Independent Assessment

UNIDO Support programme for mainstreaming UN-system wide coherence and Delivering as One (DaO) (2014-2016)

UNIDO Project No.: 140084



UNIDO INDEPENDENT EVALUATION DIVISION

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This document has not been formally edited.

Contents

Introduction	5
Project Background	5
Assessment approach	7
Assessment findings	8
Conclusions and recommendations	10
Annex 1: List of persons contacted	13
Annex II: Final Evaluation of the "Support Programme for Mainstreaming UN System-Wide	
Coherence and DaO 2014-2016" Questionnaire to UNIDO representatives and national experts.	17
Annex III: UNCT member's survey	18
Annex IV: Counterpart survey	19

Introduction

The purpose of the independent assessment is to assess the performance of the "Support Programme for Mainstreaming UN-System wide coherence and Delivery as One" phase III (2014-2016) against its relevance and effectiveness, as well as its contribution to improving ownership/visibility of UNIDOs ISID activities at recipient country level and among UN country teams.

The assessment has been conducted by Mr. Mario Marchich, International Evaluation Consultant during the period end-September to end-November 2016; and managed by Ms. Müge Dolun, Evaluation Officer, UNIDO Independent Evaluation Division. The assessment was conducted through a desk review, as well as:

- Interviews with the staff of the UN System Wide Coherence, UN Coherence and DaO, EFR (Department of Regional Programmes and Field Representation)/RPF (External Relations and Field Representation)
- Detailed Questionnaires and follow-up with UNIDO Representatives and national consultants in the countries receiving support
- Survey of United Nations country team members
- Survey of Government Counterparts involved in ongoing and upcoming UNDAF/DaO processes.

Due to time and resource limitations prior to the submission of the 4th phase proposal to the UNIDO Executive Board, the scope of this evaluation has been limited to provide an analysis of the achievements of the project from the perspective of UNIDOs relevance and visibility as promoted by the Support Programme, as to enable the management to consider the prospects for the long term impact and sustainability.

Project Background

The participation in the DAO mechanism allows UNIDO to have better visibility in the UNDAF operations. The UNIDO General Conference in December 2007 outlined the need to continue the coordination and the promotion of UNIDO activities in the framework of the United Nations System-wide Coherence at regional and country levels. Subsequently in March 2008, UNIDO established the Office of the Senior Coordinator for the UN System Coherence within the Regional and Field Operations Branch to coordinate and strengthen its contribution to Delivering as One (DaO).

The support Programme started to be operational in July 2008 and presently it is at its third phase (2014-2016). The objective has always been to contribute to greater coherence, effectiveness and relevance of UNIDO within the UN development system of operations at country level, through a coordinated and effective participation within UN country teams and the UN Development Group as well as the One UN mechanism.

The current Support Programme was approved by the UNIDO Executive Board in August 2014. The approved budget was of Euro 769.500 (300.00 in 2014 and 469.500 in 2015), in addition XP (Regular Budget) funds of euro 657.625 valid till 30 November 2016 and SRA

(Special Resources for Africa) funds of euro 111.875 valid only till 31 December 2015. The completion date, according the original project document was foreseen for August 2016, but was later postponed to November 2016.

The objective of the project is to improve the impact of UNIDO services at the field level partnering with UN agencies to ensure greater UN contribution in integrated package of services, in the context of the UN reform on system-wide coherence at the country level. It shall as well enhance UNIDO's visibility for the promotion of ISID within the UN system through country level contribution in partnership building.

The cooperation activity of the Programme for mainstreaming the UN Wide Coherence and Developing as One is developed in two directions: at UNIDO Headquarters and in the field.

At the Headquarters with the Regional Divisions, identifying possibilities within the UNDAF programme and looking into jointly benefits that may derive to UNIDO from the feasibility of future projects.

In the field, the cooperation is developed in two ways:

- 1) Through the local representative of UNIDO when there is a field representation. In case there is no representation of UNIDO in the country, then the Chief of the Regional Division may write a letter to the UN Coordinator in the country, informing that the UNIDO desk officer or the selected expert/consultant is nominated as his/her representative in the area. In this way it becomes difficult for the UN Resident Coordinator to refuse the participation of this nominated UNIDO Representative at meetings when discussing possibilities and opportunities within the UNDAF programme or activities related to Developing as One. The difficulty to participate in these meetings has been reported to the Evaluation Team by several local UNIDO staff, in their answers to the questionnaires sent to them in the framework of this evaluation.
- 2) The other way of interaction at field level is contacting directly the local Government employees in the different ministries or institutions. In some countries UNIDO is not well known and this useful function of contact is performed by the UNIDO consultants or experts in the field, in order to stimulate the request for the support of UNIDO directly from the competent Ministry to the UN Resident Coordinator.

Internally in UNIDO, the cooperation between the Support Programme and the Regional Divisions look into appropriate opportunities and see whether some seed money may be utilized. In some cases, the recruitment of a consultant through the project supported the UNIDO participation in a large project of UNDAF linked to the UNIDO country programme implementation.

The above are all points supporting and increasing the UNIDO visibility inside the UN system at field level.

The support program is supporting some of the core functions of UNIDO at field level; as a result, it carries some features which are not identical to a regular TC project. Also, there is

a need to change the implicit perspective of the approach of TC project evaluation (which is reflected in the report).

It is an advocacy project to strengthen UNIDO integration within the UN system and empowering FOs to interact and coordinate with UNCT to promote joint UN programmes, fund mobilization for facilitating work with UNRC system in thematic programmes, through the provision of UNIDO inputs by FOs to UNRC's-to ensure UNIDO's work is reflected in UN reports.

The expected results were to strengthen the capacity of UNIDO field offices/desks through provision of financial resources, training and appropriate management tools. The resources were targeted towards incorporation of UNIDO interventions for Inclusive and Sustainable Industrial Development (ISID) within the Common Country Assessments (CCAs) and programmes, short term advisory services to disseminate industry-related knowledge, support continuous dialogue with UN Development Group bodies to further UNIDO's objectives in deliberations and operations, and finally raising awareness and visibility of UNIDOs mandate among other UN partners, donors and relevant government authorities. In addition to supporting UNIDOs engagement in UN country level processes, it was expected that the support programme would increase the project portfolio while promoting the UNIDO global forum function and contribute to funds mobilization. According to the information provided by the project management team, 27 UNIDO offices and desks have received support from the current phase as well as the offices of EFR/RFP. According to the "Assistance provided by the support programme in the field offices 2014-2016", €580,785 was expended until the time of the assessment.

Assessment approach

The independent assessment was conducted applying several methods:

- A desk review of the project document; the brochure "UNIDO in the United Nations System-wide Coherence and Delivering as One; the list of "Assistance provided by the Support Programme to the field offices 2014-2016" provided by the EFR/RPF/OD
- Interviews with the staff of UN System Wide Coherence, UN Coherence and DaO-EFR (Department of Regional Programmes and Field Representation)/RPF (External Relations and Field Representation)
- Questionnaire sent to the UNIDO Representatives and national experts in the 27 countries assisted by the project. (Annex II)
- Questionnaire to 26 members of the 10 UN Country teams, identified through UNIDO representatives (Annex III)
- Questionnaire to 17 Government counterparts /stakeholders identified through UNIDO representatives. (Annex IV)
- Briefing Note on Programme for UN system-wide coherence and UNDAFs/UNSDFs, provided by project team on 06/02/2017.

The main limitation was that due to time and resource limitations, the assessment is based on a limited number of responses/perceptions received from the UNIDO field staff, UNCT members and a limited number of government counterparts. The questionnaires had response rates of 51% for UNIDO representatives and national consultants, 37% for the

UNCT members and 25 % of the Government counterparts respectively. Field missions to selected countries to validate the information, and to assess other performance criteria such as the impact of the results obtained or likely to be achieved, has not been undertaken by the Evaluation Team.

Assessment findings

The UN General Assembly has endorsed the 2030 Agenda for Sustainable Development to respond to a number of significant global trends. The Agenda's core imperatives for the UN universality, equality, human rights and gender empowerment - have triggered a substantial change process across the UN, with calls for much greater collaboration within and across agencies supported by more alignment and cooperation across the human rights, peace and security, humanitarian and other development pillars. Delivering a joint UN programme helps to support and complement national plans, putting the strategic focus on areas where the UN has strong capabilities and a clear comparative advantage. Delivery as One places the UN's mission firmly at the centre of development assistance, enabling a vision of the future among local and national partners, co-designing a route to get there, and advancing international norms, standards, best practice and capacity building along that way.

That said, during the last 4-5 years several donors to the One UN Funds have been reducing or stopping their funding, as the competition among increasing number of development actors increase while financial crisis threaten many member states. Once the funds are provided by the donors, the ultimate responsibility to channel the funding to the implementing partners of different priorities of the Country Programme/ UNDAF relies on the UN Resident Coordinator. Due to this practice, it is important that UNIDO has continued presence to keep the contacts and participate in the common meetings and not to be excluded as an implementing partner in the operations.

Within this context, the Support Programme has contributed to UNIDO country and regional offices to participate in the UN country team programming activities, in some cases even to have a leading role in the industrial development and economic growth components of the UNDAF operations in the country concerned, also tapping into additional funding sources from other multi-donor/global trust funds. That said, the amount available for such support to the UNIDO field offices from the project to cover the list of DaO and UNDAF countries has been rather limited, averaging around 27.500 euro per country during the period 2014-2016. The 27 countries assisted have been distributed in all the geographical areas: Africa, Arab, Asia and Pacific, Europe and New Independent States, Latin America and Caribbean.

In terms of relevance of UNIDOs contribution to UNDAF/CCA/DaO processes, 9 out of 10 respondents to the UNCT members' survey, considered the UNIDO contribution under the Support Programme as relevant, and 1 out 10 rated it as highly relevant, commenting that UNIDOs participation was especially crucial in the formulation process in the areas of economic and productive development. All the respondents (4 out of 16 surveyed) of counterparts survey indicated that UNIDOs expertise and/or capacity in the delivery of technical industrial assistance and capacity building is locally recognized, while 3 considered that UNIDO has recognized advantage in giving specific advisory services in the area of

Inclusive and Sustainable Industrial Development (ISID), sometimes also offering direct assistance to enterprises enhancing their competitiveness. On the other hand, one respondent considered technical support for the design or formulation of bankable projects as a recognized capacity of UNIDO. In addition to its contribution to the support programme, UNIDO has offered 1.3 million USD as global contribution to the UNDG as of 2016.

In terms of effectiveness of UNIDOs activities within the context of the Support Programme to DaO, generally it is considered that UNIDO as Specialized Agency for Inclusive and Sustainable Industrial Development may offer a unique set of activities that tackle fostering competitiveness and innovation, resource efficient and cleaner production, development of clusters, industrial production and environmental management. UNIDO `s role at country level is estimated as very important and in some countries a stronger engagement is called for.

The Support Programme through its activities is contributing to some core functions of UNIDO at field level. For this reason the activities developed are not very much like a technical cooperation project, but they have more a political implication.

The role of the project is to offer advisory services, strengthening and assisting the integration of UNIDO within the UN system, empowering the Field Offices to interact with UNCTs to promote joint UN programmes and assuring fund mobilization for facilitating thematic programming issues. This assistance is offered by UNIDO to provide inputs through the Field Offices to the UN Resident Coordinators to promote the presence of UNIDO specific capacity in the UN reports and activities.

The government counterpart's survey also highlighted stakeholders wish that UNIDO should increase its publicity efforts. All government counterparts that were surveyed agreed that Sustainable Industrial Development and Industrial/ entrepreneurship skills development and training were the two areas where UNIDO should put more emphasis in its programming and visibility.

In terms of the project design and management, the current project document has 5 outputs, 25 output level indicators and 6 outcome level indicators which have not been used for monitoring. Most progress reports mentioned in the project document could not be easily retrieved for this assessment and the self-evaluations were not very substantive but used for administrative purposes (i.e. release of payments). The project has produced a useful brochure titled "UNIDO in the United Nations System-Wide Coherence and Delivering as One", which was intended to improve the visibility of the programme. Overall, the surveys of the UNCT members and government counterparts have shown that a more strategic promotion of UNIDO activities under thematic areas of ISID, energy and resource efficient production, might lead to better results for the Programme. In addition, the UNIDO staff and experts contacted in the field have expressed the opinion that better coordination with and within the Headquarters is necessary to facilitate the work in the field. Due to the limited funding available, it is difficult that each field office secures the presence of the UNIDO experts/staff to support the UNDAF/CCA processes.

UNIDO has been more active in the formulation and implementation of UNDAF in countries where there was the presence of the local representation and a strong activity portfolio. However, it is also mentioned that effective participation is often led by "individual

willingness" of the local representatives rather than by an established framework for joint implementation (Headquarters, regional and country level).

On the other hand, in Delivering as One countries where UNIDO has no office, it is hard to fully monitor the situation. UN agencies with country or regional offices are more successful when considering the number of projects, funds available, participation in UN Partnership for Sustainable Development, and collaboration with Government. It has been also mentioned that, the visibility of UNIDO would be higher if the national consultants would have the mandate to attend the regular donor's coordination group meetings, which is unfortunately not always the case. Sitting at the table with the other agencies may also offer not only increased visibility but also the possibility to tap additional financial sources. This situation also highlights the fact that the resources disbursed under the project employs national consultants (where UNIDO has Non-Resident Agency status) which enhances its visibility.

However, according to some field staff interviewed, this situation may also have a favorable aspect. Where it is not a resident agency, UNIDO is often the only agency particularly focused on industrial development, and it doesn't have a past record of failures that gives UNIDO a significant advantage and good reputation.

In the context of the UN reform processes, with strong support of its field offices and wise utilization of the limited own funds available, UNIDO can actively participate with the other agencies in the work plans of the respective countries. The focus has to be on areas where UNIDO has a clear comparative advantage thanks to the experience already acquired.

Conclusions and recommendations

For all the above mentioned reasons, it is important that UNIDO participates in the Support Programme and obtains more authority and visibility in programming the interventions. Only after a broad and inclusive consultative process with stakeholders and partners to ensure national ownership, the UN Country Teams (including non-resident agencies) and the government coordinating bodies prepare and agree on the Roadmap to support the achievement of the Sustainable Development Goals. Participating in the elaboration of the Roadmaps should draw on already existing, joint or collaborative UN frameworks and strategic partnerships. In this context, the Support Programme can help UNIDO country and regional offices to increase UNIDOs visibility and access to joint funds and programmes.

The amount assigned to the Field Offices by the Support Programme is decided jointly at UNIDO HQs with the Regional Divisions, taking into account the future possibilities for UNIDO in the country.

The selection of the countries to be assisted for DaO depends essentially whether the countries themselves are interested in the UNDAF participation. Alternatively, also upon request of the respective Governments, provided they know UNIDO and consider that UNIDO can help developing their industrialization efforts.

Of course, for this activity it is of paramount importance the contacts UNIDO staff can establish at the highest level with the civil servants of the country, to stimulate this request. According to the information provided to the Evaluation Team, 29 interventions have been provided by the Support Programme in the last biennium (2014-2016), including some participation in events related to common regional issues in Pacific Island countries, Central Asia region and general preparation of UNDAF joint programming.

All UNIDO Representatives and experts in the field have stated that the status of Resident or non-Resident agency has an impact on the perception of UNIDO by other UN agencies and national counterparts. Stronger the position and the human/financial resources of UNIDO in the field, stronger is its position within the UNDG.

Within this context, it is recommended for UNIDO that:

- Some of the financial resources from the Support Programme are utilized by the UNIDO field offices to organize more regular workshops and seminars to showcase UNIDOs mandate and to make sure that the related technical competences are understood by the local stakeholders and decision makers. Of course to execute these activities adequate financial resources will be necessary. It would be also advisable to promote the possibilities offered by the UNDAF inside UNIDO, by organizing in house meetings by regions, with the participation of the Support Programme and the respective regional Bureaus.
- For future phases of the project, it would be important for UNIDO EFR/RFP/OD to adhere more strictly to the project strategy as per the project document and to request periodic self-assessments regarding the activities of the Support Programme in each country.
- It is also recommended to keep the log-frame of the project more streamlined and in line with the actual outcomes/deliverables, so that the support from the Programme to Country and regional offices can be effectively monitored.
- The possibility to assigning additional funding to support the field offices should be investigated to further secure UNIDOs presence in the process of Delivering as One as well as visibility at large. Some funds should also be assigned to guarantee the effectiveness of the initiatives until they are handed over to the national entities to assure sustainability.
- It is necessary to integrate all UNIDO resources to participate with more impact in the UNDAF activities at events organized by UNCTs, which may result in increased visibility particularly at level of the developing countries, which frequently do not know the possibilities offered by UNIDO for ISID.
- It is necessary to ensure regular reporting. The reports from the field concerning the interventions made thanks to the assistance of the funds of the Support Programme should be periodical (at least twice per year) and should be addressed to the Office of the Director of the Department of Regional Programmes and Field Representation, External Relations and Field Representation, with copy to the Coordinator of UN

System Wide Coherence and to the Chief of the respectively competent Regional division.

- To avoid bottlenecks in the distribution of these reports an internal circular by the
 office of the DG or of the Director of EFR/RPF/OD should be prepared laying down
 the rules for the appropriate distribution and execution of the instructions to be
 followed.
- UNIDO senior management should consider resuming regular meetings of representatives from different divisions of the organization involved in the activities UNDAF to ensure better coordination and strategy development.

For UN Country Teams and DaO countries government counterparts, it is recommended that:

- Within the context of the Agenda 2030, it is clearly understood that the UN and all development partners should work more effectively together and by contributing to the UNDAF and DaO processes.
- The needs and strengths have to be adapted to the UNCT capacity required to support the development agenda, depending on where each agency can best add value vis a vis the other development partners.
- That said, delivering the Sustainable Development Goals in most of the cases cannot be achieved by the UN alone. The achievement of the SDGs will require the involvement and continuous engagement of the national constituents in the implementation of the activities. Therefore, the involvement of all the Agencies involved is very important and of mutual and common utility for all the parties.
- The UNDG should be asked to publish annually a report on how the money offered by agencies such as UNIDO as global contribution to the UNDG have been spent and for which countries.
- In the light of the above every action supporting activities for assistance to a sustainable industrialization is helpful for the development of the countries and for the visibility of UNIDO in the world of UN and of the technical assistance.

Annex 1: List of persons contacted

Name	Title	Country covered	E-mail
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Annex II: Final Evaluation of the "Support Programme for Mainstreaming UN System-Wide Coherence and DaO 2014-2016" Questionnaire to UNIDO representatives and national experts

- 1. What was your involvement with the UNDAF/DAO/ Common Country Assessment activities of UNIDO in the country(ies) you cover?
- 2. What do you think was the most relevant UNIDO input into the process?
- 3. What is your opinion of the usefulness of the support received through the project? Could the same results be achieved in its absence?
- 4. How was the support and coordination provided by the UNIDO office at HQ?
- 5. What is the process for assigning funds for the identified priorities?
- 6. Have there been requests that could not be covered by the project? What was the reason (e.g. lack of funds, lack of expertise etc.)
- 7. Has UNIDOs visibility among other agencies and governmental counterparts been increased thanks to this participation? What are good indicators to monitor awareness and visibility of UNIDOs mandate among UN partners and stakeholders?
- 8. Has there been an improvement in UNIDO accessing additional funds through Multi-Donor trust funds due to the participation of your office in the UNDAF activities?
- 9. Did you send a report at the end? To whom? What was the feedback?
- 10. Has there been a continuation of the initiatives/activities that were supported? In your opinion, how was the effectiveness and achievement of the results?
- 11. How do you think was the quality of the technical inputs provided by UNIDO?
- 12. In your experience, is there a difference in the perception of counterparts and UNCT members, about UNIDOs capacity to deliver in countries where UNIDO has Non-Resident Agency status versus those where there is representation?
- 13. Any suggestions for future operations and how to access further funding?

Annex III: UNCT member's survey

- 1. In your opinion, how relevant is UNIDOs Inclusive and Sustainable Industrial Development mandate as well as its contribution to the joint workplan for the local Government's agenda and the UNDAF programme?
- 2. How would you rate overall the quality of UNIDO inputs to the UNDAF/CCA/DaO?
- 3. How would you rate the timeliness and the efficiency of UNIDO inputs to the UNDAF/CCA/DaO?
- 4. How would you rate the effectiveness of your collaboration with UNIDO within the UNDAF/CCA/DaO processes and/or UNCT activities?
- 5. In which areas, is UNIDOs expertise and/or capacity locally recognized?
- 6. In which sectors do you think UNIDO has a significant contribution to make to UNDAF/CCA:

Resource efficient production, renewable energy and climate change
Inclusive Growth and Sustainable Livelihoods
Environment and Cleaner Production
Trade and investment
Industrial statistics and policy advice
Gender equality and women's empowerment

Annex IV: Counterpart survey

- 1. Do you know if UNIDO is currently participating or may participate in Delivering as One or UNDAF in your country?
- 2. Do you know if UNIDO is currently participating or may participate in Delivering as One or UNDAF in your country?
- 3. UNIDO is the organization of United Nations specialized in industrial development. Which are the sectors of UNIDOs intervention that you are aware of?

Sustainable industrial development
Energy efficiency and renewable energy
Environment and cleaner production
Agribusiness development
Trade and Investment promotion
Industrial/ entrepreneurship skills development and training
Other (please specify)

4. In your opinion, in which of these field could UNIDO increase its visibility and improve its assistance in your country?

Sustainable Industrial Development
Energy efficiency and renewable energy
Environment and Cleaner Production
Agribusiness development
Trade and Investment Promotion
Industrial/ entrepreneurship skills development and training
Other (please specify)