

Independent Evaluation Division  
Office of Evaluation and Internal Oversight

**INDEPENDENT THEMATIC EVALUATION**  
**OF THE**  
**UNIDO MEDIUM-TERM PROGRAMME FRAMEWORK**  
**(MTPF) 2018-2021**  
**VOLUME 2**



UNITED NATIONS  
INDUSTRIAL DEVELOPMENT ORGANIZATION

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(MTPF) 2018-2021

VOLUME 2 - ANNEXES



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Vienna, May 2022

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# Annex 1: Terms of Reference

## Independent evaluation of UNIDO Medium-term Programme Framework (MTPF) 2018-2021

### 1. Introduction

**Background.** Since the late 1980s, following a decision of the UNIDO General Conference GC.2/INF.4 in 1987, UNIDO has regularly developed medium-term programme frameworks every four or five years as an organizational-wide strategic planning tool to guide and ensure alignment of its work as ‘the principle policy directive of UNIDO’<sup>1</sup>. The UNIDO Medium-Term Programme Framework (MTPF) 2018-21 provided a long-term vision for the organization: to contribute to “the eradication of poverty through inclusive and sustainable industrial development” as per the 2013 Lima Declaration (GC.15/Res.1)<sup>2</sup>. The results framework supports this vision through enabling Sustainable Development Goal (SDG) 9 “build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation”. Linked to the MTPF is UNIDO’s Integrated Results and Performance Framework (IRPF), which sets out metrics for the intended results of the organization in the next years.

**The evaluation.** As the MTPF 2018-2021 cycle came to an end in 2021, this evaluation was included in the 2021 Evaluation work plan of the Office of Evaluation and Internal Oversight, and approved by the UNIDO Executive Board. Following internal consultations with UNIDO management, in early 2021, the preparation for the MTPF 2022-2025 was underway to be submitted to the 49<sup>th</sup> Session of the Industrial Development Board (IDB) in July 2021. On this basis, it was decided to postpone the evaluation to late 2021, and to include the new MTPF design and process in its scope.

### 2. Background and context

#### Medium-Term Programme Framework 2018-21

In May 2015, the MTPF 2016-2019 introduced the integrated results and performance framework (IRPF) as a tool to help UNIDO manage for results and demonstrate its results and performance at corporate level. The IRPF links UNIDO’s expected development results at global and country level and to its performance at programme and organizational level. However, the IRPF and its indicators presented a challenge on its application and operationalization. Eventually it was acknowledged that it was necessary to revise the set of indicators in the MTPF. Taking into account this challenge and the need to align the medium-term programme framework with the quadrennial comprehensive policy review of operational activities for development of the United Nations system, in November 2016 the Industrial Development Board requested the Director General of UNIDO<sup>3</sup>:

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<sup>1</sup> UNIDO 2015a. Independent strategic evaluation of Implementation of the expanded UNIDO Medium-term programme framework 2010-2013

<sup>2</sup> UNIDO 2017. Medium-term programme framework 2018-2021

<sup>3</sup> UNIDO 2016. Report of the Industrial Development Board on the work of its forty-fourth session, IDB.44/Dec.10: <https://www.unido.org/api/opentext/documents/download/8366178/unido-file-8366178>

- To submit to the Board at its forty-fifth session in May 2017 an updated medium-term programme framework for the period 2018-2021, including an integrated results and performance framework with baseline and target values;
- To update the corporate scorecard on a quarterly basis and to make it available to Member States and other stakeholders via the online transparency platform;
- To consider regularly reviewing and submitting an updated medium-term programme framework at the end of each biennium, thus ensuring that it remains a useful and flexible tool for the strategic planning of the Organization's programmes with a four-year horizon, complementing the biennial programme and budgets.

Subsequently the MTPF 2016-2019 planning cycle required an extension to the biennium 2020-2021. In May 2017, the MTPF 2016-2019 was updated into the MTPF 2018-2021 emphasizing the importance for the organization to monitor, respond to and demonstrate tangible results and to analyse and report the progress in organizational performance at all levels based on the IRPF as the corporate long-term results framework.

As such, the MTPF 2018-2021 provided strategic guidance for UNIDO's programmatic architecture and represented the basis for planning and managing its programmes and activities for the period 2018-2021. It was also expected to guide the development of the biennial programme and budgets during this period, in response to changes in the organization's operating environment and the development requirements of Member States.

Against this background, the MTPF 2018-2021 established four strategic priorities for UNIDO, which also serve as the foundation of the Organization's mandate of inclusive and sustainable industrial development (ISID), namely: (i) creating shared prosperity, (ii) advancing economic competitiveness, (iii) safeguarding the environment, and (iv) strengthening knowledge and institutions.

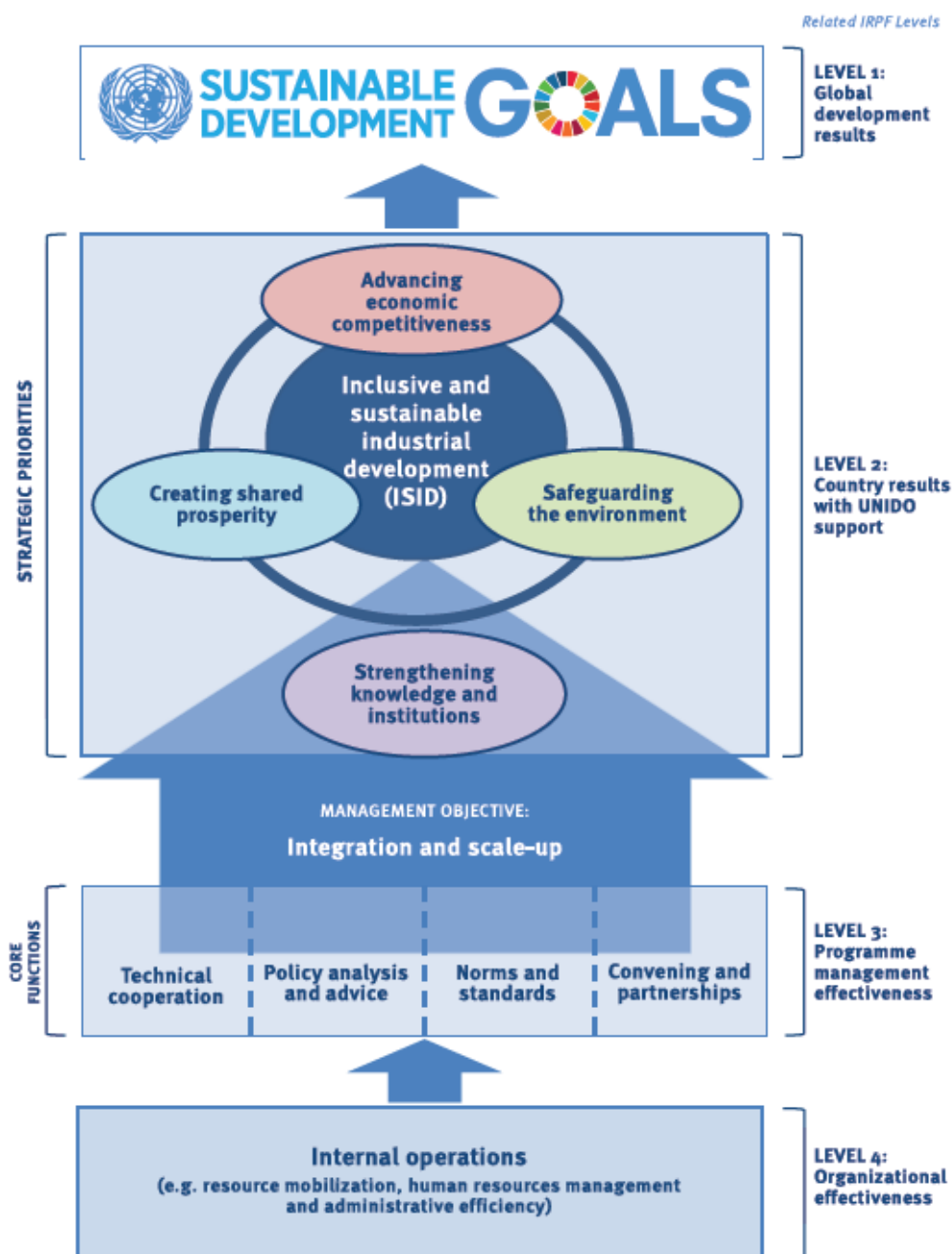
The MTPF 2018-2021 had the dual objective of integration and scale-up<sup>4</sup>. "On the one hand, it provides a programmatic framework for the integration of the Organization's four functions: (i) technical cooperation; (ii) analytical and research functions and policy advisory services; (iii) normative functions, and standards-related activities; and (iv) convening function and partnerships for large-scale investment, knowledge and technology transfer, networking and industrial cooperation. On the other hand, it prioritizes the scale-up of the development impact of UNIDO's work, underpinned by the Organization's increased capacity to report on results".

To achieve the above objective, for the first time, the MTPF 2018-2021 integrated all levels of the Organization's performance and its development results, from the management of its internal operations to the achievement of industry-related SDGs into one framework. It further clarified UNIDO's results-based management (RBM) framework by establishing a direct link between the MTPF and each level of the integrated results and performance framework (IRPF). The MTPF also included UNIDO's theory of change linked to 2030 Agenda and ISID as the UNIDO's Strategic Framework (see in figure 1).

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<sup>4</sup> UNIDO 2017. Medium-term programme framework 2018-2021

**Figure 1 – UNIDO’s strategic framework 2018-2021**



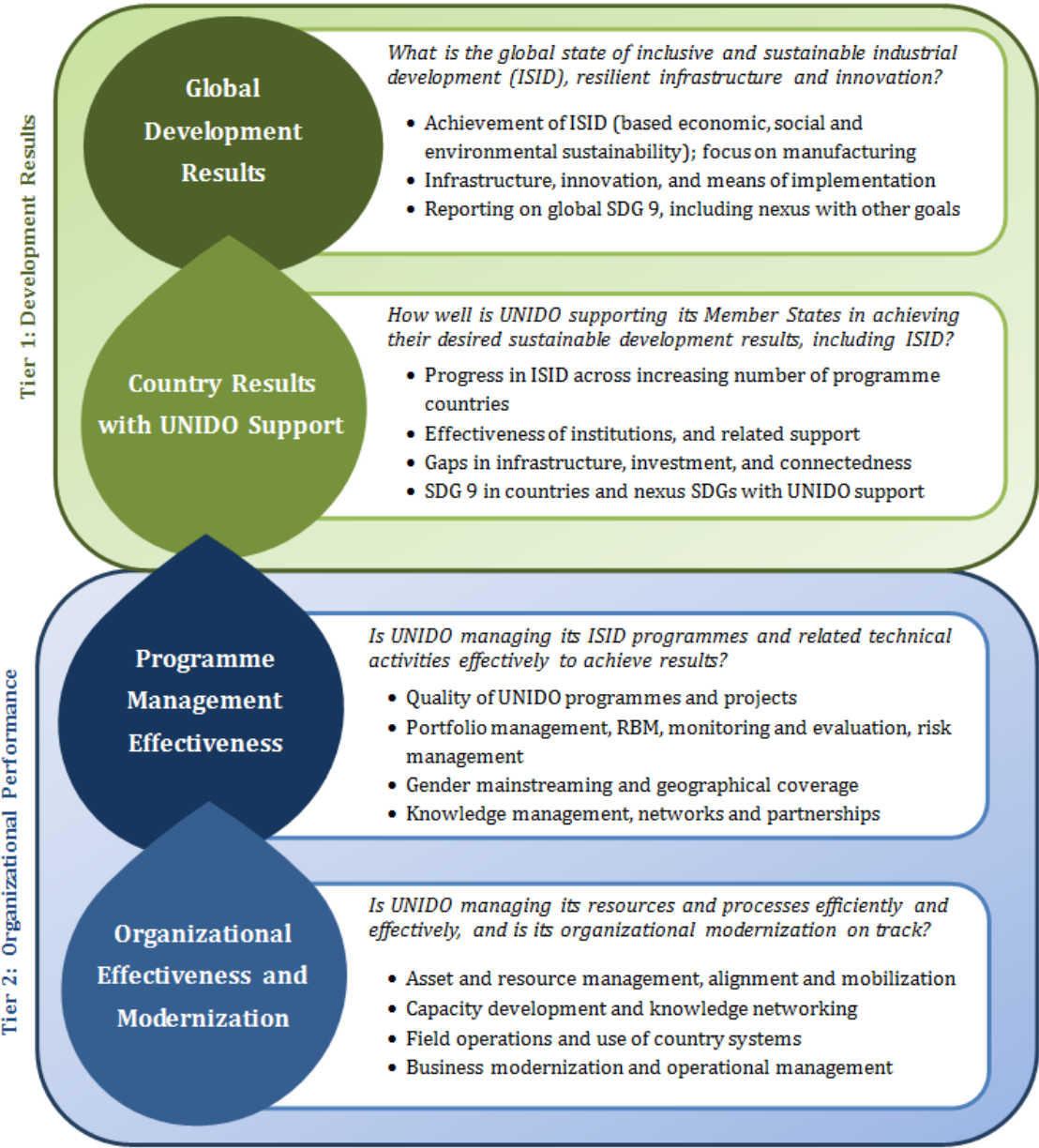
Source: UNIDO 2017. Medium-term programme framework 2018-2021

The MTPF links the programme and management framework to the associated organizational performance and development results measured in the IRPF. While level 1 reflects the global development results as outlined in the progress achieved on the overall 2030 Agenda, the results and performance achieved under the programme framework and the effectiveness of UNIDO’s programme management are measured and reported through the IRPF indicators of levels 2 and 3. The efficiency and effectiveness of UNIDO’s internal operations is measured on level 4.

Consequently the MTPF was expected to have a strong focus on improved RBM and monitoring systems to analyse and report the progress in organizational performance at all levels of the Organization. With this framework, UNIDO could therefore align the deployment of the human and financial resources with the Organization’s strategic results and established integrated systems for planning, managing, measuring, and reporting on results.

**Integrated results and performance framework (IRPF)**

**Figure 2: UNIDO Integrated results and performance framework (IRPF) in 2016-2019 MTPF**



Source: UNIDO 2015. UNIDO Medium-term programme framework 2016-2019

The main purpose of UNIDO’s integrated results and performance framework (IRPF) is to provide clarity to the Organization — its Member States and staff around the world — “on the Organization’s expected contribution to global development results, based on the Lima Declaration and the SDGs. It also lines out UNIDO’s corporate long-term results framework to guide the implementation of the MTPF, the related programme and budgets, and the measurement of corporate performance, including managerial transparency, efficiency and effectiveness”<sup>5</sup>.

<sup>5</sup> UNIDO 2017. Medium-term programme framework 2018-2021

Overall, the IRPF is designed to make UNIDO a results-oriented, transparent, efficient, and trusted partner in the SDGs era. It delineates a two-tiered approach to the monitoring and reporting of results (which consist of two levels each).

The IRPF has been used as the corporate scorecard of UNIDO (see figure 2) and has been posted in its website, with some revisions.

#### **Other related development related to the MTPF**

So far, under the strategic framework of the MTPF 2016-2019 and 2018-2021, UNIDO has developed two biennial Programmes and Budget: 2018-2019 and 2020-2021.

In May 2019, UNIDO reported to the IDB on the mid-term review (MTR) of its 2018-2021 MTPF. The MTR presents the organizational theory of change by identifying the external factors, including assumptions and preconditions, to the impact pathway; and introduces organizational outcomes and impact areas and clarifies the intended organizational results.

In March 2021, UNIDO developed and submitted to the IDB the MTPF 2022-2025.

During the past years, a number of important internal and external assessments and reviews related to the MTPFs have been conducted, namely:

- Independent strategic evaluation of Implementation of the expanded UNIDO Medium-term programme framework 2010-2013 (2015);
- Review of Management and Administration in the UNIDO by the United Nations Joint Inspection Unit (2017);
- Assessment of UNIDO by the Multilateral Organization Performance Assessment Network - MOPAN (2019);
- Mid-term review of the MTPF 2018-2021 (2019)
- Other related audit and evaluations: Audit Reports by UNIDO External Auditors, Synthesis of Internal Audits (2019), and the ongoing Thematic evaluation of UNIDO's capacities to contribute to transformational change.

### **3. Evaluation objectives, scope, methodology, key questions and process**

#### **A. Evaluation objectives and scope**

The purpose of this evaluation is to further strengthen UNIDO's accountability, strategic alignment, and results based-management; to feed to the implementation of the next MTPF 2022-2025; and to support organizational learning overall. The primary users of the evaluation are UNIDO staff involved in the preparation and use of the MTPF, the UNIDO Executive Board, Senior Management, and the Member States.

The main objectives of the evaluation are:

1. To assess the MTPF 2018-2021 in terms of design, implementation and results achievement;
2. To assess the design of MTPF 2022-2025 and the process of developing MTPFs at UNIDO;
3. To identify factors that hinder or favour the results achievement of the MTPF 2018-2021, and good practices from other comparable organizations; and
4. To provide recommendations for UNIDO consideration in the design, review and implementation of current and new MTPFs.

This evaluation will focus on the period between 2017 to September 2021. It encompasses the MTPF 2018-2021 as well as the IRPF operationalization. As the MTPF 2022-2025 has already been



developed in early 2021, the evaluation will also assess the design of the new MTPF 2022-2025 and the overall process of developing MTPFs.

**B. Key Evaluation questions**

The key evaluation questions are the following:

Evaluation subjects	Evaluation questions
<p>a. Design and formulation (for MTPFs 2018-21 and 2022-25)</p>	<p>To what extent:</p> <ol style="list-style-type: none"> <li>1) The MTPF provides a coherent vision and mission for the organization?</li> <li>2) The MTPF document is clear and consistent with a good and logic theory of change (TOC) in line with good practice?</li> <li>3) The MTPF reflects priorities of member states and address key development challenges related to the agenda 2030?</li> <li>4) The MTPF is realistic, keeping in mind the context, capacities and resources in UNIDO?</li> <li>5) The MTPF development process was transparent and participative, and conducive to building organizational commitment?</li> <li>6) The preparation process of the MTPF involved the relevant stakeholders, internally and externally, and took into account their feedback and lessons learnt from the previous MTPFs?</li> </ol>
<p>b. Implementation</p>	<p>To what extent:</p> <ol style="list-style-type: none"> <li>1) The MTPF has been used in UNIDO for planning of programme and budgets; for planning strategies and work-plans; for planning, formulating, approving and implementing development programmes and projects?</li> <li>2) The MTPF has been used by MSs to oversee UNIDO work in helping countries meet their development needs, especially pertaining to the SDGs; for planning and monitoring corporate performance; for improving and managing managerial transparency, efficiency and effectiveness;</li> <li>3) UNIDO operations were aligned to the MTPF?</li> <li>4) The MTPF was reviewed/adjusted to fit for purpose?</li> <li>5) The IRPF has been actually operationalizing the MTPF implementation?</li> </ol>
<p>c. Results</p>	<ol style="list-style-type: none"> <li>1) What are the key results of the MTPF? To what extent did the MTPF contribute to improved development results and organizational performance as outlined in tier 1 and 2 of the IRPF?</li> <li>2) How effective was the MTPF in enhancing “integration and scale up” and in helping UNIDO move away from project-based to a more programmatic and strategic funding of cooperation activities?</li> <li>3) How effective was the MTPF and the IRPF as a tool for monitoring and reporting, in particular vis-à-vis member states and other key stakeholders of the organization?</li> </ol>

**C. Evaluation methodology and approach**

The evaluation will be conducted in accordance with the Charter of the Office of Evaluation and Internal Oversight and the UNIDO Evaluation Policy. It will be carried out as an independent in-depth evaluation using participatory approach whereby key stakeholders will be engaged and informed throughout the evaluation process.

**Evaluation instruments for data collection and analysis.** The evaluation will use a theory of change approach and mixed methods to collect data and information from a range of sources. 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.** Relevant existing evaluations, reviews and assessments by internal and external parties will feed into this strategic evaluation. Internal documentation and reviews of the MTPFs, and relevant UNIDO reports to the IDBs, including Annual Reports, and the Programme and Budget documents will be reviewed.
2. **Stakeholder consultations.** Through structured and semi-structured interviews, focus group discussion and workshops. Key stakeholders to be engaged include: i) UNIDO Management and staff both in the field and headquarter; ii) representatives of Permanent Missions; iii) Other key stakeholders (e.g Donors, UN Sister Agencies, Multilateral Financial Organizations).
3. **Survey.** If needed, a survey would be undertaken to collect a variety of perspectives and information from stakeholders.
4. **Comparative study.** A literature review of comparator organizations might be conducted.

During the evaluation inception phase, a further scoping and matching of evaluation tools and data collection mechanism will be defined, including the fine-tuning and adjustment of the evaluation questions.

**D. Evaluation process**

The evaluation will be conducted from October 2021 till January 2022. The evaluation will be implemented in four phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- i. Inception phase (desk review, preliminary analysis)
- ii. Data collection (Interviews, focus groups, survey and further literature review)
- iii. Data analysis, and
- iv. Reporting

The proposed timing is as follows:

Draft TOR circulation (by EIO)	Oct 2021
Recruitment of external members of the evaluation team (by EIO)	Oct 2021
Inception report	Oct 2021
Data collection and analysis	Nov/Dec 2021
Reporting (Draft and Final reports)	Jan 2022
Finalization and Report Issuance (by EIO)	Jan/Feb 2022

The report structure will be discussed and cleared during the inception phase.

## **5. Evaluation team**

The evaluation requires in-depth knowledge of evaluation, strategic management, development work experience from project level to corporate level, results-based management and deep understanding of UNIDO. The evaluation team members will possess a mixture of required skill set and experience.

The core evaluation team will be composed of two Independent Senior Evaluation Experts, one with key expertise in the field of development cooperation and one with expertise in the field of strategic management, and one or two EIO/IED Evaluation Officer(s).

The Director of the Office of Evaluation and Internal Oversight and the Chief of the Independent Evaluation Division will actively participate, oversee and provide guidance along the evaluation process; and review/clear the evaluation products (TOR, selection of consultants, inception report and final evaluation report).

A senior evaluation assistant of EIO/IED will provide support the evaluation team through the process.

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)'.

## **6. Quality assurance**

As per provisions and tools provided in UNIDO Evaluation Manual.

## Annex 2: Inception report

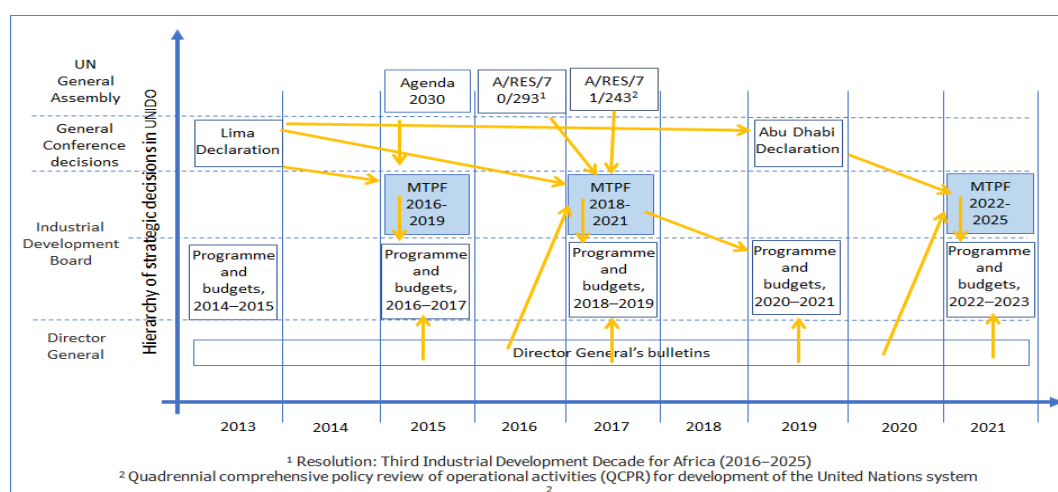
### 1. Background and introduction

Following a decision of the UNIDO General Conference GC.2/INF.4 in 1987, UNIDO has used medium-term programme frameworks (MTPFs) for organizational-wide strategic planning. As ‘the principal policy directive of UNIDO’, this tool is also used to guide and ensure alignment of UNIDO’s work across various organizational levels. The recently concluding MTPF (2018-21) envisioned the Organization to contribute to “the eradication of poverty through inclusive and sustainable industrial development” as per the 2013 Lima Declaration (GC.15/Res.1). The 2019 Abu Dhabi declaration reaffirmed this goal and sought to more closely link the Organization’s work building resilient infrastructure, promoting inclusive and sustainable industrialization, and fostering innovation to on Sustainable Development Goal (SDG), SDG9, in particular. MTPFs, supplemented by the UNIDO’s Integrated Results and Performance Framework (IRPF), which sets out metrics for the intended results of the organization in the next years, and Results-based budgeting (RBB), seek to contribute to this larger vision for the Organization.

#### Medium-Term Programme Framework 2018-21

The Industrial Development Board (IDB) called for UNIDO to submit at its forty-fifth session in May 2017 an updated medium-term programme framework for the period 2018-2021, including an integrated results and performance framework with baseline and target values. IDB asked for updating the corporate scorecard on a quarterly basis, which was to be made available to Member States and other stakeholders via an online transparency platform. IDB also called for regularly reviewing and submitting an updated MTPF at the end of each biennium for ensuring that it remained a useful and flexible tool for the strategic planning of the Organization’s programmes with a four-year horizon, complementing the biennial programme and budgets. Subsequently the MTPF 2016-2019 planning cycle required an extension to the biennium 2020-2021. In May 2017, the MTPF 2016-2019 was updated into the MTPF 2018-2021 emphasizing the importance for the organization to monitor, respond to and demonstrate tangible results and to analyse and report the progress in organizational performance at all levels based on the IRPF as the corporate long-term results framework. As such, the MTPF 2018-2021 is being used to provide strategic guidance for UNIDO’s programmatic architecture.

**Chart 1. Hierarchy and timeline of strategic decisions in UNIDO**



Source: Evaluation Team, based on UNIDO documents.

The MTPF 2018-2021 established four strategic priorities for UNIDO, which also serve as the foundation of the Organization's mandate of inclusive and sustainable industrial development (ISID), namely: (i) creating shared prosperity, (ii) advancing economic competitiveness, (iii) safeguarding the environment, and (iv) strengthening knowledge and institutions. It had the dual objective of integration and scale-up. As an integrator, MTPF provides a framework for UNIDO's core functions: (i) technical cooperation; (ii) analytical and research functions and policy advisory services; (iii) normative functions, and standards-related activities; and (iv) convening function and partnerships for large-scale investment, knowledge and technology transfer, networking, and industrial cooperation. As an accelerator, it enables UNIDO in scaling up its development impact by increasing its capacity to demonstrate and report on results. To achieve the above objective, for the first time, the MTPF 2018-2021 integrated all levels of the Organization's performance and its development results, from the management of its internal operations to the achievement of industry-related SDGs into one framework. It further clarified UNIDO's results-based management (RBM) framework by establishing a direct link between the MTPF and each level of the integrated results and performance framework (IRPF). The MTPF also included UNIDO's theory of change linked to 2030 Agenda and ISID as the UNIDO's Strategic Framework.

## 2. About the Evaluation

### Subject

The main subject of the evaluation is the MTPF 2018-2021. The MTPF is UNIDO's most important strategic planning instrument. The evaluation examines MTPF as a tool for strategic planning and management. While the focus of this evaluation is on the implementation of the MTPF 2018-2021, the new MTPF 2022-2025 is also included in this evaluation, although limited to the design process.

### Purpose

As per the terms of reference, the purpose of this evaluation is to (a) strengthen UNIDO's accountability, strategic alignment, and results-based management, (b) feed to the implementation of the next MTPF 2022-2025, and (c) support organizational learning overall. The primary users of the evaluation are UNIDO staff involved in the preparation and use of the MTPF, the UNIDO Executive Board, Senior Management, and the Member States. During the inception phase, the purpose was further specified. Learning from the implementation of the MTPF 2018-2021, this evaluation should primarily contribute to the implementation of the new MTPF 2022-2025. The evaluation should contribute to the UNIDO management's understanding of the MTPF as a strategic management instrument, i.e., the MTPF's relevance and value as strategic steering tool. This is a forward-looking evaluation which should make recommendations regarding the strategic management of UNIDO and the implementation of the new MTPF 2022-2025.

### Evaluation objectives

Following are the objectives of this evaluation:

1. To assess the MTPF 2018-2021 in terms of design, implementation, and results achievement.
2. To assess the design of MTPF 2022-2025 and the process of developing MTPFs.
3. To identify factors that hinder or favor the results achievement of the MTPF 2018-2021.
4. To provide recommendations for the design, review, and implementation of MTPFs.

**Evaluation scope**

This evaluation will focus on the period between January 2017 and December 2021. It encompasses the MTPF 2018-2021 as well as the IRPF operationalization. As the MTPF 2022-2025 has already been developed in early 2021, the evaluation will also assess the design and formulation of the new MTPF in so far as it can offer lessons for future MTPFs.

The evaluation will examine linkages between MTPF and other key higher policy and strategic level documents and initiatives such as the Work Programme and budget, but it will not cover the project level.

The evaluation will not assess the performance of UNIDO in terms of achieving development results for the period 2018-2021.

**Evaluation questions**

After initial desk review and inception discussions, the evaluation questions were slightly modified and finetuned as below:

Evaluation subjects	Evaluation questions
<p><b>d. Design and formulation (for MTPFs 2018-21 and 2022-25)</b></p>	<p><b>To what extent:</b></p> <ul style="list-style-type: none"> <li>7) Does the MTPF provide a coherent vision and mission for the organization?</li> <li>8) Is the MTPF clear and consistent? Is the underlying theory of change (TOC) logical, consistent, and valid?</li> <li>9) Does the MTPF reflect priorities of member states and address key development challenges related to the agenda 2030?</li> <li>10) Is the MTPF realistic, keeping in mind the context, capacities, and resources in UNIDO?</li> <li>11) Was it developed in transparent and participative manner conducive to building organizational commitment? Were relevant internal and external stakeholders involved and their feedback considered? Did lessons learnt from prior MTPFs used to inform future MTPFs?</li> <li>12) How are the MTPF, and linked processes such as IRPF and RBB, linked to UNIDO’s effectiveness at achieving its intended development results?</li> <li>13) How are strategic decisions made at UNIDO with whose involvement and how often?</li> </ul>
<p><b>e. Implementation</b></p>	<p><b>To what extent:</b></p> <ul style="list-style-type: none"> <li>6) Was the MTPF used in UNIDO for planning, budgeting, strategies, and implementation, including those of development programmes and projects?</li> <li>7) Is the MTPF being used by Member States for planning, monitoring, and improving UNIDO’s corporate performance and transparency?</li> <li>8) Are MTPF and UNIDO’s operations aligned with each other?</li> <li>9) Is the MTPF fit for purpose?</li> <li>10) Does the IRPF operationalize the implementation of the MTPF?</li> <li>11) Is MTPF embedded in UNIDO’s organizational culture and processes?</li> </ul>
<p><b>f. Results</b></p>	<ul style="list-style-type: none"> <li>4) What are the key results of the MTPF?</li> <li>5) What are the effects of the MTPF on the Organizations? What are the changes the MTPF has brought about?</li> </ul>

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| <p>6) How effective has the MTPF been in integrating and scaling up? Is it helping UNIDO move away from a project-based to a strategic approach to its operations?</p> <p>7) How effective are MTPF and IRPF as tools for monitoring and reporting for both internal and external stakeholders, including member states?</p> |
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### 3. MTPF: Overview of Strategic management at UNIDO: A Theoretical Framework

On the basis of desk review and inception discussions, the evaluation team put together a [theory on how MTPF is developed and expected to assist UNIDO in achieving](#) its development results. This includes outlining how the MTPF is expected to influence strategic change at UNIDO. Note this is *not* a theory of change for the UNIDO (as shown in its famous rocket analogy). Rather this theory shows how the MTPF process is expected to influence strategic change at UNIDO and enable UNIDO in achieving its intended development results outlined in MTPF and other major strategic documents such as Lima declaration (2013) and the Abu Dhabi Declaration (2019). As depicted in Annex I, MTPF plays a key role in defining strategic goals and providing strategic guidance to UNIDO staff. At least in theory<sup>6</sup>, it's an iterative process that starts with the initial vision of main strategic decision-makers. Once that vision is discussed with key internal and external stakeholders and context is examined via environment scanning processes, the initial plan framework is put forward for wider stakeholder consultations. Through an iterative process, this leads to a shared vision and the final MTPF document. As MTPF nears finalization, other accompanying processes such as resource planning and implementation need to feed back into the planning process. This is necessary to determine if the Organization has or can raise adequate resources to achieve results outlined in the MTPF. Upon finalization, MTPF paves way for actual resource mobilization and implementation, including determination and adjustments into organizational structure, processes, decision-making and culture. A well-functioning organization needs to make these adjustments to ensure that the entire Organization functions in a cohesive and synergistic manner. To achieve the development results outlined in the MTPF, constant monitoring and adjustments as per the IRPF framework needs to be made. Sometimes, this may necessitate mid-term strategic reviews or even independent evaluation. The final step in this process is the terminal evaluation to examine what worked and what did not as well as to feed into the future MTPF design process. This evaluation, thus, serves to both examine the previous MTPF for 2018-21 as well as to provide relevant information for the implementation of the upcoming MTPF for 2022-25. Given that the latter has just been finalized and is ready for launch, some adjustments may need to be made around the mid-term review but other processes that support the achievement of results outlined in the formulated MTPF could be used for formative purposes right away.

As seen from the theory outlined above, there are several hypotheses that the evaluation will need to validate. After the initial desk review and inception discussions, the following initial hypotheses have been identified. The hypotheses outlined below are *not exhaustive*, but suggestive of what the evaluation will seek to verify, or disprove on the basis of evidence available:

#### Evaluation hypothesis:

MTPF is actively<sup>7</sup> used in UNIDO, and:

1. The MTPF 2018-2021 improved the organisation's strategic orientation, i.e., the organization adapted strategic approaches to programme planning, implementation, and adaptation.

<sup>6</sup> To be tested and validated in this evaluation

<sup>7</sup> That is, it is more than a cursory reference to it.



2. The MTPF 2018-2021 led to significant strategic changes in the organization, including at the level of programme and projects. Changes are visible in terms of thematic priorities but also in terms of implementation modalities.
3. The MTPF has aligned the deployment of the human and financial resources as well as programmes and projects with the Organization's strategic results and has integrated systems for planning, managing, measuring, and reporting on results.
4. The MTPF has improved RBM and monitoring systems to analyse and report the progress in organizational performance at all levels of the Organization.
5. MTPF provided decisive moments for the organization to make major shifts in priorities.
6. MTPF was designed and implemented in a participatory manner.
7. MTPF is used by Member States as a reference for overseeing UNIDO work.

## 4. Preliminary Findings of the Desk Review

The findings from the initial desk review<sup>8</sup> and brief interviews with key staff members are summarized below.

The previous evaluation of MTPF in 2015 made the following key observations with respect to the MTPF design: (1) Although MTPF was based on solid situation analysis, it did not define underlying assumptions or risks, (2) The link between the situation analysis and the results framework was weak, (3) While being innovative and results-based, it had weak intervention logic, (4) The indicators were not always Specific, Measurable, Appropriate, Realistic, and Time bound (SMART), (5) There were no indication of priorities for the period of implementation nor assumptions and risks, (6) It provided UNIDO with flexibility, but the opportunity to use the MPTF to foster strategic coherence, development impact and accountability for development results was lost, (7) There was no indicative budget or resource framework and the number of performance indicators was too large to allow for an efficient monitoring and useful reporting, and (8) It was not used to promote cross-cutting issues such as gender and environmental sustainability.

The desk review shows that while some of these issues have been addressed, others continue to persist till date. There is a progress in addressing the first finding. The MTPF continues to be based on solid situation analysis and exhibits greater awareness of risks involved. These risks are explicitly stated, however the extent to which these are addressed (e.g., mitigation planning) need to be examined. The intervention logic continues to be weak, especially at higher levels of theory of change. Level one results essentially describe the state-of-the-world. There is some recognition of this in the IRPF, which states the level one results under the heading: "Level 1: Global industrial development context" as the context. It does not really appear to be a UNIDO result. It is rather the background for UNIDO's contribution. However, the evaluation will need to examine progress on this front.

UNIDO appears to have made considerable progress in defining SMART results indicators. This progress can be seen in the proposed budget for the 2022-23, which provides detailed information on outcome results to be achieved over the next biennium. UNIDO could consider adding in a qualitative dimension to further strengthen these indicators.

Further, the 2015 evaluation had noted that there was no indication of priorities among the various results. Not much progress in this regard is apparent from the documents. All results at the same level continue to be listed without any indication of any prioritization. There are no

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<sup>8</sup> Desk review, UNIDO results-based management framework, Independent Evaluation Division Office of Evaluation and Internal Oversight, UNIDO July 2021.



indications regarding plans, should the expected funding not come through: Would UNIDO proportionately reduce budgets for all activities or cut out some less important projects and activities? The MTPF and the budget still provide no indication in this regard.

UNIDO additionally faces challenges in linking results from field and TC work. The introduction of results-based budgeting has prima facie improved the linkage between results indicators and budget or resource framework. However, it is not clear whether the budgeting exercise was started backwards from the results targeted by UNIDO or existing projects and activities were simply reclassified to comport with the indicators identified in the MTPF. To make the best use of the RBB, UNIDO needs to use to substantially rely on the former approach.

Finally, the cross-cutting issues such as gender and environmental sustainability appear to have been adequately addressed in the latest MTPF. Not only is the environmental impact one of the three level-one impacts that UNIDO seeks, but also the IRPF framework calls for collecting gender disaggregated data as relevant.

UNIDO seems to have made a substantial progress, in all, in capturing the “low-hanging fruit” identified in the previous evaluation. The current evaluation will need to assess the progress in more difficult areas such as the degree to which MTPF results are ingrained in actual functioning of UNIDO across various levels. What are the linkages between results mentioned in MTPF and other strategic documents such as IRPF and RBB and other important strategic planning tools such as CPs and PCPs?

This challenge was noticeable from the review of PCPs for Senegal and Ethiopia, which largely provide a good overview of activities planned, but not of results expected from such activities (Chart 3). This likely indicates challenges in alignment of results across various levels of the organization, however this is something that will need to be validated.

## Chart 2. PCP Senegal: Expected results for the year 2020

### 7. UPCOMING MILESTONES AND MAJOR RESULTS EXPECTED IN 2020

**Policy:** Launch of studies on the review of the industrial policy, the leather sector, and the automotive industry, which are expected to be financed by the AfDB.

#### **Industrial projects:**

- **Special economic zones:** a new project on SEZs is expected to start in the framework of the PAIMRAI programme financed by AfDB.
- **Integrated and competitive agro-poles:** Launch of two feasibility studies in partnership with UNIDO (Center and North), which are expected to be supported by the AfDB, Belgium and EIB.
- **Industrial parks:** Extension of Diamniadio (40ha); further development of the Sandiara industrial park and establishment of the Diass industrial park facility by a promoter-developer.
- **Regional mining hub:** Launch of the feasibility study, which is expected to be financed by the AfDB.

**PCP expertise, knowledge and technology transfer cross-cutting projects:** Continued implementation of UNIDO ongoing projects and launch of new projects, including:

- Launch of the project on “Vocational trainings and job creation” funded by the German Federal Ministry for Economic Cooperation and Development (BMZ);
- Implementation of the EU West Africa Regional Competitiveness Programme;
- Launch of EU/ACP project on “Supporting business-friendly and inclusive national and regional policies and strengthening productive capabilities and value chains”.

In addition, several initiatives related to agro-industry, investment promotion and environment are still under development. In total, 17 new initiatives are in the pipeline in terms of future projects, which demonstrates the dynamism that PCP Senegal has helped establish and the solid investment partnerships underway, both with the public and private sector.

*Source: Extract from the 2019 annual report of PCP Senegal*

There is also a need to further explore the extent to which specific aspects of UNIDO’s agenda are covered by the MTPF and its supporting documents. For example, UNIDO states that “South-South and triangular industrial cooperation plays an essential role as part of UNIDO’s overall strategy to assist developing countries and leverage the potential of regional trade, investment and economic integration among Southern partners to support local SMEs and strengthen regional supply chains.” However, these aspects of strategy do not find much mention in the MTPF results framework and IRPF indicators. Similarly, UNIDO’s normative and policy advisory functions is expected to play a particularly important role in scaling up results. There is a need to examine the extent to which normative and policy work is adequately covered in programme planning, monitoring and evaluation.

Lastly, there is a need to examine if the MTPF is comprehensive and flexible enough to incorporate new and emerging issues such as the current hot button issues of AI and ethics and privacy. Similarly, there is a need to examine if the indicators are adequately cross referenced with those used or recommended by other peer organizations (e.g., gender-related indicators with UN-Women/ UNFPA).

## 5. Methodology

The evaluation will follow a mixed-methods, inclusive and participatory approach with adequate triangulation and counterfactuals to arrive at credible, reliable, and unbiased findings. The evaluation will utilize a mixture of primary and secondary sources of data. The primary data sources will include, among others, interviews with key stakeholders, focus group discussions, online surveys, and direct observations. Secondary data sources will include all relevant documents and archival data available from UNIDO and its stakeholders.

The evaluation will be conducted in four phases; some of which will run concurrently: (1) inception; (2) data collection; (3) data analysis; and (4) reporting. The evaluation timeline spans from October 2021 to January 2022 (see Workplan in [Annex VII](#)), culminating in the submission and presentation of the evaluation report by the evaluation team.

### A. INCEPTION PHASE

The inception phase, undertaken in October 2021, culminated in this inception report. It involved preliminary desk review as well as discussions with key informants. This phase enabled the evaluation team to finetune the evaluation approach and methodology, including evaluation matrix, evaluation questions, stakeholder mapping and data collection tools. It also helped in crafting a theory of strategic management at UNIDO on how the MTPF is expected to influence strategic change at UNIDO. [Annex I](#) and [Annex II](#) respectively outline a visual representation of the theory of strategic management and the evaluation results matrix to be used for this evaluation.

### B. DATA COLLECTION PHASE

The second phase of the evaluation — data collection — will officially begin once the inception report is finalized. Using the tools outlined in this report, data collection from various sources and methods will be undertaken concurrently. It involves documentary evidence, virtual consultations by way of key informant interviews (KIIs) and focus group discussions (FGDs), online surveys, direct observations, archival data sources and any other data as needed and available. This section lays out the approach to be taken within each of these methods.

**Desk review:** All important documents will be formally reviewed. Relevant existing evaluations, reviews and assessments by internal and external parties will feed into this strategic evaluation. Internal documentation and reviews of the MTPFs, and relevant UNIDO reports to the IDBs, including Annual Reports, and the Programme and Budget documents will be reviewed. In addition to documents listed in [Annex III](#), the evaluation team will continue to identify and request other supplementary documents as needed. The shared aim of the desk reviews is to provide concrete documented evidence to help answer the evaluation questions.

**Stakeholder consultations:** The evaluation team conducted a stakeholder mapping ([Annex IV](#)). Key stakeholder include (i) UNIDO Member States, (ii) Members of the Executive Board (iii) senior management and project managers of TC departments, (iv) senior management and staff of non-TC departments and (v) UNIDO staff in the field. Key informant individual and group interviews (KIIs) and focus group discussions (FGDs) will provide rich, in-depth qualitative information on all aspects of the MTPF – much of which will be subjective in nature, but some of which will serve to provide factual or conjectural information that can be triangulated through other data collection methods. Given resource limitations, group interviews may be used to reach to a wider number of staff. FGDs will be organized around specific topics to generate deeper discussion on specific topics. Owing to current travel restrictions, all KIIs and FGDs will be conducted remotely. See also stakeholder mapping and sampling in [Annex IV](#) and stakeholder list in [Annex V](#). The interviews would generally be based on the protocols shown in [Annex VI](#).

**Online survey:** The evaluation team has prepared an online survey to collect data from UNIDO staff on the specific outcome-related questions identified in the evaluation matrix. It will also include questions on organizational culture, which is one of the key cross-cutting areas underpinning most of the outcome-level results sought by UNIDO. The survey integrates skip logic to reach stakeholders with targeted questions. The survey will provide critical information on the results sought, including on change in organizational culture and outcomes outlined in the evaluation matrix. A stratified random sample will be drawn by the evaluation team to balance the need to obtain representative perspective across various organization levels without creating organizational fatigue from surveys. See [Annex IV](#) for more information.

**Archival data:** The evaluation team will seek relevant archival data from UNIDO. If any pertinent secondary data were available from UNIDO, they would be requested to share it with the evaluation team

**Direct observations:** The evaluation team will seek to remotely observe key meetings and events pertaining to the MTPF that occur during the data collection phase for direct observation. In cases where it is not possible to directly observe, the evaluation team will request for minutes of the meetings.

### **C. DATA ANALYSIS PHASE**

The third phase involves data analysis. This phase will be ongoing, beginning with the document review and collection of data through KIIs, FGDs and surveys. Qualitative and quantitative analytical techniques will be employed. Content analysis will be used to convert content from the documents and interview notes into quantitative data according to the evaluation matrix. Qualitative analysis will also provide illustrative examples to extract lessons and good practices. Quantitative analysis will be used with the survey and archival data (e.g., bivariate pivot tables across various methods, t-tests for differences across various organizational units, etc.). Results will be disaggregated where applicable.

## D. REPORTING PHASE

The fourth and final phase will focus on reporting and validation of findings and recommendations. A draft report shared with key stakeholder for their review and feedback. A final evaluation report will be provided as the principal output of the evaluation process. The evaluation will be conducted in accordance with the Charter of the Office of Evaluation and Internal Oversight and the UNIDO Evaluation Policy as well as UNEG guidelines, UNEG Ethical Standards for Evaluations, and UN SWAP standards.

Overall, the evaluation will follow a mixed-methods, inclusive and participatory approach with adequate triangulation and counterfactuals to arrive at credible, reliable, and unbiased findings. The detailed evaluation workplan is included in [Annex VII](#).

## 6. Limitations

The evaluation foresees two possible limitations at this stage:

1. No field mission and field observations are anticipated due to the ongoing pandemic. The team will use remote working technologies to overcome this limitation to the extent possible.
2. The evaluation has limited budget and staff time. The evaluation team used inception and scoping to sharpen the focus of evaluation. This will continue to be done on a regular basis to stay on time and within the budget. As a result, the evaluation is not expected to dive deep into assessing the projects or development results. It will mostly focus on the assessment of MTPF design, implementation, and results at the level of the organisation.

The evaluation team does not anticipate any delays in completing any deliverables. The draft report should be available for circulation to relevant stakeholders for comments on facts, conclusions, and recommendations on time. The final report should also be available for presentation as per the schedule envisaged in the [workplan](#).

## Annex I. Overview of strategic management at UNIDO: A theoretical framework

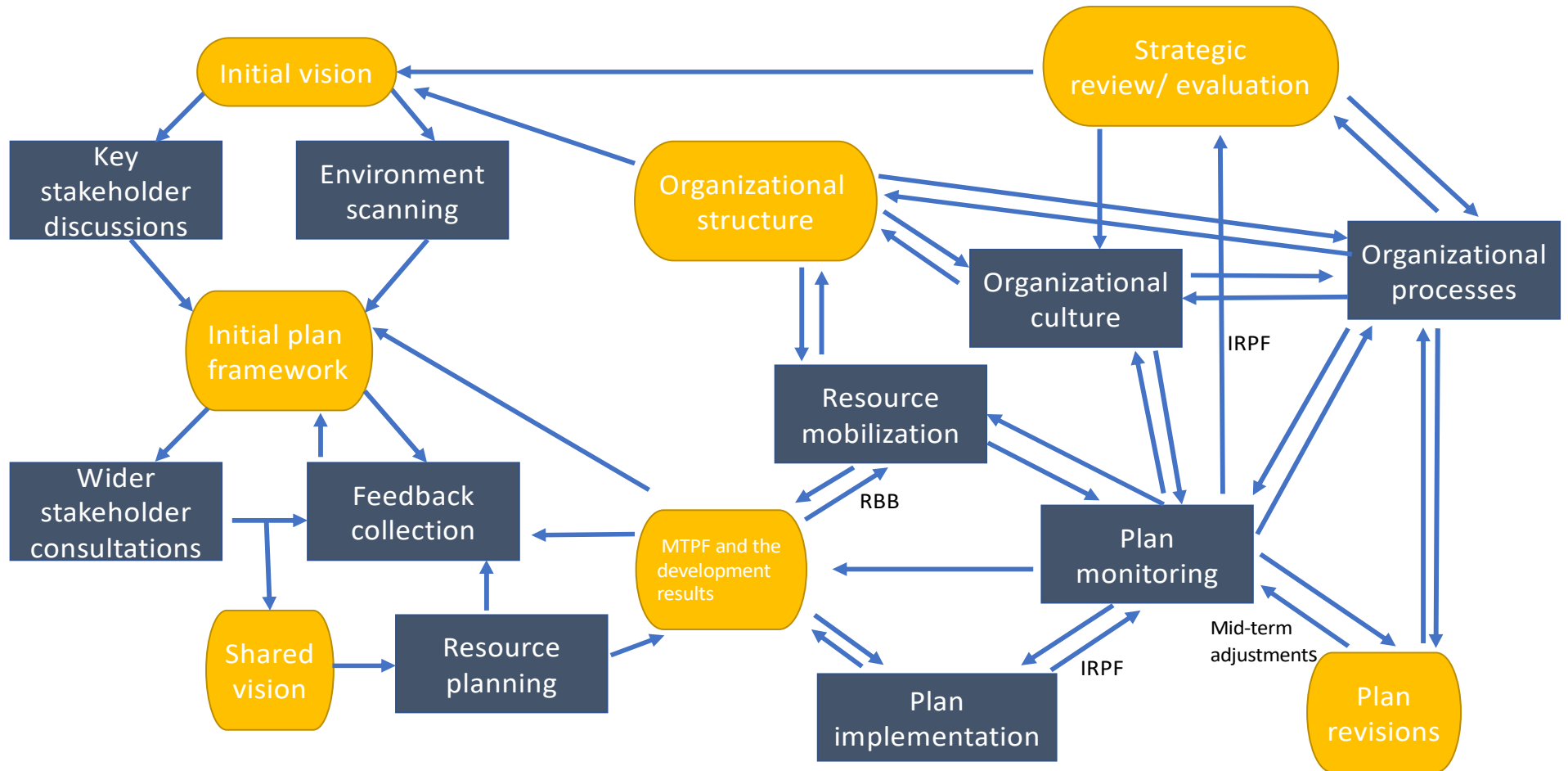


Chart: Evaluation Team.

## Annex II. Evaluation matrix

Evaluation subjects	Evaluation questions	Source of information, data collection methods						Docu- ment review
		Interviews	FGD (1): MTPF core team	FGD (2): TC staff	FGD (3): Non-TC staff	FGD (4): Country offices	Survey	
		<input checked="" type="checkbox"/> main source/method   <input checked="" type="checkbox"/> supplementary source/ method   – not used						
		Stakeholder consultations						
<b>a. Design and formulation</b> (for MTPFs 2018-21 and 2022-25)	<b>To what extent:</b>							
	1) Does the MTPF provide a coherent vision and mission for the organization?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	2) Is the MTPF clear and consistent? Is the underlying theory of change (“Rocket”) logical, consistent, and valid?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–	<input checked="" type="checkbox"/>
	3) Does the MTPF reflect priorities of member states and address key development challenges related to the Agenda 2030?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–	<input checked="" type="checkbox"/>	–	<input checked="" type="checkbox"/>
	4) Is the MTPF realistic, keeping in mind the context, capacities, and resources in UNIDO?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–	<input checked="" type="checkbox"/>
	5) Was the MTPF developed in transparent and participative manner conducive to building organizational commitment? Were relevant internal and external stakeholders involved and their feedback considered? Did lessons learnt from prior MTPFs used to inform future MTPFs?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–
	6) How are the MTPF and linked processes such as IRPF and RBB, linked to UNIDO’s effectiveness at achieving its intended development results?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–	<input checked="" type="checkbox"/>
	7) How are strategic decisions made at UNIDO with whose involvement and how often?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–	–
<b>b. Implementation</b>	<b>To what extent:</b>							
	1) Was the MTPF used in UNIDO for planning, budgeting, strategies, and implementation, including those of development programmes and projects?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	2) Is the MTPF being used by MSs for planning, monitoring, and improving UNIDO’s corporate performance and transparency?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	3) Are MTPF and UNIDO’s operations aligned with each other?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

	4) Is the MTPF fit for purpose?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–
	5) Does the IRPF operationalize the implementation of the MTPF?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	–	<input checked="" type="checkbox"/>
	6) Is MTPF embedded in UNIDO's organizational culture and processes?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	✓
c. Results	1) What are the key results of the MTPF?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	✓	<input checked="" type="checkbox"/>
	2) What are the effects of the MTPF on the Organizations? What are the changes the MTPF has brought about?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	✓	<input checked="" type="checkbox"/>
	3) How effective has the MTPF been in integrating and scaling up? Is it helping UNIDO move away from a project-based to a strategic approach to its operations?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	✓	<input checked="" type="checkbox"/>
	4) How effective are MTPF and IRPF as tools for monitoring and reporting for both internal and external stakeholders, including Member States?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	✓	<input checked="" type="checkbox"/>

*Table: Evaluation Team.*

### **Annex III. List of key documents reviewed**

- UNIDO 2021a. Medium-term programme framework 2022–2025 - Integration and scale-up to build back better, Proposal by the Director General.
- UNIDO 2021b. Desk-review of UNIDO RBM Framework by UNIDO Independent Evaluation Division
- UNIDO 2021c. UNIDO Annual Report 2020 (Document IDB.49/2-PBC.37/2)
- UNIDO 2020a. Director General's bulletin. Interim arrangements for the programme and project formulation and approval function and technical cooperation programme/project revisions and extensions including funds availability controls (Document DGB/2020/07, 24 July 2020)
- UNIDO 2020b. Administrative instruction. Managing for Results: A Guide to UNIDO's Integrated Results and Performance Framework Approaches and Tools (Document AI/2020/02, 6 May 2020)
- UNIDO 2020c. Independent thematic evaluation. UNIDO formulation, appraisal and approval function
- UNIDO 2020d. Assessment of UNIDO Contributions to Sustainable Development Goals, Final Report prepared by Steve Montague
- UNIDO 2020e. UNIDO Management Response to the 2019 MOPAN institutional assessment of UNIDO
- UNIDO 2020f. UNIDO Annual Report 2019 (Document IDB.48/2-PBC.36/2 2020).
- UNIDO 2019. Integrated results and performance framework: Updated indicators and definitions (Document GC.18/CRP.4, October 2019)
- UNIDO 2017. UNIDO Medium-term programme framework 2018-2021
- UNIDO 2016. Report of the Industrial Development Board on the work of its forty-fourth session, IDB.44/Dec.10:
- UNIDO 2015a. Independent strategic evaluation of Implementation of the expanded UNIDO Medium-term programme framework 2010-2013
- UNIDO 2015b. UNIDO Medium-term programme framework 2016-2019
- UNIDO 2013. Lima Declaration. Towards inclusive and sustainable industrial development. (UNIDO General Conference resolution GC.15/Res.1), para. 1
- JIU 2017. Review of Management and Administration in the United Nations Industrial Development Organization. (JIU/REP/2017/1, IDB.45/14/Add.1).
- MOPAN 2019. Assessment of UNIDO by the Multilateral Organization Performance Assessment Network.



## Annex IV: Stakeholder mapping and sampling

Stakeholder categories	Key stakeholder for interviews	Focus group discussions (FGD)				Survey	Total
		(1) MTPF core team	(2) TC staff	(3) Non-TC staff	(4) Country offices		
UNIDO Member States	5	--	--	--	--	--	5
Members of the Executive Board	4	--	--	--	--	--	4
Chief of Cabinet and Special Advisor to the Director General	2	--	--	--	--	--	2
TC departments: chiefs and project managers	5*	3	9	--	--	--	17
Non-TC departments: directors and staff	5*	3	--	9	--	--	17
Strategic Planning and Coordination Division	3	3	--	--	--	--	6
UNIDO staff HQ	--	--	--	--	--	25%	--
UNIDO staff field offices	6*	--	--	--	9	25%	15
<b>Total</b>	<b>30</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>--</b>	<b>66</b>

**\* Purposive sampling**

*Table: Evaluation Team.*

**Notes:**

1. Survey will use stratified random sampling. 25% of all professional staff members (around 120 in total, stratified by region, type of office and gender) will be invited. G-staff and ISA holders may also be invited if there is enough involvement in the MTPF process.

## Annex VI. Data collection tools

### Interview Protocol:

#### Interview details:

Name, organisation, and position

Location

Time

Interviewee(s)

The following interview protocol for in-person or telephonic interviews is comprehensive. Interviewers should customize and adapt questions for each interview based on interviewee's role, time constraints, response, and level of knowledge/ familiarity with topics revealed during interviews. (Note that all interviews should start with informed consent. The interviewee should be made aware that the information they provide will remain confidential and anonymous, they should be told how the information will be used and for what purpose, and they should agree to continue the interview.)

1. What is your role in connection with the MTPF? How involved were you in the design and implementation of the MTPF? In what capacity?
2. From the perspective of your office or organization, what major outcomes is the MTPF expected to achieve? How would you know if it is delivering those outcomes?
3. To what extent, does MTPF help UNIDO link its contributions its ISID agenda as well as UN's SDGs?
4. Is there space in the organization for strategic discussions and strategic change?
5. Who contributes to the strategic management of the organisation?
6. What shapes the strategic orientation of UNIDO? Is the MTPF design process top down or bottom up or a combination of the two?
7. What are the most important strategic management tools at UNIDO? Where does the MTPF rank among these tools? How does the MTPF link up with other important steering instruments such as Lima Declaration, biennial programme and budget, Director General's Bulletins, etc.
8. Is the MTPF an instrument of the DG to steer the organization? What is the DG's space to steer UNIDO and shift priorities?
9. How are strategic decisions - which have major implication on the priorities of the organisation - taken in UNIDO?
10. When are strategic decision made? Every four years with the MTPF? Are there other moments when strategic decisions are made?
11. Has the strategic planning - the MTPF - led to strategic changes of the organisations? In other words: what was the impact of the MTPF (2018-2021) on the organization?
12. What is the role of Member States in strategic steering of the organization? What is the influence of Member States on the design of the MTPF?
13. Do UN reforms and national priorities for industrial development demand a change in UNIDO's strategic planning and management processes? If so, how?
14. To what extent does the MTPF help UNIDO link up with its country programmes, such as Programme for Country Partnerships? Is this process top-down or bottom-up?
15. What do you expect to gain from this evaluation? What would make it most useful for you and your office/ organization? (Scoping question)
16. What knowledge management systems and practices have been put in place to manage organizational learning across various levels?
17. What are the main obstacles to achieving results specified in the MTPF? How could those obstacles be overcome?

18. From the perspective of your office/organization, what are the strengths and weaknesses of the MTPF?
19. How and to what extent do the projects incorporate human rights and gender dimensions? How satisfied are you with HRG related efforts? What could be done differently or significantly improved?
20. Does the MTPF provide a coherent vision and mission for the organization? To what extent?
21. Is the MTPF clear and consistent? Is the underlying theory of change (TOC) logical, consistent, and valid?
22. Does the MTPF reflect priorities of member states and address key development challenges related to the agenda 2030? How do you know this? What's the best available evidence to support this perspective?
23. Is the MTPF realistic, keeping in mind the context, capacities, and resources in UNIDO?
24. Was it developed in transparent and participative manner conducive to building organizational commitment? Were relevant internal and external stakeholders involved and their feedback considered? Did lessons learnt from prior MTPFs used to inform future MTPFs?
25. Was the MTPF used in UNIDO for planning, budgeting, strategies, and implementation, including those of development programmes and projects? To what extent?
26. Is the MTPF being used by MSs for planning, monitoring, and improving UNIDO's corporate performance and transparency? To what extent?
27. Are MTPF and UNIDO's operations aligned with each other?
28. Does the IRPF operationalize the implementation of the MTPF?
29. Is MTPF embedded in UNIDO's organizational culture and processes? To what degree?
30. To what extent has the MTPF contribute to improved development results and organizational performance as outlined in tier 1 and 2 of the IRPF?
31. How effective has the MTPF been in integrating and scaling up? Is it helping UNIDO move away from a project-based to a strategic approach to its operations?
32. How effective are MTPF and IRPF as tools for monitoring and reporting for both internal and external stakeholders, including member states?

## Annex VII. Evaluation workplan

Tasks	Schedule	Evaluation Team				Total days %
		Responsibilities and workdays				
		Punit Arora	Urs Zollinger	Thuy Thu Le		
<b>Inception phase</b>						
Interaction with EIO/IED	Oct 2021	1	1	1	3	14 18%
Initial desk review of programme related documents and online sources		2	2	2	6	
Drafting inception report		2	2	1	5	
<b>Data collection phase</b>						
In-depth desk review and analysis of documents	Nov/Dec 2021	5	5	3	13	40 50%
Interviews, and focus group discussion		6	8	6	20	
Survey		4	2	1	7	

Data analysis and reporting phase						
Overall data analysis and reporting	Jan 2022	7	7	4	18	26 32%
Briefing of stakeholders of findings, including preparation (zoom meeting)	Jan 2022	1	1	1	3	
Revise and finalize evaluation report, based on feedback received; prepare summary	Jan/Feb 2022	2	2	1	5	
Total number of workdays		<b>30</b>	<b>30</b>	<b>20</b>	<b>80</b>	100 %
<b>Table: Evaluation Team</b>						

## Annex VIII. Terminology

### Terminology as understood for this evaluation

MTPF	Medium-term Programme Framework; UNIDO's most important strategic planning instrument
IRPF	Integrated Results and Performance Framework (IRPF); corporate long-term results framework; selected set of indicators regarding (a) the organization's contribution to development results and (b) organizational performance
Strategic planning	Setting the priorities for an organization's future. Priorities can be thematic priorities (WHAT and WHY), geographic priorities (WHERE), priorities regarding implementation modalities and partnerships (HOW and with WHOM), priorities regarding the use of human and financial resources (HOW)
Strategic change	Major shift in the organization's priorities
Strategic management	Function to establish and implement an organization's priorities (same as strategic steering)
Strategic decisions	Moments when an organization makes a major shift in priorities

## Annex 3: Online survey questionnaire of UNIDO staff

### 1. To what extent are you aware of the following strategic management tools used by the UNIDO?

	Not aware at all	Not aware	Somewhat aware	Highly aware
Medium-Term Programme Framework (MTPF)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Integrated Results and Performance Framework (IRPF)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Programme & Budgets (P&B)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Result-based budgeting (RBB)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 2. How engaged were you in the following aspects of the MTPFs?

	Not engaged at all	Not engaged	Somewhat engaged	Highly engaged
Design/ formulation of the MTPF for 2018-2021	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Design/ formulation of the MTPF for 2022-25	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring & reporting of the MTPF for 2018-2021	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### I. Your views on the MTPF design and formulation process

These first questions ask you about your views on the design of MTPF as a process. If you have no information on a specific item, please select N/A and move forward to the next item.

### 3. Please indicate your level of agreement or disagreement with each of the following statements about how the MTPF 2018-21 was designed.

	Disagree strongly	Disagree	Agree	Agree strongly	N/A
The overarching vision, objectives and targeted outcomes of the MTPF 2018-21 are clear to me.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The specific strategies and approaches being pursued to achieve the overarching vision, objectives and targeted outcomes of the MTPF 2018-21 are clear to me.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
When it was launched, the overall design of the current MTPF 2018-21 was what was needed, given UNIDO's organizational context at that time.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
MTPF 2018-21 was designed for promoting a more results-oriented organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4. Please indicate your level of agreement or disagreement with each of the following statements about how the **MTPF 2022-25** was designed to date with respect to their overall purpose and fit.

	Disagree strongly	Disagree	Agree	Agree strongly	N/A
The new MTPF 2022-2025 responds well to the current UNIDO context.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I personally participated in some form of consultation in the design of the MTPF 2022-25.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
UNIDO effectively engaged staff in the MTPF formulation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
External stakeholders were involved and their feedback considered.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The lessons learnt from the MTPF 2018-21 informed the design of MTPF 2022-25.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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## Implementation of the MTPF 2018-21

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5. To what extent did you use the **MTPF 2018-21** in your work?

	Almost never	Rarely	Sometimes	Frequently	N/A
Preparing new projects/ programmes/ work plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Implementation of existing projects/ programmes/ work plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Aligning your work with UNIDO's ISID agenda	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring results and contributions from your work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staff performance assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please elaborate on your ratings above:



6. How did the ongoing MTPF (2018-21) affect the following aspects of UNIDO's vision and planning?

	Highly negative	Negative	No affect	Positive	Highly positive
Provide a coherent vision and mission for the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provide a clear and consistent direction to the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Better address key development challenges related to the agenda 2030	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved strategic planning processes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased alignment of projects and activities with UNIDO's strategic goals	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased alignment of resources with UNIDO's strategic goals	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

7. How did the ongoing MTPF (2018-21) affect the following aspects of UNIDO's internal operations and functioning?

7. How did the ongoing MTPF (2018-21) affect the following aspects of UNIDO's internal operations and functioning?

	Highly negative	Negative	No affect	Positive	Highly positive
Streamline operations and processes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved coordination between various levels of the Organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved resource mobilization where needed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved resource management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Better reflect top priorities of member states	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved monitoring and reporting of organizational performance by UNIDO	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Strategic management and results-orientation at UNIDO

8. UNIDO has undertaken a number of strategic management initiatives, including MTPF, IRPF and Results-based budgeting, to improve its functioning. How have these initiatives, on the whole, affected the following aspect of UNIDO's functioning?

	Negative affect	No affect	Positive affect	N/A
Increased results-orientation in strategic planning processes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased results-orientation of UNIDO staff in their day-to-day work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased results-orientation in performance measurement and management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
More evidence-driven culture that values knowledge and organizational improvement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
More results-oriented organizational culture overall	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

9. How have these strategic initiatives affected UNIDO's strategic positioning and partnerships?

	Disagree strongly	Disagree	Agree	Agree strongly	N/A
UNIDO is better in responding to the needs of its Member States.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
UNIDO is better in engaging with its donors.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
UNIDO is better at collaboration with partners in the UN system and with other multilateral organizations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
UNIDO is more effectively managing its external partnerships with other constituents and stakeholders.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
UNIDO is better at focusing on its distinctive competitive advantages and mandates in its work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



## MTPF and Achievement of Results Targeted by UNIDO

10. To what extent have the MTPF 2018-21 (and related strategic initiatives such as IRPF and RBB that help operationalize it) helped UNIDO perform better in terms of the following aspects?

	Disagree strongly	Disagree	Agree	Agree strongly	N/A
Increased focus on sustainable industrialization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased effectiveness (results/impacts outlined in the MTPF)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased availability of human resources necessary for achieving the impacts being targeted	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The alignment between UNIDO's strategies and Member States' needs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased scaling up of results	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Increased financial resources necessary for achieving the impacts being targeted	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

11. Do you have any examples of concrete changes in UNIDO's internal operations or organizational culture that have resulted from these strategic initiatives? If so, kindly share these here, and please be as specific as possible.

*Note: These changes can be either positive or negative, and either an intended or unintended result due to these strategic initiatives.*

12. In your opinion, how likely is it that the **MTPF 2022-25** will help UNIDO achieve the intended results pertaining to its ISID agenda and industrialization-related SDGs?

Very unlikely  
  Unlikely  
  Likely  
  Very likely  
  Don't Know / No basis for judgment

13. What aspects of the MTPF, related processes and other strategic initiatives need to be improved to help UNIDO achieve its goals as best as possible?

## Background information

The data collected in this tool are strictly anonymous and confidential: only the evaluation team will have access to the survey data, and no one will be able to identify you individually. These background questions are necessary, however, so that we can:

- compare the feedback that different staff groupings provide (for example, headquarters, regional and country office staff), and
  - understand the profile of those responding to the survey so that we can take actions to improve response rates on an on-going basis and make any necessary adjustments to the data collected so that the data analysis process is as precise as possible.
- 

### \* 14. My post is located in:

- Headquarters
- Arab States
- Europe and Central Asia
- Other (Please specify):
- Africa
- Asia and the Pacific
- Latin America and the Caribbean

### 15. I work at:

- D-level
- P-level
- GS-level
- Other (Please specify)

### 16. I work in a(n)

- Senior management
- Middle management
- Operational/ technical roles
- Other (Please specify)

### 17. For how many years in total have you worked at UNIDO?



### 18. Which category best describes your gender?

- Female
- Male
- Other
- Prefer not to say



UNITED NATIONS  
INDUSTRIAL DEVELOPMENT ORGANIZATION

Further information:  
Office of Evaluation and Internal Oversight  
Independent Evaluation Division  
[evaluation@unido.org](mailto:evaluation@unido.org)  
<http://www.unido.org/evaluation>