercial Vehicles in Ethiopia, A PPP Project	Trainees graduating from HDECoVA obtain a job within a year of graduation. Bring about institutional change in the vocational training system in Ethiopia and develop the academy as a pilot model that can be scaled-up to other vocational training centres.	5.27 M	1.92 M
120601 (?)	CROSS-CUTTING, ENERGY	LCET	Enhancing local capacity and promoting ultra-low head micro hydro power technologies for productive uses in Ethiopia	The LCET project advocates for Policy Intervention for the adoption and scaling up of innovative energy solutions introduced by the project in Ethiopia.	1.48 M	
130144	AGRO-FOOD, VALUE CHAIN DEVELOPMENT	COFFEE	Improving the Sustainability and Inclusiveness of the Ethiopian Coffee Value Chain through Private and Public Partnership	Increase the social, environmental and economic sustainability of the coffee value chain and its export revenue through an integrated yet modular value chain approach focusing on: (i) Increase in productivity and sustainability, (ii) improvement of quality, (iii) increased export and, (iv) recognition of the intrinsic qualities of the Ethiopian Arabica coffee in international markets.	1.56 M	
130164	AGRO-FOOD	IAIP	Technical Support for the Implementation of an Integrated Agro Industrial Park (IAIP) in Ethiopia	Support the establishment of the Regional Industrial Park Development Corporation (RIPDC) which is the principal body and agency of the regional government responsible for the promotion, implementation and regulation of integrated agro-industrial parks (IAIPs).	1.45 M (EUR)	0.526 M Completed?

⁹ As per list provided by PCP ETH Team leader on 14 June 2017

PCP ETH Project overview ⁹						
SAP NUMBER	PCP COMPONENT	PROJECT ACRONYM	PROJECT NAME (as per project document)	PROJECTS CONTRIBUTION AND OBJECTIVES	TOTAL BUDGET (US\$)	FINANCIALS as per Open Data Platform
140092	CROSS-CUTTING	YOWEP	Productive Work for Youth and Women through SMEs Promotion in Ethiopia	Strengthen partnerships to create synergies and increase the impact of the project for the development of BDS and policy dialogue on entrepreneurship	0.96 M	
140330	AGRO-FOOD, VALUE CHAIN DEVELOPMENT	MORINGA	Establishing Moringa based economic development program to improve the livelihood of rural women of Ethiopia	Setting up a pilot plant for Moringa and derived products.	990,000	
150201	LEATHER, VALUE CHAIN DEVELOPMENT	LEATHER	Phase 2 (Extension) of the Technical Assistance Project for the Up-Grading of the Ethiopian Leather and Leather Products Industry	The LEATHER project intends to strengthen Backward Linkages to foster direct linkages among small enterprises with tanneries, shoe sole producers and component importers and distributors and to facilitate joint and bulk purchasing of raw materials. Support the purchase of common machineries by linking manufacturers with machinery leasing companies.	2.59 M	
160044	AGRO-FOOD, VALUE CHAIN DEVELOPMENT	BELES	Reducing Irregular Migration in Northern Ethiopia by establishing industrial processing and marketing of Beles-based food products	Creation of decent and productive work for youth, mainly women through the development of high value Cactus Fruit (in Amharic: Beles) products processing and related activities.	0.36 M	
160089	CROSS-CUTTING	SINCE	UNIDO Technical Assistance to the Project "Stemming Irregular Migration in Northern and Central Ethiopia"	Conclusion of an inception phase report for the mapping, analysis and identification of sectors and value chains and related geographical areas, taking into consideration sectors that have the capacity to create jobs in an effective manner and in line with the GTP II.	1.70 M	

PCP ETH Project overview ⁹						
SAP NUMBER	PCP COMPONENT	PROJECT ACRONYM	PROJECT NAME (as per project document)	PROJECTS CONTRIBUTION AND OBJECTIVES	TOTAL BUDGET (US\$)	FINANCIALS as per Open Data Platform
160239	INVESTMENT PROMOTION	ITPO TOKYO	UNIDO ITPO Tokyo, Regional Advisory Program in Ethiopia, Rwanda, Uganda and Burundi	Promoting Ethiopia's investment potential to interested Japanese companies and attracting as many Japanese companies as possible to enable them to invest in Ethiopia. Supporting Japanese companies to do business with/in Ethiopia.	n/a	
160252	AGRO-FOOD, LEATHER	ULVCP-ETH	Upgrading the livestock value chain in Ethiopia	The objective of the programme is to improve the performance of selected livestock value chains – red meat, dairy and hides/leather – in Ethiopia	739,020	0.654 M
TOTAL					17,1 M	

10.3 PERU

PERU PCP basic information					
Background: “Acuerdo Marco de Iniciación entre la Organización de las Naciones Unidas para el Desarrollo Industrial y el Ministerio de la Producción de la República del Perú 2016-2017”	<ul style="list-style-type: none"> • Joint declaration in December 2015, providing three stages: <ul style="list-style-type: none"> ○ Formulation missions to establish the programme; ○ Definition of specific PCP activities, identify objectives inputs, expected results and indicators; ○ Finally, after one year of planning work, a five-year implementation will commence (2017-2021), with a potential portfolio of 50 million USD. • In order to develop the programme, meetings during missions with various departments in PRODUCE, and with the Ministries of Environment, Economy and Finance and External Affairs were held; also technical meetings with Centros de Innovación Tecnológica (CITE), el Instituto Tecnológico de la Producción (ITP) y el Instituto Nacional de Calidad (INACAL) to develop support programmes to these institutes and agree on main PCP activities; 				
Main objectives	Productive diversification in Peru to achieve high economic development rates, create formal and quality employment, reduce dependency on exports of raw materials and develop new export sectors				
Priority sectors Key actors/partners by priority sector	<ul style="list-style-type: none"> • Quality and innovation • Development of value chains and entrepreneurship • Sustainable industrial parks • Efficiency in the use of energy and resources, renewable energy <p>Key actors: Banco Interamericano de Desarrollo (BID), WB and Corporación Andina de Fomento en coordinación con los fondos, los programas y los organismos de las Naciones Unidas. Con fondos verticales como el Fondo para el Medio Ambiente Mundial (FMAM), se articularán iniciativas de desarrollo productivo sostenible.</p> <p>Socios multilaterales y bilaterales: OECD, Comunidad Europea, Alemania, Austria, España, Finlandia, Corea, China, Japón y Suiza.</p>				
Indicative Budget for programme initiation	Estudios de investigación y evaluación		100,000		
	Talleres de mejores prácticas internacionales, de sensibilización y de presentación de diagnósticos		140,000		
	Capacitaciones y módulos de formación		30,000		
	Desarrollo de planes de implementación para cada componente		50,000		
	Demostración de tecnologías innovadoras		40,000		
	Análisis de sectores y brechas en políticas y regulaciones nacionales		30,000		
	Viajes de estudios		40,000		
	Expertos internacionales y viajes de funcionarios		110,000		
	Consultores nacionales		60,000		
	Total		600,000		
Total budget/investme	Earmarked by Government	Earmarked by partners	Budget by UNIDO	Funding gap	Total

PERU PCP basic information					
nt	300 million (budgeted for IAIPs)		projects		
List/budget of PCP initiated projects / activities (in addition, complete project- specific templates)	<p>About 10 missions to explore/ delineate the PCP, including implementation of a number of tasks</p> <p>Quality and innovation</p> <ul style="list-style-type: none"> • Study on 20 Innovation and Technology Centers (CITEs, Madera Lima, Agroindustrial Ica and Cuero Calzado Lima). In May 2016, at the request of the MoP, UNIDO carried • Quality and innovation component of the PCP Peru “Modern, Competitive and Inclusive Industry” program; possible cooperation with the Inter-American Development Bank (henceforth BID) and the World Bank on quality and innovation. Conduct a workshop on culture of quality together with INACAL <p>Value chain</p> <ul style="list-style-type: none"> • Activities centred on integrated value chain development in Peru’s aquaculture sector, in accordance with MoP priorities. In May 2016, UNIDO carried out an initial assessment of the Peruvian aquaculture sector to determine the scope of support needed. This included several meetings with representatives from the Vice-Ministry of Fisheries at the MoP, CITEs involved in the aquaculture sector and Fondo Nacional de Desarrollo Pesquero (FONDEPES). <p>Enterprise development</p> <ul style="list-style-type: none"> • In the area of enterprise development, the focus was on supporting the MoP in the development of a “ruta productiva”, which would involve an internet-based tool for SMEs that enables easy access to enterprise development services. In addition, an enterprise development programme specifically targeted at women entrepreneurs and measured through gender-based productive indicators. <p>SUSTAINABLE INDUSTRIAL PARKS</p> <ul style="list-style-type: none"> • PCP for Peru will focus on the establishment of new industrial parks on the one hand, and on the other, the transformation of existing industrial zones through the integration of sustainable development planning and management processes. The development of new industrial parks entails an initial assessment of the social, economic and environmental sustainability of the parks’ master plans. The next step includes capacity-building initiatives for relevant national actors to ensure that all three dimensions of sustainability are incorporated in the design, construction and management of industrial areas/parks. • Mission intended to assess the prerequisites of a PCP intervention—a stable macro-economic environment with a steady growth outlook, a well-articulated national development strategy with due consideration to inclusive and sustainable industrialization as a driver of growth, a coherent resource mobilization plan with emphasis on private initiative 				

PERU PCP basic information	
	<p>and public investment in related infrastructures, etc—as well as to gauge the Government’s interest in partnering with UNIDO on the development of a PCP-Peru.</p> <ul style="list-style-type: none"> • UNIDO is one of the implementing agencies of the “Partnership for Action on Green Economy – PAGE”. Peru is one of the pilot countries of this global multi-agency, multi-donor programme which aims at promoting the green economy by building local capacities, advising on effective policies and demonstrating successful applications of the concept. ILO leads the project in Perú due to their strong field presence in Lima (regional office for LAC). Within the PAGE framework, UNIDO conducted a Green Industry Assessment of Peru, identifying three priority sectors for green industry (metal processing, cement & construction, forestry based industries).
Flagship projects	At the inception phase, the review of CITEs was proposed as a candidate for a site visit
Resources mobilized @ PCP inception phase	<p>PCP Peru Inception Phase – Resources Mobilised</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <p>GEF Project Preparation Grant for the development of a full-sized project on Sustainable Industrial Zone Development</p> <p>Donor: Global Environment Facility (GEF) Funds Mobilised: USD 150,000</p> </div> <p>In May 2016, GEF cleared the Project Identification Form and approved the request for a Project Preparation Grant of USD 150,000 to develop a full-sized project on Sustainable Industrial Zone Development.</p> <p>The Sustainable Industrial Zone Development project in Peru aims to transform traditional industrial areas into sustainable industrial parks. The project, to be piloted in the industrial zone of Callao, seeks to enhance regulatory mechanisms for sustainable industrial park planning and promote the adoption and diffusion of low-carbon and clean technologies and practices, including energy efficiency, sound chemicals management and renewable energy in Peruvian industrial zones.</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <p>Co-financing for the GEF-funded Sustainable Industrial Zone Development project</p> <p>Donor: State Secretariat for Economic Affairs (SECO) Funds Mobilised: EUR 500,000</p> </div> <p>Seco has already approved Euro 125,000 for scaling up RECP in industrial zones in Peru as part of its support to the global RECP Programme of UNIDO and additional Euro 300,000 to co-finance the Sustainable Industrial Zone Development project. This project will count on a GEF grant of USD 4.9 million and co-funding of USD 36 million, for a total estimated project value of USD 41 million.</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <p>Support to the Programme for Country Partnership for Peru for energy and environment mainstreaming</p> <p>Donor: Spanish Agency for International Development Cooperation (AECID) Funds Mobilised: EUR 100,000</p> </div> <p>The Government of Switzerland will provide funding to mainstream sustainable energy and environment in the Programme for Country Partnership. During the PCP inception phase, a set of workshops to raise the awareness of policymakers of key sustainable energy priorities will be held; along with a detailed analysis of priority activities in this area.</p>
M&E framework	Expected to be approved in 2017 by the Steering Committee. A mid-term evaluation in 2020 and a final independent evaluation at the end of the programme in 2022.

PERU PCP basic information

In-country organization

The operational structure of the PCP is illustrated below:



Members of the National Steering Committee

Ministry of Production

Ministry of Economy and Finance · Ministry of Environment · Ministry of Foreign Trade and Tourism · Ministry of Energy and Mines · Ministry of Foreign Affairs



National Society of Industries (SNI) and SME industry associations



National Development Bank - COFIDE



Academia

Partner and Donor Working Group

The Partner and Donor Working Group (PDWG) will be the main focal point for coordination and cooperation with development finance institutions, both bilateral and multilateral. These institutions are fundamental for the mobilization of resources (financial and non-financial) and the allocation of funds to the PCP projects. The PDWG will operate under the auspices of the Ministry of Economy and Finance, PRODUCE and the Ministry of Foreign Affairs.

UNIDO will act as a technical advisor to the PDWG to facilitate coordination and ensure complementarities between the programmes and strategies of the partners and donors involved. The PCP Unit will coordinate closely with the PDWG, and convey the need for action and/or resources in order to carry out the decisions of the National Steering Committee. The members of the group will be responsible for identifying synergies, partnerships and resources, as well as promoting the PCP Peru at the national and international level.

The launch of the PDWG is scheduled to take place in the second quarter of 2017. Throughout 2016, introductory meetings were held with key institutions, so as to establish partnerships and identify potential members for the PDWG.

Partnership Development Process

With the objective of presenting the partnership mechanisms of the PCP model and initiating this process for the PCP Peru, extensive consultation meetings were held with PRODUCE, the Ministry of Economy and Finance, and the Ministry of Foreign Affairs. Here, the importance of partnerships with development financial institutions was emphasised, as a means of triggering greater and more sustainable flows of investments to the industrial development agenda.

PRODUCE and UNIDO reached out to other ministries, UN agencies, bilateral and multilateral institutions, development and commercial banks, and the national private sector. Over twenty partnerships were initiated and technical discussions with the DFIs provided key inputs for the formulation of projects. The DFIs, namely International Finance Corporation (WBG-IFC), the Inter-American Development Bank (IaDB) and the Andean Development Bank (CAF), have expressed interest in identifying joint technical assistance projects for grant funding and loans, and investment projects to support private sector investment requirements.

PERU PCP basic information

Miembros del Grupo de Trabajo de Socios y Donantes (GTSD)

PRODUCE, MEF, MRE, COFIDE, ¿APCI, PCM?, ONUDI (Asesor Técnico), Bancos Internacionales de desarrollo, Instituciones Financieras, Cooperación Multilateral y Bilateral, Sector Privado Nacional e Internacional

Work plan for establishing GTSD

Plan de Trabajo
Versión actualizada 5 April, 2017

OBJETIVO: Establecer el Grupo de Trabajo de Socios y Donantes

6 Semanas disponibles para el 23 de Mayo, 2017 (Semana 14 al 21)

ACTIVIDADES-PRINCIPALES	SEM WK	ONUDI	Coord nacional	Rol de Produce	Rol de Experto
Parte 1: Preparativas					
Reclutamiento del Consultor Nacional Preparar Términos de Referencia y mantener discusiones c/ PRODUCE y con candidato	14	TDRs ✓ →	X		Finalizar proceso
Establecer Puntos Focales para el GTSD en PROD, MEF, MRE - Intercambio de Correspondencia --> AV: finalizar borrador TDR-GTSD v6/2017 --> AV: finalizar borrador v2/2017 Plan de Trabajo para "establecer" el GTSD (presente documento - 5 de Abril) --> FB: preparar una carta modelo de Produce a MEF y MRE con invitación a "proceso"	14		X		
Actualizar y Elaborar Borrador TDR v1 GTSD para invitación (nivel difusión PRO, MEF, MRE, PCM, APCI) - FB: Investigar el rol y nivel de participación de PCM y APCI. Elaborar una Nota de Recomendaciones para cooperación con la PCM y APCI, incluyendo un plan de acción.	14-16	X			Insumos
Desarrollar relación lógica con el CDN del PCP -AV: Coordinar con PS este modelo de cooperación. -AV: Ajustes a TDR-GTSD y coordinar con PS lo mismo TDR de CDN. -En base a los TDRs del CDN Comité Directivo Nacional del PCP desarrollar recomendaciones para la	15,16	X			Insumos

Expected results by priority area

Major results to date by priority area

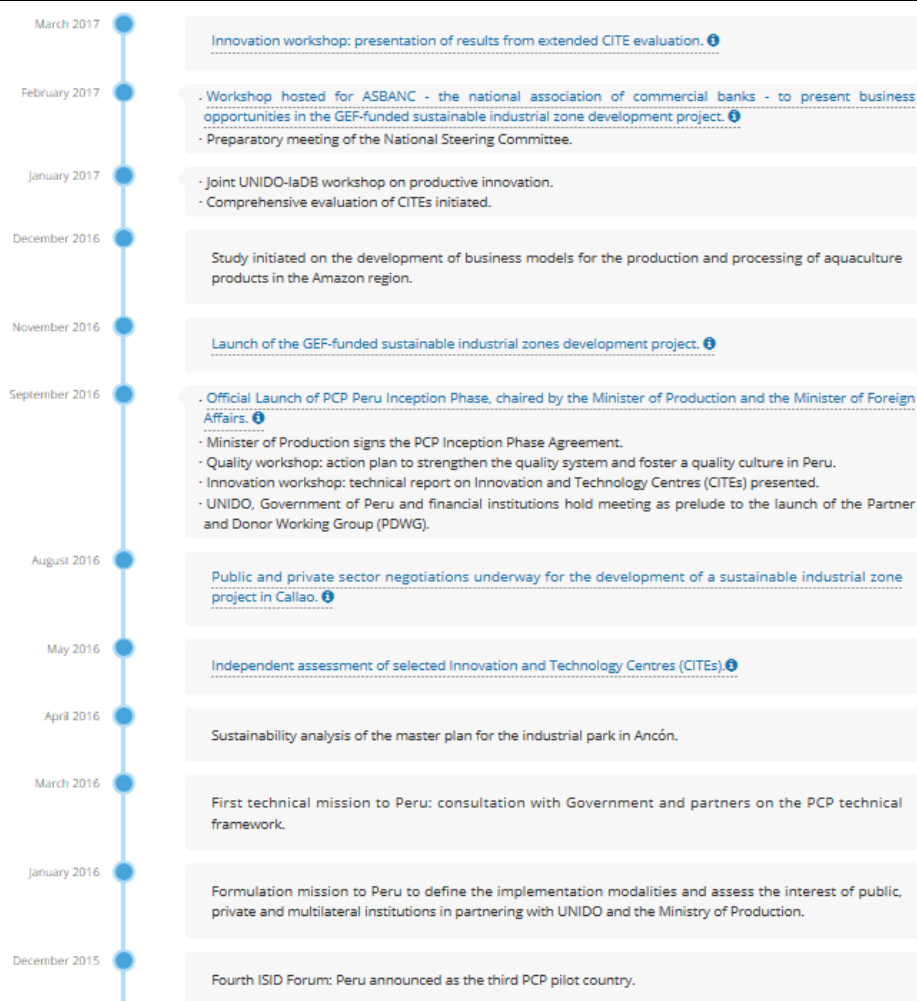
TBD

Synergies, linkages, cooperation

TBD

PERU PCP basic information

Major timelines (<https://isid.unido.org/peru.html>)



Gender

Part of the PCP team

- Gender will be mainstreamed across each of the programme components throughout implementation.
- Gender-sensitive indicators to measure the inclusion and empowerment of women. Additionally, a women's empowerment programme will be developed, featuring capacity-building and enterprise development services for women entrepreneurs. Policy recommendations will also be developed to promote women's empowerment in green industry policies.

PROPOSED PCP PROJECTS

Programme for Country Partnership (PCP) for Peru Projects per Component				
PCP Peru Development Impact: Peru realizes a productive transition of its economy towards economically, environmentally and socially sustainable industrialization				
PCP Project	Objective	Progress of Negotiations	Financial Projection	
			Technical assistance (M. US \$)	Investment (M. US \$)
Component 1: Sustainable Industrial Parks and Zones				
Project: Sustainable industrial zone development in Callao	Transform traditional industrial areas into sustainable industrial zones, enhance regulatory mechanisms for sustainable industrial park planning and promote the adoption and diffusion of low-carbon and clean technologies and practices in Peruvian industrial zones.	Project Identification Form (PIF) phase for GEF funding. Full-sized project document to be submitted to GEF in July 2017.	5	36
Project: Replication of the experiences of transformation of the sustainable industrial zone of Callao, in two regions of Peru	Replicate the sustainable industrial zone development methodology developed in the Industrial zone of Callao in 2 regions of Peru.		10	80
Project: Technical assistance for the development of a Sustainable Industrial Park	Provide technical advice and guidance on Sustainable Industrial Park approaches to the government of Peru in the development of a Sustainable Industrial Park (envisioned for the region of Ancón or Trujillo)		5	540
Project: Development of a national strategy for sustainable industrial parks	Develop a national strategy to promote sustainable industrial parks development in Peru	Baseline for national strategy under development with the Ministry of Production	0.5	
Component 2: Value Chain Development				
Project: Developing, processing and marketing products from Peru's biodiversity resources	Design and implement, in prioritized sub regions, diversified productive models that add value to products derived from biodiversity, contributing to natural resource preservation.	Possible project in cooperation with FAO, based on the project in Colombia.	5	70
Project: Developing innovation capacities among business consortia and networks in selected value chains (Redes de Modernización Productiva)	Upgrade and improve value addition capacities of SMEs in selected value chains (e.g. metal-mechanics) drawing from mechanisms of knowledge and technology transfer, collective action and consortia development.		2	5
Project: Fostering integrated value chain development in Peru's	Increased production and value added among the productive units in the value chain	Aquaculture study in process with the Ministry of Production	5	70

Programme for Country Partnership (PCP) for Peru				
Projects per Component				
PCP Peru Development Impact: Peru realizes a productive transition of its economy towards economically, environmentally and socially sustainable industrialization				
PCP Project	Objective	Progress of Negotiations	Financial Projection	
			Technical assistance (M. US \$)	Investment (M. US \$)
aquaculture sector				
Project: Development and implementation of an entrepreneurship curriculum	Develop entrepreneurial culture, skills and knowledge among the youth of Peru by introducing an Entrepreneurship Curriculum programme in Peru's secondary education, as part of the new national curriculum.		3	
Component 3: Cross-cutting Approaches				
Project: Strengthening national and regional technical and innovation capacities for the development of biosimilars	Enhance biosimilar capacities, so as to contribute to innovative industrial development, new employment opportunities and better health care in the Andean region.	Regional project, SSS under development.	4 - 5	
Project: Support in the implementation of CITE network model	Strengthen and develop an effective and efficient Innovation and technology centers (CITE) network model for Peru		5 - 10	100
Project: Improving quality for exports from Peru Cacao/Café	Strengthen the quality compliance in the Cocoa and Coffee sector to develop a competitive and sustainable export economy in Peru	Funding secured from the Swiss cooperation (SECO)	2.5 - 3	
Project: Economic empowerment of women in green industry	Advise policy makers and practitioners on the establishment and implementation of a policy framework which integrates gender and green industrial and entrepreneurship policies.		1	
Project: Application of Resource Efficient and Cleaner Production (RECP) and partnership establishment	To enhance the efficiency, productivity, competitiveness and environmental performance of companies in Peru, especially SMEs, through the implementation of RECP methods, practices and technologies		5	40
Project: E-mobility in sustainable industrial zones and parks	Promote the uptake of electric vehicles (EVs) in sustainable industrial zones and parks		1.5	
Project: Environmentally Sound Treatment of PCBs in the Industrial Sector of Peru	Establish environmentally sound management practices for PCBs, focusing on industries of the manufacturing sector.		1	
Project: Supporting the	Equip PRODUCE to independently review and, if		0.350	

Programme for Country Partnership (PCP) for Peru Projects per Component				
PCP Peru Development Impact: Peru realizes a productive transition of its economy towards economically, environmentally and socially sustainable industrialization				
PCP Project	Objective	Progress of Negotiations	Financial Projection	
			Technical assistance (M. US \$)	Investment (M. US \$)
systematic collection, processing and use of evidence in industrial policy making processes within PRODUCE	needed, reformulate its industrial development strategies, in line with an evidence-based approach to policy-making.			

SAP PROJECT

Project	Project title	Fund	Org.Unit	Total Budget - \$	Expenditure - \$
150413	Programme for Country Partnership, Peru	UE	PRM	99,086.36	96,013.85

10.4 CROSS-CUTTING ANALYSIS

TO BE DEVELOPED DURING THE EVALUATION IMPLEMENTATION PHASE

Table 3: Mapping of UNIDO PCP priority areas

ETH	SEN	PER
Priority areas		
Agro-food processing	Agro Poles	Quality and innovation
Textiles and apparel	Industrial policy	Value chain and enterprise development
Leather and leather products	Integrated industrial parks	Sustainable industrial parks
		Resource and energy efficiency and renewable energy
Cross-cutting components		
Institutional capacity-building (ETH)		Institutional capacity building (PER)
Trade facilitation (ETH)	Trade facilitation (SEN)	Integrating SMEs into sustainable parks and value chains (PER)
	Private Sector Development (SEN)	
	Investment Promotion (SEN)	
Environment and Energy (ETH)	Environment and Energy (SEN)	
	Innovation, science and technology for industry (SEN)	
	South-South and triangular industrial cooperation (SEN)	Gender and women empowerment (PER)

Annex 1: Preliminary list of projects

Country	Proj. No.	Proj. title	Thematic priority	Proj. start date (actual)	Proj. end date (planned)	Proj. total (in USD)	Source of funding
Ethiopia	150037	PCP - Programme for Country Partnership in Ethiopia				758.479	<ul style="list-style-type: none"> o Trust Fund for Increased Food Security through Agribusiness o Trust Fund for Trade Euro Account o Regular Programme Of Technical Cooperation o Undefined o China
Ethiopia	120211	A Private Public Partnership Project: Training Academy in Heavy Duty Equipment and Commercial Vehicles in Ethiopia	Creating Shared Prosperity	Jun. 2012	May-17	1.924.746	Sweden
Ethiopia	130144	Improving the Sustainability and Inclusiveness of the Ethiopian Coffee Value Chain through Private and Public Partnership	Creating Shared Prosperity	Jan. 2015	Dec. 2017	1.558.672	Italy
Ethiopia	150471	First international agro-industry investment forum in Ethiopia	Advancing Economic Competitiveness	Feb. 2016	Jun. 2017	250.000	Partnership Trust Fund
Ethiopia	160110	Engineering design work for integrated agro-industrial parks and rural transformation centers in Ethiopia	Advancing Economic Competitiveness	Jun. 2016	Dec. 2017	667.290	Partnership Trust Fund Ethiopia

Country	Proj. No.	Proj. title	Thematic priority	Proj. start date (actual)	Proj. end date (planned)	Proj. total (in USD)	Source of funding
Ethiopia	160252	Upgrading the livestock value chain in Ethiopia	Creating Shared Prosperity	Dec. 2016	Jun. 2017	654.000	Partnership Trust Fund
Peru	150413	Programme for Country Partnership, Peru - Fostering Productive Diversification	Advancing economic competitiveness	Nov. 2015	Dec. 2020	796.871	Partnership Trust Fund Peru
Senegal	150038	PCP - Programme for Country Partnership in Senegal	Advancing economic competitiveness	Feb. 2015	Dec. 2019	747.541	<ul style="list-style-type: none"> o Trust Fund for Increased Food Security through Agribusiness o Trust Fund for Trade Euro Account o Undefined o Partnership Trust Fund o China
Senegal	160090	Fifth Inclusive and Sustainable Industrial Development Forum and industrial investment promotion meetings, Dakar	Cross-cutting Services	Jan. 2016	Jun. 2017	225.000	Partnership Trust Fund

Annex 2: Country case study template

Part 1: Basic information

PCP Country level basic information					
Background					
Priority sectors Key actors/partners by priority sector					
Total budget/investment	Earmarked by Government	Earmarked by partners	Budget by UNIDO projects	Funding gap	Total
List/budget of PCP initiated projects (in addition, complete project-specific templates)					
Flagship projects					
M&E framework					
In-country organization					
Expected results by priority area					
Major results to date by priority area (aggregate from project-specific templates)					
Synergies, linkages, cooperation					
Major timelines (https://isid.unido.org)					
Gender					

Part 2: Evaluation criteria and questions (MAX 10 pages)

Important: When answering the evaluation questions, please answer/make use of the sub-questions/sub-dimensions included in the Evaluation Framework.

Evaluation criteria and questions
Relevance
i. To what extent are the objectives of PCP valid?
Early finding: Key evidence:
ii. Are the activities and outputs of PCP consistent with the overall goal and the attainment of its

objectives?
<p>Early finding:</p> <p>Key evidence:</p>
<p>iii. Is the PCP concept perceived as the most appropriate strategy for partner countries' governments to achieving their sustainable industrial development objectives and contribute to the implementation of the Agenda 2030? How strong is the ownership of the instrument by partner countries' governments?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>iv. Within the aid architecture, what is the relation of the PCP concept in the pilot countries to the respective UNDAF processes and other UN as well as non-UN development planning and coordination mechanisms relevant to ISID?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>Effectiveness</p>
<p>i. What are the key results and benefits of the PCP concept for UNIDO and for the three pilot countries? To what extent have the expected results been achieved or are likely to be achieved, in particular with regard to the four key dimensions of the PCP concept? For flagship projects: explain their success and the reason thereof; why did they work so well?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>iii. Is the PCP concept reaching the set milestones on the way to the ultimate goal of supporting governments?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>Efficiency</p>
<p>i. Is the actual institutional organizational set up, i.e. organizational structure, functions, roles, responsibilities and availability of human and financial resources, adequate for developing and implementing the PCP Concept currently in (a) the three pilot countries and (b) further in a significant number of additional countries?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>ii. Are the institutional assets (e.g., policies, processes, tools and indicators) available for the PCPs to actually report on how they contribute to UNIDO's ISID mandate and the SDGs? How can UNIDO on the corporate level report on the achievements of the PCPs?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>iii. If the PCPs are actually creating a much larger development impact than the traditional CPs and stand-alone projects, can UNIDO report this systematically to its member states and partners?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>Sustainability</p>

i. How robust are the organizational arrangements, systems/tools and methods put in place by UNIDO to disseminate the PCP to other countries?
Early finding: Key evidence:
Cross cutting issues
i. To what extent have gender issues been addressed within the PCP concept?
Early finding: Key evidence:
Good practices/lessons
i. What recommendations and lessons can be drawn from the PCP implementation in the three pilot countries?
Early finding: Key evidence:
ii. What is the potential of the PCP Concept for UNIDO's future interventions at the country level?
Early finding: Key evidence:
iii. Can varying interventions at country level converge into a single engagement framework? How should and could stand-alone interventions, country programmes and PCP programmes converge?
Early finding: Key evidence:
iv. What lessons can be learned to best engage with other partners?
Early finding: Key evidence:

Part 3: PCP theory of change assessment (MAX 2 pages)

PCP theory of change assessment - pilot country x		
Rating scale: +++ highly satisfactory, ++ satisfactory, + moderately satisfactory, - moderately satisfactory, -- unsatisfactory, --- highly unsatisfactory		
Rating scale for assumptions: +++ highly accurate, ++ accurate, + moderately accurate, - moderately inaccurate, -- inaccurate, --- highly inaccurate, ? uncertain		
Elements of TOC (see figure 2)	Rating	Analysis (short justification/key evidence)
1. UNIDO technical assistance	++	(max 4 lines)
2. UNIDO key advisor to governments on industrial development	---	
3. UNIDO identifies & reaches out to partners (convening role)		
4. UNIDO facilitates		

coordination		
5. Outcomes of UNIDO TC projects		
6. National industrial development strategy		
7. Industrial development efforts of different partners linked		
8. National coordination mechanism operational		
9. Upscale of UNIDO TC projects		
10. Enhanced investment in selected priority sectors/areas		
11. Greater synergies with government & partner interventions		
12. Priority area outcomes		
13. National industrial development goals / SDG 9 /ISID: shared prosperity, advancing economic competitiveness, safeguarding the environment		
A.1 UNIDO has capacity to play role of key advisor to governments on industrial development		
A.2 Partners are willing to engage		
A.3 UNIDO has capacity to facilitate coordination		
A.4 Government willing to lead coordination (leadership) and welcomes UNIDO facilitating coordination		
A.5 National industrial development strategy provides clear orientation		
A.6 Context related assumptions: political stability in country; demand for goods and services produced in priority sectors;		

Attachment 1 – List of interviews
Attachment 2 - List of Key Documents
Additional attachments

Annex 3: Schedule May kick-off mission to UNIDO HQ

Monday, 29 May	Tuesday, 30 May
	<p>9:00-10:00 Meeting with Jaime Moll de Alba – discussion of TOC (Urs’ early draft) (D-2236)</p>
<p>10:00 – 12:00 Review of TOR, in particular the evaluation questions Discussion of TOC (Urs’ early draft) Evaluation Team (D-2236)</p>	<p>Discussion of country case study templates, missions, evaluation team Evaluation Team (D-2236)</p>
<p>LUNCH (12:00 – 13:30)</p>	
<p>13:30 -15:30 Review availability of data and discussion of evaluation methodology (Available documents, case studies, ToC, SWOT analysis, survey, etc.) Evaluation Team (D-2236)</p>	<p>13:30 -15:30 Inception report (who does what) Evaluation Team Discussion of division of labour in the evaluation team (D-2236)</p>
<p>15:30 – 17:00 Discuss the stakeholder mapping Evaluation Team (D-2236)</p>	<p>16.00-17.00 Wrap-up EVAL TEAM (D-2236)</p>
<p>17:00-17:30 Meeting preparation Evaluation Team (D-2236)</p>	

Annex 4: Schedule June mission to UNIDO HQ

MID TERM EVALUATION UNIDO's PCP TENTATIVE SCHEDULE OF MEETINGS (16-22 June 2017)						
	Friday, 16 June	Monday, 19 June	Tuesday, 20 June	Wednesday, 21 June	Thursday, 22 June	
09:00-10:00		Initial meeting Evaluation team Room: D-2280	Mr. Brian PORTELLI Room: D-1366 (ETH)	SWOT ANALYSIS WORKSHOP 9:30-12:30 Mr. Jaime MOLL Ms. Petra SCHWAGER Mr. Dejene TEZERA <i>Mr. ZOU Ciyong</i> <i>Mr. Juan Pablo DAVILA</i> Room: D-2284	9.00-9.45 Ms. Ayumi FUJINO D-2218	
10:00-11:00	10:30-11:30 Meeting with Mr. Stefano BOLOGNA		Mr. Cesar BARAHONA D-2280		10.00-11.00 Mr. Juergen HIEROLD Room: D-1906	
11:00-12:00	Room: D-2242		11.00-12.00 Mr. Ciyong ZOU Room: D-1947		11.15 Mr. Bashir CONDE Room: D-1964	
12:00-14:00			12.30-13.30 Ms. Nilgun TAS Room: D-1204	13:15 Ms. Adot Killmeyer-Oleche Room D-2046		
<i>LUNCH BREAK/ET DISCUSSIONS</i>						
14:00-15:00		Mr. Dejene TEZERA Room: D-1520		Mr. Philippe SCHOLTES Room: D-1901	WRAP UP with Evaluation team Room: D-2280	
15:00-16:00		Ms. Petra SCHWAGER Room: D-1203	Permanent Mission PERU Room: D-2280	Ms. Meryem SGHIR, Mr. Rafik FEKI (D-1523) (SEN) Mr. Carlos CHANDUVI Room: D-1946		Otto LOESENER (ETH) Room: D-2280 Telephone Conference with PM ETHIOPIA Tel. +41 22- 919 70 10 , Cell. +41795527683 Room: D- 1973
16:00-17:00		16.00-17.30 Team session on the Theory of Change Room: D-2280	Director General Room: DG Office			
17:00-18:00				Mr. Stephan SICARS Room: D-1256		

NAME	FUNCTION	Room	Extension	Remark
Mr. Cesar BARAHONA	PTC/Industrial Resource Efficiency Division Technical RECP Coordinator/Advisor	D-1280	3648	Accepted To be informed on meeting room
Mr. Stefano BOLOGNA	Senior Advisor on Programmatic Strategies	D-2242	3355	Accepted (meeting on 16/6 as on leave 19-21/6)
Mr. Carlos CHANDUVI	Regional Division – Latin America and the Caribbean Chief	D-1946	3640	Accepted
Mr. Rafik FEKI	Cluster and Innovation Division Industrial Development Officer			Accepted Meeting in D1523
Mr. Steffen KAESER	PTC/ Standards and Trade Facilitation Division Chief	D-1319	3826	Will get back upon Otto Loesener's return from mission
Ms. Otto LOESENER	PTC/ Standards and Trade Facilitation Division Industrial Development Officer	D-1339	3424	
Ms. Bettina SCHRECK	PTC/ Industrial Energy Efficiency Division Industrial Development Officer			On leave/Has been replaced by Nina ZETSCHE in the team
Mr. Stefan KRATZSCH	PTC/Investment and Promotion Division Industrial Development Officer			
Mr. Brian PORTELLI	PTC/Investment and Promotion Division Senior Specialist	D-1361	3805	On behalf of Stefen Kratzsch Meeting in 1366
Ms. Petra SCHWAGER	PTC/Industrial Resource Efficiency Division Industrial Development Officer	D-1203	3749	Accepted/
Ms. Meryem SGHIR	PTC/Food Systems and Nutrition Division Industrial Development Officer	D-1523	3743	Accepted/
Mr. Dejene TEZERA	PTC/ Rural Entrepreneurship, Job Creation and Human Security Div. Chief	D-1520	3499	Accepted in principle
Mr. Ciyong ZOU	PTC/Department of Partnerships and Results Monitoring Director	D-1947	3386	Accepted

Annex 5: Schedule country missions July/Sept

ETHIOPIA - Evaluation Team: Ms. Urs ZOLLINGER, Ms. Silvia ALAMO						
Time	Mon. 10/07/2016	Tue. 11/07/2016	Wed. 12/07/2016	Thur. 13/07/2016	Fri. 14/07/2016	Week end
09-10						
10-11						
11-12						
12-13						
13-14						
14-15						
15-16						
PERU to be confirmed - Evaluation Team: Ms. Silvia ALAMO, Mr. Cristobal VIGNAL						
Time	Mon. 17/07/2016	Tue. 18/07/2016	Wed. 19/07/2016	Thur. 20/07/2016	Fri. 21/07/2016	Week end
09-10						
10-11						
11-12						
12-13						
13-14						
14-15						
15-16						
SENEGAL - Evaluation Team: Ms. Urs ZOLLINGER, Mr. Cristobal VIGNAL, Ms. Simone LA ROSA						
Time	Mon. 04/09/2016	Tue. 05/09/2016	Wed. 06/09/2016	Thur. 07/09/2016	Fri. 08/09/2016	Week end
09-10						
10-11						
11-12						
12-13						
13-14						
14-15						
15-16						

Annex 6: Stakeholder mapping and sampling

Stakeholder mapping and sampling

Key:

- high: ***
- moderate: **
- low: *
- none: -

Stakeholder/informants	level of stake in PCP (level of interest)	level of involvement in PCP implementation	importance as a source of information for PCP evaluation	Total score: importance of stakeholder for evaluation	Total #
Vienna					
UNIDO management	***	**	**	7	2
UNIDO staff PRM	***	***	***	9	4
UNIDO PCP PMs (HQ/Field)	***	***	***	9	3
UNIDO staff HQ/donor relationships	*	*	*	3	1
UNIDO staff HQ/TC and RD involved in PCP	**	***	**	7	7
Pilot country representatives	***	*	**	6	2
Programme country representatives (non-pilot countries)	*	*	*	3	2
Donor representatives	*	*	*	3	2
Pilot countries					
UNIDO staff country office	**	**	***	7	3
UNIDO project staff ¹⁰	**	***	**	7	9
Government representatives ¹¹¹²	***	**	***	8	12
Representatives of public institutions involved in the PCP	*	*	**	5	9
Representatives of development partners <u>involved</u> in PCPs (e.g. WB, AfDB, bilaterals)	**	**	**	6	12
Representatives of partners <u>involved</u> in PCPs (private sector)	**	**	**	6	12
UN RC + PCP engaged UN Agencies (e.g. FAO)	*	*	**	4	9

¹⁰ In Ethiopia within UNIDO, a nine-person team comprising experts from different branches

¹¹ It is composed of high-level representatives from the PSE, all ministers involved in industrialization, the Chamber of Commerce and private sector associations. This National Steering Committee is responsible for ensuring national ownership of the PCP, through providing leadership on coordination, implementation and monitoring of PCP-SEN in order to accomplish the objectives of the Government in a sustainable and integrated manner.

¹² In Senegal the Partner and Donor Working Group under the auspice of the Ministry of Economy, Finance and Planning coordinates, rationalizes, and upscales interventions by technical and financial partners towards the industrial component of the PSE.

Annex 7: Preliminary list of documents

	THEMATIC / PROGRAMMATIC EVALUATIONS	Published
1	Evaluability assessment of PCPs (Ethiopia and Senegal)	2015
2	Thematic evaluation. UNIDO's contribution to One UN mechanisms.	May 2012
3	Independent thematic evaluation. Thematic evaluation of UNIDO projects related to "Industrial Upgrading".	April 2013
4	Independent thematic evaluation. UNIDO's Public private partnerships.	March 2014
5	Independent thematic evaluation. Independent evaluation of UNIDO Regional Programmes for Trade Capacity Building in West Africa.	June 2013
	COUNTRY EVALUATIONS AND INTEGRATED PROGRAMME AND COUNTRY SERVICE FRAMEWORK EVALUATIONS	
10	IP Ethiopia, phase II	July 2003
11	IP Ethiopia	June 2003
12	IP Senegal	April 2009
13	IP Senegal	March 2004
14	Meta evaluation of UNIDO Integrated Programmes evaluated in the period 2007/2008/2009.	May 2010
	PROJECT EVALUATIONS	
20	ETHIOPIA: Assistance to the Leather and Leather Products Technology Institute (LLPTI) for the development of its managerial and operative capacities (TE/ETH/04/001, TF/ETH/04/001).	March 2008
22	ETHIOPIA: Independent evaluation. Technical assistance project for the upgrading of the Ethiopia Leather and Leather Products Industry (TE/ETH/08/008).	February 2013
21	ETHIOPIA: Final evaluation. Edible oil value chain enhancement (FM/ETH/10/002, FM/ETH/10/A02). (External evaluation by: MDG Achievement Fund).	July 2013
23	REGIONAL AFRICA: Hides and skins improvement scheme in selected West African countries (Burkina Faso, Mali, Niger and Senegal) (FCRAF/04/088). (External evaluation by: CFC / FAO)	May 2008
24	PERU: Evaluación de medio término: Manejo y disposición ambientalmente racional de bifenilos policlorados (GF/PER/10/001, GF/PER/10/A01, XP/PER/11/001; GEF SEC project ID: 3709).	November 2013
25	PERU: Independent project evaluation. UNIDO Cluster and Networking Development Initiative. Promotion of Export Consortia (Peru component) (UE/GLO/04/158).	November 2008
26	GLOBAL: Independent evaluation. Africa (Accelerated) Agribusiness and Agroindustries Development Initiative (3ADI) (UE/GLO/10/016, TE/GLO/10/017,	June 2014

	US/GLO/10/018, TF/GLO/12/022, (plus related projects)).	
27	REGIONAL AFRICA. Trade capacity building in agro-industry products for the establishment and proof of compliance with international market requirements in the East African Community (EAC) (TE/RAF/06/014).	February 2012
28	TUNISIA: ASSISTANCE TECHNIQUE POUR LA MISE A NIVEAU ET L'AMELIORATION DE LA COMPETITIVITE DES ENTREPRISES TUNISIENNES DANS LES SECTEURS: TEXTILE/HABILLEMENT, CUIR ET PRODUITS EN CUIR ET AGRO-ALIMENTAIRE.	July 2002
29		

UNIDO policy and strategy documents

29.	Lima Declaration: Towards inclusive and sustainable industrial development Adopted at the fifteenth session of the General Conference of the United Nations Industrial Development Organization, Lima, Peru, 2 December 2013	2013
30.	<ul style="list-style-type: none"> o DGB/2017/01, 3 March 2017 o UNIDO_DGB_2014_01_Amend_1 o Development_Finance_101_1 o Development_Finance_101_2 o Development_Finance_101_3 	2013
31.	<ul style="list-style-type: none"> o Proposed Indicators for Goal 9, including indicators for means of implementation o Proposed Indicators for UNIDO ENV ENE Goal 12 o Proposed Indicators for Goal 7, ENERGY o ISID Global target indicators_7 March 	2014
32.	UNIDO Forum on Strategies and Instruments for Inclusive and Sustainable Industrial Development, 23 and 24 June 2014 (PBC.30/CRP.5) Summary submitted by the Secretariat	2014
33.	ISID, INCLUSIVE AND SUSTAINABLE INDUSTRIAL DEVELOPMENT, FIRST FORUM Conference report 23 - 24 JUNE 2014	2014
34.	ISID_2 ND Forum: <ul style="list-style-type: none"> o Programme for Country Partnership Ethiopia, Summary o Programme for Country Partnership Senegal, Summary 	2014
35.	Third ISID Forum - Financing for inclusive and sustainable industrial development, ISID - SAP ID: 150130	2015
36.	ISID_4 th Forum <ul style="list-style-type: none"> o PROGRAMME FOR COUNTRY PARTNERSHIP FOR PERU, Concept-note o The National Plan for Productive Diversification (NPPD) and PCP Peru, Presentation by Peru Minister of Production o PROGRAMME FOR COUNTRY PARTNERSHIP PERU, Presentation by UNIDO TL o FOURTH FORUM ISID, Inclusive and Sustainable Industrial Development, CONFERENCE REPORT o FOURTH FORUM ISID, Inclusive and Sustainable Industrial Development, Background Document, PARTNERSHIPS: MOVING SUSTAINABLE DEVELOPMENT GOAL 9 INTO ACTION 	2015
37.	Development and expansion of UNIDO's partnership approach: the Programme for Country Partnership (GC.16/CRP.5)	2015

38.	ISID_5 th _Forum <ul style="list-style-type: none"> ○ Concept_Note_English_Fifth_ISID_Forum_11.11.2016 ○ PRESS RELEASE_161115 ○ Brochure_Introd to ISID_February_2015 ○ Interview with Li Yong, 5 Feb 2014 	2016
39.	SUSTAINABLE INDUSTRIAL DEVELOPMENT FOR SHARED PROSPERITY, UNIDO's Programme for Country Partnership – An Overview	2016
40.	Updated medium-term programme framework for the period 2018-2021 (IDB.45/8-PBC.33/8)	2017
41.	Projects approved under the Industrial Development Fund, thematic and individual trust funds, and other voluntary contributions in 2016 (PBC.33/CRP.6)	2017
42.	DIRECTOR GENERAL'S BULLETIN, Establishing a UNIDO PCP Steering Group (PCPSG) (DGB/2017/01)	2017

National policy and strategy documents

SENEGAL

- Programme National de la Bonne Gouvernance (PNBG)
- Plan Senegal Emergent (PSE)
- The five-year Plan d'Actions Prioritaires (PAP) is the reference document for the State's interventions in order to implement the PSE
- National Integrated Plan of Infrastructure Development

ETHIOPIA

- Industrial Development Roadmap (IDR)
- Industrial Development Strategy Plan (IDSP)
- Industrial Development Institutional Setup (IDIS)
- Growth and Transformation Plan (GTP)

PERU

- Plan bicentenario: el Perú hacia 2021
- Agenda de Competitividad 2014-2018: rumbo al Bicentenario
- PLAN ESTRATÉGICO NACIONAL EXPORTADOR: PENX 2025 - Hacia la Internacionalización de la Empresa Peruana

Annex 8: Guiding questions for data collection mission to UNIDO HQ/Vienna

UNIDO staff (HQ/FO)

- 1) What is your role related to the PCP?
- 2) PCP Objective: A key objective of the PCP is “*to mobilize external partners and additional resources in order to extend the impact of UNIDO’s technical cooperation*”. How would you assess progress in achieving this objective?
- 3) UNIDO role: The PCP envisages a key role for UNIDO in identifying and reaching out to partners (convening role) and to facilitating coordination in support of the government; how is UNIDO doing in this regard?
- 4) Aid architecture: How do you see the PCP in relation to other planning frameworks and coordination mechanism like the UNDAF, the World Bank Country Partnership Strategies or bilateral country strategies?
- 5) Results: What are the key results and benefits for the three pilot countries until now? Are the PCPs reaching the set milestones?
- 6) Organizational set up: From your experience, is the actual institutional organizational set up, i.e. organizational structure, functions, roles, responsibilities and availability of human and financial resources, adequate for developing and implementing the PCP Concept currently in the three pilot countries?
- 7) Monitoring & reporting: Are the processes, tools and indicators available for the PCPs to monitor and report on how they contribute to UNIDO’s ISID mandate and the SDGs? How can UNIDO on the corporate level report on the achievements of the PCPs?
- 8) Expansion of PCPs: How robust are the organizational arrangements, systems/tools and methods put in place by UNIDO to disseminate the PCP to other countries? What is the potential of the PCP Concept for UNIDO’s future interventions at the country level?
- 9) Gender: To what extent have gender issues been addressed within the PCPs?
- 10) Lessons/good practices: What recommendations and lessons can be drawn from the PCP implementation in the three pilot countries? What are some of the good practices? What lessons can be learned to best engage with other partners?
- 11) PCP and country programmes: Can varying interventions at country level converge into a single engagement framework? How should and could stand-alone interventions, country programmes and PCP programmes converge?

Interviews with pilot country representatives (Vienna)

- 1) What has been your and your mission’s involvement in the development of the PCP for your country until now?

- 2) From your experience, how do you perceive the PCP process until now? How has the PCP been launched and implemented until now?
- 3) Has the PCP in your country met expectations until now?
- 4) Where do you see strength and weaknesses of the PCP?
- 5) Do you perceive the PCP as the most appropriate strategy for your governments to achieving its sustainable industrial development objectives and contribute to the implementation of the Agenda 2030?
- 6) What are your expectations for the future?
- 7) (to be extended)

Interviews with Member State representatives (Vienna)

- 1) What is your understanding of UNIDO's Programme for Country Partnerships (PCP) and its benefits for Member States?
- 2) What are your expectations from PCPs?
- 3) What is your perception of PCP's advantages as compared to UNIDO's regular Technical Cooperation?
- 4) What is your view on PCP finance and implementation mechanisms?
- 5) (to be extended)

Annex 9: Guidance for SWOT analysis workshop

The SWOT analysis workshop is scheduled for Wednesday, 21 June 2017, from 9:30 to 12:30 in D-22. SWOT is the acronym for Strengths, Weaknesses, Opportunities, Threats. It is a analytical tool.

Agenda, topics and method:

Timing	Topic	Method
9:30-10:15	<p>PCP concept: strength and weaknesses</p> <p>Guiding questions (optional):</p> <ol style="list-style-type: none"> 1) Is there conceptual clarity? 2) Is the PCP relevant in theory? 3) How relevant are UNIDO's interventions/activities in contributing to the objective of the PCP? [(1) technical assistance, (2) key advisor to governments, (3) reaching out to partners (convening role), (4) facilitating coordination] 4) What are some of the fundamental <u>assumptions</u> upon which the PCP is based? Are they accurate or inaccurate? 5) Is there a space for the PCP in the overall <u>aid architecture</u>? 6) Other issues 	Individual work (10' preparation of cards for pin board); followed by group discussion
10:15-11:15	<p>PCP implementation: strength and weaknesses</p> <p>Guiding questions (optional):</p> <ol style="list-style-type: none"> 1) Is the organizational structure adequate? (HQ and FO) 2) Are roles and responsibilities adequate? (HQ and FO) 3) Is the availability of human and financial resources adequate? 4) Is the monitoring and reporting adequate? 5) What are some of the lessons learned until now? 6) What are some of the good PCP practices until now? 7) Is gender addressed adequately? 8) Other issues 	Individual work (10' preparation of cards for pin board); followed by group discussion
11:15-11:30	Break	
11:30-12:30	<p>PCP: opportunities and threats for the future</p> <p>Guiding questions (optional):</p> <ol style="list-style-type: none"> 1) Should UNIDO roll out the PCP to other countries? 2) Which countries offer an opportunity for PCP? 3) Does UNIDO have the capacity to roll out the PCP to many more countries? 4) Other issues 	Individual work (10' preparation of cards for pin board); followed by group discussion

Material:

- 3 pin boards (or magnet walls)
- cards to write on (or paper)
- a marker for each participant (different colours)
- pins (or magnet)

Annex C: Country case study template

Table of contents

- Part 1: Basic information (4 pages maximum)
- Part 2: Evaluation criteria and questions (7 to 10 pages maximum)
- Part 3: PCP theory of change assessment (4 pages maximum)
- Attachment 1 – List of interviews
- Attachment 2 - List of Key Documents
- Additional attachments

Part 1: Basic information (4 pages maximum)

PCP Country level basic information					
Background					
Priority sectors Key actors/partners by priority sector					
Total budget/investment	Earmarked by Government	Earmarked by partners	Budget by UNIDO projects	Funding gap	Total
List/budget of PCP initiated projects					
Flagship projects					
M&E framework					
In-country organization					
Expected results by priority area					
Major results to date by priority area					
Synergies, linkages, cooperation					
Major timelines					
Gender					

Part 2: Evaluation criteria and questions (7 to 10 pages maximum)

Evaluation criteria and questions
Relevance
<p>i. To what extent are the objectives of PCP valid? <u>Sub-question:</u> Is the PCP theory of change relevant in principle (in theory)? Theory of change analysis: overall logic of PCP, elements 1.-13.</p>
<p>Early finding: Key evidence:</p>
<p>ii. Are the activities and outputs of PCP consistent with the overall goal and the attainment of its objectives? <u>Sub-question:</u> This relates to UNIDO's role in the PCP. The question is: how relevant are UNIDO's interventions/activities in contributing to the objective of the PCP? (UNIDO's interventions: (1) technical assistance, (2) key advisor to governments, (3) reaching out to partners (convening role), (4) facilitating coordination Theory of change analysis: How relevant are the 'UNIDO interventions' 1.-4. in theory? How accurate is assumption A.3?</p>
<p>Early finding: Key evidence:</p>
<p>iii. Is the PCP concept perceived as the most appropriate strategy for partner countries' governments to achieving their sustainable industrial development objectives and contribute to the implementation of the Agenda 2030? How strong is the ownership of the instrument by partner countries' governments? <u>Sub-question:</u> This is about alignment with national industrial development priorities, and the ownership and leadership of the PCP by governments. Theory of change analysis: to what extent are 'pre-conditions' PC.1 and PC.2 in place</p>
<p>Early finding: Key evidence:</p>
<p>iv. Within the aid architecture, what is the relation of the PCP concept in the pilot countries to the respective UNDAF processes and other UN as well as non-UN development planning and coordination mechanisms relevant to ISID? <u>Sub-question:</u> This is about how the different programmatic/financial frameworks relevant for ISID complement overlap or compete with each other.</p>
<p>Early finding: Key evidence:</p>
Effectiveness
<p>i. What are the key results and benefits of the PCP concept for UNIDO and for the three pilot countries? To what extent have the expected results been achieved or are likely to be achieved, in particular with regard to the four key dimensions of the PCP concept? For flagship projects: explain their success and the reason thereof; why did they work so well? <u>Sub-question:</u> Does the PCP theory of change work in in pilot countries? This is about assessing the results achieved and/or the likelihood of achieving expected results (as this is a mid-term evaluation) Theory of change analysis: To what extent are the assumptions A.1-A.7 accurate? And to what extent have the changes 5.-13. been achieved or are likely to be achieved given also the assessment of the assumptions? For flagship projects: (1) explain the success; and (2) why did they work so well</p>
<p>Early finding: Key evidence:</p>
<p>ii. Is the PCP concept reaching the set milestones on the way to the ultimate goal of supporting governments? <u>Sub-question:</u> What are the specific milestones in each pilot country? To what extent have they been achieved?</p>
<p>Early finding: Key evidence:</p>
Efficiency

<p>i. Is the actual institutional organizational set up, i.e. organizational structure, functions, roles, responsibilities and availability of human and financial resources, adequate for developing and implementing the PCP Concept currently in (a) the three pilot countries and (b) further in a significant number of additional countries?</p> <p><u>Sub-question:</u> This is about developing a new PCP on the one hand and about the implementation of the PCP on the other hand. Both dimensions in relation to:</p> <ul style="list-style-type: none"> - organizational structure (HQ and FO); - functions, roles, responsibilities (who does what); and - the availability of human and financial resources <p>And it is about the future: Does UNIDO have the capacity to roll out the PCP to many more countries?</p> <p>Theory of change analysis: To what extent are the assumptions A.1 and A.2 accurate?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>ii. Are the institutional assets (e.g., policies, processes, tools and indicators) available for the PCPs to actually report on how they contribute to UNIDO's ISID mandate and the SDGs? How can UNIDO on the corporate level report on the achievements of the PCPs?</p> <p><u>Sub-question:</u> This is about monitoring and reporting</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>iii. If the PCPs are actually creating a much larger development impact than the traditional CPs and stand-alone projects, can UNIDO report this systematically to its member states and partners?</p> <p><u>Sub-question:</u> This is also about monitoring and reporting.</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>Sustainability</p>
<p>i. How robust are the organizational arrangements, systems/tools and methods put in place by UNIDO to disseminate the PCP to other countries?</p> <p><u>Sub-question:</u> This question is similar to aspects of efficiency question no. i.</p> <p>Theory of change analysis: To what extent are the assumptions A.1 and A.2 accurate?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>Cross cutting issues</p>
<p>i. To what extent have gender issues been addressed within the PCP concept?</p> <p><u>Sub-question:</u> Review of PCPs in pilot countries and the importance given to gender issues. Discussion of gender dimensions in PCP concept with UNIDO HQ.</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>Good practices/lessons</p>
<p>i. What recommendations and lessons can be drawn from the PCP implementation in the three pilot countries?</p> <p><u>Sub-question:</u> Collect good PCP practices and lessons learned. Collect flagship projects ('PCP initiated projects').</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>ii. What is the potential of the PCP Concept for UNIDO's future interventions at the country level?</p> <p><u>Sub-question:</u> Is the PCP theory of change relevant in principle (in theory)? Does the PCP theory of change work in pilot countries?</p> <p>Theory of change analysis: overall logic of PCP, elements 1.-13.</p> <p>Does UNIDO have the capacity to roll out the PCP to many more countries?</p>

Theory of change analysis: To what extent are the assumptions A.1 and A.2 accurate?
<p>Early finding:</p> <p>Key evidence:</p>
<p>iii. Can varying interventions at country level converge into a single engagement framework? How should and could stand-alone interventions, country programmes and PCP programmes converge?</p> <p><u>Sub-question:</u> This is about on-going UNIDO activities at the time of a new PCP. How can these activities be integrated into the PCP?</p>
<p>Early finding:</p> <p>Key evidence:</p>
<p>iv. What lessons can be learned to best engage with other partners?</p> <p><u>Sub-question:</u> Collect good PCP practices and lessons learned related to the engagement with other partners.</p>
<p>Early finding:</p> <p>Key evidence:</p>

Part 3: PCP theory of change assessment (4 pages maximum)

<p>PCP theory of change assessment - pilot country x</p> <p>Rating scale: +++ highly satisfactory, ++ satisfactory, + moderately satisfactory, - moderately satisfactory, -- unsatisfactory, --- highly unsatisfactory, ? unclear/not enough evidence</p> <p>Rating scale for <u>assumptions</u>: +++ highly accurate, ++ accurate, + moderately accurate, - moderately inaccurate, -- inaccurate, --- highly inaccurate, ? uncertain/not enough evidence</p>		
Theory of change: elements to be tested (see figure 2)	Rating	Analysis (short justification/key evidence)
<i>Have the following 'pre-conditions' been in place when the PCP started?</i>		
- PC.1 Strong Government ownership and commitment at highest national authority level (strong ministry of industry commitment is required but not sufficient pre-condition); financial resource allocation from the Government to PCP;		(max 8 lines)
- PC.2 Government is willing and has the capacity to take the leadership in the PCP; ministry of finance required to play a leading role in resource and partner mobilization;		
- PC.3 Some basic infrastructure must be in place (e.g. roads, energy, ports, airports)		
<i>How accurate are the following assumptions?</i>		
- A.1 UNIDO has the capacity and resources at HQ and at country level to play the coordination and convening role among development partners; this includes the		

assumption that UNIDO has the capacity to support resource mobilisation for governments;		
- A.2 UNIDO <i>internal coordination</i> between different departments is functioning (required to play a credible coordination and convening role with external partners)		
- A.3 Government willing to give UNIDO facilitation role (with regard to coordination and convening role)		
- A.4 Partners are in principle willing to engage and interested to invest		
- A.5 National industrial development strategy is convincing to partners		
- A.6 Context related assumptions: political continuity in country		
- A.7 Context related assumptions: enabling economic environment i.e. demand for goods and services produced in priority sectors		
<i>How do you assess UNIDO's role in the PCP?</i>		
- 1. UNIDO technical assistance		
- 2. UNIDO key advisor to governments on industrial development (e.g. PCP Diagnostic)		
- 3. UNIDO identifies & reaches out to partners (convening role)		
- 4. UNIDO facilitates coordination		
<i>Results: To what extent have the following changes been achieved or are likely to be achieved?</i>		
- 5. Outcomes of UNIDO TC projects		
- 6. Policy changes		
- 7. Enhanced private investment (FDI/local private sector)		
- 8. Public resources mobilized (e.g. from DFIs)		
- 9. Inter-ministerial coordination enhanced (e.g. MoF, MoFA, MoI, etc.)		
- 10. Upscaled UNIDO TC		
- 11. Greater synergies with government & partner interventions; partners can be companies, Development Financial Institutions, bilateral donors, etc.		

- 12. Priority area outcomes		
- 13. National industrial development goals; SDG 9; ISID: shared prosperity, advancing economic competitiveness, safeguarding the environment		

[Attachment 1 – List of interviews](#)

[Attachment 2 - List of Key Documents](#)

[Additional attachments](#)

Annex D: SWOT Analysis Workshop, 21 June 2017 - Summary

UNIDO's Programme for Country Partnership (PCP) Mid-term evaluation

SWOT Analysis Workshop, 21 June 2017 – Summary

PCP Concept	
<p>Strengths</p> <ul style="list-style-type: none"> - Supports government policies at <u>various levels</u> and various areas (macro, meso, micro) - <u>Framework</u> to anchor industrial development within national development strategy - Enhancing <u>impact</u> by going beyond UNIDO piecemeal interventions vs. overall solutions - <u>Global Trends</u> – need for change <ul style="list-style-type: none"> o IDDA3 o ISID o PPP models - <u>Relevant</u>: SDG 17, 9, ISID - PCP can be an instrument to promote <u>ISID</u> - <u>Relevance of UNIOD</u> is increasing - Better <u>image</u>, bigger impact - Potential for <u>enhancing UNIDO services</u> - Stresses UNIDO's leading <u>advisory role</u> to Governments in industrial development - PCP can serve UNIDO to be key advisor to Governments - <u>Impact and up-scaling</u> - <u>Largescale</u> interventions - Additional knowhow and support through <u>partnerships</u> - Can put UNIDO as a "<u>connector</u>" or key partner to execute government policies - <u>Ownership</u> instead of fragmented aid - <u>Coordination</u> at country level - <u>Integration</u> (intern and extern) - Better <u>internal coordination</u> 	<p>Weaknesses</p> <ul style="list-style-type: none"> - <u>No clarity</u> on what it is or what it isn't - PCP concept is clear but <u>communication needs to be improved</u> - <u>Misunderstanding of concept</u> (UN agencies) mandate. - No <u>guidelines</u> on how to design, implement execute (no training) - <u>No criteria</u> to select (countries) - Necessity to adapt /refine current <u>business model</u> and operational modalities - Not in line with <u>current management structure</u> - Organisation <u>structure</u> needs adjustment - Changing the way we work needs time (regulations, decentralized) - <u>Resource intense</u> - Requires initial F.P. <u>resources</u> (difficult to convince) - <u>Coordination</u> mechanism (publ., private, donor), based on experience - PCP may overlap with <u>other UN initiatives</u> - <u>Dependent</u> on a large set of <u>external partners</u> and <u>conditions</u> - Experience in concrete cooperation with <u>DFIs</u> still weak in UNIDO - Concern of <u>attribution</u> - Strong dependence on <u>political will</u> and cooperation - <u>Integration</u> needs time - Current <u>mind-sets</u> in countries and UNIDO - <u>Monitoring</u> and <u>reporting</u> needs improvement

PCP Implementation

Strengths

- Resources –problem at beginning
- Government role strengthened
- Discussion/negotiations at top ministerial level
- Inter-ministerial coordination strengthened; coordination with DPs, DFIs
- Donor coordination strengthened
- Task forces at country level with sectoral focus much clearer (incl. DPs, PS, etc.)
- Enhanced coordination within the countries through partnerships (DFIs, etc.), national task forces + steering groups
- Component leaders in UNIDO + PRODUCE
- Team retreat and coaching
- Team building discussion on way forward
- Get to know other parts of UNIDO TC
- Collaboration between departments
- Cooperation of team members
- PCP entry point to become the key advisor in all industrial related issues
- Clear focus on a selected number of key areas strengthening the visibility of work and enhanced impact of work
- Experience accumulated, lessons learned useful for future rolling out

Weaknesses

- lack of (clear) industrial policy
-
- Timing of PCP
-
- Staff mind-set and organisational culture
- Offer driven (change of mentality)
- Communication (inside and outside)
-
- Seems interventions (projects) do not require a PCP to be designed or implemented (integration of projects)
- UNIDO is too decentralised in the sense that project managers can operate independently of the PCP
- Individual project focus in UNIDO
- Synergy – depends on persons (not the institutions)
- Territorial thinking in UNIDO and Government
- How to enhance internal coordination, reporting lines and accountability
- Role of FO, HQ, Team Leader, project managers not clear – not only of PCP
-
- Diversity of projects (donors, PMs, Government; humanitarian, development, geopolitical)
-
- Necessity of develop standard guidelines and operationalize the context allowing for different contexts/situations
-
- Human resources constraints
- Allocation of resources (human)
- Costs associated to coordination and M&E as well as developing partnerships
-
- Challenge: link M&E of PCP to ISID/SDGs monitoring

PCP - outlook

Opportunities

- Third Industrial Decade for Africa (IDDA3), Compact with Africa (G20)
- PCP as UNIDO's contribution to ongoing development initiatives (SDGs, IDDA3, etc.) Relevance, alignment
- UNIDO at the forefront (global trend in dev. aide)
- Increased impact and relevance of UNIDO
- Enlarge interventions (pre-PCP, post-PCP)
- Requests from Member States
- PCP recognition is growing

- Private sector – role in SDG is growing (infrastructure, industrialization agenda)

- Strengthening partnership with DFIs will help
- More resources through stronger cooperation with DFIs

- Availability of national experts and UNIDO project staff (to be captured in the guidelines)

- PCP – streamlined - based on lessons – in all countries
- Streamlining and focusing UNIDO's work on SDG9 – service packages (field and HQ)

- Develop a UNIDO vision on structural transformation at the country level
- Explore potential variations of implementation and business models
- Phase in [PCP] as new business model (flagship program, sustainable for UNIDO)

Threats

- Try to run before walking
- Need change how field offices work
- Old practices stay
- TC delivery versus strategic and long-term approach

- Non-PCP member states
- Treat all PCPs equal (LDCs, DCs, MICs,)

- Have to manage carefully expectations
- Success of concept and expectations of our stakeholders

- Resources (quality) and focus
- Financial resources for project development
- Limited financial and human resources, business model
- Lack of resources (quality (skills) and quantity)
- In-house analytical capacity and partnership expertise

- Need strong partnerships (DFIs, development partners)

- Reporting and impact

Annex E: Evaluation work plan and responsibilities

Table 4: Evaluation work plan

Tasks	Schedule	Evaluation Team Responsibilities and work days					
		Urs Zollinger (team leader)	Cristóbal Vignal	Silvia Alamo	Simone La Rosa (IEV)	Total days	%
Inception Phase							
Initial desk review, methodology, planning, drafting of inception report	15 June 2017	5	2	8	8	23	23/16%
Implementation Phase (data collection)							
Analysis of documents	10 July	4	4	4	3	15	68/49%
Meetings at UNIDO HQ	19-22 June	4	4	4	6	18	
Field mission to Ethiopia	10-14 July	5	-	5	-	10	
Field mission to Peru	17 -21 July	-	5	5	-	10	
Field mission to Senegal	4-8 Sept.	5	5	-	5	15	
Reporting Phase (data analysis)							
Country case-study templates <u>Ethiopia</u> and <u>Peru</u> completion	1 September	5	-	5	2	12	49/35%
Country case-study templates <u>Senegal</u> completion	15 Sept.	-	5	-	1	6	
First draft report	29 Sept.	8	2	2	2	14	
Presentation of draft report at UNIDO HQ	Early October	2	2	2	3	9	
Finalization of evaluation report	15 November	1	1	1	4	7	
Coordination of evaluation team		1	-	-	-	1	
Total number of work days		40	30	36	34	140	
<i>Table: Evaluation Team</i>							

Annex F: Guiding questions for missions to pilot countries

- 1) What has been your involvement in the development/implementation of the PCP until now?
- 2) **PCP process:** How do you perceive the PCP process until now? How has the PCP been launched and implemented until now? Has the PCP met your expectations until now?
- 3) **Strength and weaknesses:** Where do you see strength and weaknesses of the PCP?
- 4) How do you assess the **PCP as a strategy** to achieving sustainable industrial development objectives?
- 5) **UNIDO role:** The PCP envisages a key role for UNIDO in identifying and reaching out to partners (convening role) and to facilitating coordination in support of the government; how is UNIDO doing in this regard? (ToC 3.,4.)
- 6) **Results:** What are the key results and benefits for the three pilot countries until now? Are the PCPs reaching the set milestones? (ToC 5.-11.)
- 7) **Additional resources:** A key objective of the PCP is to enhanced private investment (FDI/local private sector) and mobilize public resources mobilized (e.g. from DFIs). How do you assess progress in this regard? (ToC 7.-8.)
- 8) **Organizational set up:** From your experience, is the actual institutional organizational set up, i.e. organizational structure, functions, roles, responsibilities and availability of human and financial resources, adequate for developing and implementing the PCP? (ToC: A.1, A.2)
- 9) **Monitoring & reporting:** Are the processes, tools and indicators available for the PCPs to monitor and report on how they contribute to UNIDO's ISID mandate and the SDGs?
- 10) **Aid architecture:** How do you see the PCP in relation to other planning frameworks and coordination mechanism like the UNDAF, the World Bank Country Partnership Strategies or bilateral country strategies?
- 11) **Gender:** To what extent have gender issues been addressed within the PCPs?
- 12) **Lessons/good practices:** What recommendations and lessons can be drawn from the PCP implementation?

Theory of change: elements to be tested	
	<i>Have the following 'pre-conditions' been in place when the PCP started?</i>
	- PC.1 Strong Government ownership and commitment at highest national authority level (strong ministry of industry commitment is required but not sufficient pre-condition); financial resource allocation from the Government to PCP;
	- PC.2 Government is willing and has the capacity to take the leadership in the PCP; ministry of finance required to play a leading role in resource and partner mobilization;
	- PC.3 Some basic infrastructure must be in place (e.g. roads, energy, ports, airports)
	<i>How accurate are the following assumptions?</i>
	- A.1 UNIDO has the capacity and resources at HQ and at country level to play the coordination and convening role among development partners; this includes the assumption that UNIDO has the capacity to support resource mobilisation for governments;
	- A.2 UNIDO internal coordination between different departments is functioning (required to play a credible coordination and convening role with external partners)
	- A.3 Government willing to give UNIDO facilitation role (with regard to coordination and convening role)
	- A.4 Partners are in principle willing to engage and interested to invest
	- A.5 National industrial development strategy is convincing to partners
	- A.6 Context related assumptions: political continuity in country
	- A.7 Context related assumptions: enabling economic environment i.e. demand for goods and services produced in priority sectors
	<i>How do you assess UNIDO's role in the PCP?</i>
	- 1. UNIDO technical assistance
	- 2. UNIDO key advisor to governments on industrial development (e.g. PCP Diagnostic)
	- 3. UNIDO identifies & reaches out to partners (convening role)
	- 4. UNIDO facilitates coordination
	<i>Results: To what extent have the following changes been achieved or are likely to be achieved?</i>
	- 5. Outcomes of UNIDO TC projects
	- 6. Policy changes

What are some of the good practices? What lessons can be learned to best engage with other partners?

13) What are your expectations for the future?

- 7. Enhanced private investment (FDI/local private sector)
- 8. Public resources mobilized (e.g. from DFIs)
- 9. Inter-ministerial coordination enhanced (e.g. MoF, MoFA, MoI, etc.)
- 10. Upscaled UNIDO TC
- 11. Greater synergies with government & partner interventions; partners can be companies, Development Financial Institutions, bilateral donors, etc.



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