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UNITED NATIONS INDUSTRIAL DEVELOPMENT
ORGANIZATION

Evaluation Group

WORK PROGRAMME

FOR 2006/2007

28 February 2006

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Introduction

The present workprogramme and provisional budget of the Evaluation Group (EVG) covers the 2006/2007 biennium and serves two main purposes:

1. to provide a consolidated overview of EVG activities;
2. to substantiate the request for funding.

Most urgently funds from the UNIDO regular programme need to be allocated for the evaluation of the CSFs and IPs, as none of them include evaluation costs in their budget. The present document adopts the same procedure as applied in the two last biennia (2002/2003 and 2004/2005), by which the EB allocates an overall bi-annual budget from which PADs will be issued for each individual evaluation based on a specific request submitted by EVG to PCF/FRM.

The workprogramme includes the following EVG activities:

- Evaluations of UNIDO activities (CSFs and IPs, stand-alone projects, ITPO's and Global Forum activities);
- Meta-evaluations and learning support;
- Training of UNIDO staff;
- Participation of EVG in the UN Evaluation Group and in UN task forces.

The workprogramme reflects a gradual shift of EVG strategy towards more upstream work and provision of learning support to the organisation. This would require increased outsourcing of a number of field evaluations, hence additional financial resources for external consultants. Attachment 2 shows a tentative time schedule and attribution of EVG staff to the different tasks.

The workprogramme has been established by the following steps:

- preliminary assessment of programmes, projects and themes that would seem to require evaluation in 2006/2007 based on Infobase data;
- submission of a draft work plan to the Managing Directors of ADM; PCF and PTC (22 December 2005) and provision of feed-back from PCF and PTC (20 January 2006);
- discussion of open issues and definition of priorities and submission of the final draft of the work programme.

The following selection criteria laid down in the TC guidelines have been applied:

- IPs: above USD 1 million, remaining balance less than 35% of allotted funds, no evaluation carried out yet; or request by government or donors
- Projects: above USD 0.7 million; or request by government or donors

IPs and projects to be evaluated have been identified on the basis of information available as of end of January 2006. Due to the nature of the above selection criteria it is more than likely that additional projects will come up for evaluation during the biennium. This is already the case of an additional donor request for a project evaluation that has been communicated to EVG by end of February and for which the currently available financial and human resources are insufficient.

For the above reasons the present workprogramme and provisional budget will be subject to continuous updating. By the end of 2006 a revised consolidated budget for 2007 will be submitted.

1. Evaluations foreseen in 2006

1.1 Integrated Programmes and CSFs

Country	Remarks	Tentative dates
Ecuador	Requested by Ecuador	2 nd quarter
Kenya	Requested by Kenya (evaluation to be outsourced)	2 nd quarter
Algeria	The IP includes a project requiring evaluation before June 2006; to be evaluated in parallel with IP	2 nd quarter
CSF India	Requested by India. Evaluation to be combined with evaluation of three major projects that are connected to the CSF	3 rd quarter
CSF Egypt	UR will leave in September 2006 (evaluation to be outsourced)	3 rd quarter
Rwanda		4th quarter
TOTAL		

* Funds to be allocated by the EB, for details see under chapter 6.

1.2 Stand-alone TC projects

Country	Title	Remarks	Tentative dates	Funds
India	International Centre for Advancement of Manufacturing Technology (ICAMT)	Requested by India	1 st quarter	Available from project funds
Burkina Faso	Développement de la transformation industrielle et artisanale du coton	Requested by donor (Austria)	2 nd quarter	Available from project funds
Costa Rica	National Cleaner Production Centre (NCPC) in Costa Rica	Combined evaluation for three countries	4 th quarter	Available from project funds
El Salvador	National Cleaner Production Centre (NCPC) in El Salvador			
Guatemala	National Cleaner Production Centre (NCPC) in Guatemala			

1.3 Evaluations of Global Forum Activities

Title	Remarks	Tentative date	Funding
Public Goods for Economic Development	Evaluation obligatory (above threshold)	4 th quarter	No funds available from project budgets*
COMPID	Prodoc requires evaluation of impact on UNIDO GF and TC activities 1 year after project end		

* Funds to be allocated by the EB, for details see under chapter 6. For methodological and cost-efficiency reasons it is envisaged to conduct a comparative evaluation of both projects.

1.4 ITPOs

PAD	Title	Status	Donor	Tentative date	Funds
USGLO04120	ITPO Warsaw	99% spent.	Poland	To be determined	No funds available from project budgets. Funds to be allocated by the EB, see under chapter 6.
TFGLO03014	ITPO Marseille	89% spent.	France	To be determined	
USGLO04004	ITPO Paris	81% spent.			
USGLO04152	ITPO Bahrain	81% spent.	Bahrain	To be determined	
USGLO04100	ITPO Italy	81% spent.	Italy	To be determined	
USGLO04101		99% spent.			
TFGLO03A08	ITPO UK	72% spent.	United Kingdom	To be determined	
TFGLO03008		63% spent.			
USGLO04006	ITPO Walloon region	44% spent.	Walloon region	To be determined	

The ITPO line of action involves a substantial amount of funding and is of strategic importance for UNIDO. Previous evaluations of ITPOs and investment promotion activities raised concerns whether UNIDO's approach to investment promotion is still adequate to the changing international environment. The evaluation of the above ITPOs is therefore urgent and important with a view to drawing broader lessons for the organization.

Because no evaluation funds are available from the ITPO budget it is suggested to focus the evaluation on the two countries with the highest budget (Italy and France) and to combine the evaluation with a comparative review of the findings from previous evaluations in this area. Because of limited human resources of EVG this evaluation would be among those to be outsourced (see chapter 6 for the envisaged modalities).

1.5 Thematic and meta-evaluations

Thematic or meta-evaluations are one of the instruments by which EVG intends operating a gradual shift towards more upstream work and provision of learning support to UNIDO. These evaluations aim at recommendations to the UNIDO management on specific themes or horizontal issues of organisation-wide importance and follow a generic approach involving the preparation of a desk study based on existing evaluation results and external documents; interviews of UNIDO staff; the organisation of a peer review workshop at HQ; the establishment of a dissemination mechanism and the preparation of a printed publication (see the project sheet in attachment 1).

Theme	Remarks	Tentative date
Meta-evaluation of UNIDO Integrated Programmes and dissemination of lessons learned	This evaluation includes a peer-review workshop, a dissemination mechanism for lessons learned and a publication	2 nd to 4 th quarter

* Funds to be allocated by the EB, for details see under chapter 7.

2 Evaluations foreseen in 2007

2.1 Integrated Programmes and CSFs

Country	Remarks	Tentative date
CSF Russian Federation	Evaluation pending nomination of a new UR in Moscow (evaluation to be outsourced)	2007
Sudan	The IP includes a project that would require evaluation in June 2006	2007
Indonesia II	Evaluation to be outsourced	2007
Mali II		2007
Lao PDR II	Evaluation to be combined with evaluation of NCPCs in Laos and Cambodia	4 th quarter 2007
Cote d'Ivoire	Evaluation to be outsourced	2007
Ghana II		4 th quarter 2007
TOTAL		

* Funds to be allocated by the EB, for details see under chapter 6.

2.2 Stand-alone TC projects

Country	Title	Remarks	Tentative date	Budget
RAF, Africa wide	Implementation of the African Productive Capacity Initiative	Requires evaluability assessment; three phases (analysis; conferences; implementation) phase 2 underway; first implementation project about to be launched (UEMOA cotton)	2007	To be clarified*
RAF, Guinea, Mali, Senegal	Agro-Industries in West Africa - Upgrading Capabilities of Civil Society Organization	Requires evaluability assessment; status of this programme is not clear. Infobase shows expenditures of \$____; team leader only received \$____	2007	To be clarified*
Cambodia	Promotion of Cleaner Industrial Production in Kingdom of Cambodia	To be combined with evaluation of IP Laos	4 th quarter 2007	Available from project funds

*The budget for these evaluations will be specified in the revised budget for 2007 once the evaluability has been established.

2.3 Thematic and meta-evaluations

Theme	Remarks	Tentative date
To be defined	Will be defined in 2006 update of workprogramme	2 nd to 4 th quarter

* Funds to be allocated by the EB, for details see under chapter 6.

3 Projects evaluated by donors

A number of projects falling under the UNIDO criteria for obligatory evaluations have already been evaluated or are expected to be evaluated by donors or funding agencies. These projects will therefore not require additional evaluations by UNIDO.

Country	Title	Remarks
Global/India	Coal bed methane recovery and commercial utilization in India	GEF project
Global	Removal of Barriers to the Introduction of Cleaner Artisanal Gold Mining and Extraction Technologies	GEF project
RAF, Benin, Burkina Faso, Cote d'Ivoire, Guinea Bissau, Mali, Niger, Senegal, Togo	Programme de Mise en Place d'UN systeme d'accréditation, de Normalisation et de Promotion de la Qualite	Has been evaluated by the donor (EU) in 2005
RAF, Kenya and Tanzania	Product and Market Development for Sisal and Henequen	Funded under CFC; has been subject to mid-term evaluation by CFC but no final evaluation seems to be foreseen
RAF, Ghana and Nigeria	Industrial Development of Sorghum Malt and its Utilization in the Food Industries	Funded under CFC; mid-term evaluation by CFC underway (report due in January 2006)

4 Training and capacity building

This line of action would involve training activities in three areas (Logical Framework; Monitoring and Evaluation; and Results Based Management). The line of action would be managed by HRM with substantive support from EVG.

The following approach is envisaged:

- In-principle agreement of the EB to the approach;
- HRM and EVG submit a detailed planning and budget (estimation in chapter 6);
- HRM contracts three trainers, one for each of the above areas;
- The trainers will develop curricula as well as training material such as manuals, transparencies, case studies under the technical supervision of EVG (training material available with other UN agencies will be used);
- HRM will organize training seminars for HQ staff featuring interventions by the external trainers and EVG staff. Selected field staff could also participate depending on the availability of travel funds.

It is envisaged that this activity would also include on-the-job training by EVG staff of a limited number of URs through their active participation in field evaluations. The approach needs to be developed and fine-tuned in order to produce maximum learning effects while not affecting independence and credibility of the evaluations. It is planned to experiment the approach in 2006 for one pilot case and to extend the approach to a larger number of evaluations in 2007.

For budget details see chapter 6. It should be underlined that the feasibility of the above approach is subject to the availability of management capacity and funding from the UNIDO training budget.

5 Participation in UNEG and other UN working groups

In 2005 EVG played a leading role in the UN Evaluation Group and participated actively in the joint evaluation group of the GEF. Both activities are of strategic importance for UNIDO and contributed to strengthening the standing of UNIDO's evaluation function. The participation of EVG in UNEG and other UN working groups will be continued during the 2006-2007 biennium and adequate travel budget for UNEG staff should be foreseen.

6 Estimations of costs

6.1 Evaluations of Integrated programmes (EVG staff)

Item
International consultant (1.5 months of fees)
International consultant (DSA and travel)
UNIDO evaluator (DSA and travel)
National consultant (1.5 months of fees)
National consultant (DSA)
Transport and miscellaneous

6.2 Evaluations of Integrated programmes (outsourced)

Item
International consultant (team leader; 1.5 months of fees)
International consultant (team member; 1.5 months of fees)
International consultants (DSA and travel)
National consultant (1.5 months of fees)
National consultant (DSA)
Transport and miscellaneous

6.3 Evaluations of Country Service Frameworks (EVG staff)

Item
International consultant (2.0 months of fees)
International consultant (DSA and travel)
UNIDO evaluator (DSA and travel)

National consultant (2.0 months of fees)
National consultant (DSA)
Transport and miscellaneous

6.4 Evaluations of Country Service Frameworks (outsourced)

Item
International consultant (team leader; 2.0 months of fees)
International consultant (team member; 2.0 months of fees)
International consultants (DSA and travel)
National consultant (2.0 months of fees)
National consultant (DSA)
Transport and miscellaneous

6.5 Evaluations of ITPO's (outsourced)

As explained under chapter 1.4 it is foreseen to combine the evaluation of the three ITPOs in Italy and France with a review of previous evaluations of UNIDO investment promotion activities. This approach would allow drawing lessons of strategic importance for the organisation. The entire operation should be outsourced to a specialised consultancy subject to a call for tenders.

Item
International consultant (team leader; 1.2 month of fees)
International consultant (team member; 1.0 month of fees)
International consultants (DSA and travel)
Transport and miscellaneous

6.6 Evaluations of Global Forum projects

As a rule, projects falling under the UNIDO criteria for obligatory evaluations should include evaluation funds in their budgets. However, in practice this rule is often not respected. This is also the case of the Global Forum projects on 'Public Goods' for which evaluation is obligatory according to UNIDO rules and for the COMPID project. Because none of these two projects include evaluation funds it is requested to allocate funds from UNIDO regular programme for evaluation. For methodological reasons the evaluation of both projects would be conducted in a comparative fashion by EVG staff and one consultant. This approach would also be more cost-efficient because of economies of scale.

Item
International consultant (1.5 months of fees)
International consultant (DSA and travel)

6.7 Thematic or meta-evaluations

Thematic or meta-evaluations involve the preparation of a desk study based on available evaluation results; interviews of UNIDO staff; the organisation of a peer review workshop at HQ; the establishment of a dissemination mechanism and the preparation of a publication (see chapter 1.5 and attachment1).

Item
International consultant (1.5 months of fees)
Peer review workshop (fees, travel and DSA for 4 experts)
Publication

6.8 Training and capacity building

One month of international consultancy (including travel and DSA) for each of the three themes retained for training and capacity building (Logical Framework; Monitoring and Evaluation; and Results Based Management).

Item
International consultants (3.0 months of fees)
International consultants (DSA and travel)
Travel and DSA for two URs participating in on-the-job training
Total amount for training and capacity building (annual)

This budget will have to be borne from the UNIDO training budget.

6.9 Overall estimated budget

Activities in 2006
Evaluations of three IPs (EVG staff)
Evaluation of one IP (outsourced)
Evaluation of one CSF (EVG staff)
Evaluation of one CSF (outsourced)
Evaluation of one global forum project
One meta-evaluation
Combined evaluation of three ITPOs
Training and capacity building
Total amount for 2006
Activities in 2007
Evaluations of four IPs (EVG staff)
Evaluations of two IPs (outsourced)
Evaluation of one CSF (outsourced)
One meta-evaluation
Training and capacity building
Total amount for 2007
Total amount for biennium 2006/2007

Attachment 1: Project sheet for Meta Evaluation of IPs

Background

The new UNIDO management has expressed its firm commitment to a more proactive evaluation approach. By this approach evaluation should feed results more directly into the process of organizational learning by drawing conclusions from field evaluations beyond the concrete case at hand. The new draft evaluation policy of UNIDO is in line with this vision and puts clear emphasis on the learning and innovation aspects. Meta-evaluations as suggested here aim at extracting lessons learned of wider applicability from other more narrow evaluations, validate and disseminate these lessons and support the organization with adopting them.

Project strategy

To live up to this new evaluation approach, it is necessary to revisit the current practice of lesson learning in UNIDO both at the supply side (identification and formulation of lessons learned) as well as the demand side (use and uptake of lessons learned). The meta-evaluation would build upon on the 20 evaluations carried out so far of Integrated

Programmes. Based on the findings of this exercise, a number of mechanisms and tools would be developed and tested to enhance learning and innovation.

The envisaged approach includes the following steps:

- 1) screening and clustering of lessons learned from the 20 evaluations;
- 2) preparation of a draft issues paper;
- 3) presentation of results to UNIDO management and identification of, say, three priority themes; identification of UNIDO technical staff who are knowledgeable on the priority themes and UNIDO middle management would be responsible for implementing lessons learned in UNIDO;
- 4) in-depth analytical desk work on the priority themes using information sources from within and outside UNIDO and validating the results together with UNIDO technical staff;
- 5) a two-days workshop, involving EVG staff, evaluation consultants with UNIDO experience, renowned experts from outside UNIDO and UNIDO technical staff; the purpose of this workshop would be to:
 - identify those lessons learned in the priority fields with the highest potential for replicability and identify boundary conditions for replication;
 - discuss practical mechanisms and tools (e.g. focus groups, dynamic database, etc.) to introduce lessons learned into the different stages of the UNIDO project cycle and develop a concrete action plan for UNIDO to implement these lessons;
 - develop more general criteria for the identification, formulation and replicability assessment of lessons learned on the basis of the concrete cases. EVG would use these criteria further on to ensure impact of evaluations on organizational learning.
- 6) Support UNIDO middle management with launching the action plans;
- 7) Develop an IT tool on the UNIDO intranet for the dissemination of lessons learned.
- 8) Document the lessons learnt and the entire process in a printed publication for more widespread use and awareness building.

Project objectives

Overall objective:

Enhance the usefulness of evaluations as well as their impact on innovation and continuous improvement in UNIDO

Immediate objectives:

- Consolidate lessons learned from UNIDO projects and programmes and assess their replicability
- Establish a mechanism to promote the replication and the mainstreaming of lessons learned

Target groups:

- UNIDO management
- Project managers
- Team leaders

- Field staff

Outcomes:

- Improved identification and formulation of lessons learned
- Increased awareness of existing lessons learned (project managers and UNIDO management)
- Increased use of lessons learned
- Improved project design in terms of best practices and innovation

Outputs

- A report on consolidated lessons learned from UNIDO evaluations
- Design of a dynamic presentation of lessons learned in UNIDO's Infobase
- A reviewed tool for the identification and formulation of lessons learned
- A mechanism for assessing the replicability of lessons learned in UNIDO

Indicators:

- Number of references to lessons learned in project and programme documents¹
- Number of "hits" in the lessons learned section of Infobase
- Percentage of replicable lessons learned in all LL
- Number of information request in EVG from project managers

¹ Comment: no baseline exists for this indicator at present. To establish such a baseline would require additional work, which is not covered by this project. However, a simple monitoring by sampling project documents could be arranged for.

Attachment 2:

EVG Workprogramme 2006 (tentative)

	1	2	3	4	5	6	7	8	9	10	11	12
Meta Evaluations Meta-evaluation of UNIDO Integrated Programmes and dissemination of lessons learned			Draft paper DM/PL/JD			Workshop DM/PL/JD			Implementation DM/PL/JD		Publication	
Training and Capacity Building			Planning by HRM and EVG		Preparation of training material by consultants				Training	Training	Training	
Project and Global Forum Evaluations												
India (ICAMT)		JD										
Algeria (trade capacity)			PL									
Burkina Faso (Textile)				PL								
Central America (3 NCPCs)									outsourced/JD management			
Global Forum											DM/PL	
IP Evaluations												
Ecuador IP			JD									
Kenya IP (outsourced)			outsourced/PL management									
Algeria IP				PL								
Egypt CSF (outsourced)							outsourced					
India CSF							DM	JD				
Rwanda IP									PL			
ITPO Evaluations												
Italy and France (Rome, Paris, Marseille)			Call for tenders						Evaluation by consultancy			
UNEG												
Task force meetings			DM/PL									
GEF												
Task force meetings				JD				JD				
	1	2	3	4	5	6	7	8	9	10	11	12
	Missions											
	DM = Ms. Donatella Magliani											
	PL = Mr. Peter Loewe											
	JD = Mr. Johannes Dobinger											