



EVALUATION WORK PLAN AND BUDGET 2020-2021

**UPDATE 2021**

APPROVED by **Executive Board Decision EB/2021/5 (20-04-2021)**

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# EVALUATION WORK PLAN AND BUDGET 2021: UPDATE 2021

## Decision by the UNIDO Executive Board

As provided in the Charter of the Office of Evaluation and Internal Oversight<sup>1</sup> and in the UNIDO Evaluation Policy<sup>2</sup>, the Office of Evaluation and Internal Oversight (EIO) presented to the UNIDO Executive Board for its approval an updated evaluation work plan and provisional budget for 2021. The updated EIO evaluation work plan 2021 that shall be kept flexible and account for new areas of future evaluations was approved by the Executive Board in principle (ref. Decision EB/2021/5 (20-04-2021)) and is to discharge the mandate of the Office of Evaluation and Internal Oversight (EIO) evaluation function to:

1. Conduct strategic/thematic and country-level evaluations as detailed in this document to maximize learning, accountability and continuous improvement and to focus on the inclusive and sustainable industrial development agenda, as well as on the assessment of results and pathways at outcome and impact levels.
2. Ensure that mandatory project/programme evaluations are conducted and quality assured.
3. Mainstream issues related to contributions to inclusive and sustainable industrial development (ISID), and the operationalization and follow-up on the implementation of the sustainable development goals (SDGs), in particular SDG-9 and those to which UNIDO contributes directly.
4. Ensure evaluations pertain to core operations (e.g.: United Nations Development System reform: evaluate impact on field offices and Headquarters to improve policy design and to stay abreast with new developments)
5. Continue with joint activities with the United Nations Evaluation Group (UNEG) and other international cooperation agencies, and activities to build national evaluation capacity of UNIDO counterpart ministries; and enhance internal capacity-building
6. Enforce evaluation follow-up mechanism to enhance impact, maximize level of ownership, and create culture of quality. ODG/EIO in cooperation with relevant directorates and departments continuous
7. Implement the updated EIO evaluation work plan 2021 with a budget allocation of **euro 250,000 for 2021** as approved by the Executive Board.

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<sup>1</sup> UNIDO. (2020). Director General's Bulletin. Charter of the Office of Evaluation and Internal Oversight (DGB/2020/11, 11 December 2020)

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

## A. Introduction

1. The Evaluation Work Plan and provisional budget for the biennium 2020/2021 was presented to the Executive Board on 20 February 2020 and the work plan and budget for 2020 approved (EB/2020/1), shortly before the COVID-19 pandemic started affecting the role out of and working modalities related to UNIDO's planned activities.
2. In accordance with the Charter of the Office of Evaluation and Internal Oversight<sup>3</sup>, the EIO evaluation work plan and provisional budget for 2021 was presented to the Oversight Advisory Committee (OAC) during its 6<sup>th</sup> meeting that was conducted from 10 to 12 February 2021.
3. The biennial evaluation work plan and provisional budget 2020/2021 was developed on the basis of an evidence gap analysis and in consultation with senior UNIDO staff. In addition, proposals for evaluations were collected from within the Organization and from Member States' expressions made in briefings and policymaking meetings. The work plan (WP) at hand proposes strategic evaluations that are linked to UNIDO priorities, specific programmes and horizontal themes and/or that are of relevance to the core organizational functions and strategies.
4. The evaluation work plan **updated for 2021** is in line with the EIO Charter and the **EIO Strategy 2020-2024** and has been adjusted to the context of the ongoing Covid-19 pandemic. It is noted that EIO ensured that its evaluation activities continue to provide evidence-based information at strategic and project/programme levels.
5. The evaluation work plan and budget 2020/2021 continues to respond to the provisions of the Lima Declaration<sup>4</sup> and the Abu Dhabi Declaration<sup>5</sup> for UNIDO to report on results in achieving enhanced levels of inclusive and sustainable industrial development and on their development impact. It also provides that the UNIDO evaluation function further contributes to the relevant monitoring and evaluation mechanisms for the follow-up on the operationalization and implementation of ISID and, in particular, SDG-9 and those SDGs to which UNIDO contributes directly under the 2030 agenda.

## B. Status of EIO evaluation work plan for 2020

6. Despite the COVID 19-related restrictions, several of the evaluation activities planned for 2020 were implemented using mostly remote evaluation approaches. The three planned strategic evaluations: UNIDO formulation, appraisal and approval function, UNIDO Investment Technology Promotion Offices' Network, and UNIDO's Gender Policy and 2016-2019 Gender Strategy were implemented as planned, whereas the **country evaluation Kenya** had to be postponed along with the planned **training and capacity building for partners**. Sixteen mandatory **project evaluations** were finalized and ten new ones launched, all of which are currently ongoing.

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<sup>3</sup> UNIDO. (2020). Director General's Bulletin (DGB/2020/11, 11 December 2020), page 3, paragraph 13

<sup>4</sup> UNIDO. (2013). Lima Declaration: Towards inclusive and sustainable industrial development (adopted by the 15<sup>th</sup> session of the UNIDO General Conference, Lima, Peru, 2 December 2013)

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

EIO Evaluation work plan and budget for 2020/2021: Update 2021

Evaluation work plan for 2020	Status (as of end-March 2021)	Comments
<b>Strategic Evaluations</b>		
<ul style="list-style-type: none"> <li>Thematic evaluation: UNIDO formulation, appraisal and approval function</li> </ul>	Completed Report issued in 11/2020	Evaluation results were used to inform ongoing discussions on the reform of UNIDO's formulation, appraisal and approval processes
<ul style="list-style-type: none"> <li>Thematic evaluation: UNIDO Investment Technology Promotion Offices' Network</li> </ul>	Completed Report issued in 03/2021	This evaluation included an independent evaluation of ITPO Shanghai (Shanghai Investment Promotion Centre, SIPC) - the report was issued in 06/2020
<ul style="list-style-type: none"> <li>Thematic evaluation: UNIDO's Gender Policy and 2016-2019 Gender Strategy</li> </ul>	Under finalization	Evaluation started in 07/2020; delays were encountered due to a longer than expected data collection phase
<ul style="list-style-type: none"> <li>Thematic review from independent evaluations of UNIDO renewable energy projects</li> </ul>	Completed Report issued on 04/2021	
<ul style="list-style-type: none"> <li>One country-level evaluation (Kenya)</li> </ul>	Evaluation is on hold due to measures in place (incl. travel restrictions)	Possible roll out during the second semester of 2021, if the Covid-19 measures have been lifted and the local situation allows a conduct of this evaluation
<b>Project evaluations</b>		
<ul style="list-style-type: none"> <li>Mandatory project terminal and mid-term evaluations (incl. projects funded by the Global Environment Facility (GEF))</li> </ul>	<ul style="list-style-type: none"> <li>16 Project evaluations were finalized and published in 2020</li> <li>10 new project evaluations were launched within COVID travels restrictions (remotely and/or with national evaluators when possible) and are currently ongoing</li> <li>5 project evaluations were postponed in combination with project extensions</li> </ul>	Despite COVID-19 restrictions project evaluation work continued in line with measures put in place by the Organization and by EIO for evaluation; implementation of remote approaches in the conduct of evaluations contributed to learning and efficiencies.
<b>UN activities, evaluation support and capacity building</b>		
<ul style="list-style-type: none"> <li>Participation in UNEG (system-wide or joint UN evaluations) and other cooperation activities</li> </ul>	<ul style="list-style-type: none"> <li>Active participation in UNEG:                             <ul style="list-style-type: none"> <li>Evaluation experience exchange learning sessions</li> <li>Working Group on integration of environmental and social impacts in evaluation</li> <li>Co-management of the Joint Synthesis of Evaluations on food-security in the context of COVID-19 (together with FAO, WFP and IFAD)</li> </ul> </li> </ul>	UNEG activities were carried out in virtual formats, contributing thereby to broader participation and more efficient implementation
<ul style="list-style-type: none"> <li>Training and capacity building of partners</li> </ul>	Postponed to 2021 due to restrictions in response to COVID-19	

Evaluation work plan for 2020	Status (as of end-March 2021)	Comments
<ul style="list-style-type: none"> <li>• Aggregated products, development of evaluation methodologies, learning products</li> </ul>	<ul style="list-style-type: none"> <li>- Template: Terms of references: for Final self-evaluation of UNIDO country programmes</li> <li>- Ad-hoc support to projects mid-term reviews and self-evaluations conducted by project managers</li> </ul>	

## D. Updated EIO Evaluation work plan and schedule for 2021

7. For 2021, continuing COVID-19 restrictions are foreseen in connection with duty travels; and as a result of internal restructuring in EIO staffing, the work plan had to be adjusted with a focus on the most critical and high priority tasks.
8. The strategic evaluation of UNIDO's **medium-term programme framework (MTPF), 2018-2021** and the thematic evaluation of **UNIDO's capacity to contribute to transformational change** that are to assess a broader adoption, replication and long-term impact respectively, are going to be implemented in 2021.
9. Changes in the OECD/DAC evaluation criteria, an increased importance on theories of change approaches and internal organizational changes make a **comprehensive revision of evaluation guidance documents** necessary, which will be undertaken during the first semester of 2021.
10. Furthermore, a **modernization of the information and documents management systems**, including the systematic monitoring of follow up on evaluations (management response system, lessons learned data base) in EIO/IED has become necessary. This is for **increased uptake of evaluation results** through increased user friendliness and for **increased efficiency** due to the reduction of, and the in general limited staff resources available in EIO/IED. An internal project will be developed and implemented throughout 2021 that will introduce new software solutions and roll out the necessary training for staff.
11. A **virtual capacity building event for partners** will be developed for implementation during the second half of 2021.
12. Country evaluations are key activities to addressing country-level evidence gaps in relation to results and impacts from UNIDO over a longer period of time. Their alignment and contribution towards the achievement of the 2030 Agenda and the SDGs on ground are instrumental to provide strategic learning. Therefore, the **two country evaluations** (Kenya and P.R. China) will be kept on hold for a possible roll out during the second semester of 2021.
13. **Independent project/programme evaluations** will be continued as feasible. Once COVID-19 restrictions are lifted, a backlog of terminal project evaluations that had to be kept on hold or post-poned can be expected, which might require further adjustments in the work plan.

## i. Work plan for 2021

Evaluation plan for 2021	Comments
<ul style="list-style-type: none"> <li>Country-level evaluation <b>Kenya</b></li> </ul>	Carried over from 2020. <u>On hold.</u> Will depend on status of COVID-19 measures in place (e.g., travel restrictions, local situation). Reassessment of countries to be evaluated will be done in second half 2021.
<ul style="list-style-type: none"> <li>Country-level evaluation <b>P.R China</b></li> </ul>	<i>Ibid</i>
<ul style="list-style-type: none"> <li>Strategic evaluation: <b>UNIDO's medium-term programme framework (MTPF), 2018-2021</b></li> </ul>	Concept note shared with ODG/SPQ. Timeline being discussed.
<ul style="list-style-type: none"> <li>Strategic/thematic evaluation: <b>UNIDO's capacity to contribute to transformational change, broader adoption, replication and long term impact</b></li> </ul>	Planned to start on 1 <sup>st</sup> quarter 2021
<ul style="list-style-type: none"> <li>Training and capacity building of partners</li> </ul>	A virtual capacity building event for partners will be developed for implementation during the second half of 2021 Support to management on related training events for UNIDO staff (e.g., theory of change, RBM)
<ul style="list-style-type: none"> <li>Support to GEF and project evaluations as feasible due to continued Covid-19 restrictions; development of aggregated products, evaluation methodologies, learning products, participation in UNEG (system-wide or joint engagements) &amp; other cooperation activities</li> </ul>	+30 project evaluations foreseen to be implemented. Continued active participation in UNEG.
<b>NEW ACTIVITIES</b>	
<ul style="list-style-type: none"> <li>Comprehensive revision and development of new EIO evaluation guidance documents and tools;</li> <li>Self-assessment of the evaluation function</li> </ul>	Due to updated/changes in the OECD/ DAC evaluation criteria, and an increased importance of theories of change approaches; and to assess functional services.
<ul style="list-style-type: none"> <li>Modernization of the information and documents' management systems, including the systematic monitoring of follow up to EIO evaluations (management response system, evaluation recommendations' and management action plans (MAPs), and lessons learned data bases)</li> </ul>	This is to enhance increased uptake of evaluation results with more user-friendly web-based tools, thus enabling increased efficiency in the use of evaluation findings.
<ul style="list-style-type: none"> <li>Joint IED-IOD advisory engagement on lessons learned from COVID-19</li> </ul>	Under the leadership of the internal audit function, this advisory will take stock of lessons learned and knowledge generated from the global COVID-19 crisis
<b>CANCELLED</b>	
<ul style="list-style-type: none"> <li>Strategic evaluation: <b>The UNIDO Country programme framework</b></li> </ul>	Cancelled. This evaluation will be reconsidered under a future EIO evaluation work plan. Related evidence gap being addressed through supporting management to conduct CP self-evaluations. A CP framework independent evaluation could be conducted after a number of CP self-evaluations have been completed.

ii. Schedule for 2021

14. Based on the revised work plan for 2021, the evaluations and other tasks are scheduled as follows:

Task	Type	1 <sup>st</sup> Quarter			2 <sup>nd</sup> Quarter			3 <sup>rd</sup> Quarter			4 <sup>th</sup> Quarter		
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
<b>Country-level evaluations</b>													
Country Evaluation Kenya	Evaluation									●			●
Country Evaluation China	Evaluation									●			●
<b>Strategic evaluations</b>													
UNIDO's medium-term programme framework (MTPF) 2018-2021	Evaluation								●			●	
Desk Review: UNIDO RBM Framework					●		●						
UNIDO's capacity to contribute to transformational change, broader adoption, replication and long term impact	Evaluation					●							●
<b>Project/programme-level evaluations</b>													
Project/programme evaluations	Evaluation	←—————→											
<b>Training and capacity building</b>													
UNIDO staff training support	Training	←-----→											
Regional capacity dev. workshop on evaluation for partners	Training									●		●	
<b>Other tasks</b>													
TeamMate+ adaptation for evaluation support and TeamWorks						●		●					
Advisory on lessons learned from COVID-19	Advisory		●				●						
Review of policies and agreements (ad-hoc)	Advisory	←-----→											
OAC Secretariat	subst. support	←—————→											
Review of internal documentation and self-assessment of evaluation function	Quality Assurance			●			●						
Follow-up on recommendations and MAPs	Follow-up	←—————→											
Evidence gap assessment / Preparation of work plan/budget for 2022-2023	planning										●		●
<span style="color: green;">●</span> Commencement <span style="color: red;">●</span> Completion                     ←-----→ Based on management requests                     ←—————→ Continuous													

E. Advisory services

15. Formal advisory services (from evaluation function or jointly together with the internal audit function) will be continued, since they are usually requested from management and based upon a specific assignment on an ongoing basis.



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

## F. Complementary audit and evaluation engagement

17. Internal audit and evaluation are two distinct functions in the Office of Independent Evaluation and Internal Oversight (EIO). Both functions share commonalities that will form the basis for stronger synergies in the future. Complementary and/or joint assessments by both functions are intended to provide a more holistic and robust view on a subject matter assessed, and beyond what an audit and/or an independent evaluation can achieve on its own. While preserving the specific mandate of each function, the **COVID-19 lessons learned** will be undertaken as a **complementary joint engagement** with the audit team in the lead. It is understood that the differences in methodology (planning tools, observations/findings, reporting and publication, as well as follow-up and escalation procedures) will be considered and carefully planned before the launch of this joint engagement. EIO will explore best practices in the United Nations system and bring on board experiences of other organizations that have already undertaken complementary/joint engagements (i.e., UNDP and IAEA).

## G. Budget for Evaluation work plan for 2021

2021		Item-level budget for 2021 (in euro)	Overall budget for 2021 (in euro)
<b>Strategic Evaluations and Reviews</b>			<b>160,000</b>
• Country-level evaluation - Kenya	(with 2020 funds)	-	
• Country-level evaluation - P.R China		<b>60,000</b>	
• UNIDO's medium-term programme framework (MTPF), 2018-2021		<b>40,000</b>	
• Thematic evaluation: UNIDO's capacity to contribute to transformational change, broader adoption, replication and long term impact		<b>60,000</b>	
• Thematic Review: Lessons learned from COVID-19 (Jointly conducted with the EIO Internal Audit function)	(with 2020 funds)	-	
• Desk Review: UNIDO RBM Framework and alignment with P&Bs and MTPF	(with 2020 funds)	-	
<b>UN activities, Project/programme eval. support, and eval. capacity building</b>			<b>140,000</b>
• Evaluations support: GEF evaluations and project/programme evaluations' management, aggregated products, development of evaluation methodologies, learning products, participation in UNEG (system-wide and/or joint UN evaluations) and other cooperation activities		<b>90,000</b>	
• Management and support to PCP evaluations			
• Support to final self-evaluations of CPs			
• Evaluation of PCP Senegal	(funds from PCP Senegal)	-	

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<ul style="list-style-type: none"> <li>• Support to/involvement in relevant and strategic external evaluations, e.g. Evaluation of the EU cooperation with the United Nations; EU Pillar Assessment 2021</li> </ul>	(funded externally)	-	
<ul style="list-style-type: none"> <li>• Outreach activities:               <ul style="list-style-type: none"> <li>○ Training and capacity building of partners</li> </ul> </li> </ul>		<b>50,000</b>	
<b>Total amount requested for 2021</b>			<b>300,000</b>
<b>Total amount approved for 2021</b>			<b>250,000</b>

## **ANNEXES**

## Annex 1 – Reviewed (2021) - Evidence Gap &amp; Ranking of Strategic evaluations

Evaluation subject	Focus of the strategic evaluation	Ranking
UNIDO's project design, appraisal and approval process for technical cooperation through projects and programmes.	TOC and SWOT approach to analyze effects of design, appraisal and approval on results and performance. Benchmarking of related processes in UNIDO against other models (Complementary engagement with internal audit)	1
MTPF 2018-2021 (incl. monitoring, IRPF)	MTPF and IRPF effectiveness as RBM tools. Is UNIDO getting more results oriented using these tools?	1
UNIDO's capacity to contribute to transformational change, broader adoption, replication and large scale impact.	Portfolio review, case studies, TOC analysis Current interest of donor community and evaluation community; can feed into IRPF induced results orientation efforts and therefore be of direct use	1
Gender Policy	As per policy requirement: "progress in implementing this policy and the associated GEEW Strategies shall be monitored on a biennial basis by the Organization and independently evaluated on a regular basis"	1
UNIDO RBM Framework and alignment with P&Bs and MTPF	Focused review to assess the status of development/progress (diagnosis) of the RBM framework and its linkage with the current draft Programme and Budget 2022-23 and the MTPFs. Check consistency and alignment of current policies, their coherence, gaps, overlaps) (→demand from MSs, OAC)	1
One JOINT-UN System Wide country level and/or thematic evaluation.	To be coordinated with UNEG. The UN Reform process includes also the establishment of the UN system wide evaluation function. EIO will contribute to and benefit from a direct involvement through better evidence on UNIDO's system wide role and impact.	2
UNIDO Country Programmes (CPs) Framework	To understand the value addition and derive useful recommendations to be integrated with the PCPs Suggested by PTC MD for WP 2020/2021	2
UNIDO Industrial Development Report	Quality, "standing", reach. Scope: latest 3 IDR in depth. Comparative review of all IDRs. Clients' satisfaction survey. Peer review among renowned experts. Benchmarking against other agencies flagship publications. Interviews with staff and partners.	3
UNIDO Human Resource Management	Possible Joint exercise with audit: Evaluation focusing on benchmarking with other agencies and international organization; Audit focusing on compliance of existing policies Request expressed by delegations during the briefing to Member States' representative on evaluation activities (6 March 2019).	3
UNIDO Capacity Development	Assessing UNIDO's capacity development activities, including the UNIDO Institute and related training initiatives.	3

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Annex 2 – Evidence gap analysis and ranking of country evaluations

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

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