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Independent Thematic Evaluation

UNIDO Field Office Performance

UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO EVALUATION GROUP

Independent Thematic Evaluation

UNIDO Field Office
Performance

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION
Vienna, 2013

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Abbreviations and Acronyms

AH	Allotment Holder
AID	Africa Industrialization Day
AMC	Programme Approval and Monitoring Committee
CCA	Common Country Assessment
CE	Country Evaluation
CO	UNIDO Country Office
CP	Country Programme
CSR	Corporate Social Responsibility
CTA	Chief Technical Advisor
DAC	Development Assistance Committee
DaO	Delivering as One
DFID	UK Department for International Development
DG	Director-General
DIM	Direct Implementation
ECA	Economic Commission for Africa
ERP	Enterprise Resource Planning
FLD	Field
FO	Field Office
FP	UNIDO Focal Point
FR	Field Representation
GEF	Global Environment Facility
GF	Global Forum
GS	General Service
HQ	Headquarter
HRMF	Human Resource Management Framework
HUO	Head of UNIDO Office
IDB	Industrial Development Board
IO	International Organization
IP	Integrated Programme
JWP	Joint Work Programme
LfA	Logical Framework Analysis
M&E	Monitoring and Evaluation
MD	Managing Director
MDG-F	Millennium Development Goals – Fund
MIS	Management information system
MoU	Memorandum of Understanding
MRU	Mano-River Union
NIS	Newly-Independent States
NPC	National Project Coordinator
NPO	National Project Officer
NO	National Officer

NRA	Non-Resident Agency
OECD	Organisation for Economic Co-operation and Development
PAD	Project Allotment Document
PM	UNIDO Project Manager
POPs	Persistent Organic Pollutants
PPC	Project and Programme Cycle
PTC	Programme Development and Technical Cooperation Division
Q&A	Questions and Answers
RB	Regular Budget
RBM	Results-based Management
RBWP	Results Based Work Plan
RO	UNIDO Regional Office
RSF	Regional Strategies and Field Operations Division
SA	Specialized Agency
SIDFA	Senior Industrial Development Field Advisor
SME	Small and Medium-sized Enterprises
SMTQ	Standards, Metrology, Testing and Quality
TC	Technical Cooperation
TCPR	Triennial Comprehensive Policy Review
TL	Team Leader
UCD	UNIDO Country Director
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDAP	United Nations Development Assistance Plan
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNGA	United Nations General Assembly
UNIDO	United Nations Industrial Development Organization
UR	UNIDO Representative
WB	World Bank
WG	Working Group
WP	Work Plan

Glossary of Evaluation Terms

Term	Definition
Baseline	The situation, prior to an intervention, against which progress can be assessed.
Effect	Intended or unintended change due directly or indirectly to an intervention.
Effectiveness	The extent to which the objectives of a development intervention were or are expected to be achieved.
Efficiency	A measure of how economically inputs (through activities) are converted into outputs.
Impact	Positive and negative, intended and non-intended, directly and indirectly, long term effects produced by a development intervention.
Indicator	Quantitative or qualitative factors that provide a means to measure the changes caused by an intervention.
Intervention	An external action to assist a national effort to achieve specific development goals.
Lessons learned	Generalizations based on evaluation experiences that abstract from specific to broader circumstances.
Logframe (logical framework approach)	Management tool used to guide the planning, implementation and evaluation of an intervention. System based on MBO (management by objectives) also called RBM (results based management) principles.
Outcomes	The achieved or likely effects of an intervention's outputs.
Outputs	The products in terms of physical and human capacities that result from an intervention.
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donor's policies.
Risks	Factors, normally outside the scope of an intervention, which may affect the achievement of an intervention's objectives.
Sustainability	The continuation of benefits from an intervention, after the development assistance has been completed
Target groups	The specific individuals or organizations for whose benefit an intervention is undertaken.

Executive Summary

Introduction and background

UNIDO is a UN specialized agency mandated to promote industrial development for poverty reduction, inclusive globalization and environmental sustainability. It provides policy advice, institutional capacity building and specialized technical support in three thematic priority areas, i.e., poverty reduction through productive activities, trade capacity building, and environment and energy, to 173 member states. As a specialized agency of the United Nations, it is guided by the policy orientations contained in United Nations General Assembly (UNGA) comprehensive policy reviews.

UNIDO's field representation has taken several forms. From 1967 to 1997, the Organization deployed Senior Industrial Development Field Advisors (SIDFAs) and later, UNIDO Country Directors (UCDs). Since 1998, UNIDO's field representation, designated as UNIDO Field Offices (FOs), has been fully financed from its regular and operational budgets, with some cost sharing or contributions by the host countries. Later on, budgetary constraints and the need to be physically present in an increasing number of countries prompted the establishment of a cost-effective modality and the "UNIDO Desk" was introduced in 2004 and in a UNIDO-UNDP Cooperation Agreement.

As a result, UNIDO's current field network includes 54 Field Offices (FOs), covering Africa, the Middle East, Asia & Pacific, Europe & Newly-Independent States (NIS) and Latin America & the Caribbean. The network encompasses 10 Regional Offices (ROs), 20 Country Offices (COs), 18 UNIDO Desks, 5 Focal Points (FPs) and 1 Centre for Regional Cooperation. In many other countries, though not physically present on the ground, UNIDO still implements projects.

The rationale behind FOs/Desks is to make UNIDO services more accessible to partner country stakeholders, while helping UNIDO itself to ensure that its services are well tailored to partner country needs and priorities. They are also intended to facilitate interaction with the UN country-level teams and bilateral and multilateral donors.

In November 2010, the management of the field network was shifted to Programme Development and Technical Cooperation Division (PTC) and in March 2011, the Regional Programme followed suit, basically to facilitate a full integration of the Project and Programme cycle.

In 2010, UNIDO initiated the evaluation of field office performance in order to assess to what extent FOs live up to their purposes and objectives. In 2012, at the request of the Director-General (D-G) the aspect of Regional Programme and FO integration into PTC, was added to the evaluation.

Methodology, objective and scope

The thematic evaluation was guided by a Field Office Generic Assessment Framework (Annex B) and builds on data from a Field Office Survey (sent electronically to 50 FOs[1], with a response rate of 80%), interviews at UNIDO headquarters, and UNIDO country evaluations (CEs) conducted in 2010/11 and for which field office assessments were integrated parts. The evaluation also gave consideration to past Integrated Programme (IP) evaluations, the Evaluation of the UNDP/UNIDO Cooperation Agreement (2009) and the Field Mobility Policy Evaluation of 2010. A 2012 staff survey, referred in the documents as the integration survey, moreover, collected information on integration issues.

The evaluation was conducted in 2011/2012 by Mr. Olav Hernar and Ms. Suman Lederer, independent evaluation consultants, in collaboration with Ms. Margareta de Goys, Director of the UNIDO Evaluation Group.

The main objective of the evaluation was to assess UNIDO Field Office performance. Data have been analyzed based on the OECD/ Development Assistance Committee (DAC) criteria of relevance, efficiency and effectiveness. Performance and results of FOs have been assessed in the context of their mandate and both with regard to UNIDO's technical assistance and global forum roles.

Main conclusions

Field Offices – overall

The FOs contribute significantly to the identification and formulation of UNIDO technical cooperation (TC) projects and programmes. They also provide valuable support to project/programme implementation but assuming more administrative than substantive functions. For 2011, it was estimated that 7.5 per cent of UNIDO technical cooperation was implemented by FO staff. The possibility to take over more direct responsibility for TC implementation (increased decentralization) was, however, questioned by many offices due to capacity constraints. There seems to be a mismatch of expectations on FOs and the resources available to them.

Practically all major FO-related findings and relevant recommendations from past evaluations and reviews have been addressed by the organization or are reflected in the ongoing reform process. This is an impressive endeavour. The potential for a "seamless organization" is large. The actions taken through the Enterprise Resource Planning (ERP)/SAP systems are expected to bridge current gaps and pave the way for more decentralized management and increased integration of FOs and thus make UNIDO a fully integrated Organization.

Although roles and functions of FOs are to a large extent clear and well understood, many FOs convey the need for more clarity. It is also noted that the perception of the function and role varies and a lack of

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[1] Excluding those where posts were vacant at the time of survey dissemination.

communication/coordination between FOs and HQ and/or FOs and RPs has been pointed out.

Relevance

The evaluation confirmed the relevance and utility of UNIDO's field representation. UNIDO is well known among Government partners and is found to be an appreciated partner with its competence and expertise valued. In many countries where UNIDO has an office, despite the relatively small resources available, the organization is highly visible. FO's contribution to funds mobilization was also apparent, though some FOs have been more successful than others. FOs are seen as instrumental in ensuring that UNIDO interventions are consistent with national needs and priorities and the high degree of national ownership of UNIDO's projects and programmes is an indication of this.

Effectiveness

The FOs participate actively in United Nations Country Teams (UNCTs) and contribute to joint Common Country Assessment (CCAs), One UN Programmes and United Nations Development Assistance Framework (UNDAFs) and are greatly contributing to UNIDO's visibility in the host countries. Many FOs have been instrumental in promoting the inclusion of UNIDO thematic areas and the more general theme of economic growth in One UN frameworks. However, UNIDO's visibility is not always translated into programmable terms and results at the country level. FOs equally contribute to global forum (GF) functions and conduct related activities at the national level. Often, however, the results of such activities are difficult to assess and the results dimension could be improved and GF activities more systematically reported on.

Though a majority of the FOs have developed Results-based Management (RBM)-based work plans, these have not been implemented or been consistently used as management tools and their usefulness is considered to be marginal.

With regard to project/programme identification and/or formulation, the involvement of the FOs varies from actively involved to zero involvement. Many Offices provide valuable assistance to Technical Cooperation (TC) delivery and implementation, though there remains a potential for higher involvement. At the level of Technical Cooperation (TC) management, FOs have limited authority and are only to a limited extent allotment holders. Also, there is, with some exceptions, marginal involvement of FOs in monitoring. Country-level reporting was found to be weak, irregular and not results oriented. There is often hesitance of Headquarter (HQ) professionals to delegate the management of projects/programmes to the FOs.

With regard to UNIDO desks, there seems to be a mismatch between their set of responsibilities and the limited resources made available for their fulfilment.

Efficiency

Considering the limited resources of many of the FOs and the many functions they carry out, FOs are cost effective. Within the resources at hand, the process

of decentralization has so far been successful and quantitative targets met; the UNIDO Field Mobility Policy was instrumental in this. Higher decentralization of TC project management without a decentralization of decision-making is, however, seen as a hurdle to effective project management. In many cases, there was no clear understanding on the division of roles and responsibilities at different levels (between FOs and HQ and between Chief Technical Advisors (CTAs)/National Project Coordinators (NPCs)/Centres and UNIDO Representatives (URs). Moreover, the role of the Regional Programme remains unclear as well as its mandate vis-à-vis the FOs. The introduction of the imprest account has been a positive experience and facilitated implementation.

The introduction of the UNIDO ERP system is expected to further strengthen UNIDO field presence and pave the way for more decentralized management, increased integration of FOs and make UNIDO a truly "seamless" Organization. At the same time, clear lines of command and reporting, especially between FOs and Headquarters and between UNIDO Representatives (URs) and UNIDO centres in the host countries, will have to be worked out for improved efficiency and effectiveness. Generally, the role of FOs in TC implementation needs to be further clarified and many evaluations call for a higher level of empowerment of the URs.

UNIDO decentralization targets have been met and the UNIDO field mobility policy was instrumental in this. Nevertheless, evaluations call for a further strengthening of the field network and for the creation of project management capacities or, at least, strengthened monitoring capacity. Both recommendations have human and financial resource implications. Evaluations also argue for increased authority of URs, in the design of country programmes.

Recommendations

The main recommendations of the evaluation are as follows:

- There should be more systematic backstopping of field offices and a field coordination function should be re-established
- Authority of URs should be enhanced with respect to:
  - design of country programme and clearance before submission of project/ programme documents to UNIDO's appraisal and approval bodies;
  - TC responsibilities at country level, including a reporting line of project managers/experts/consultants to URs
- FOs/URs should be authorised to sign some (straightforward) MoUs on their own, in consultation with HQ and keeping HQ informed.
- The RBM-work plan should be reintroduced but be designed to function as a management tool and used for results-based reporting. It should be reviewed and updated at regular intervals and able to feed into aggregated results systems of UNIDO and UN-wide.
- The FOs should make efforts to strengthen the GF function and to monitor and report on interventions and results. Further, an effort should be made to integrate GF interventions in the overall results framework of the organization.

- UNIDO should establish priorities with regard to UNIDO Desks' core functions, on a country-by-country basis.
- Structured and periodic (6-monthly) FO-level reporting should be re-introduced and feed-back on these reports provided by HQ. The reports should cover all countries of coverage and be results-based.
- Roles and responsibilities should be clearly defined:
  - between HQ and FOs;
  - for FOs, including a more focused strategic direction for ROs, COs and desks but adjusting the responsibilities to FO/Desk capacities and context
  - For BRP through the finalization of its ToR and in the forthcoming TC Guidelines;
- Project documents need to clearly specify the role of FOs in managing and monitoring projects and allocate appropriate budgets for related outputs and tasks.
- As to project management it is recommended that the role of the UR as a neutral liaison partner with UNIDO stakeholders at the country level be maintained. In cases where budget allotments or sub-allotments, for TC projects are allocated to FO staff, professional staff, other than UR's should be the allotment holder, with the exception of allotments for monitoring.
- UNIDO should strengthen the monitoring capacity of FOs. As this has human and financial resource implications, the creation of L-posts in the field, through the pooling of TC funding should be considered. Moreover, projects should allocate funding for monitoring by FOs and this should be reflected in project budgets and in activities and outputs. The TC Guidelines should provide guidance on appropriate budgets and other arrangements for monitoring.
- In order to further strengthen UNIDO's field presence and the authority of its FOs UNIDO should give increasing attention to mobilizing programmable resources that can be used for demand-oriented and field-based TC.
- The location of field offices should be reviewed and criteria developed for various levels of field presence. UNIDO should look into the possibility of streamlining the field presence into two categories of Field Offices; a) ROs with technical expertise in UNIDO strategic areas and b) HUOs. This would foster a professionalization of the field network and enable a wider presence and quicker ability to respond to short-term advisory or technical assistance needs while enabling budget reductions mandated by member states. International posts of country offices should be reassigned to regional offices.

1.

Introduction and background

The thematic evaluation of the Field Office Performance, included in the ODG/EVA Work Programme and approved by the UNIDO Executive Board was conducted between 2010 and 2012. The evaluation used the OECD/DAC criteria of relevance, efficiency and effectiveness. The objective of the evaluation was to assess UNIDO's FO performance. Performance and FOs were assessed in the context of their mandate and both with regard to UNIDO's technical assistance and global forum roles. The evaluation was conducted by Mr. Olav Hernar and Ms. Suman Lederer, independent evaluation consultants, in collaboration with Ms. Margareta de Goys, Director of the UNIDO Evaluation Group.

The thematic evaluation was guided by a Field Office Generic Assessment Framework (Annex B) and builds on data from a Field Office Survey (sent electronically to 50 FOs[2] with a response rate of 80%), interviews at UNIDO headquarters, and country evaluations (CEs) conducted in 2010/11 and for which field office assessments were integrated parts. The evaluation also gave consideration to past Integrated Programme (IP) evaluations, the Evaluation of the UNDP/UNIDO Cooperation Agreement (2009) and the Field Mobility Policy Evaluation (2010). In 2012, at the request of the Director-General (D-G) the aspect of Regional Programme and FO integration, into PTC, was added to the evaluation and feedback on these aspects collected through a staff survey, referred to as the integration survey in the report.

1.1. The Field Office network

UNIDO is a UN specialized agency mandated to promote industrial development for poverty reduction, inclusive globalization and environmental sustainability. It offers policy advice, institutional capacity building and specialized technical support in three thematic priority areas, i.e., poverty reduction through productive activities, trade capacity building, and environment and energy, to 173 member states. As a specialized agency of the United Nations, it is guided by the policy orientations contained in United Nations General Assembly (UNGA) comprehensive policy reviews.

UNIDO is a relatively small UN organization. It has, however, some form of field representation or field office (FO), in 54 countries and covers altogether 106 countries. In many countries, it is not physically present on the ground but still implements projects. In this regard, the 2007 Triennial Comprehensive Policy Review (TCPR) emphasized that programme countries should have access to and benefit from the full range of mandates and resources of the UN

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[2] Excluding those where posts were vacant at the time of survey dissemination.

development system, thus including from non-resident agencies (NRAs). The host government should be the one to determine which resident and non-resident UN organizations could best respond to the specific needs and priorities of the individual country, including, in the case of Non Resident Agenciess (NRAs), through hosting arrangements with resident organizations and the use of advanced information and communication technology, including knowledge management.

In his address to the 32nd session of the UNIDO Industrial Development Board (IDB), the UNIDO Director-General highlighted UNIDO's approach to reform including the following elements: a) Sharpening and aligning the focus of UNIDO's work to the internationally agreed development goals; b) Building and strengthening UNIDO's partnerships with United Nations and other organizations that have complementary mandates to achieve synergies and increase UNIDO's development impact; c) Continuously increasing the volume and improving the quality and efficiency of UNIDO's programme delivery; d) Strengthening and integrating the activities of UNIDO at country level in line with its new Field Mobility Policy and through innovative modalities such as the UNIDO Desks established in partnership with the United Nations Development Programme (UNDP); and e) Actively contributing to system-wide coherence through concerted and coordinated approaches at the global, regional and country levels. UNIDO's field representation has taken several forms over time. From 1967 to 1997, the Organization deployed Senior Industrial Development Field Advisors (SIDFAs) and later, UNIDO Country Directors (UCDs). In accordance with an agreement signed between UNIDO and United Nations Development Programme (UNDP) in April 1989, the UNDP Resident Representatives had the formal responsibility for representing UNIDO, while the SIDFAs/UCDs in their role as deputies, were responsible for the industrial sector of UNDP country programmes and acted as the senior advisers to local governments on industrial matters. In the early 1990s, UNDP's funding policies were changed, the effect of which was felt by UNIDO only from the mid-1990s. Since 1998, UNIDO's field representation, designated as UNIDO Field Offices (FOs), has been fully financed from its regular and operational budgets, with some cost sharing or contributions by the host countries.

In 2004, UNIDO's field network was reviewed upon the request of and in consultation with Member States, particularly through the Advisory Group on Decentralization which resulted in the Cooperation Agreement with UNDP (GC.11/Res.5) and the subsequent establishment of UNIDO Desks (UDs), also referred to as Head of UNIDO Offices (HUOs)as an innovative and cost-effective model for expanded field presence, complementing the existing network of FOs. Financial constraints of UNIDO and its need to be physically present in an increasing number of countries prompted the establishment of this modality. The development of the FOs (ROs, COs, UNIDO Desks) since 2004 is presented in the figure below.

Figure 1. UNIDO field units (2004 to 2011)
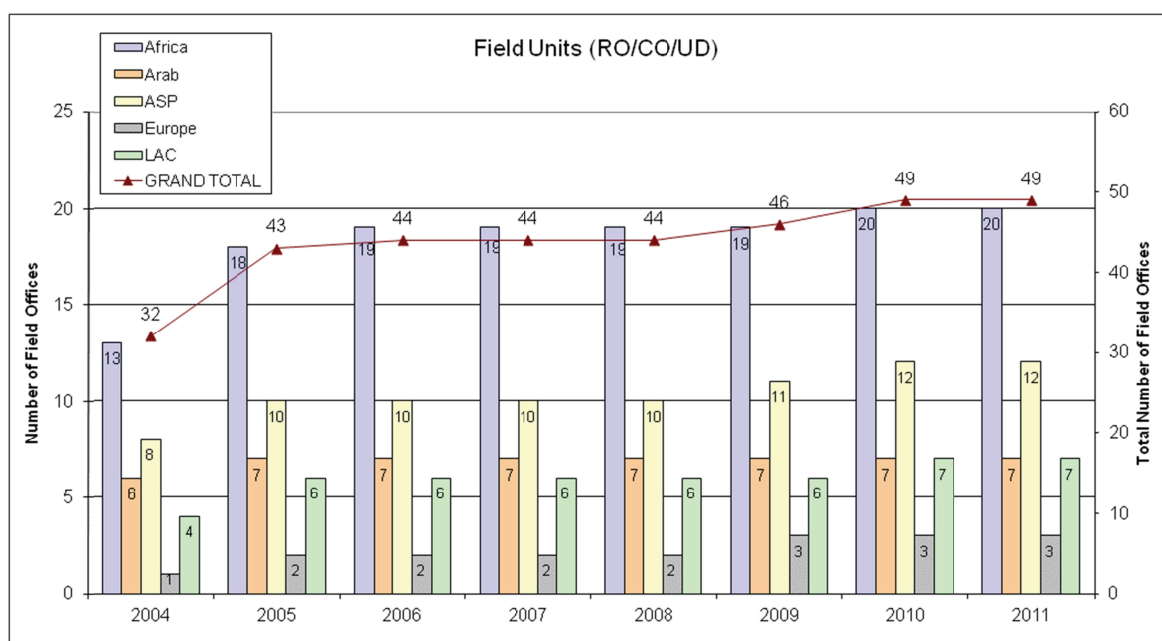
Source: UNIDO/PTC internal statistics

Presently, UNIDO's current field network includes 54 Field Offices (FOs) including UNIDO Focal Points (FPs), covering Africa, the Middle East, Asia & Pacific, Europe & Newly-Independent States (NIS) and Latin America & the Caribbean. The network encompasses 10 Regional Offices (ROs), 20 Country Offices (COs), 18 UNIDO Desks, 5 Focal Points and 1 Centre for Regional Cooperation. It has some sort of country presence in all DaO pilot countries except Albania. Despite a physical presence in Cape Verde, Mozambique and Rwanda, UNIDO is considered a Non-Resident Agency (NRA) because it is officially represented by the responsible ROs. An overview of the regional distribution of UNIDO FOs is provided in Table 1 below.

Table 1. Regional distribution of the UNIDO FOs

	Africa	Arab	Asia & Pacific	Europe and NIS	Latin America and the Caribbean	Total
Regional Offices	3	1	3		3	**10**
Country Offices	9	5	5		1	**20**
UNIDO Desks	8	1	4	2	3	**18**
Focal Points	1		1	2	1	**5**
Others				1		**1**
Total	**21**	**7**	**13**	**5**	**8**	**54**

Source: UNIDO internal statistics (April 2012[3])

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[3] Based on the List of UNIDO Field Offices provided by PTC/BRP/OD in June 2012.

Africa has the largest number of offices. For Sub-Saharan Africa about one fourth of the countries have a UNIDO field presence and many others are covered by offices in nearby countries. About 14 per cent of the Sub-Saharan countries are not covered by a FO. It is, however, evident that coverage by an office is not the same as a substantial involvement and it indirect coverage is much weaker than a direct one.

In November 2010, the management of the field network was shifted to PTC and in March 2011, the Regional Programme followed suit, basically to facilitate a full integration of the Project and Programme cycle.

The majority of UNIDO staff is still based at headquarters but staffing in the field has been continuously increased. Table 2 below provides information on the ratio of UNIDO staff at Headquarters (HQ) and in the field (FLD). The target of expanding UNIDO's field presence has been met to a great extent and both the Field Mobility Policy and the establishment of the UNIDO Desks were instrumental in this. According to the field Mobility Evaluation international staff, in the field, increased from 24 in 2005 to 38, by the end of 2009. In addition to the staff resources indicated below there is also a substantial number of experts on L-posts and national consultants working at Field Offices and considered as part of the staff.

Table 2. HQ / FIELD Staff at UNIDO (exclusive Building Management Service (BMS)

Total Staff	International P-Staff	National Officers
HQ 77 %	HQ 82 %	
FLD 23 %	FLD 18 %	FLD 25 persons

Source: UNIDO internal statistics

It is clear from the following figure that staffing at FOs, at P as well as G-level, has been considerably enhanced since 2004.

Figure 2. Field staff (P/GS) per Biennium

FIELD Staff: P and GS Posts per Biennium
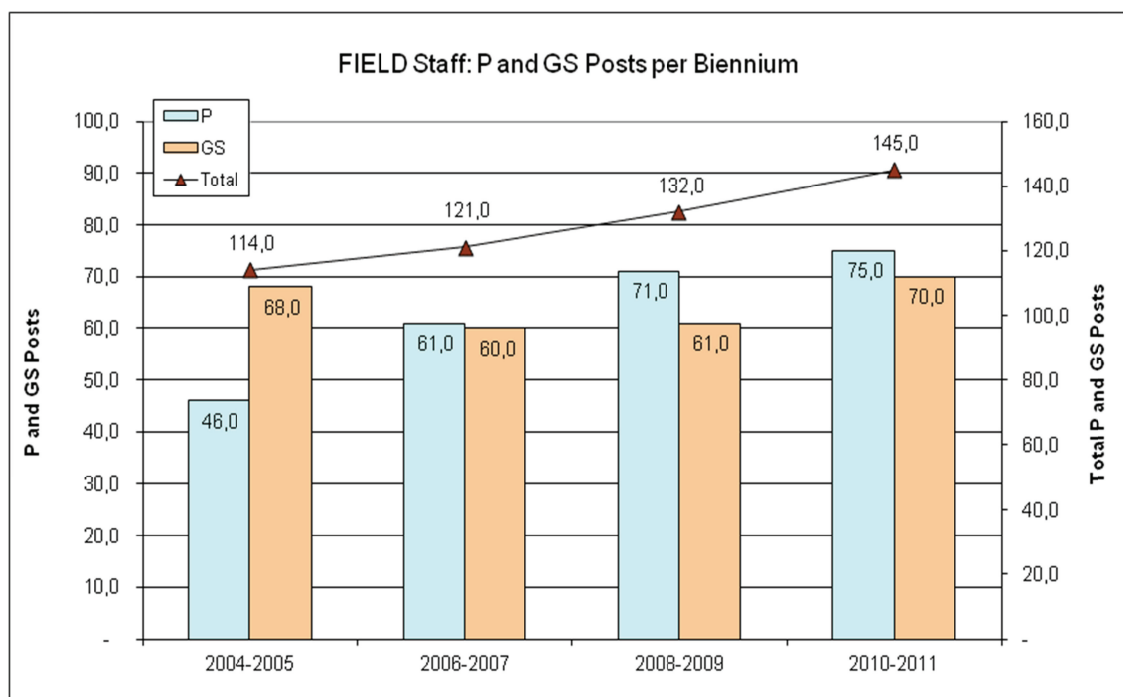
Source: PTC/OMD

The gradual expansion of UNIDO's field organization reflects changes within the UN-system towards closer cooperation at the country level as well as a more general shift towards decentralized management and decision-making. FOs, including desks, are intended to make UNIDO more accessible to partner country clients and stakeholders, while helping UNIDO to ensure that its services are well tailored to partner country needs and priorities. They are also intended to facilitate interaction with the UN country-level teams and bilateral and multilateral donors. Field presence is regarded as a precondition for efficient participation in joint United Nations Country Team (UNCT) planning and programming, and is normally required for leading a joint UN programme initiative. In some cases, it is also a requirement of donors.

More specifically, UNIDO's field network assumes representational, managerial, and technical cooperation roles and responsibilities. The representational functions relate mainly to developing and maintaining relations with relevant public and private actors, including government institutions, private sector entities, the academic community, non-governmental organizations and the media. It also entails, in most cases, full participation and involvement in the UNCT and coordinates with international and regional development agencies, financing institutions and donors. In the area of technical cooperation, field entities are engaged in the formulation of programmes and projects, including those promoted by UNCTs and through UNDAFs, and related resource mobilization. They are also increasingly involved in the implementation and monitoring of TC projects within their respective country or countries of coverage.

FOs, moreover, assume Global Forum[4] functions. This can entail disseminating information on industrial development trends and issues as well as designing and organizing specific UNIDO GF events.

1.2. Expanding functions of the UNIDO field network

With the ongoing United Nations system-wide coherence process and Delivering as One (DaO) initiatives, active participation in the UNCTs and the United Nations Development Assistance Frameworks (UNDAFs) has become increasingly important for programme development and implementation and beyond the eight One United Nations (One UN) pilot countries. Specifically, country presence is instrumental for UNIDO when participating in country-based joint programming initiatives, as increasingly required by a number of governments and donors. Although country presence is usually not a formal requirement to access specific multilateral funds, a de facto country presence facilitates participation in UNCT planning activities and is formally required for leading a joint programme.

Results from the enlarged field network, in the form of the establishment of UNIDO Desks manned by national professionals have averred positive and UNIDO has been able to participate closely in UNCT planning activities, for instance in the elaboration of joint programmes, and it has been found to facilitate the implementation of its programmes/projects. It has also contributed to an increase of UNIDO's technical cooperation (TC) delivery by 20 to 70 per cent, in Jordan, the Lao People's Democratic Republic and Nicaragua. Furthermore, UNIDO's presence in Mozambique, Pakistan, Rwanda, the United Republic of Tanzania, Uruguay and Viet Nam has been instrumental for its participation in the One UN pilot exercises and enabled the local UNCTs to select UNIDO as a lead agency in the implementation of sub-programmes related to economic development and environmental sustainability.

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[4] With the introduction of SAP, the following definitions of GF activities/services have been provided:
- Convening services - Global conferences, e.g. Ministerial Conference for LDCs, Global and Regional Green Industry Conferences
- Normative services - Expert Group Meetings on various industrial development challenges, particularly with the aim of setting global standards
- Analytical and advisory services - Industrial development reports, industrial statistics, national and regional industrial policy advice

In line with the above, GF interventions can be described as having informative, advocacy and normative functions.

2.

Evaluation approach, methods, data and analytical framework

UNIDO decided to commission an independent thematic evaluation of field office performance in 2010. A Field Office Generic Assessment Framework and related Matrix were developed to guide the evaluation and are attached as Annexes B and C. The Generic Assessment Framework presented the responsibilities of the FOs according to functional areas and outcome variables. This evaluation is structured along the same lines and also links the framework to FO objectives, specifically to those stated in the RBM-based work plans.

Three evaluation criteria were used:
- Relevance
- Effectiveness
- Efficiency

The criteria are defined much the same way as in the OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management, but contextualized to fit the evaluation purpose.

The thematic evaluation uses the above mentioned framework and builds on data from a Field Office Survey, an evaluation of the UNDP/UNIDO Cooperation Agreement and country evaluations (CEs) conducted in 2010/11. The latter were partly participatory as they included self-assessments, incorporating FO performance issues. The evaluation also gave consideration to past Integrated Programme (IP) evaluations and the Field Mobility Policy Evaluation. Moreover, it draws on interviews at HQ (Annex E provides a list of people consulted) for the purpose of analysing organizational topics of strategy formulation, monitoring and evaluation, decentralization and coordination. This evaluation did not include specific field visits but rather perused documents from within UNIDO and outside, and relied on data from primary CEs, including self assessments. A list of documents consulted can be found in Annex D.

The Field Office Survey was carried out in 2011. The survey was based on the Generic Assessment Framework, and provided an important input to the evaluation. It, moreover, provided an insight into activities carried out by the FOs as well as issues and challenges faced by them. The survey was sent electronically to 50 FOs[5], including Regional Offices (ROs), Country Offices (COs), UNIDO Desks and UNIDO Focal Points (FPs). A response rate of 80% was achieved and considered as highly adequate for reliable analysis. In order to best capture the essence of FO work, the questionnaire mainly encompassed

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[5] Excluding those where posts were vacant at the time of survey dissemination.

open-ended questions. The terms Field Office (FO) and Field Representation (FR) were used interchangeably. Further information on respondents, response rates and scope are referred to in Chapter 4. The full survey report (including information on survey instrument and results) can be found in Annex A.

A second survey was conducted at the end of 2012, targeting all URs and HUOs as well as all Directors and Unit Chiefs in PTC. The purpose of the latter survey was to assess the results of the integration of Regional Programmes (RPs) and Field Offices (FOs) in PTC. The survey questionnaire is found in Annex F. 55 out of 71 persons invited to participate in the survey fully completed it.

There are thus a range of evaluations and other information sources pertaining to UNIDO's FO system. Performance and results of FOs have been assessed in the context of their mandate and with regard to UNIDO's technical assistance and global forum, roles. The evaluation findings were generated from the triangulation of data in order to enhance the validity and reliability of the results.

In summary, sources of information include:

1. Interviews at UNIDO headquarters, Vienna[6];
2. Document review – a detailed list of documents consulted is provided in Annex D;
3. Country Evaluations carried out in 2010/2011;
4. Field Office Survey, October 2011;
5. Survey on PTC integration, December 2012.

The Evaluation Matrix is summarized below:

Evaluation Issue	Functional Area	Related FO Work Plan Outcome Variable
Relevance	Entire FO service package	Outcome 2: Responsiveness of UNIDO to national and regional priorities
Relevance		Outcome 3: Effective participation in UN initiatives at country level including UNDAF, PRSP-related support, UNDG, One UN, etc.
Effectiveness	Enhanced UNIDO visibility and better knowledge about UNIDO in the country	Outcome 1: UNIDO visibility enhanced at global, regional, and country levels
Effectiveness	Advisory services to the national government and other national stakeholders Input to UNIDO TC project and programme development Contribution to TC resource mobilization	Outcome 2: Responsiveness of UNIDO to national and regional priorities

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[6] See Annex E to review the list of interviewees.

	Contribution to UNIDO country analysis function through liaising with stakeholders and reporting on country developments	Outcome 2: Responsiveness of UNIDO to national and regional priorities
Effectiveness	Contribution to the UNCT and joint initiatives through the UNCT Contribution to UNIDO participation in joint UN country-level initiatives (CCA, UNDAF, Delivering as One, etc.) and in PRSP	Outcome 3: Effective participation in UN initiatives at country level including UNDAF, PRSP, UNDG, One UN, etc.
Effectiveness	Contribution to UNIDO Global Forum activities	Outcome 4: Promoting Global Forum activities with direct link to UNIDO priorities and to the potential increase of UNIDO portfolio in the region and worldwide
Effectiveness	Management and support to implementation of ongoing TC initiatives Monitoring of TC projects and programmes	Outcome 5: Effective management of technical cooperation activities and UNIDO office
Overall Effectiveness	Entire FO service package	All work plan outputs and outcomes
Efficiency	For the entire FO work programme as well as for each function separately as appropriate	Outcome 5: Effective management of technical cooperation activities and UNIDO office

3.

Ongoing reforms

3.1. Field office reform, restructuring and decentralization process

The largest restructuring in the last few years, with bearing on FOs, pertains to the restructuring of Programme Development and Technical Cooperation Division (PTC) and Regional Strategies and Field Operations Division (RSF) that took place in 2010/11. The overall objective of this field reform and restructuring process was to strengthen the country presence of UNIDO, increase the visibility and impact of the organization at country and regional levels, and to establish a "seamless" organization with regard to horizontal and vertical networks and knowledge management. The ongoing reform processes encompassing its field structure, strategy and functions has a high momentum and many reforms have been initiated.

It is a key finding of this evaluation that almost all major findings and relevant recommendations from evaluations and reviews have been taken on by UNIDO management. This is an impressive endeavour. However, there is also a concern that reforms will be challenged by sub-optimal coordination, that monitoring information may not be aggregated and used for decision-making at the most relevant levels and that key monitoring functions are not yet in place. The latter relates to the existence and proper use of baselines, benchmarks and consolidated results-based reporting. On the other hand, the introduction, in 2012, of Key Performance Indicators (KPIs) and results-based budgeting have been important steps towards a results-based management system.

The new Enterprise Resource Planning (ERP) and SAP systems are, furthermore, changing administrative procedures and streamlining Technical Cooperation (TC) management. Moreover, it is making the field and HQ more equal players when it comes to TC management.

The SAP system currently introduced will create a platform where staff at HQ and in the field will have equal access to information, thus responding to the decentralization, knowledge sharing and information exchange agendas and country level evaluation recommendations, calling for further decentralization, equal and quick access to information, enhanced authority for FOs and URs, and stronger FO/UR role in management and monitoring.

Moreover, project preparation/implementation/monitoring is intended to be standardized, fast, transparent and easily traceable (on-line workflow) with the distinction HQ/field losing its significance. Furthermore, enhanced interaction between the field and Regional Programmes on substantive and relationship

management related matters is being aimed at. With SAP implementation, increased delivery by the field will be facilitated.

Other recommendations have resource implications and are still to be implemented, such as administrative capacities (including human resources) of FOs to be strengthened and an increased role of the field in substantial TC implementation and monitoring. However, steps are being taken to authorise greater autonomy of the FOs and UNIDO Desks and the latter is being piloted in Mozambique and Sierra Leone.

Future functions of FOs in TC Management have been defined as follows[7]:

Identification	- Stakeholder dialogue - Needs assessment - Formulation of project concepts
Formulation	- Full programme formulation in an increasing number of cases - Support to project formulation at HQ (data, consultations, etc)
Implementation	- URs to become PMs for most country projects - FO's with growing role in implementation
Monitoring	- Strong new role in on site progress monitoring in all countries of coverage
Reporting	- UR as leader of Country Programme Team (CPT) in charge of reporting all CP activities and reporting results to recipients and donors (CP management plan as main tool)

At the same time, the view that UR's should not be allotment holders or project managers in order to perform a neutral broker function is also prominent within UNIDO. Another field –related AH issue, presently discussed, is whether or not National Officers (NOs) should become AHs. Of course, the role of the field in implementing projects will remain small if project management functions will not be delegated to HUOs and NOs but there are also management concerns.

3.2. Results and challenges in relation to decentralization

Based on past evaluations and interviewees, results and acknowledged challenges include:

1. With the current resources at hand, the process of decentralization has been successful as concerns quantitative targets for human resource deployment, including staff with technical competence.

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[7] Wilfried Luetkenhorst, Board of Directors, 2 November 2010. Partner for Prosperity. "Field Reform: Decentralization and Delegation of Authority – UNIDOs unfinished agenda".

2. Decentralization of budgetary allocations is according to targets, FO staff are increasingly assuming roles of Project Managers and field delivery has been encouraged and constantly increasing and encouraged as shown in the below figure.

Figure 3. TC delivery

Comparison	2010 Delivery 2011 Delivery 2012 Forecast	PTC Totals	US Dollars	OCT 2012
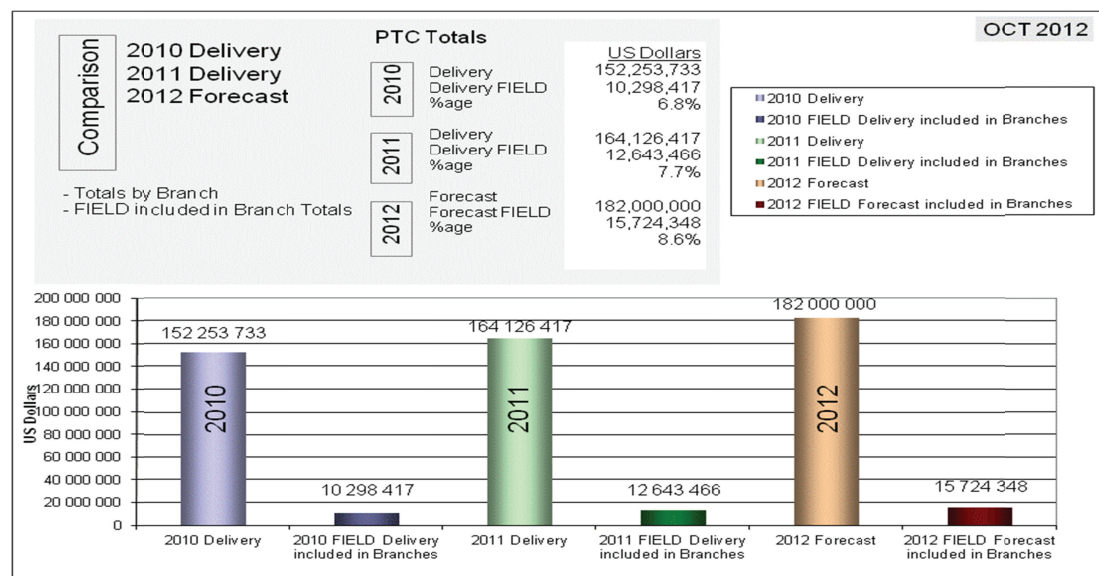
Source: PTC internal statistics

3. The process of "full integration of PTC and FOs" is ongoing, but key monitoring information and monitoring mechanisms are still not in place which makes it difficult to assess progress.

4. Delegation and decentralization are not only about systems and procedures, but also about culture and attitudes. There is still a need, in UNIDO, for changing the mentality of seeing HQ as the centre. The planning framework is not fully set to promote and facilitate a country or cluster driven programme development. There are centralizing elements working against a bottom-up, country- and demand-driven planning process.

5. The optimal balance between the two core functions (TC and GF) is still being sought. Promoting global policies, priorities and norms definitely has a legitimate role to play even in a decentralized system, but having global programmes determining budget lines and actions, seem to work against a country focused holistic programme approach, where programming takes place in a national/regional context. And, as will be presented below, the TC and GF roles and their synergies and connectivity to Field, HQ and other networks, are not always clear or fully thought through.

6. Interviews at HQ and the two surveys indicate that there is a wide discrepancy in what people feel is the difference between HQ and the field, and that there is no unified opinion of what the challenges are. It is

underlined that current reforms have reviewed options and solutions. The actions taken on reform, i.e. the SAP introduction, are supposed to bridge many of the current gaps. The perceived systemic misalignment of incentives between HQ/FO and a sub-optimal utilization of resources were expected to be partly resolved by integrating the field into PTC.

7. Interviewees at HQ pointed out that although the field network implements 7.5% of TC, the number of employees at FOs stands at 23%, indicating a possible potential for increased decentralization. At the same time, interviewees at HQ sometimes reveal a certain scepticism against a deeper involvement of FO staff in TC implementation due to lack of technical expertise or cumbersome administration while FOs mention capacity gaps. The FO Survey revealed huge variations in the work load and roles of FOs (i.e. diplomatic role; UN coordination role; identification of projects). Examples of highly performing offices are, however, evident. For example, the India office managed about 3,000 payments per year for an amount of USD 3 million.

8. Two mechanism to connect the increasing number of technical personnel in the field with the full Programme and Project Cycle were introduced:

   1.   The SAP
   2.   The Joint Compacts

As mentioned above, presently, SAP is being introduced and indications are that the system will facilitate further decentralization to the field.
The Joint Compacts promoted collaboration between FO and PTC staff. The initiative was completed by February 2011 by "the joint work programme"[8]. According to interviewees, it brought a lot of enthusiasm. Unfortunately, it was not followed up and collapsed. A monitoring unit for the compact was on paper and on the organizational chart, but was never realized.

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[8] After the integration of the field network in PTC, Global meetings of the URs took place in November 2010 and 2011 – PTC/OMD.

4.

Field office functions

4.1. Technical cooperation and Global Forum roles

The specialised agencies of the UN were established as focal points for intergovernmental deliberations and negotiations on common international issues in their respective areas. Member States designed them for the purpose of collecting and disseminating information linked to the setting of international standards and rules. Increasingly, they came to be seen as "centres of excellence", initiating and organizing international research efforts and campaigns. As such, they have also been important sources of information and advice for developing countries. This has often been referred to as the normative function, i.e., providing an instrument for agreement on norms, standards and recommendations for the furthering of the common good. In the case of UNIDO, it is referred to as the Global Forum (GF) function. The specialized agencies, including UNIDO, have increasingly become more involved in the execution of technical assistance projects in developing countries and this can be described as their operational function. In the case of UNIDO, it is the dominating function, which was also reflected by the FO responses, as indicated in Table 3 below.

Whereas the Technical Cooperation (TC) mandate is well-defined and presented in the Programme and Budget and the Medium Term Programme Framework as well as in various programme and project documents aligned to these frameworks, and often have distinct objectives and accompanying indicators, the GF function is vaguer and often not elaborated in strategy, guidance or policy documents. Moreover, often there are no articulated objectives beyond the output level, or specific resources, including budgetary ones, directly allocated to it.

Furthermore, and related to the above-mentioned absence of results frameworks for GF, there is usually no monitoring or evaluation of these activities with a resulting low level of information on results.

A report by the Director-General on GF activities to the twenty-third session of the IDB (IDB.23/9) provides the following definition:

> *Global forum functions are those which are initiated by UNIDO (or the United Nations system) to exchange and disseminate knowledge and information, as well as facilitate partnerships, producing an output "without a pre-identified client, which increases understanding of sustainable industrial development and solutions"*

According to the same document, GF activities are all concerned with knowledge enhancement and are numerous and heterogeneous in nature.

UNIDO thus performs dual roles of providing technical cooperation services and GF functions. The GF function is performed both as distinct activities and as part of technical cooperation. Often, however, the dividing line is not clear-cut since the GF function can be an integrated part and guide technical cooperation and vice versa. As such, the two functions reinforce each other.

The absence of results frameworks for GF however, enables little monitoring of these activities with a resulting low level of information on results. It is however realized that sustainable industrial issues must be tackled in a holistic manner and that advocacy, research and knowledge management and dissemination must be integrated parts of UNIDO's work and the organization devotes considerable resources to all these areas.

In practice, this means that for any organization to be successful in its GF-role under the specialized agency mandate, it needs action on the ground to pilot new technologies or approaches, substantiate research and establish credibility and authority. Subsequently, it positions the agency to combine the generally successful "downstream" TC implementation with the normative/standard-setting "GF" role directed "upstream" towards policy makers, to feed into national policies and strategies. Generally, no development intervention theory is robust, unless it is derived from the field of practice. Amongst the Specialized Agencies, UNIDO is one of the strongest on technical cooperation. With its current FO structure, UNIDO is well positioned to concert the two main roles of its mandate and not the least by mobilizing FO staff.

The FO Survey was a major information source for the evaluation and provides insights into roles performed by the FOs as well as outstanding issues and challenges faced by them. The survey questionnaire included in Annex A, takes departure from the Generic Assessment Framework. It was internet (web) based and sent electronically to 50 FOs, including ROs, COs, UNIDO Desks and FPs but excluding those offices where there were no professional staff at the time of the launch of the survey. Within the given timeframe of four weeks, a response rate of 80% was achieved (40 complete responses[9]) and considered highly adequate for the analysis. To best capture the essence of the FO work, the majority of the questions were open-ended. The terms Field Office (FO) and Field Representation (FR) were used interchangeably. Below follows a summary of the major findings stemming from the survey.

The Survey identifies GF as one activity out of twelve and that on average 4.5 per cent is spent on this activity. However, according to UNIDO's definition, the GF also encompasses partnerships and networks, interaction with other organizations, active participation in UN activities, enhancement of knowledge about UNIDO and normative and analytical services, thus the actual GF coverage is larger. Some of the CEs point to GF activities as being the weakest function of the FOs, except Vietnam which was seen as actively promoting the GF function. They also reiterate that the promotion of GF activities could be reinforced.

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[9] FRs in Ethiopia, Nigeria, South Africa, Sierra Leone, Zimbabwe, Togo, Afghanistan, Sri Lanka, Ukraine, and Cuba did not respond to, or responded to but did not complete, the survey.

In this regard, it is interesting to note that some member states and donors have emphasized that UNIDO should increasingly exploit its large normative and standard-setting potential that has been set in the context of UN reform efforts. Suggestions from FOs (through the FO Survey), evaluations and interviews bring forth means to do this, and the report includes suggestions on how to combine the two functions in a more balanced manner.

The FO Survey, moreover, enabled a comparison on actual time spent on various functions and their prioritization by FOs:

Table 3. Percentage of time spent on different tasks in the biennium 2010/2011

	Average	Minimum	Maximum
Contribution to identification and formulation of new UNIDO TC projects/programmes	16	5	50
Project implementation	12	0	45
Project/Programme monitoring	9	0	25
Contribution to funds mobilization	10	3	25
Represent UNIDO among national stakeholders, as appropriate	9	2	20
Discussions with, and/or advisory services to, government	6	0	16
Enhance knowledge about UNIDO amongst national stakeholders in the host country	7	2	20
Promote and facilitate Global Forum activities	5	0	20
Interaction with the private sector	5	0	10
Interaction with other International Organizations	6	0	15
Participation in CCAs/UNDAF and DaO mechanisms	9	1	20
Dealing with (ad hoc) requests from HQ	6	0	20

Source: FO Survey, October 2011.

As can be seen, UNIDO FOs carry out various activities within the framework of their defined responsibilities. These tasks, and the time spent on these, vary, however, from one country to the other. This difference is projected in the minimum and maximum time spent on each of the above-mentioned tasks respectively (see Table 3). The top-3 activities with highest average time spent are 'contribution to identification and formulation of new UNIDO TC projects/programmes', 'project implementation' and 'contribution to funds mobilization'; the top-3 activities ranked according to their importance are 'contribution to identification and formulation of new UNIDO TC projects/programmes', 'represent UNIDO among national stakeholders, as appropriate' and 'contribution to funds mobilization'.

Table 4. Ranking of importance of FOs functions (1 being the "most important" and 12 the "least important")

	Ranking	Lowest given ranking	Highest given ranking
Contribution to identification and formulation of new UNIDO TC projects/programmes	1	10	1
Project implementation	7	12	1
Project/Programme monitoring	6	12	1
Contribution to funds mobilization	3	11	1
Represent UNIDO among national stakeholders, as appropriate	2	12	1
Discussions with, and/or advisory services to, government	5	12	1
Enhance knowledge about UNIDO amongst national stakeholders in the host country	4	11	1
Promote and facilitate Global Forum activities	11	12	2
Interaction with the private sector	9	12	1
Interaction with other International Organizations	10	12	1
Participation in CCAs/UNDAF and DaO mechanisms	8	12	1
Dealing with (ad hoc) requests from HQ	12	12	2

Source: FO Survey, October 2011.

FOs thus ranked the tasks in order of importance and the ranking in Table 4 above is based on the average ranks ascribed by FOs to each activity. Similar to average time spent on each activity, the ranking of activities also varies from one FO to the other. This is reflected in the difference between the lowest and highest rankings attributed to the individual activities. For example, considering the activity 'Represent UNIDO among national stakeholders, as appropriate', it ranks second when the average of all the FOs together is considered; however, and at the same time, it has been ranked as the least important activity by at least one FO, and at the same time as the most important activity by one or more FO(s).

Comparing the average time spent on them with their average ranking according to importance, a few cases stand out, because the average time spent on each activity respectively is not in conformity with its corresponding average ranking. For example, in the biennium 2010-2011, the FOs have spent on an average 12% (second-highest) of their time on project implementation, its corresponding average rank, however, is 7. 'Participation in CCAs/UNDAF and DaO mechanisms' takes up the fifth-highest average time of the FOs, its ranking being 8. Such cases may call for a re-setting of priorities (time spent in conformity with its ranking) and for reflection and discussion on what the FOs main functions should be. It is important to note that although these are average figures and

need not reflect the individual case of each FO, it could be a good tool for priority setting.

Finally, the wide variance between FOs, both as concerns time spent, and priority given, may also be an indication of highly differentiated planning environments and organizational contexts, and may in fact mirror effective "programming on the ground". It may also be an indication of existing fundamental differences of opinion of which key roles a FO should play. However, current data cannot substantiate such assumptions. It should also be mentioned that FOs play a role in facilitating missions of HQ staff to the countries of coverage. In this respect an uneven work burden was noticed. Some countries, for instance, Vietnam seem more popular and are subject to many (50 in a given year) visits of HQ staff whereas others seem to be under-covered and where examples of projects never having been visited by AHs were pointed out in country evaluations.

In general, FOs participate in UNCTs, CCAs and UNDAFs. They are active members in various corresponding working groups, such as "wealth creation and poverty reduction", "economic growth", "employment", and in some countries represent UNIDO as the lead agency in the respective working group.

A majority of the FOs conveyed that they carried out and/or participated in country needs' assessment/country analysis/programming exercise.
Many FOs contribute (indirectly) to TC project and country programme development by sharing relevant host-country information with the project managers (PM), such as, identification of potential projects and opportunities, development of programme ideas and stakeholders' capacity and gap analysis. Some of them also provide the PMs with information on local industrial development trends. In view of capacity constraints, many FOs do not wish any further decentralization, unless their (human) capacity is enhanced at the same time. Reactions on the use of Agresso and the introduction of imprest accounts were on the whole positive, though in some cases, this also increased the administrative burden. Further training was requested in a number of cases.

Coming back to the dual function, most FOs assume a combination of GF and TC functions and often in conjunction. The Viet Nam CE (2012) displays a wide practice of normative/technical cooperation combinations:

"Due to the rather policy driven structure of UNIDO's project portfolio in Viet Nam, which also includes elements of policy benchmarking and international expertise, the dichotomy between "Technical Assistance" and "Global Forum" is less pronounced than in many other countries. International meetings and study tours have been integrated in many projects (POPs; CSR; SME clusters). Several Government interlocutors of the evaluation mission mentioned the high profile and international experience of the UNIDO Representatives in Viet Nam and their capability to provide international value added to the internal policy debate".

The Mozambique CE (2011), on the other hand, identifies a programming lacuna by not combining "downstream" and "upstream" activities:

> *"In spite of high relevance of most projects, UNIDO was not present in some important issues in Mozambique, including the building of capacities to assess the potential risks of foreign investment in industrial projects and better negotiate with investors; public-private partnerships (negotiation, evaluation, lessons learned, and policy development); and value chains, especially the formulation, implementation of policies and programmes for value chains".*

According to the FO Survey, the most widely-practiced activity of the FOs to contribute to GF activities is organizing, and/or participating in, various events such as workshops, seminars, conferences, presentations and round tables. Moreover, many engage in dialogues with the national government, private sector, donor community, think-tanks and/or partner agencies; some of them also provide policy advice at the national level and to local authorities. Some FOs contribute to UNIDO's advocacy function by sharing UNIDO publications like 'Making It' with national stakeholders and publishing UNIDO-related articles in the press.

According to HQ interviews, donors take different stands on UNIDO's TC and GF function. Some donors, notably some "Northern" ones emphasize the importance of the normative/standard-setting role, whereas others incline to primarily support technical cooperation. Also PTC staff members attach different levels of priority to the GF mandate.

UNIDO's FO operations, captured by management systems such as RBM and LFA, embrace the full range of a specialized agency, but are predominantly organized around technical cooperation. Evaluations, as earlier mentioned, prove that the GF role is successfully played in many countries, but, is, at the same time, underreported and untapped. Evaluations point to the success of UNIDO, in many instances, in areas of standard setting and policy advice.

Interviews revealed that while support in the so-called "soft" areas may well be a big comparative advantage of UNIDO, being the main international organization active within its core mandate, these areas may be the most difficult against which to assess results. The experience of a number of development cooperation agencies, applying a results-based approach, has shown that, unless guarded against, there could be a tendency for country operations to focus more explicitly on more easily quantifiable initiatives, including those related to resource mobilization.

4.2. TC Implementation and monitoring

According to the two surveys, in relation to TC implementation, FOs are more involved in administrative than substantial tasks. At times, their role is not clearly defined leading to ambiguities. Many FOs do not "push" for more substantial involvement due to limited staff capacity. Some URs argue that this could also lead to conflicts of interests and to favoring "own projects" and that UR's should rather be neutral brokers with no vested interest in resource allocations. The level

of involvement of FOs in monitoring is limited with the majority stating the wish to become (more) involved. A few offices have taken a pro-active approach to monitoring.

The CEs arrived at the same conclusion – the role of the FOs in monitoring seemed to be rather limited and although projects can be technically complex, for most projects, there was a potential for FOs to become engaged. The CE Mozambique (2011) pointed out that one of the weakest functions was monitoring of TC projects. Moreover, for several projects, the absence or weakness of monitoring systems affected the ability to have adequate information about the implementation of project activities. In India, there was room for more results-based monitoring. In South Africa, there was no clear mandate for the FO in terms of project monitoring and implementation, and these tasks were mainly performed by the project managers at HQ. Also in Nigeria, the role of FO staff had rather been of a facilitating kind but with some attention to monitoring at the level of results. Some monitoring visits to project sites had taken place, but this had not been a major activity. It was noted that project managers need to define and delegate roles and tasks (including implementation-related tasks) to FO staff in project documents and annual work plans.

According to the survey responses, the level of FO involvement in monitoring ranges from high involvement to zero involvement. FOs are involved in monitoring of projects as follows: by carrying out site visits, meeting national stakeholders, counterparts, CTAs and/or NPCs, coordination meetings with steering committees, discussions with direct beneficiaries, supervising national experts, following up on contracts and reporting to HQ allotment holders (AHs). The average number of country-level progress reports prepared by the FO during the last 3 years is 3 while these are supposed to be issued on a six monthly basis. 20% of the responding FOs had not prepared any country-level progress reports during the past 3 years and 40% had prepared up to 3 reports. The significance of these reports for UNIDO was questioned in one case. The fact that country-level progress reports are not used was, in addition, mentioned in many interviews.

According to interviews at HQ, FOs basically carry out activity and output monitoring, but only to a small extent outcome monitoring. Most FOs informed that the bulk of TC monitoring is carried out by HQ staff, with the exception of PAD-holders in the field. At times, monitoring is constrained by unclear roles and mandates and inadequate transport facilities. CE evaluations point to the fact that project documents need to clearly specify the role of FOs in managing and monitoring projects and FOs needs to be properly equipped to take on these roles.

5.

Relevance

Relevance in the FO Assessment Matrix of 2010 is defined in much the same way as in the OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management. The main difference is that while the OECD/DAC definition refers to the relevance of a specific development intervention, in the FO context, it is concerned with the relevance of a subdivision of a larger organization. In both cases, however, relevance is a criterion for assessing the extent to which the unit matches the needs and priorities of its clients or target groups. A key concern is the extent to which FO services are consistent with needs and priorities formulated in the partner country policy and strategy documents and are considered useful by national counterparts and stakeholders. There is also a question about the consistency of the FO work programmes with UNIDO strategic priorities. Are the FOs doing what they should, given UNIDO priorities in relation to the country in question?

According to most CEs, FO relevance is generally high and counterpart ministries and UNCT representatives indicate that the presence of a UNIDO office provides value added in terms of service provision and alignment, of UNIDO programmes, to national strategies and priorities. Positive factors in success stories include fostering strong involvement of national stakeholders; and the ability to spot and take advantage of resource mobilization opportunities. FO staff were also found to provide relevant advisory services although country evaluations convey that UNIDO could work more strategically and devote more time to "upstream" activities.

Many CEs, for instance, the CE China (2011) one confirms that the project portfolio as a whole is considered highly relevant to the country; that there is a high degree of national ownership; and that the FO has played a role in promoting this. The relevance of the portfolio is also high as most of the projects fall under UNIDO's main competence areas, and is well aligned with the priorities of UN cooperation in China.

The CE India (2011) equally documents high relevance and alignment to national priorities and strategies including the 11th Five Year Plan and its focus on inclusive growth, industrial competitiveness, environmental sustainability and energy conservation. Overall, the degree of national ownership was high, as demonstrated by the involvement of Indian stakeholders in programme/project design and implementation and by national or state level funding.

On the whole, FOs contribute to the fostering of national ownership of UNIDO programmes and projects and in aligning these to national needs and priorities. At the same time interviews with HQ and field office staff revealed that there are various challenges in promoting a demand (national) driven programmes as priorities of donors, funds availability and the pro-activeness of technical

branches also play a role in defining components. In this respect it was noticed that there is no need for UR clearance when submitting a project proposal for UNIDO appraisal and approval. In fact, many UR's learn about projects only after approval.

In countries where UNIDO has an office, despite the relatively small resources available, the organization is found to be highly visible. This general high visibility indicates relevance. In India, the assignment at the RO of a communication officer, paid for by the counterpart ministry was felt to have enhanced the visibility of the office. The RO was assessed as highly performant and in many ways as a model UNIDO FO, highly appreciated by partners.

Similarly, high visibility was also mentioned in CEs covering Nigeria, Tanzania, Viet Nam and Rwanda, to name a few. The visibility of the Nigerian FO in media was equally high. In Vietnam, a count done in July and August 2011 showed an amazingly high UNIDO profile of 98 press articles, 12 TV shows and 8 radio interviews. But, there was no comprehensive database compiling the UNIDO public relation work. In Rwanda, UNIDO's visibility was described as very positive, despite the paucity of funds and small size of the office. However, in some cases, efforts have to be made to make UNIDO more "visible" in the national context, for example, in Morocco; UNIDO was found to too timidly communicate its achievements. The FO Survey, the CEs and interviews at HQ all indicate a potential to translate visibility, (also in relation to the GF-function) into programmable terms and results.

Country evaluations also reveal alignment to UNIDO strategic priorities and, thus, relevance to UNIDO. Some evaluations reveal a need to clarify the roles played by UNIDO in the field, and state that the FOs are involved in too many functions without a firm strategic direction or assignment of priorities.

6.

Effectiveness

Effectiveness is a criterion for assessing the extent to which an entity has achieved, or is likely to achieve, its objectives or fulfil its mandate. OECD/DAC defines it as 'the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance'. In assessments of FO performance, it is defined as 'the extent to which an organization, or organizational unit, has achieved, or is expected to achieve its objectives or fulfil its responsibilities, taking into account their relative importance".

This definition complies with the OECD definition, as well as capturing that one organizational Unit's output could be the outcome of another unit; implicitly calling for the effective aggregation of data at the organizational level at large; as well as a functional division of responsibilities, rather than division along a geographical axis. So defined, effectiveness refers to achievement of objectives and/or fulfilment of responsibilities in relation to most of the field office functions listed in Table 4 above, including that of contributing to the effectiveness of TC projects/programmes.

A series of country evaluations document that UNIDO by way of the FOs catalyzes and achieves results, particularly by programming and implementing activities in differentiated and complex contexts. In the area of technical cooperation, results are particularly proven and documented. The degree of involvement of FOs in project and/or programme formulation varies from high to very low. The FO Survey indicates that the FO involvement in TC covers a range of activities: 85% of the FOs responded that they carried out and/or participated in country needs' assessment/country analysis/programming exercise. However, one FO argued that the reason for writing a country programme is not clear, as a country programme is only valid for Organizations with programmable funds, this not being the case for UNIDO.

Various other activities have been mentioned by the FOs as their contribution to TC project and country programme development. Over 50% of the FO survey respondents contribute by sharing relevant host-country information with the project managers (PMs), such as, identification of potential projects and opportunities, development of programme ideas and stakeholder capacity-analyses. Some of them also provide the PMs with information on national industrial development trends.

Maintaining contact, coordinating, negotiating, lobbying and discussing issues with national stakeholders and counterparts, as well as raising awareness on UNIDO and UNIDO's projects and potential assistance are carried out by over 50% of the FOs; and mentioned as a contribution towards TC project and programme development.

One CE noted, however, that there seemed to be a disconnect between the HQ and the field and that the FO would like to see more consultation before various initiatives were launched in order to foster more country or demand-driven interventions. It was also pointed out that project proposals were being submitted to the Programme Approval and Monitoring Committee (AMC) without formal endorsement of the UR.

It has not been possible to quantify the connection between funds mobilization by FOs and funds implemented by FOs, but indications are that this varies considerably. According to the FO Survey, some FOs contribute to funds mobilization by visiting, lobbying, negotiating and maintaining dialogue with (possible) donors. It also documents that in one RO, 70% of the funds recently implemented were mobilized entirely at the country level. There is reason to assume that UNIDO's attention to matching the FO fundraising role with the current aid architecture of increasing availability of country-level funding is bearing fruit, although global funds still dominate. It is obvious that the extent to which FOs are involved in funds mobilization varies and partly depends on the presence of donors in the country. Results in terms of funds mobilization have, for instance, been disappointing in Nigeria where the absence of donors was noteworthy [CE Nigeria, 2011]. In Morocco, it was also evident that more and more donors had been following the path of budget support [CE Morocco, 2011] which limited the availability of "regular" TC funds.

According to the FO Survey, the FOs contribute (indirectly) to the management of TC projects, among other things, by providing information and support to the HQ. One FO stressed that it is called in only for troubleshooting. Comments on the 'Decentralization of the management of TC projects' suggest different opinions to the challenge of taking on more TC management. As mentioned above, almost one-third of the respondents were for increased decentralization of the management of TC projects. However, in view of their capacity constraints, a clear majority of FOs do not wish further decentralization without a parallel enhancement of resources. Furthermore, it was stated that higher involvement of FOs in project management would require a clearer understanding with HQ about their roles and responsibilities.

For 2011, it has been estimated that 7.5 per cent of UNIDO technical cooperation was implemented by FO staff as allotment holders (AH). There seems to be a big variety of the level of FO implementation, with many offices implementing between 0 and 10 per cent and a few indications of a very high implementation at above 80 per cent.

The findings of the CEs correspond with the above. Decentralization to the FOs is still "work in progress". In China, for example, many other International Organizations (IOs) were found to have already decentralized their decision-making and project management to their respective offices, as closeness to the "market" was considered important [CE China, 2011]. The CEs repeatedly mention the need for further decentralization of decision-making, project management, project implementation and payment processes. CE Nigeria (2011) noted a move towards more decentralization to the FO and that this was positive in many ways, but also added that care needs to be taken not to overstretch the

limited capacity of the FO. One CE pointed to the progress in administrative decentralization, which however did not equal progress in substantive decentralization.

Owing to missing monitoring data, some evaluations faced difficulties in documenting results of the GF function. Others gauge results, for instance by high visibility and documented results, particularly under the "standard setting" aspect of the GF. Others, again, indicate that successful GF functions, including related results, are underreported. One reason for this may be that GF events are not necessarily accompanied by a budget or project. Some of the CEs reported the GF function to be the weakest and emphasized the need for additional promotion of GF activities. They reiterated that UNIDO and FOs have to pay special attention to the GF mandate and provide necessary resources for its fulfilment.

Interviews at HQ suggest that achievements under the GF-role are dependent on highly skilled professionals, whereas the other FO tasks "lean on a more traditional diplomatic representation role".

Evaluations and interviews reflect that further decentralization and higher involvement of FOs in project management, is seen as the way forward but met with various challenges. D-G Bulletins and management decisions support a process of change and the development of systems to connect the FO network and HQ, making them "seamless" in all programme areas (DG Bulletin/(0).122, 5 Nov 2010). A "seamless" network would, however, not only include the vertical line of the Project and Programme cycle, but also across FOs independent of geographical location. Using benchmarks from other UN organizations, this is feasible. One effective benchmark involves combining the series of GF-related activities (totalling 65% of the time spent by FOs including advocacy/liaising with government and partners) under the GF role with the TC Programme and Project Cycle (85% of the FOs responded that they carried out and/or participated in country needs' assessment/country analysis/programming exercises).

A thematic-focused evaluation carried out during 2009 verifies successes in UNIDO's standard-setting role. It assessed 15 projects in the field of Standards, Metrology, Testing and Quality (SMTQ), one of the key areas of UNIDO's trade-related technical cooperation. The evaluation found that "with a few exceptions, partners, mainly standards institutions, were highly satisfied with the quality of the advice they received" And that UNIDO has been promoting the development of national standards in many partner countries.

Generally, among the features that explain how UNIDO FOs has been pivotal in attaining planned and measurable results in this area, evaluations single out:

- Strong partnerships, in particular with ministries and public sector bodies in the area of operations.
- Close relationships with counterparts and relevant designs in the area of norms and standards.
- Established links with other UN agencies, forming patterns of collaboration and functional division of labour, it being DaO mechanisms or not.

- Leadership and commitment from URs; adequate staff resources in the FOs, supplemented with high level HQ expertise at relevant times of the programme and project cycle.
- Cases where concerted programmatic responses have taken place at country and regional levels.

On the other hand, a rather common trait found in evaluations and the FO survey is un-realistic planning and budgeting of country level programmes, i.e., in the cases of Integrated Programmes and Country Programmes, which also make it impossible to achieve many of their objectives. Many FOs question the usefulness of the time spent on developing these programmes considering the limited UNIDO programmable funds and limited donor funding.

Often, the effectiveness of FOs was difficult to assess and the results based work plans were not able to be used as an assessment tool. Most of the respondent FOs (87%) confirmed having developed a RBM-based work plan and implementing it. More than two-thirds stated in the survey that they used it as a management tool and found it useful for their work. This finding is, however, contrary to findings from CEs which indicated that RBM work plans are not used as a planning and management tool and are considered to be of marginal usefulness. Some interviewees conveyed that the RBM work plans do not conform or correspond with the overall RBM system of UNIDO and that they receive little or no feedback on reporting. China CE (2011) refers to the office's self assessment where the usefulness of the RBM work plan was considered meagre, partly because the outcomes reported on were very generic, but mostly because it was believed that very few (if any) persons at HQ read the document, and that there is no feedback from HQ to any of the points. Further, that there is no system for good results to be rewarded or else used for planning of future activities. Not receiving feedback and lack of interest from HQ was also given as one reason for not fulfilling country-level reporting obligations.

No clear picture emerges as to the role of FOs in the demand assessment and initial appraisal process. In the integration survey we find it to be a mix of FOs responding having a role in this versus not having any role. Many respondents find the role of FOs in the demand assessment process and initial appraisal to be weak. At the same time, many FO respondents convey they fulfil this role in an efficient and effective manner and that they are in permanent contact with partner governments and that demands for TC are initially assessed by the FO. Others state that these roles are not clear or have not been well defined and that there is very little consultation with the field on this aspect. There is, however, also the view that the FO role is growing and some FOs state they have conducted demand assessments and have prepared demand analysis sheets but others that they only channel requests to the RPs. There is a call for the provision of additional assessment tools and for FOs to have a role or voice in appraisal.

FO is not involved in the assessment. FO supplies information and it is assumed (wrongly) that the RP better know the situation to make informed decision. This is wrong. The UR has more current information, thus better placed to assess.

Discuss request/needs with requesting counterpart; conduct needs assessment and prepare the Demand Analysis Sheet, including background info, project justification, donor identification, etc; support RP in preparing for the NBRP meeting

None! I have never been consulted for the demand assessment process and initial appraisal. I don't understand how an opinion can be formulated at the initial appraisal stage without consulting FOs. FOs are the ones to develop the One UN Plan, they are connected to government and local donors priorities, thus I recommend FOs be consulted at this stage.

FO gathers initial data, interacts with government and partners, and formulates idea. FO plays important role in preparing DAS and initial appraisal that will help to formulate programme or project.

When performed, the monitoring role consists of visiting project sites and regular communication about project progress with project manager. Many representatives of FOs also state that they do not perform any monitoring role, often for lack of capacity and travel budgets. It seems that very few project managers avail themselves of FOs to do monitoring and provide the necessary finance for this. There are also examples of FOs finding it difficult to collect monitoring data from project managers, which makes it difficult for them to fulfil reporting duties in respect to DaO mechanisms. The need for monitoring guidance and tools was also frequently mentioned.

Monitoring is not done in a very systematic way. It is mainly by informal contacts with PMs and follow up, depending on how the projects are developing and in what stages they are. Room for improvment.
- Through field visits to Project sites - By regular communication with project Managers

6.1. Participation in One UN mechanisms

The FO Survey indicated that, where relevant, the FOs participate regularly and actively in UNCT meetings and in other One UN modalities. They are active members in various One UN or UNDAF working groups, such as "wealth creation and poverty reduction", "economic growth", "employment", and in some countries function as the lead agency in the respective working group and have been instrumental in promoting the inclusion of UNIDO thematic areas.

A number of FOs participated in the formulation of the UNDAF document, besides being active participants in different (thematic) teams. Further, FOs have been involved in various UNDAF activities, inter alia, preparing the Action Plan for 2012-2016, taking the lead role in drafting of the Poverty Alleviation section of the UNDAF, providing inputs to UNDAF/OP-II process, participating in sectoral Working Groups (WGs), and in developing the UNDAF document.

Examples of UNDAF-contributions are:

- providing background information regarding industrial statistics and trends during Common Country Assessment (CCA)
- Leading the UNDAF Programme Report 2011
- Bringing in the private sector in the UNDAF process

In some cases, the FO survey and country evaluations reveal challenges in carrying out the above-mentioned activities due to (human) capacity gaps.

Interviews equally point to challenges in implementing One UN activities at field level, which may have bearing on effectiveness and efficiency. For instance, the practical difference between Joint Programming and Joint Programmes in One UN frameworks, and the absence of joint implementation. In the case of UNDAF, Tanzania, however, joint monitoring is practised at the outcome level.

According to the CEs, the FOs participated in one way or the other in UNCTs and contributed to One UN Programmes, CCAs and UNDAFs. Below are some examples of FO participation:

- In China, UNIDO participated proactively in several Theme Groups (had the lead in the Climate Change Group) and joint programmes and played an active role in the UN Group at the country level;
- In Nigeria, the FO had enabled UNIDO to assume a leading role in UNDAF. The RO was instrumental in promoting the inclusion of the productive sector in UNDAF and was actively participating in the Programme Management Team;
- In Tanzania, the relevance of the FO to UN partner is demonstrated by the fact that UNIDO was lead agency, in the UNCT, for the sector working group on private sector development (PSD);
- In Rwanda, UNIDO staff had been heavily and positively engaged in the DaO mechanism and with the UNCT. The HUO was recently assigned the task of representing all non-resident UN agencies in local forums such as the recently launched UNDAF planning process (UNDAP).

In summary, FOs demonstrate results in terms of enhancing UNIDO visibility and knowledge about UNIDO in the country, their contribution to GF is marginal, advisory services to national governments are provided but it is difficult to find information on what this actually leads to, contributions to UNCTs are, on the whole valued as positive, not the least to One UN mechanisms, FOs are providing instrumental services to TC implementation but to a lesser extent, to programme development, the role of monitoring could be reinforced and the role in funds mobilization varies but is increasing.

7.

Efficiency

While effectiveness is about achievement of results, efficiency is according to OECD/DAC 'a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.' As long as the word 'results' is taken to refer to outputs alone, this is an appropriate definition for field office assessments. Efficiency in this restricted sense is also known as input-output efficiency or cost-effectiveness. DFID gives UNIDO good marks for cost-consciousness in its 2011 review.

Since an FO provides a variety of services, most of which are non-standardized thus without assigned indicators or benchmarks and difficult to assess and measure, its efficiency in converting resources into outputs is not readily reduced to numbers and not easily compared to that of other FOs or other organizations. In large part, however, an assessment of FO efficiency is concerned with the quality of management systems and practices and the delivery of outputs according to plans, resources and budgets. It also covers efforts to achieve higher productivity, maintain or improve quality of outputs, and minimizing the costs of inputs.

However, if a FO fails to achieve planned results, or does not achieve them well enough, it could be because the objectives were unrealistic given the constraints of the local environment or due to limitations of FO capacity. It may also be because the existing FO capacity is not well utilized – the FO is not efficient, or it is perhaps due to a combination of all of these factors.

The CE India (2011) documents rather high efficiency of UNIDO's support which was generally found to be of high quality and UNIDO's expertise was recognized and estimated to generate value added. The intention of the CP was to have a less fragmented and more integrated programme than what was the case under the previous Country Service Framework, for increased synergies, but the CP still covered a wide range of different projects scattered across the country, with some but limited collaboration between them and thus limited synergy effects. This, notwithstanding efforts in search of inter-branch cooperation, such as in the case of the Consolidated project for SME. Although the evaluation focused on the CP, its design clearly affected the options for FO management to apply resources in a cost-efficient manner.

The CE India (2011) concludes, however, that the RO in India is well managed and highly performing with a large number of activities being carried out by relatively small human resource base. The RO had pioneered new ways of project administration, alleviating some of the constraints, and established benchmarks in this field.

As mentioned above, despite many decentralization efforts, FOs, at large, have only to a limited extent been directly involved in TC implementation and rather played a supportive role. In large countries such as China and India, the FO implementation totals 7-9% of the total delivery and the average is about the same. When the Field Mobility Policy was put in place, technical personnel were routed to FOs. Still, the numbers of professional and other staff in the field is low with many 1-3 person offices.

UNIDO's current decentralization reform started in 2006; the roll-out of the Field Mobility Policy and SAP have followed. Data indicate that objectives are being met and this is supported by interviews. From a baseline of 48% vacancies for the category international industrial development officers in the field, the target of reducing the vacancy ratio to less than 10% was met (7.3% in April 2009). As mentioned above, the framework for bringing the FO network into UNIDO's "core business area" was underpinned in November 2010 by moving the FO network to PTC and the regional programmes followed in March 2011. The target of decentralized implementation for 2011 was met at 7.6%. Volume-wise, field-based delivery has doubled over the four last years, partly due to the overall increase in TC delivery. The target for 2012 was set at 8.6%. Indications are that the FOs are as efficient as HQ in implementing TC and that proximity management can be an advantage when procuring local goods and services and managing national experts and consultants.

Decentralization to the FOs is, nevertheless, still "work in progress". Examples from selected CEs are mentioned below:

- In China, many counterparts and partner agencies of UNIDO felt that the lack of decentralized decision-making (to the RO in Beijing) was a weakness and negatively affected operations;
- Also in the case of Mozambique, the evaluation report argued for increased involvement of the HUO in implementation and transferring at least part of the responsibilities for recruiting consultants and purchasing equipment;
- In Tanzania, the FO did often not have the overall responsibility for the implementation of a project and was only responsible for components thereof. The Office has sometimes suffered from a "lack in decentralization" and for instance the signing of Memorandums of Understanding (MoU) - also proliferating due to the DaO - was sometimes delayed due to lengthy clearance processes, with HQ. Other UN agencies did not need HQ clearance for more straightforward MoUs and had, for these cases, only a "consultation" duty vis-à-vis HQ;
- In Morocco, several projects were found to have suffered from weaknesses in coordination and monitoring and the evaluation mission noted that, despite the official view of UNIDO "to strengthen the implementation of projects from the ground", there was a persistent culture of "decisions taken in Vienna";
- In Nigeria, a move towards more decentralization to the FO was noted as being positive in many ways but care needed to be exercised so that the FO does not overstretch its rather limited capacity.

Moreover, interviews with URs reveal that they are not always fully informed about important aspects related to projects implemented in "their" countries, which leads to sub-optimal utilization of resources and that opportunities for monitoring and follow-up are being lost.

The FO survey indicates that the decentralization of management of TC projects is well underway, but met with capacity constraints. 30% of the FOs responded that they would be in favour of increased decentralization, to the FOs, of the management of TC projects. An equal number of FOs emphasized that their capacity (personnel) is constrained, and hence, they would be for greater decentralization, only if and after their human resource capacity has been enhanced. In their opinion, a higher decentralization without a simultaneous capacity enhancement is not realistic.

It is also significant to note that the move towards HUOs and progressively staffing FOs with national instead of international professionals is considered to have increased the cost effectiveness of FOs.

There is, however, often hesitancy by HQ professionals to delegate concrete projects/programmes to the field and this is not considered to be without risk. Identified risks voiced in HQ interviews include:

- Limited capacity of the FOs to take on implementation tasks
- Supervision will be difficult
- There are challenges with turning "diplomatic" staff at FO level into technical managers
- FOs lack technical expertise
- The full range of TC management and GF functions involves a very large scope and many different activities, and can hardly be handled by one to two person offices

In addition to the above mentioned issues, the 2012 "integration survey" revealed that roles and functions of FOs are not always clear and well understood. In total 69% of the survey respondents found the roles and functions of the Field Offices clear and well understood. However, as much as 31 per cent did not find them clear. The survey further revealed that while three fourths of the FO respondents consider their roles and functions clear, only 50% of the respondents from the PTC Technical Branches and BRP share this view.

Many of the respondents, including some that had answered yes to the question as to whether or not roles and functions of FOs are clear and well understood, stressed the need for additional clarity and specifically in areas of TC implementation. For instance the absence of a clear line of supervision and reporting of project staff at country level comes out. Other respondents call for more guidance on the responsibilities FOs should have with respect to project identification and design.

Figure 4. Clarity of FO roles

Are roles and functions of FOs clear and well understood?

31% No
69% Yes
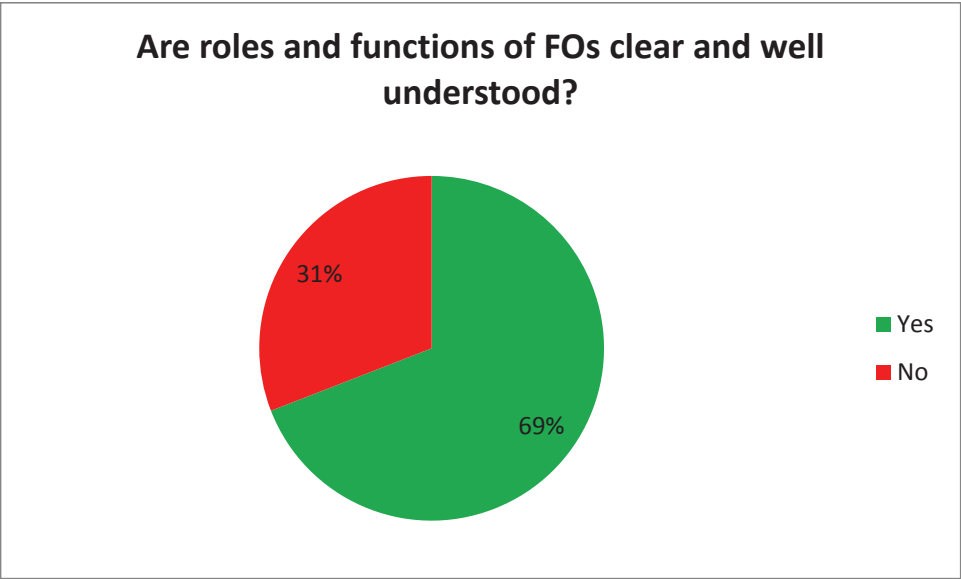
Source: FO integration survey

Figure 5. Clarity of FO roles

Are roles and functions of FOs clear and well understood?
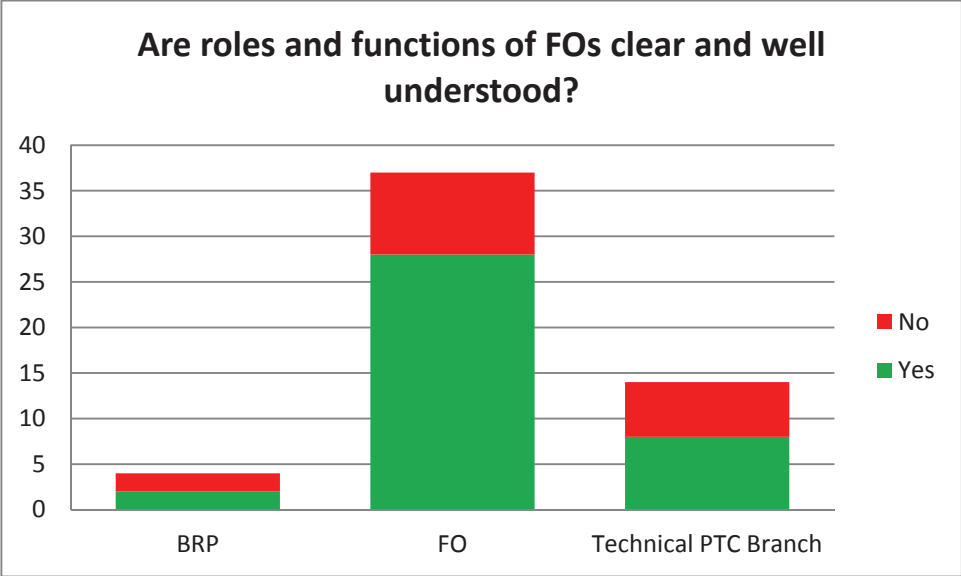
Source: FO integration survey

Decentralization process has not produced expected results: FO have not been empowered as project managers remain the only ones to decide on project implementation, thus the UR is not yet capable to act as portfolio manager. UNIDO FO have limited size, especially compared to UN Ex Com. Agencies, as well as ILO, FAO, UNESCO, with insufficient technical skills. I believe we have not yet answered the question: what is the purpose of a country office? Representative office or technical service provider? In the latter case, technical skills should be redeployed to FO. However, I think we should confirm and reinforce the FO as representative office project identification, funds mobilization, mobilization, contact with government, be part of the UNCT, DaO, provide information to HQ, ensure advocacy.

In particular HUO's stress that their responsibilities and duties are not well defined and that the representational roles and functions of HUOs vs URs need clarification. HUOs also convey that they do not have access to project information, including financial records.

> *HUO plays UR and PM roles de facto, but don't have such powers de jure. There is a whole mix of technical, representational, managerial and administrative tasks that are not well defined and that can conflict with those of URs and PMs.*

There is also the opinion that it is left to the UR to decide what the role of the field office should be. Governance issues also come out strongly; such as unclear governance of the field network and its relationship with BRP and the division of responsibility with the latter. Again the many roles of FOs are stressed and the absence of priorities. The *integration survey* also conveyed the message that FOs are mainly involved in administrative aspects of TC implementation.

> *The answer is Yes and No, depending on the Programme Managers of PTC and other staff. As far as the TC activities are concerned, we have a good network and working relationship with those involved in the countries of coverage (except a few exceptions), so the communication flows well. However, some still think that we are the recipient of messages of instructions from the HQs only and don't expect us to take action, i.e., monopolizing the activities and communications at the HQs level.*
> *In general terms yes (coordination of UNIDO projects in country and liaison with government and other stakeholders). However roles in programming, resource mobilization, reporting etc remain unclear.*

Other issues being highlighted are lack of communication from HQ, challenges as regard relationship management with counterparts as there is a need to focus on TC related work. Additionally, ROs find it difficult to work properly in all countries of coverage due to limited human resources and that their responsibility in relation to countries other than host countries is vague.

Figure 6. Understanding of roles and functions of RPs

Are roles and functions of the RPs clear and well understood?

- 40% Yes
- 60% No
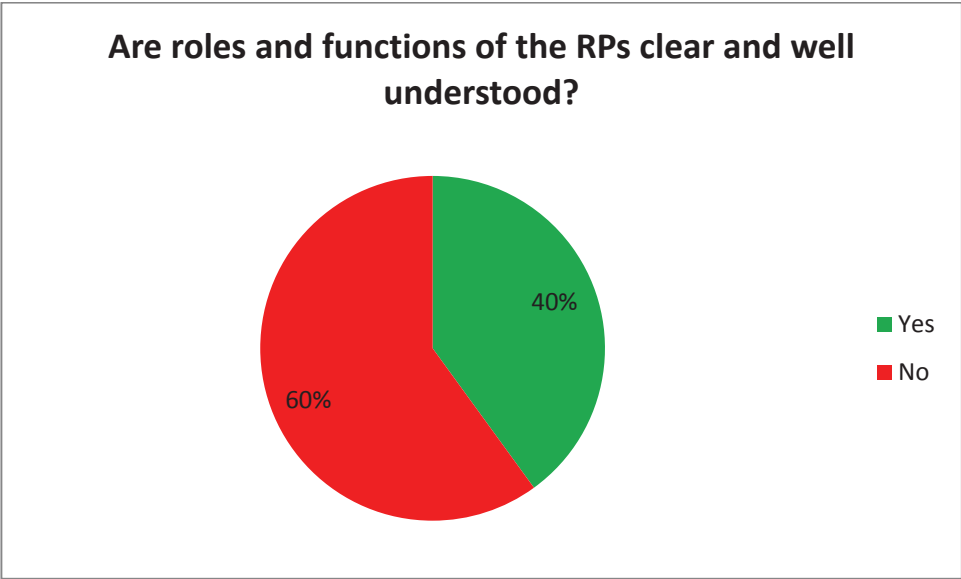
Source: FO integration survey

Figure 7. Understanding of roles and functions of RPs

Are roles and functions of the RPs clear and well understood?

- No
- Yes

BRP — FO — Technical PTC Branch
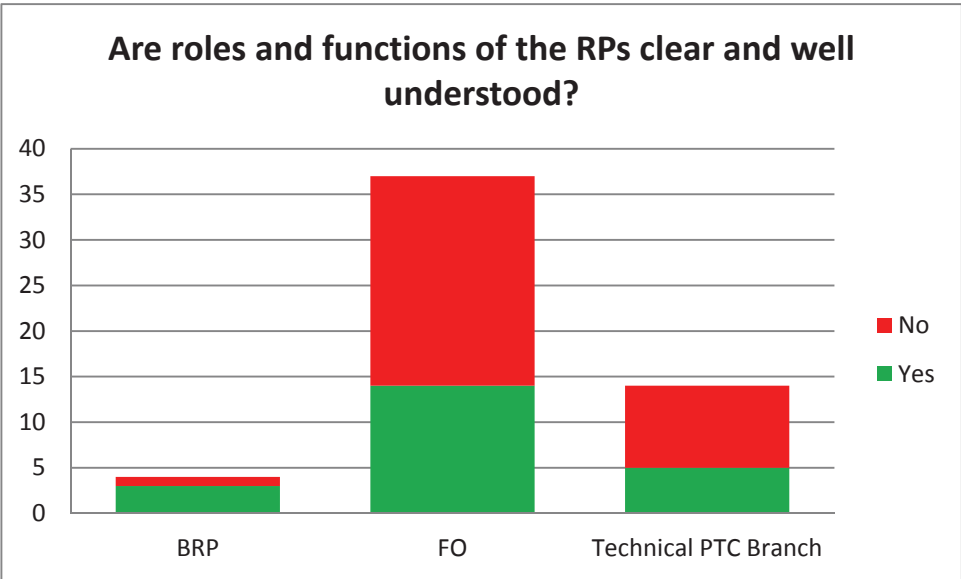
Source: FO integration survey

Only 40% of the respondents of the integration survey find the roles and functions of the Regional Programmes clear and well understood, whereas 60% do not.

Coming back to well defined roles and functions, the integration survey also looked at roles and functions of the Regional Programmes. Here we find that he majority of the respondents (60 per cent) find that the role and functions of the RPs are not clear and well understood. Specifically, there seems to be a need for clarity as regards the role of BRP (OD) and MD/PTC, which confuses reporting lines and levels of authority. For instance, it was pointed out that FO budgets were handled by MD/PTC and not the Director of BRP. Comments provided equally point to overlapping functions (with FOs) and need for further clarification.

The coordinating role of RPs is frequently mentioned as well as a need for reinforcement and another common view is that RPs should be more active in the establishment of regional priorities and strategies. It is also argued that FOs could be kept "more in the loop" by RPs and that RPs could provide more support, guidance and coaching to FOs. The fact that RPs are taking on an active role in demand management is regarded as positive.

It is obvious that RPs have a greater role in countries not covered by FOs and that there might be a need to clarify and distinguish the role and functions of FOs and RPs in countries covered by a FO and for those that do not fall under a FO. RP respondents convey the limited resources at their disposal, including travel funds, limiting their proactive involvement.

> *There are no structural relations or consultations between FO and RP. FOs are not consulted for clearance of project pipelines.*

It is noteworthy that 67% of the respondents and in particular Field Office staff do not find that there is a good level of integration between Regional Programmes and Field Offices and the PTC branches. However almost all respondents from Bureaus for Regional Programmes (BRP) indicated that there is a good level of integration between RPs/FOs and the PTC branches.

Survey respondents mention that integration would be facilitated by a common strategy and again, more clearly defined roles; in order to have efficient cooperation, roles must be clear and functions made accountable for fulfilling their functions. The absence of the latter is felt to stall progress and hinder programme expansion and integration. Also the view that the FOs are being ignored comes up frequently. On the other hand some PTC respondents find the burden uneven, with FO's and BRP providing little value added. Generally, communication and integration seem to function better between FOs and PTC technical branches than between FOs and BRP and there seems to be an absence of "formal" links between BRP and FOs. The fact that the TORs of the BRP are not developed comes up as a negative factor as well as the absence of guidelines defining reporting lines and responsibilities. Some respondents would like to see BRP play a role in fostering sub-regional cooperation and cooperation between FOs. It was also pointed out that the fostering of integration and coordination takes time and resources and that FOs have little time and resources available for this.

The absence of sub-PADs came out as an issue and the fact that sub-PADs would enable the FO to assume certain functions in TC implementation, for instance in monitoring. The introduction of the SAP system and the four eyes principle was found to have had some negative effects in relation to UR authority, as this at times eliminates the capacity of URs to sign national expert contracts (as the approval should come from HQ) thus is counterproductive to the decentralization process .

Such analysis should be done separately: Relation between RPs and FOs is not working. RPs are not fulfilling their responsibility to assist, support and provide guidance to FOs. There is no communication between FOs and RP. The relation between FOs and Technical PTC branches are, in general, much more fluent and frequent.

One would have thought that most probably some training on PTC activities would have helped greatly in integration. While this remains valid it also appears that in few instances there is a lack of interest from FOs, but also one has to say a slow change in the behaviour of PTC staff whereby management of projects is perceived as the sole responsibility of project managers, and despite repeated reminders one can see that such cooperation is yet to really materialize. However one has also to say that we have excellent examples of integration which shows beyond any doubt that it is largely feasible.

However, almost all respondents from BRP indicated that there is a good level of integration between RPs/FOs and the PTC branches. Also, on a positive note is a perceived shift of project development and implementation/administration to the field. Respondents from PTC technical branches recognize the support of the FOs in TC implementation and monitoring. Some respondents convey that cooperation between RPs and PTC technical branches has deepened and that this has improved the responsiveness to requests of member states. Constructive cooperation between PTC and FOs in relation to project development and implementation is conveyed. Changing attitudes is mentioned as one success factor, the delegation of sub-PADs to FOs another.

It is better than in the past (before joining PTC), but there is room for improvement.

The majority of the respondents do not think that the move to PTC has changed the way the RPs operate. Many respondents mention that there is less interaction with FOs than before but more interaction with TC technical branches and that they have assumed the role of initial project appraisal.

As to whether or not the way FOs operate has changed, no clear picture emerges. A few respondents conveyed that there have been no changes as implementation is still HQ-based. On the other hand, the move to PTC, according to many, has enabled direct communication and closer interaction between FOs and the technical branch colleagues.

40% of the integration survey respondents replied that the integration of the FOs into PTC has strengthened the relations with Member States while 60 per cent replied that it had not. The responses from FO staff are noticeable, as only 12 out of 37 respondents find the integration of Field Offices into PTC has strengthened the relations with Member States.

Some respondents state, and this is probably the case, that it is yet too early to make any conclusion on this, and that there is not enough evidence. The briefings to the MS were found to have contributed to improvements in relations with member states and to permanent missions increasing their interest in UNIDO.

A majority of the FOs confirmed receiving timely and appropriate information about new/upcoming and/or ongoing projects, however, almost one-fourth pointed out that they do not receive timely information. With the introduction of ERP/SAP, including new knowledge management technologies, this is expected to change. FOs would ultimately be in a position to have quick and "equal" information about new/upcoming and/or ongoing projects.

More than half (53 per cent) of the total respondents of the integration survey convey that SAP fosters integration, while the majority of the technical PTC branches' respondents do not think that integration is fostered. Many of those who do not find that SAP fosters integration have pointed out that SAP is a tool and provides only the means for change, but not the change itself and that a change of culture and mindset of the people are necessary for that. Some of those, who mentioned that SAP fosters integration, also mentioned that some improvements are still necessary. Other respondents argue that SAP, is an IT tool, bringing together processes and staff, as well as different segments of the Organization on the same platform. It has the advantage of being transparent and to provide a joint data base and access to information.

Most respondents felt it was too early to have an opinion on how the introduction of SAP has changed the way FOs operate. It clearly comes out, however, that internet access is an issue and the need for further training another one. Many respondents believe that the SAP will allow FOs to have a more complete and updated information on project implementation and that this can foster monitoring at the level of the field and knowledge sharing. The perception that processes are made more transparent and that accountability has improved is also frequent. There is also frequent mentioning to the fact that contracts of national consultants are now handled by project managers and that this has reduced the work load on FOs but also reduced their authority. It is equally mentioned that the latter prevents the alignment of salaries of national consultants. Many respondents mention system failures and that this has affected implementation.

In order to foster a higher level of integration and cooperation, FO respondents call for a deeper involvement of FO staff in identifying TC needs (demands) and in developing projects and programmes. Suggestions for fostering a higher level of integration include the sharing of project work plans, strengthening FO capacities through training and other means, improved communication between RPs and FOs, the development of compacts between FOs and PTC technical branches (supervised by BRP and/or MD/PTC), project staff assigned to the field being assessed also by FOs, increased travel budgets for RPs for more "neutral" demand management, more use of video conferencing and Skype, joint strategic frameworks or annual work plans. Respondents mention the need to clarify the mandates and ToRs of different entities, respect the mandates and issue guidelines on the performance of roles and functions, UR clearance for projects and missions, having the FOs present (by phone) at NBRP and STC meetings, and where necessary AMC meetings, a clearer monitoring function in the field and more involvement of FOs in demand analyses. There is also a call for the allocation of TC budgetary resources to the field so that FOs will be in a position to efficiently perform their roles. On a more general level, the fostering of teamwork is often mentioned.

New processes for "knowledge sharing" and coordination are part of the ongoing reform. There are likewise examples from interviews on existing efficient use of capacities and competencies across the FO/HQ structure. However, in general, truly efficient knowledge sharing and human resource policies are still to be institutionalized.

As specified in D-G Bulletins, in developing strategic plans, the principle of subsidiarity should be applied according to which programmes or actions that can be designed and implemented effectively at the field level, should not be designed or implemented by HQ. FOs should, moreover, develop a strategic plan, with a clear distinction between strategies and results to be pursued at the national or regional level, and those pertaining, where applicable, to their specific FO functions.

UNIDO activities are organized and driven by branches, as well as by geography and country dimensions. There are links between these levels, but they are not always made explicit in programme frameworks neither vertically nor across branch structures. There is however a strong belief that highly skilled professionals at HQ actually function as a communication platform across geographical boundaries, and that the recent reorganizations at HQ further strengthens this function. There are examples from other specialized agencies that this is a sound function, and that highly specialized advice in a global normative and standard-setting context should be centralized and mobile, as in the case of UNIDO, and able to back up FO staff and create complementarities.

It is worth noting that although quality programming, as a principle, should, and often does, take place in context, practice does often not reflect an <u>organizational response</u> (using the best and most relevant capacities irrelevant of geographical location). In many cases, there is a concerted and well coordinated response between HQ and FOs. However, when a response pattern is decentralized from HQ, the activities, priorities and results vary a lot between one Field Office and another. There is not much evidence of coordination between Field Offices, nor where the positive results achieved were created by horizontal coordination. Hence, the potential of a "seamless organization", including better vertical coordination, clearly is large.

Interviews point to cases where competent TC staff with project management responsibility in the field have added value. For example, in South Africa, efforts have been made to involve the FO in decentralized project management. The assignment of a professional with a technical specialization in energy efficiency is a good sign towards a more decentralized implementation approach [CE South Africa, 2011]), but this cannot, due to resource constraints, be done on a larger scale thus, indicating that there is a resource issue with regard to "full delegation of programming responsibilities".

In addition, there is a perceived hesitancy by HQ professionals to delegate concrete projects/programmes to the field and, as mentioned earlier, only in a few cases (7.5%) is the responsible PM or allotment holder in the field. FOs are thus only to a limited extent directly responsible for implementation.

In 2006, UNIDO's TC budget was approximately 95 million USD and it grew to approximately 176 million USD in 2012. The Regular Budget (RB) has remained

unchanged for about 15 years, except for inflation. As the operational (TC) budget naturally induces administrative overheads, a catch-22 situation has come about; more funds for projects but less staff to manage these projects at HQ. Against this backdrop, one way to deal with the situation was to change the business model. Subsequently, the D-G called on FOs to take on the role of priority mapping, programme design, mobilization of funds and implementation to alleviate some of the TC burden of HQ staff. With this backdrop, a planned measure in the 2012-13 Programme and Budget was an increase of 10 GS staff for the UNIDO desks and 8 for the ROs and COs, plus strengthening FOs with National Programme Officers' (NPOs).

The FO structure is based both on political and programme-oriented criteria, and there is a challenge to balance the two.
It is "inherited" from the 1980/90-ties. ROs were created for diplomatic/political reasons and not always for efficient management requirements. For example, there are ROs covering only one country while some COs cover far more countries than ROs. Beyond programme performance, efficiency also relates to lean and contextualized division of responsibilities.

Regarding Country Programme Team Leaders (TLs) and UNIDO Representatives (URs), a majority of past evaluation reports called for decentralization and greater authority for FOs and URs/TLs, and the practice of having URs acting as TLs was endorsed. Further, URs and TLs based in the field should, preferably, enjoy more authority over country programme matters (e.g. in approving missions to the field, selection of experts, use of seed money, etc.) [IP lessons learned, 2007]. The TL should not be responsible for specific components, in order to avoid potential conflicts of interest and to strengthen the overall coordination. [Cuba, IP lessons learned, 2007]. The TL should have ownership and influence over the implementation of the IP (Algeria). URs should ensure that institutional relationships, memory and knowledge should be built up and retained for future use [IP lessons learned, 2007].

Related evaluation recommendations were:

- Ensure a demand driven approach (customizing standard UNIDO service modules to country conditions and needs)
- Ensure visibility and communicate as 'One UNIDO'
- Monitor approaches of "competitors" on the ground and compare to those of UNIDO

Regarding the role of UNIDO Desks/HUOs, evaluations point to the following factors that constrain the efforts of UNIDO desks:

- Limited decision-making power due to UNIDO's centralized decision-making process and weak authority
- Time-consuming communication with headquarters via UNIDO ROs
- Limited human resources
- No access to UNIDO information technology tools for resource planning
- Unclear responsibilities of HUOs in programme implementation

On a positive note, UNIDO Desks were found to play an important role in aligning the projects to local conditions by involving relevant partners and stakeholders [UNDP-UNIDO cooperation agreement, 2009]. Considering the limited resources of UNIDO Desks, UNIDO was recommended to establish priorities with regard to each desk's core functions on a country-by-country basis.

The past evaluation that dealt with the performance of UNIDO Desks confirmed that it can be difficult for UNIDO's field representation to live up to headquarter expectations[10]. Although for the most part quite positive in its assessments, it noted that in some respects objectives were not fully achieved. With regard to facilitating access of stakeholders to UNIDO expertise, for example, the performance of the UNIDO desks was said to be uneven, and a similar assessment was made of Desks' contributions to the implementation of TC projects. According to the evaluation, and the Field Office Survey, these shortcomings in Desk performance are to a large extent due to a mismatch between a very demanding set of responsibilities and the limited resources made available for their fulfilment.

In summary, Agresso and imprest accounts have been contributing to FO efficiency and this is expected to be further strengthened with the new ERP/SAP system. The demands on FOs are high and especially in view of the resources assigned to them and many FOs were found to "do much with little" and to be cost-effective.

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10 Joint Terminal Evaluation of the implementation of the cooperation agreement between the United Nations Industrial Development Organization and the United Nations Development Programme. UNIDO Evaluation Group/UNDP Evaluation Office, 2009.

8.

Main conclusions and recommendations

The following sections briefly summarise the main conclusions and recommendations of the report.

8.1. Conclusions

The Field office network

The FOs contribute to the identification and formulation of UNIDO technical cooperation (TC) projects and programmes. They also provide valuable support to project/programme implementation but assuming more administrative than substantive functions.
The roles and functions of the RPs are often not clear and the relation to the FO needs clarification. Also the function of FOs needs further clarification.

Practically all major FO-related findings and relevant recommendations from past evaluations and reviews have been addressed by the organization or are reflected in the ongoing reform process. This is an impressive endeavour. The actions taken through the ERP/SAP introduction are expected to bridge many of the current gaps pave the way for more decentralized management and increased integration of FOs and thus make UNIDO more of a "seamless" organization. As such, the ERP/SAP systems equally addresses many recommendations of past country-level evaluations. However, there is a concern that

- reforms may not always be systematically overseen and coordinated;
- key systems and practices for monitoring are not yet in place (proper use of baselines, benchmarks, indicators and consolidated results-based reporting); and
- monitoring information may not be available or aggregated for decision-making purposes (management information system).
- human and financial resource constraints will remain and limit the contribution of the "field".

The evaluation found that FOs do provide valuable support to UNIDO technical cooperation and that staff are active in UN-wide committees and teams. Undoubtedly, UNIDO FOs contribute to enhanced relevance, efficiency and effectiveness of UNIDO projects and programmes. This is mainly due to:

- Strong partnerships, in particular with counterpart ministries and other national partners
- Close links with other UN agencies, forming patterns of collaboration and a functional division of labour, within DaO-mechanisms or without
- Leadership and commitment from URs and other FO staff, supplemented with high level HQ expertise
- Concerted programmatic responses at country and/or regional levels.

Contributions to the performance of the Global Forum are also there, however these contributions are less systematic and often not reported on. It is evident that FOs perform many different functions and carry out many activities. However, almost all offices are faced with human capacity constraints. This, at times, puts limitations on their performance. Moreover, there seems to be a mismatch between expectations on FOs and the resources available to them.

Relevance

UNIDO is visible in host countries, it is a well-known and appreciated partner and its competence and expertise are valued. UNIDO FOs have established and maintain a good relationship with host governments and other national stakeholders. In many countries where UNIDO has an office, despite the relatively small resources available, the presence is considered as useful and to add value. This is in particular true in terms of fostering strong involvement from national governments and identifying national priorities and country-level resource mobilization opportunities.

The relevance of FOs would increase with additional decentralisation and delegation of authority to the field and the latter is being promoted through the ERP/SAP. FOs contribution to funds mobilization was also apparent, though some FOs have been more successful than others. FOs are seen as instrumental in ensuring that UNIDO interventions are consistent with national needs and priorities and the high degree of national ownership is an indication of this.

Effectiveness

The FOs play important roles in funds mobilization and TC implementation. They participate actively in UNCT and contribute to joint CCAs and UNDAFs. They contribute greatly to UNIDO's visibility in the host countries. However, UNIDO's visibility is not always translated into programmable terms and results at the country level. Furthermore, the two areas, TC and GF, are not combined in a results-based and country-specific framework. Attention to GF activities is limited and actual results are difficult to assess. One reason is that successful activities are not necessarily accompanied by a project or budget or have a results dimension.

UNIDO activities are organized and driven by branches, as well as geographic boundaries. However, highly skilled professionals at HQ function as a communication platform across geographical boundaries, and ensure that new knowledge reaches the field. The recent reorganizations at HQ, encompassing

the integration of PTC, Regional Programmes and Field Offices further strengthens this aspect.

Though a majority of the FOs have developed RBM-based work plan, these have not been implemented or consistently used as a management tool. Moreover, its usefulness is considered to be marginal. Further, the lack of baselines, targets and indicators inhibit the utility of the instrument. With regard to project/programme identification and/or formulation, the involvement of the FOs varies from active involvement to zero involvement. They do, however, often provide valuable assistance to TC implementation, though there remains a potential for higher involvement. At the level of project management, FOs have limited authority and are only to a small extent allotment holders. There is hesitance by HQ professionals to delegate concrete projects/programmes to the FOs, often due to the absence of technical competence. Also, there is marginal involvement of FOs in monitoring.

Country-level reporting was found to be weak, irregular and not results oriented. Lack of feedback from HQ was given as one reason for not complying with reporting requirements.
With regard to UNIDO Desks, there seems to be a mismatch between their set of responsibilities and the limited resources made available for their fulfilment.

Efficiency

Considering the limited resources of many of the FOs and the many functions actually performed, FOs are considered as cost-effective. Within the resources at hand, the process of decentralization has so far been successfully implemented and quantitative targets met. The UNIDO Field Mobility Policy was instrumental in achieving this. For instance, the decentralization of sector specialists to FOs has been implemented according to planned targets and promoted efficient implementation. However, delegation and decentralization are not only about systems and procedures, but also about organizational culture and attitudes. There is still a need in UNIDO to stop seeing HQ as the centre to placing FOs as an integrated entity. Reforms are in process to enable more country driven programming.

Many FOs would be in favour of increased decentralization of the management of TC projects but stress that their capacity (personnel) is constrained, and hence, they would be for greater decentralization, only if and after their capacity has been strengthened. In their opinion, a higher decentralization without contemporaneous capacity enhancement is not realistic. Higher decentralization of TC project management without a decentralization of decision-making is also seen as a hurdle to effective project management by the FOs.

Moreover, additional training of staff would be necessary to efficiently manage TC projects. The move towards HOUs and progressively staffing FOs with national instead of international professionals is considered to have increased the cost effectiveness of FOs. The absence of a clear understanding and clear division of roles and responsibilities between FOs and HQ came out as a pertinent issue. The introduction of the imprest account was positive and has facilitated implementation.

8.2. Recommendations

The main recommendations of the evaluation are as follows:

- There should be more systematic backstopping of field offices and a field coordination function should be re-established
- Authority of URs should be enhanced with respect to:
  - design of country programme and clearance before submission of project/ programme documents to UNIDO's appraisal and approval bodies;
  - TC responsibilities at country level, including a reporting line of project managers/experts/consultants to URs
- FOs/URs should be authorised to sign some (straightforward) MoUs on their own, in consultation with HQ and keeping HQ informed.
- The RBM-work plan should be reintroduced but be designed to function as a management tool and used for results-based reporting. It should be reviewed and updated at regular intervals and able to feed into aggregated results systems of UNIDO and UN-wide.
- The FOs should make efforts to strengthen the GF function and to monitor and report on interventions and results. Further, an effort should be made to integrate GF interventions in the overall results framework of the organization.
- UNIDO should establish priorities with regard to UNIDO Desks' core functions, on a country-by-country basis.
- Structured and periodic (6-monthly) FO-level reporting should be re-introduced and feed-back on these reports provided by HQ. The reports should cover all countries of coverage and be results-based.
- Roles and responsibilities should be clearly defined:
  - between HQ and FOs;
  - for FOs, including a more focused strategic direction for ROs, COs and desks but adjusting the responsibilities to FO/Desk capacities and context
  - For BRP through the finalization of its ToR and in the forthcoming TC Guidelines;
- Project documents need to clearly specify the role of FOs in managing and monitoring projects and allocate appropriate budgets for related outputs and tasks.
- As to project management it is recommended that the role of the UR as a neutral liaison partner with UNIDO stakeholders at the country level be maintained. In cases where budget allotments or sub-allotments, for TC projects are allocated to FO staff, professional staff, other than UR's should be the allotment holder, with the exception of allotments for monitoring.
- UNIDO should strengthen the monitoring capacity of FOs. As this has human and financial resource implications, the creation of L-posts in the field, through the pooling of TC funding should be considered. Moreover, projects should allocate funding for monitoring by FOs and this should be reflected in project budgets and in activities and outputs. The TC Guidelines should provide guidance on appropriate budgets and other arrangements for monitoring.

- In order to further strengthen UNIDO's field presence and the authority of its FOs UNIDO should give increasing attention to mobilizing programmable resources that can be used for demand-oriented and field-based TC.
- The location of field offices should be reviewed and criteria developed for various levels of field presence. UNIDO should look into the possibility of streamlining the field presence into two categories of Field Offices; a) ROs with technical expertise in UNIDO strategic areas and b) HUOs. This would foster a professionalization of the field network and enable a wider presence and quicker ability to respond to short-term advisory or technical assistance needs while enabling budget reductions mandated by member states. International posts of country offices should be reassigned to regional offices.

ANNEX A - Field Office Survey Report

Thematic Evaluation

UNIDO Field Office Performance

Field Office Survey Report
12 January 2012

List of abbreviations

AH	Allotment Holder
AID	Africa Industrialization Day
CCA	Common Country Assessment
CO	UNIDO Country Office
DaO	Delivering as One
FO	Field Offices
FP	UNIDO Focal Point
FR	Field Representation
GF	Global Forum
HQ	Headquarter
MDG-F	Millennium Development Goals – Fund
NIS	Newly-Independent States
PM	UNIDO Project Manager
RBM	Results-based Management
RO	UNIDO Regional Office
TC	Technical Cooperation
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNIDO	United Nations Industrial Development Organization
UR	UNIDO Representative
WG	Working Group
WP	Work Plan

Introduction

As of August 2011[11], the UNIDO Field Network includes 54 Field Offices (FOs), covering Africa, the Middle East, Asia & Pacific, Europe & Newly-Independent States (NIS) and Latin America & the Caribbean. The network encompasses 10 Regional Offices (ROs), 20 Country Offices (19 COs in 2010[12]), 18 UNIDO Desks, 5 Focal Points (FPs) and 1 Centre for Regional Cooperation. An overview of the regional distribution of the UNIDO FOs is provided in table 1 below:

Table 1. UNIDO FOs – Regional Distribution (August 2011[13])

	Africa	Arab	Asia & Pacific	Europe and NIS	Latin America and the Caribbean	Total
Regional Offices	3	1	3		3	**10**
Country Offices	9	5	5		1	**20**
UNIDO Desks	8	1	4	2	3	**18**
Focal Points	1		1	2	1	**5**
Others				1		**1**
Total	**21**	**7**	**13**	**5**	**8**	**54**

Within the framework of the Thematic Field Office Evaluation, a Generic Assessment Framework was developed in 2010, which defined the responsibilities of the FOs. It was based on, amongst others:

- UNIDO/DGB/(0).95/Add7, dated 26 February 2010,
- IDB. 37/6/Add. I, dated 20 April 2010, and
- UNIDO's TC Guidelines from 2006.

According to the Generic Assessment Framework, the responsibilities of the FOs are as follows:

> - Formally represent UNIDO among clients and stakeholders as appropriate.
> - Help create/increase knowledge about UNIDO among potential clients and other interested groups in the country in order to stimulate demand for UNIDO services. This is an important marketing and awareness raising function. In UNIDO's standardized format for FO work plans, this function is referred to as 'enhancing the visibility' of UNIDO and is one of the five main FO outcome areas.

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[11] List of UNIDO Field Offices, updated on 8/18/2011, provided by PTC/BRP/OD.

[12] The UNIDO Field Office Performance: Generic Assessment Framework document provides an outline of a "generic framework for the evaluation of UNIDO field office performance in the context of comprehensive country evaluations that also cover technical cooperation (TC) projects/ programmes and Global Forum activities." The Generic Assessment Framework is provided in Annex C.

[13] Based on the List of UNIDO Field Offices, updated on 8/18/2011, provided by PTC/BRP/OD.

- Promote and facilitate Global Forum (GF) activities. The role of the FO can be that of a knowledge broker, facilitating exchange of information and knowledge between national counterparts and stakeholders and transnational UNIDO networks. On the one hand, the FO helps national stakeholders gain access to transnational knowledge networks. On the other hand, the FO makes national expertise and experience accessible to transnational networks.
- Provide advice to national stakeholders in UNIDO's areas of expertise, as requested. To a large extent UNIDO's advice flows through the channels of TC programmes/projects and specific Global Forum activities. However, advice can also be provided to national stakeholders, including the national government, through other types of contact and upon a direct request.
- Keep UNIDO headquarters informed of national developments in UNIDO's areas of specialization through continuous liaising with national counterparts and stakeholders, as well as representatives of international development organizations.
- Contribute to the identification and formulation of new UNIDO TC projects/programmes. In cooperation with the Regional Programme, the FO gathers information relevant to the identification and formulation of new country programmes as well as of national or regional projects. It paves the way for formulation missions both substantively and logistically. It is expected to play an important role in ensuring that the programme to be proposed to the national government is aligned with national priorities and can be incorporated within the wider UN assistance frameworks.
- Help mobilize resources for TC interventions from the national government, international donors, and other interested actors. Conducted with the support of UNIDO headquarters (HQ_, the participation of FOs in resource mobilization is especially important in countries where there is a joint financing mechanism for the UN-system and/or donors have decentralized funding decisions to the country level.
- Contribute to ongoing UNIDO TC activities in the country/region through monitoring and support to implementation and evaluation. In the monitoring of programmes, FOs should regularly review implementation status with counterparts and stakeholders, brief and debrief experts and consultants, attend review meetings, and report back to the programme team on accomplishments and the possible need for remedial action. At project level, the main FO task is usually to provide administrative, technical and logistical support to project managers (PMs) and experts based at UNIDO HQ. In some cases, however, projects are directly managed by FO staff members who are then also allotment holders (AH). FOs also provide support to evaluation missions.
- Contribute to gender mainstreaming of TC activities at all stages.
- Support UN integration at country level through active participation in the United Nations Country Team (UNCT), and contribute as appropriate to joint UN country-level initiatives (Common Country Assessments (CCAs), United Nations Development Assistance Frameworks (UNDAFs), Delivering as One (DaO), etc.). Act as champion of UNIDO's thematic interests and UNIDO itself in the UNCT.

The Generic Assessment Framework provides a framework for the evaluation of FO performance. The evaluation of FO performance includes a survey of the FOs. The survey contributes to the assessment of their performance and provides an insight into activities carried out by the FOs as well as issues and challenges faced by them.

The survey questionnaire takes departure from the Generic Assessment Framework. It was internet (web) based and sent electronically to all 50 FOs, including ROs, COs, UNIDO Desks and FPs, and excluding those where posts were vacant14 at the time of survey dissemination. Within the given timeframe of four weeks, a response rate of 80% was achieved (40 complete responses15) and considered for the following analysis. To best capture the essence of their work, the questionnaire encompasses a majority of open-ended questions. It is an attempt to enable FOs to illustrate their activities in their own words, without the restrictions of closed-ended questions. The terms Field Office (FO) and Field Representation (FR) are used interchangeably.

Table 2 provides an overview of survey invitations sent and complete responses received from the FOs.

Table 2. Survey responses

	Existing	Invitations sent	Complete responses received	Participate in DaO
UNIDO Regional Offices	10	10	7	2
UNIDO Country Offices	20	19	19	6
UNIDO Desks	18	15	12	5
UNIDO Focal Points	5	5	1	1
Others	1	1	1	0
Total	**54**	**50**	**40**	**14**

According to the information provided by the FOs in the survey, the ROs cover more than one country in their respective regions as illustrated in graph 1 below. With the exception of Mexico, which covers 20 countries (including Mexico), the other ROs cover on an average 5 countries, including their host country.

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[14] FRs in Ghana, Eritrea, Mali and Lao PDR were vacant at the time of survey dissemination.
[15] FRs in Ethiopia, Nigeria, South Africa, Sierra Leone, Zimbabwe, Togo, Afghanistan, Sri Lanka, Ukraine, Cuba did not respond to or responded to but did not complete the survey.

Graph 1. Coverage of Regional Offices

No. of countries covered by the Regional Offices
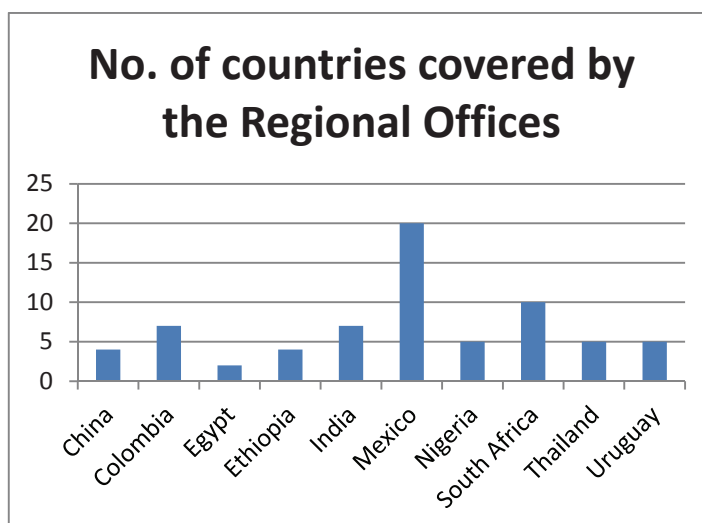
Source: FO Survey, October 2011

The Country Offices cover their host country; some of them such as Cameroon, Ghana, Guinea, Indonesia, Kenya, Lebanon, Madagascar, Senegal and Sudan, also cover more than one country in their region; this is illustrated in Graph 2.

Graph 2. Coverage of Country Offices >1

No. of countries covered by the Country Offices
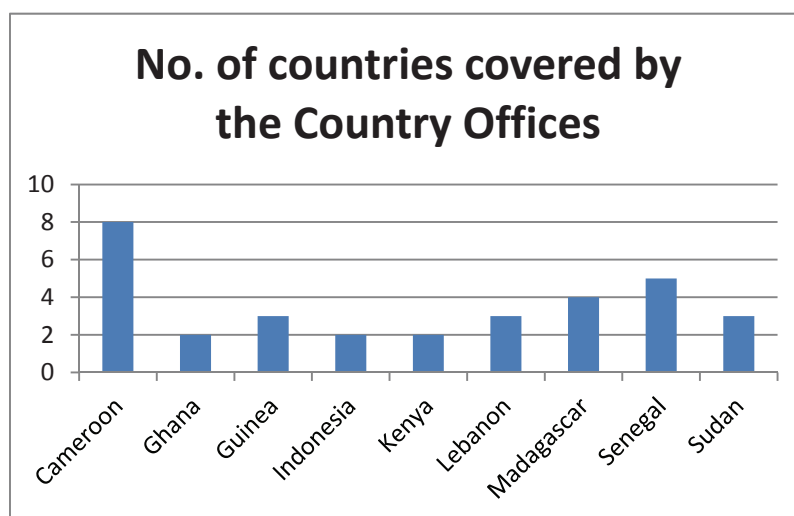
Source: FO Survey, October 2011

Overview of Survey Responses

The following section presents an overview of the responses to the survey. The analysis is based on all the received complete responses taken together. It does not differentiate between, or categorise, responses from ROs, COs and/or UNIDO Desks/FPs, unless explicitly stated, nor does it delineate the responses regionally. Some selected responses are anonymised and cited; these are

highlighted or marked as such. The citations are included to illustrate the outliers and/or a commonly prevailing opinion of the FOs. They highlight crucial issues which might need appropriate follow-up.

Q: What percentage of your time have you spent on the following tasks during the biennium 2010/2011?

Table 3. Percentage of time spent on the above-mentioned tasks in the biennium 2010/2011

	Average	Minimum	Maximum
Contribution to identification and formulation of new UNIDO TC projects/programmes	15.7	5	50
Project implementation	12.1	0	45
Project/Programme monitoring	8.7	0	25
Contribution to funds mobilization	9.8	3	25
Represent UNIDO among national stakeholders, as appropriate	9.4	2	20
Discussions with, and/or advisory services to, government	6.3	0	16
Enhance knowledge about UNIDO amongst national stakeholders in the host country	6.8	2	20
Promote and facilitate Global Forum activities	4.5	0	20
Interaction with the private sector	5	0	10
Interaction with other International Organizations	5.9	0	15
Participation in CCAs/UNDAF and DaO mechanisms	9.4	1	20
Dealing with (ad hoc) requests from HQ	6.3	0	20

Source: FO Survey, October 2011.

Field Office tasks, and the time spent on these, vary from one country to the other. This difference is also projected in the minimum and maximum time spent on each of the above-mentioned tasks respectively (see Table 3). For example, the FOs spend on average 12.1% of their time on project implementation. However, there is one or more FO, which has not spent any time on project implementation activities. At the same time, there is at least one FO which has focused on project implementation by spending 45% of its time in implementation activities. Table 3 reveals that 'contribution to identification and formulation of new UNIDO TC projects/programmes' constitutes the activity on which the maximum average time (15.7%) is spent; the least average time (4.5%) is spent on 'promotion and facilitation of GF activities'.

Q: UNIDO FOs represent UNIDO in the member country. In your opinion, which are the most important functions of the FO? Please rank the below in order of importance.

Table 4. Ranking of the above-mentioned tasks.

	Ranking	Lowest given ranking	Highest given ranking
Contribution to identification and formulation of new UNIDO TC projects/programmes	1	10	1
Project implementation	7	12	1
Project/Programme monitoring	6	12	1
Contribution to funds mobilization	3	11	1
Represent UNIDO among national stakeholders, as appropriate	2	12	1
Discussions with, and/or advisory services to, government	5	12	1
Enhance knowledge about UNIDO amongst national stakeholders in the host country	4	11	1
Promote and facilitate Global Forum activities	11	12	2
Interaction with the private sector	9	12	1
Interaction with other International Organizations	10	12	1
Participation in CCAs/UNDAF and DaO mechanisms	8	12	1
Dealing with (ad hoc) requests from HQ	12	12	2

Source: FO Survey, October 2011.

FOs ranked the tasks in order of their importance. Ranking in Table 4 above is based on the average of ranks ascribed by the FOs to each activity. Similar to average time spent on each activity, the ranking of activities is also varies from one FO to the other (from one country to the other). This is reflected in the difference between the lowest and highest rankings attributed to the individual activities. For example, considering the activity 'Represent UNIDO among national stakeholders, as appropriate', it ranks second when the average of all the FOs together is considered; however, and at the same time, it has been ranked as the least important activity by at least one FO, and as the most important activity also by one or more FO(s).

The focus of tasks, according to average time spent on them, in descending order (maximum time first), and their ranking/importance in relation to other tasks is illustrated in the following table:

Table 5. Percentage of time spent on the above-mentioned tasks in the biennium 2010/2011 in descending order and their ranking.

		Average time spent (%)	Ranking according to importance
1	Contribution to identification and formulation of new UNIDO TC projects/programmes	15.7	1
2	Project implementation	12.1	7
3	Contribution to funds mobilization	9.8	3
4	Represent UNIDO among national stakeholders, as appropriate	9.4	2
5	Participation in CCAs/UNDAF and DaO mechanisms	9.4	8
6	Project/Programme monitoring	8.7	6
7	Enhance knowledge about UNIDO amongst national stakeholders in the host country	6.8	4
8	Discussions with, and/or advisory services to, government	6.3	5
9	Dealing with (ad hoc) requests from HQ	6.3	12
10	Interaction with other International Organizations	5.9	10
11	Interaction with the private sector	5	9
12	Promote and facilitate Global Forum activities	4.5	11

Source: FO Survey, October 2011.

Clearly, time dedicated to individual tasks should be in direct proportion to their importance. The above table, however, illustrates that this is not true for all FO activities. 'Contribution to identification and formulation of new UNIDO TC projects/programmes' constitutes the highest average time (15.7%); its corresponding average ranking is 1. Here, it is clear that the average time spent on the activity conforms with its ranking. On the other hand, the average ranking (7), does not match the second-highest average time (12.1%) spent on 'project implementation'. In this case, an activity which ranks in the 'bottom five' takes up the seond-highest time.

As the above figures are average figures of all the respondent FOs taken together, the table depicts the difference in the average figures. Nevertheless, it is a good tool for priority setting. The FOs can compare their average time spent on each task and its ranking in relation to the other tasks.

Q: What kind of activities has the FO carried out to enhance visibility and contribute to Global Forum activities during the last 3 years?

"1) AID Celebrations 2) Distribution of "Making it" Magazines to schools, universities, private sectors etc. 3) Press coverage of monitoring missions to UNIDO projects 4) Progress reports shared with various stakeholders 5) T-shirts,

banners and logos in events venues 6) Participate at UNCT and National celebrations 7) Articles in UN Newsletters 8) Signing into UNDAF and Joint programmes" – UNIDO Desk

The most widely-practiced activity of the Field Offices to enhance visibility and contribute to GF activities is organizing, and/or participating in, various events like workshops, seminars, conferences, presentations, round tables or promotion events. Moreover, many of them engage in dialogue with the national government, private sector, donor's community, think-tanks and/or partner agencies; some of them also provide policy advice to local authorities. Some FOs contribute to UNIDO's advocacy function by sharing UNIDO publications like 'Making It' with national stakeholders and publishing UNIDO-related articles in the press.

Further mentioned activities are:

- Organization of Africa Industrialization Day (AID)
- Launch and/or presentation of UNIDO publications, for e.g. Industrial Development Report
- Give interviews, present project/research papers, participate in other Agencies' events.

Q: How active is the FO in UNCT and/or other UN-wide mechanisms?

"Regular attendance at bi-monthly meetings of UNCT and monthly meeting of security management team. Attend adhoc meeting when required. - Participate in UNCT team retreat. - Arrange for UN learning session on UNIDO's program. - Participate in several discussions on development of joint UN program." – UNIDO Desk
"The UNCT here is far from being "One UN"." – UNIDO CO
"FR tried to be active, but difficult during periods where there have been no human resources in the office to participate in working groups etc, except for the UR personally." – UNIDO CO

The FOs participate regularly and actively in UNCT meetings, which are normally held on a monthly or bi-monthly basis. They are active members in various working groups, such as "wealth creation and poverty reduction", "economic governance", "employment", and in some countries represent UNIDO as the lead agency in the respective working group. Some FOs participate in UNDG as well as in formulation and implementation of ONE UN programmes. Moreover, they also participate in common events ("UN Day"), organized by other agencies. FO limitation in carrying out the above-mentioned activities due to (human) capacity gaps was pointed out in one case.

Q: What has been the role of the FO in the preparation and implementation of CCAs/ UNDAF and One-UN programmes?

"This office has been actively involved in developing the UNDAF document and preparing action plan for 2012 to 2016. This office has also been able to develop active relationship with UNDP, ILO and FAO and exploring possibilities of having

joint programmes in two pillars (Pro-Poor Growth with Equity and Climate Change, Environment, Disaster Risk Reduction and Response). UNIDO is recognized as one of the important players in these two pillars." – UNIDO Desk

Where applicable, a number of FOs participated in the formulation of the UNDAF document, besides being active participants in different (thematic) teams. Further FOs were involved in various other UNDAF activities, *inter alia,* preparing the Action Plan for 2012-2016, taking the lead role in drafting of the Poverty Alleviation section of the UNDAF, providing inputs to UNDAF/OP-II process, participating in sectoral Working Groups (WGs), and negotiating the UNDAF document.

Some other mentioned activities are:

- Contributing background information regarding industrial statistics and trends during CCA
- Bringing in private sector in the UNDAF process
- Leading the UNDAF Programme Report 2011

Q: In what way do you contribute to TC project and country programme development?

"Identifying opportunities and informing relevant departments about the opportunity. We get stuck when we do not hear from HQ." – UNIDO Desk
"I write the country programme - although I think it's a waste of time. Country programmes make sense for Organizations with programmable funds, but since we have none, our country programmes are just a wish list; what's the point of that?" – UNIDO RO

Is the FO timely and appropriately informed about new/upcoming and/or ongoing projects?
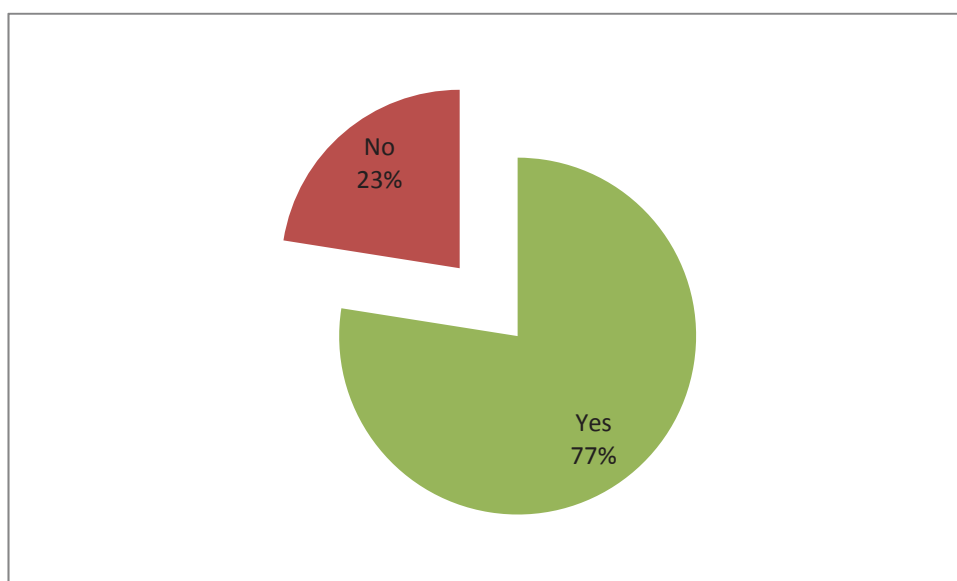
Source: FO Survey, October 2011

More than three-fourth of the FOs confirmed that they receive timely information, and are appropriately informed, about new/upcoming and/or ongoing projects. However, it is discerning that almost one-fourth of the respondents do not receive appropriate and timely information.

Did the FR carry out and/or participate in any country needs assessment/country analysis/programming exercise?
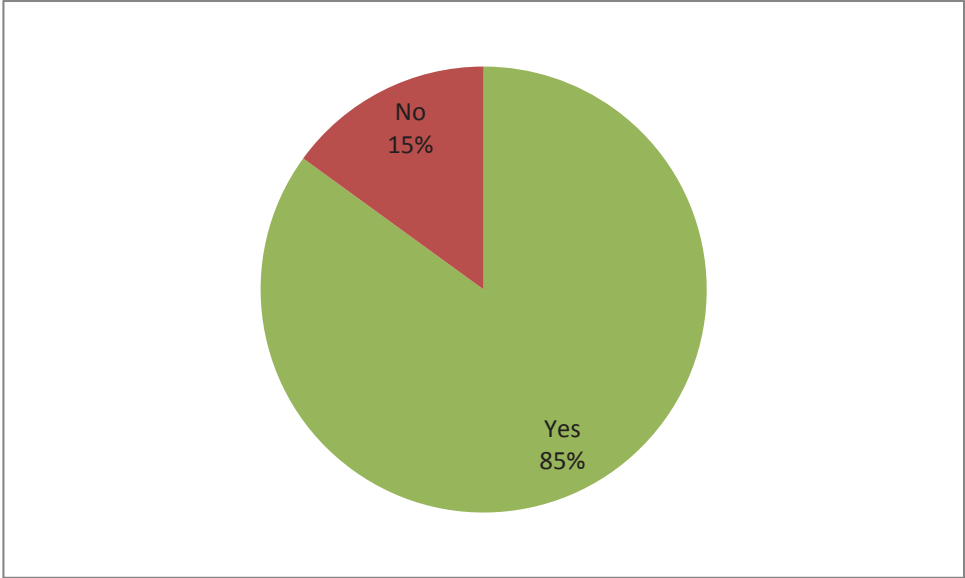
Source: FO Survey, October 2011

85% of the FOs responded that they carried out and/or participated in country needs' assessment/country analysis/programming exercise. However, one FO contradicted that the reason for writing a country programme is not clear, as the country programme is valid for Organizations with programmable funds, this not being the case for UNIDO.

Various activities have been mentioned by the FOs as their contribution to TC project and country programme development. Over 50% of the survey respondents contribute by sharing relevant host-country(-ies) information with the project managers (PM), such as, identification of potential projects and opportunities, development of programme ideas and stakeholders' capacity and gap analysis. Some of them also provide the PMs with information on local industrial development trend.

Maintaining contact, coordinating, negotiating, lobbying and discussing issues with the national stakeholders and counterparts, as well as raising awareness on UNIDO and UNIDO's projects and potential are carried out by over 50% of the FOs as their contribution towards TC project and programme development. One third of the FOs contribute via funds mobilization, or contribute to funds mobilization by visiting, lobbying, negotiating and maintaining dialogue with (possible) donors.

Some FOs are actively involved in project and/or programme formulation. Involvement in implementation and monitoring of projects has been mentioned by

less than 10% of the FOs as being their contribution to TC project and country programme development.

Further mentioned means of contribution are:
- Preparation of SSS documents
- Ensuring the inclusion, and alignment, of UNIDO's (thematic) priorities in UNDAF/One-UN, etc.

Pooling of, and managing, National Experts

Q: To what extent has your FO contributed to the mobilization of resources for TC activities? Please elaborate.

"In the last 6 months FR mobilized about 10M US$, i.e. doubling UNIDO delivery in the country as of next year." – UNIDO RO
"Very high contribution. Approx. 70 % of the funds recently implemented in the country were mobilized entirely at the country level." – UNIDO RO
"In the period I have been with the FR, quite a few attempts have been there. However, most of them are not yet productive." – UNIDO CO
"Currently, initiative alone doesn't count much UNLESS you mobilize millions of resources. UNIDO HQs are more into still the high figures of funds to be mobilized. In order to improve the credibility of UNIDO in the field: whether small or large funds, quality of the delivery (work /outputs) should come FIRST" – UNIDO RO

According to the survey responses, various activities carried out by the FOs as their contribution to funds mobilization are, building relations with potential donors, maintaining contact, dialogue and negotiations with national counterparts and bilateral and multilateral donors/donor institutions, as well as by providing relevant information about the (host) country and funding opportunities to the PMs at HQ. FOs mobilize the MDG-F programme in their respective country(-ies), formulate new projects and negotiate for government funding, participate in donor conferences/meetings, sensitize donors on UNIDO's competencies and carry out 'matchmaking' - bringing together the priorities of the host country(-ies) with UNIDO's potential and competencies, and donors. Around 10% of the FOs responded that either they did not have budget to mobilize resources, or they were not (yet) successful in mobilizing funds.

Q: To what extent is the FO involved in monitoring of ongoing projects in your (host) country(-ies)? How is it carried out?

"Not involved at all. In fact the role of Desk Office is not clear to project offices. They think that the Desk Office is set-up to provide them administrative supports." – UNIDO Desk
"Highly involved in projects implemented by the RO. Much less in projects implemented by other PMs." – UNIDO RO
"Some PMs feel uneasy about my involvement" – UNIDO Desk
"About 70% of projects are mainly monitored by PMs at the HQ" – UNIDO RO

According to the survey responses, the level of FO involvement in monitoring ranges from high involvement to zero involvement. Around three-fourth of the respondent FOs are involved in monitoring of projects as follows: by carrying out site visits, meeting national stakeholders, counterparts, CTAs and/or NPCs, coordination meetings with steering committees, discussions with direct beneficiaries, supervising national experts, following up on contracts and reporting to HQ allotment holders (AH).

Some of the FOs carry out monitoring based at their own initiative, as they do not receive such requests from the HQ. Having knowledge about ongoing projects in their country/region, they "keep an eye" on the projects (informal monitoring). All the FOs have expressed their wish to be (more) involved in monitoring of ongoing projects; some have indicated that it is still a "weak area". However, though some FOs would like to be more involved in monitoring, they do not "push" it due to constrained staff capacity.

Q: Please indicate the number of country-level progress reports prepared by the FR during the past 3 years.

> *"Why prepare them? Who would read them, and what for?"* – UNIDO RO

With the exception of 4 FOs (outliers), which have prepared 10, 20, 25 and 60[16] such reports respectively, the average number of country-level progress reports prepared by the FO during the last 3 years is 3. 20% of the respondent FOs have not prepared any country-level progress reports during the past 3 years and 40% have prepared up to 3 reports. The significance of these reports for UNIDO was questioned in one case.

Q: Do you have a RBM-based work plan for the FO? Has it been implemented? Is it being used as a Management tool? Do you find it useful for your work? Do you have any suggestions to improve the RBM-based work plan?

> *"Unless it is integrated into the workplan of the whole house, it does not serve the purpose. Currently, I see it as an add-on, which is not taken into account. I never received any feedback for the RBM based WP from HQ"* – UNIDO RO
> *"RBM Work plan needs constant updating also reflecting the new systems being implemented at the HQs. FOs are not always informed and kept abreast of the new development."* – UNIDO RO
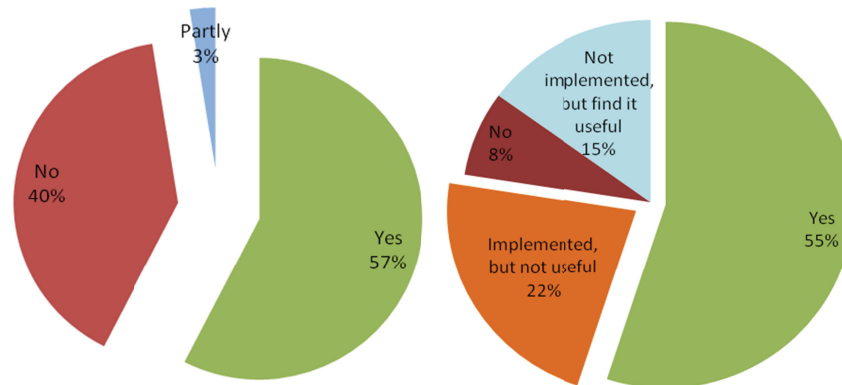> *"A more consultative, highly interactive process should be encouraged. HQs should not just dictate to Field Offices"* – UNIDO RO

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[16] It is not clear from the survey response whether and how this figure has been achieved in the given time period, and/or if it is the result of a typing error.
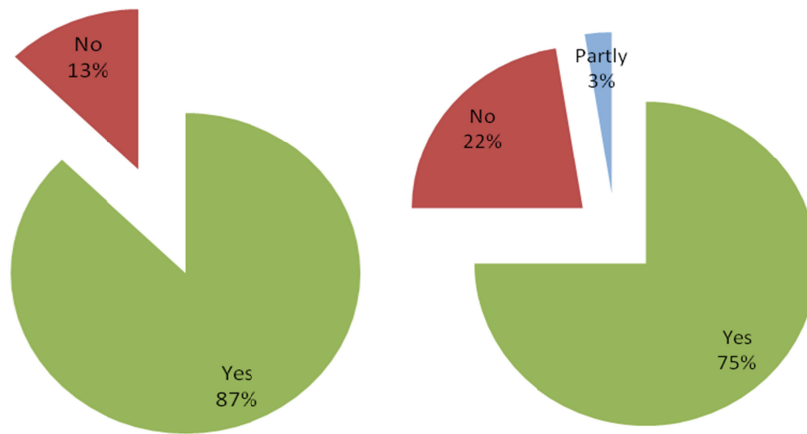
Do you have a RBM-based work plan for the FO?   Has it been implemented?

Is it being used as a Management tool?   Do you find it useful

for your work?

Source: FO Survey, October 2011

35 FOs responded that they have developed a RBM-based work plan for the FO. 5 of the respondent FOs (including a UNIDO desk) have not developed one (yet). However, it has not been implemented by all of them; 22%[17] have not implemented it, and one case stated partial implementation. Interestingly, around 18% of FOs, which have a RBM-based work plan, do not use it as a management tool. It is noteworthy that 22% of the FOs, which have implemented the RBM-based work plan, do not find it useful. On the other hand, some of the FOs which have not yet implemented the RBM-based work plan (15%), consider it useful for the FO's work.

Numerous suggestions were mentioned to improve the RBM-based work plan. The most-frequently stated suggestion was to simplify the RBM-based work plan, followed by the necessity to update it more often, in a more country-specific manner, and taking into consideration that the nature of work of the FOs is rather 'ad-hoc'. Further, they would like to have a higher interaction with the HQ on it and wish to be more involved in the process of preparing the RBM-based work

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[17] The difference in the percentage figures arises from rounding up the figures.

plan. Furthermore, training of staff is required, as well as more resources (staff and finance). It was also pointed out that it is not used consistently, and a greater alignment with UNDAF and national goals should be considered.

Following issues were also highlighted. Often, work done by the FO and/or support provided to PM based in HQ in various ways is not recognized. For the RBM WP to be effective, it should be realistic, taking into consideration the office and country specific situations and be adjusted when necessary. One FO mentioned that it is taking the lead in preparing a RBM WP for the TC activities in its host country, instead of TC being HQ-driven.

> *"KISS – Keep it Simple, Simple!"* – UNIDO RO

Q: Do you have access to Agresso? What has been your experience with it? Do you have any other financial management system(s) in place? If yes, please provide brief comments.
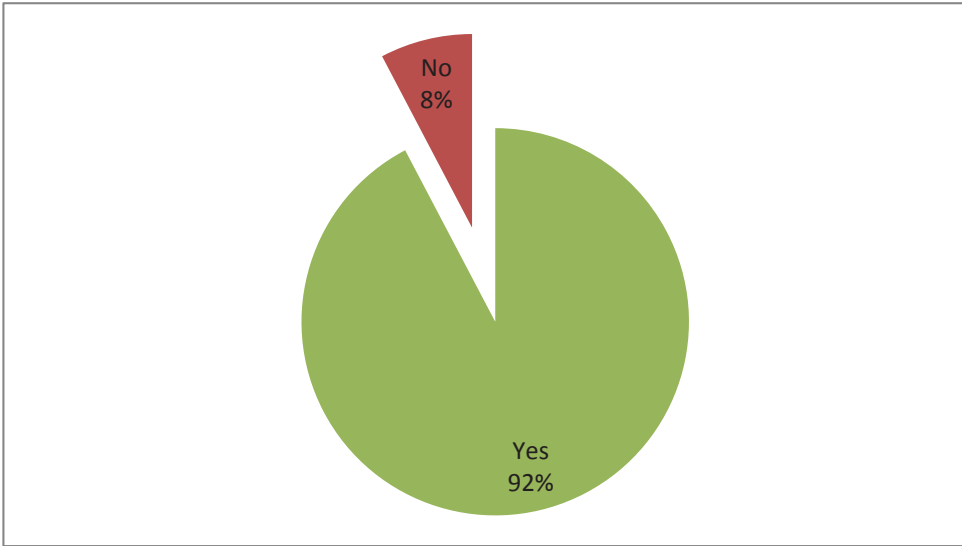
Source: FO Survey, October 2011

> *"Good tool - yet requires more training"* – UNIDO RO
> *"It is very good tool, with some difficulties at the beginning"* – UNIDO RO
> *"Generally fine. The HQs help desk is very useful as well"* – UNIDO RO
> *"Agresso remains a challenge for field staff, particularly for assistants. Training on agresso is too theoretical, it should be more practical and on the job-training."* – UNIDO CO
> *"But I presume Agresso is irrelevant now, no? with the SAP"* – UNIDO RO

92% FOs responded that they have access to Agresso, whereas 8% of the FOs do not. More than 50% of the FOs consider Agresso as a good and useful tool used for MOD and TA approval. At the same time, some of them also responded that its usage is complex and not very user-friendly and supplementary training is required. Less than 10% of the FOs referred to the problem of internet

connectivity as probably being the reason for the slowness of Agresso. FOs have also appreciated the support provided by the help desk. UNIDO Desks and FPs are not included in the above figures.

Some FOs responded that they use EXCEL as a financial management system to manage the office budget. It is used for following-up on MODs, to summarize projects' financial information and daily monitoring. Besides this, there is no other financial management system in place.

Q: Do you have an imprest account? What is your experience with the imprest account?

"While administrative burden increases on our own, we are free from the problem faced by UNDP administration; the ceiling of the imprest account amount poses problems in case the implementation volume is large" – UNIDO RO

No 50%   Yes 50%
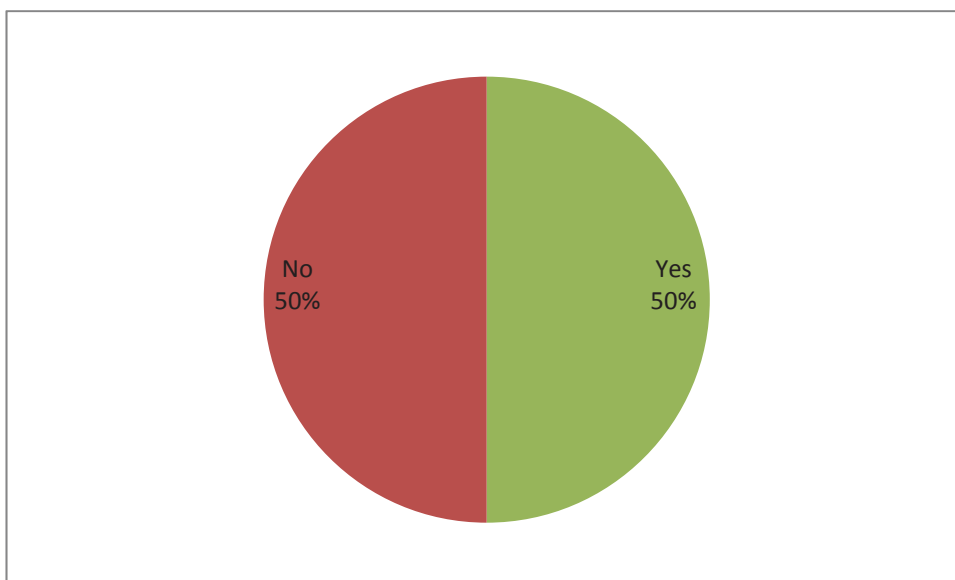
Source: FO Survey, October 2011

50% the respondent FOs have an imprest account, and an equal number of FOs do not. UNIDO Desks and FPs are not considered in the above figures.

Almost all the FOs, which have an imprest account, have expressed mixed opinion about it. On the positive side, the imprest account has been a positive experience as no UNDP fees is due and UNIDO financial transactions can be carried out speedily. On the negative side, a lot of additional work is required (as well as an additional full-time staff, as reported by one FO). Also, staff needs training, and in one case, an accountant was recruited to "prepare the payments and make the monthly statements". However, on the whole, the imprest account is seen as a very useful and relevant instrument contributing to a smooth functioning of the FO. Though administrative work increases, the FOs are "free from the problem faced with UNDP administration".

Following are some issues raised by the FOs:

- training of staff is required
- the ceiling of the imprest account amount poses problems in cases where the implementation volume is large
- rules for signatories should be clarified and could be streamlined.

Q: To what extent has the management of TC projects been decentralized to the FR? In your view, is there need for further decentralization to the FR? If yes, what else needs to be done?

"Out of all projects we have here, only 0.1% that I have management responsibility. … Despite we have been talking about it for more than year, I observe that project manager tend to only involve FR in putting off fire only." – UNIDO Desk

"Actually, we in the field proudly justify that UNIDO is the only UN agency for technology transfer for industry. However, it took UNIDO almost one year to purchase equipment for our client. Till now the equipment is not in the sight. If purchase was done in the field this problem would have been solved." – UNIDO CO

"It would be good if MODs could be issued in the field office for those field implemented projects, i.e., the HQs Finance could clear on-line but the issuance will be done in the field." – UNIDO RO

"Looking to other UN organizations, they have full powers to design, approve, and implement projects in the field." – UNIDO CO

30% of the FOs responded that they would be for increased decentralization of the management of TC projects to the FOs. An equal number of FOs emphasized that their (personnel) capacity is constrained, and hence, they would be for greater decentralization, only after their personnel capacity has been enhanced. In their opinion, given their present capacities, a higher decentralization without contemporaneous capacity enhancement is not realistic. Higher decentralization of TC project management without a decentralization of decision making is also seen as a hurdle to effective project management by the FOs. Additional training of staff would be necessary to manage TC projects. Higher involvement of FOs in project management would also require a "clear understanding with relevant PMs on clear division of roles and responsibilities and what the FO is expected to do".

Less than 10% of the FOs replied that no changes or any further decentralization are necessary. In some cases, minimum infrastructure (human capacity, web-related – unreliable internet connect, and/or budget) was not at hand, to support higher decentralization.

"The nearer to the project the manager is, the better it is - better response time, better understanding of problems, better monitoring. BUT, you need "boots on the ground"." – UNIDO RO

Q: Did you participate in procurement and if yes, how?

> *"I reviewed the evaluation of offers of local suppliers of tools needed for one of our TC projects and, having been convinced of its fairness, approved the result. I also review and endorse routine purchase orders." –* UNIDO CO
> *"Elaborating ToR, promoting … participation, evaluating proposals, supporting contracting processes, making follow-up of delivery." –* UNIDO Desk

75% of the FOs responded that they participate in one way or the other in procurement. 16% have procured office supplies for the RO; and a further 16% have been involved in low-cost procurement (below USD20,000). The others have carried out one or more of the following activities: preparing technical specifications, elaborating ToR, providing substantive inputs for supplier selection, advertising for call for quotations, soliciting of quotations, reviewing and evaluating the proposals, approving purchase order, authorizing payments, supporting contract process and collecting bids and sending them to HQ.

Q: Did you encounter procurement problems and if yes, how could they be solved?

Around 63.3% of the FOs, which are involved in procurement activities, answered that they have not encountered any or any grave problems while participating in procurement. 36.7% of the FOs, which are engaged in procurement activities, face(d) and have mentioned some issues and challenges while carrying out the same. UNIDO desks require approval from the relevant Regional Office, and one of them has mentioned that at times, it can take up to 3 weeks for the issuance of a MOD. Would the RO have the authority to issue the MOD, the waiting time would be less.

Due to (personnel) capacity shortage, the procurement process sometimes becomes a one-person process. At times, due to technical specifications, the expertise of HQ PM is required, which, depending on the availability of the PM, can again be a lengthy process.

Q: Did the FR staff receive training in administrative matters? Please provide brief comments, if any.

> *"I have one GS office assistant recruited in July and since then she has not even be invited by HQs for briefing. The answer I have received when I requested the training (on AGRESSO) has been that there are no funds available for that!!!" –* UNIDO CO
> *"No. This requires action on the side of PSM Branch." –* UNIDO Desk
> *"very few and very light - and no follow up" –* UNIDO RO
> *"Yes, but not enough and not regularly" –* UNIDO RO

Over 50% of the FOs replied that staff had received training in administrative matters. From this, 36% responded that though staff had received training, it was not sufficient. Staff members have been trained on Agresso and decentralized

procurement. Some of them have made use of training modules available on the intranet. A few staff members have received IPSAS training, as well as training in imprest account management and administration.

A number of UNIDO desks have received training in one or more of the following - how UNIDO works, RBM, Agresso, procurement and IPSAS. Some have benefitted from long-distance informal help from HQ colleagues. However, over 50% of the UNIDO desks responded that they have either received no training or solely induction training.

Q: Is the FR sufficiently equipped with human and other resources to efficiently and effectively manage the present portfolio?

"For managing the present portfolio, yes, thanks to the efficiency of the backstopping officer in HQ. The problem will arise when there are several other projects and if their management is decentralized." – UNIDO CO
"This is about support from UNDP. … They don't bother about UNIDO, since UNDP employs them. They first satisfy need of UNDP staff, then they come to UNIDO after several time requests." – UNIDO Desk

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17.5% of the FOs stated that they have ample human and other resources to effectively and efficiently carry out their activities. 52.5% of the FOs disagreed with it, adding that given these resource constraints, they make efforts to manage the present portfolio efficiently and effectively.

According to 30% of the FOs, their sufficiency of human and other resources is valid merely for the current portfolio of projects. However, should further decentralization of project management activities take place, or the current portfolio amplify, the current resources would not be adequate anymore.

Almost all the UNIDO desks replied that they do not have enough staff. They are usually staffed with no more than the Head of UNIDO Operations (HUO). Further, over 40% of the respondent UNIDO desks indicated that they are the sole operators of the UNIDO desk and do not have any general service/support staff; 25% pointed out that they are not equipped with a service vehicle.

Q: In your view, are FR services to internal and external partners delivered on time and according to plans and budget?

"Not really since we have to go through UNDP for payments" – UNIDO CO
"Yes, but with very innovative and proactive initiative taking of our administrative staff." – UNIDO RO
"With the resources available in the Office it is hard not to incur in mistakes and delays. However we do try hard." – UNIDO RO
"70% yes" – UNIDO CO

77.5% of the FOs answered that FO services to internal and external partners are delivered on time and according to plans and budget. Around 30% of these responded that the FO services are delivered more or less on time, with some

exceptions, arising out of limited resources. Delays might also take place in case of countries (included in FO coverage) with no local person under UNIDO contract. Moreover, in some cases, local authorities and UNDP bureaucracy influence the time required to carry out certain activities.

22.5% of the FOs replied that it is not possible for them to deliver on time. In cases of FOs (Regional Offices) with more than one country of coverage, and limited resources (human and financial), it is particularly difficult to deliver according to plan. From this, some reported delay, mainly in procurement issues, which occurred due to complexity of UNIDO procedures and centralization of implementation at HQ.

Q: If required, what could the FR do differently to improve efficiency and achievement of results, keeping existing resources in mind.

"Simplify procedure and administration, also, get clarity on distribution of task between HQ and FO" - UNIDO RO
"No way; we need support from HQ." – UNIDO CO
"Timely planning and effective communication between project managers and the field office" – UNIDO Desk
"Keeping present resources as they are, the only way to be more efficient is to reduce the Portfolio." – UNIDO Desk

Without any change in the existing resources, 17.5% of the FOs responded that any significant change in achieving results is not feasible. A further 17.5% accentuated the contribution of HQ in improving efficiency of the work of the FOs. Further mentioned issues and suggestions are as follows:

- More support from HQ and a clear division of tasks between HQ and FO;
- Timely and effective communication between HQ and FO to enhance efficiency;
- Acquaintance of FOs with the new systems at the HQ in a well-timed manner;
- Wider mandate for imprest accounts to expedite activities;
- More authority for the delegation of RB funds for TC programming, exploratory missions, field-level activities and initiatives (consultations and meetings), so that small proposals and/or SSS do not need to go through the HQ approval process, to avoid lengthy waiting time.

Appropriate training of staff was another factor mentioned as being conducive to improving efficiency and achievement of results. The FOs requested that SAP training be given to the URs and assistants as soon as possible.

According to further responses, recruitment of a focal point in the countries of coverage would assist work of the FOs. At the FO itself, recruitment of experts from project budgets would facilitate the activities of the FOs. Furthermore, an

upgrading of the IT/online infrastructure, including access to imprest and Agresso has been suggested. IT-based work (flow) would enhance accountability of individuals and facilitate follow-up of processes.

Q: In what way would you like to see the FR strengthened? Please provide brief comments, if any.

> *"Bottom-up processes should be encouraged and not top-down approach …*
> *Field staff comes 2nd priority to HQs while action is happening at the field level"* – UNIDO RO
> *"Strengthening the office NOW is a MUST if we want to capture AVAILABLE opportunities."* – UNIDO RO
> *"Staffing is very important and because of this UNIDO might lose some opportunities within the UNCT. Currently the small agencies are discriminated against compared to large ones. UNDP and UNICEF are taking the lead in all respects. We are criticized as being understaffed despite the fact that "Small is beautiful" as quoted by Joseph Schumpeter."* – UNIDO CO

To strengthen the FO, the majority of the respondent FOs mentioned the need for more staff. The type of staff required varies from one FO to the other. Some of them require professional staff, some NPOs, and/or consultants (international and national) within the area of expertise most prominent in the ongoing projects, to fully participate in, or undertake independently, activities within the framework of the mandate of the FO, including project planning, implementation and monitoring. In some cases, staff should be equipped with sectoral knowledge in UNIDO's thematic areas, others require industry-generalists.

It was pointed out that an agency is considered strong if it has a strong presence in the country, which in turn is judged by its participation in UN-related issues (*inter alia*, participating in operations management team, working groups in UNDAF). If the agency does not participate in the above-mentioned activities, it is assumed that it cannot cope with the work. Hence, it was highlighted that a minimum number of staff in the FO is very important.

It was suggested that the size of the countries covered, the existing portfolio, as well as UNIDO's potential in those countries can be taken into consideration while staffing the FO. One FO responded that the FO needs qualified people to deliver, and not only manage the "ongoing, represent and sign payments". Moreover, there is need for more training of the FO staff.

Higher financial "independence" is seen by many FOs as being essential to strengthen and facilitate their work. The significance of HQ's acceptance of the roles and responsibilities of the FOs was stressed again. Continuity with respect to experts was highlighted. It was pointed out that the FOs should also have Consultancy budget similar to the Directors of the Technical Branches at the HQ. Other highlighted issues were the establishment of an 18-hour SAP hotline (taking into consideration the time difference in the countries of UNIDO representation), better ICT equipment in the FR office, more funding for the FO as well as more support staff.

UNIDO desks underlined that access to imprest account and Agresso would easen their work. Further, knowledge sharing with HQ and other FOs would enable them to cope better with the requirements of their work. For this, they suggested a regular two-way reporting as well as a yearly meeting.

Q: If you could reallocate resources, in what way would you like to do it?

> *"I would like to have some flexibility to use the budget between the allocated budget lines: (today we buy computer while we need to recruit someone, because the budget wants it.)"* – UNIDO CO
> *"I think projects should allocate some resources to FR to monitor their activities, and should be part of project costs."* – UNIDO Desk
> *"We work at minimum levels of human and financial resources, so there is no possibility to reallocate, rather an increase in resources would be needed."* – UNIDO CO

More than 30% of the FOs would reallocate resources to enhance their staff capacity, some would require FT professional staff, others national or international experts, and some would like to recruit more support staff. 15% of the FOs would reallocate resources to enable them formulate new projects together with counterparts. 12.5% of the FOs would assign more funds for advocacy and Global Forum activities, including activities like organizing workshops and seminars about UNIDO's thematic areas and success stories to raise awareness among national stakeholders about UNIDO's strengths and potentials and developing and maintaining relationship with counterparts.

10% of the FOs indicated the need for transportation and travel budget. Some of them would need a vehicle or an additional vehicle, others, especially UNIDO desks, would like to attend a yearly meeting with other FOs, and carry out more field visits and in-country travelling, as well as visit neighboring countries to identify potential regional cooperation projects.

10% of the respondents also highlighted the need for more training so that their staff has the same stand of knowledge as staff at HQ. Yet others stated the need of resources for monitoring activities, buying appropriate equipment, and above all the need for more flexibility in using the available resources. It was suggested that a part of the administration costs received by HQ for the projects should be shared with the FOs. The need for more resources than their reallocation was pointed out.

Conclusions and Recommendations

The survey contributes to the evaluation of FO performance and provides an insight into activities carried out by the FOs as well as issues and challenges faced by them.

UNIDO FOs carry out various activities within the framework of their defined responsibilities. The top-3 activities with highest average time spent are 'contribution to identification and formulation of new UNIDO TC projects/programmes', 'project implementation' and 'contribution to funds

mobilization'; the top-3 activities ranked according to their importance are 'contribution to identification and formulation of new UNIDO TC projects/programmes', 'represent UNIDO among national stakeholders, as appropriate' and 'contribution to funds mobilization'.

Comparing the average time spent on them with their average ranking according to importance, a few cases stand out, because the average time spent on each activity respectively is not in conformity with its corresponding average ranking. For example, in the biennium 2010-2011, the FOs have spent on an average 12.1% (second-highest) of their time on project implementation, its corresponding average rank, however, is 7. 'Participation in CCAs/UNDAF and DaO mechanisms' takes up the fifth-highest average time of the FOs, its ranking being 8.

Such cases call for a re-setting of priorities (time spent in conformity with its ranking). As the figures in the analysis are average figures of all the respondent FOs taken together, they may not correspond with actual figures of some individual FOs. Nevertheless, it is a good tool for priority setting. The FOs can compare their time spent on each task and its ranking in relation to the other tasks.

Most of the respondent FOs confirmed having developed a RBM-based work plan and implementing it. More than two-third of them use it as a management tool and find it useful for their work. As to suggestions to improve the RBM-based work plan, its simplification, as well as a greater alignment with UNDAF and national goals, was suggested.

Whereas a majority of the respondent FOs confirmed receiving timely and appropriate information about new/upcoming and/or ongoing projects, almost one-fourth did not. It was emphasized by the respondents to keep the FOs in the loop [at all stages of project cycle, including planning, implementation and monitoring].

The FOs contribute (indirectly) to the management of TC projects, amongst others, by providing information and support to the HQ. One FO stressed that it is called in only for troubleshooting. 'Decentralization of the management of TC projects' brought forward different opinions. Almost one-third of the respondents would be for increased decentralization of the management of TC projects. However, in view of their capacity constraints, many FOs do not wish further decentralization without an enhancement of resources. Furthermore, it was stated that higher involvement of FOs in project management would require a clear understanding with HQ about their roles and responsibilities.

The level of involvement of FOs in monitoring varies from high involvement to zero involvement. All the FOs have expressed their wish to be (more) involved in monitoring of ongoing projects. They, however, as in the case of their involvement in the management of TC projects, do not "push" for it due to constrained staff capacity.

Some suggested ways and means of enhancement of HR capacity are as follows: recruiting experts at the FO from project budget, sharing with the FO a

part of administration costs received by HQ, allocating monitoring budget to the FOs and/or allocating Consultancy budget to the URs, similar to the Directors of the Technical Branches at HQ.

FOs participate in various ways in procurement, a few directly (below USD20,000), most of the others by carrying out one or more of the following activities – elaborating ToR, providing substantive inputs for supplier selection, soliciting of quotations, reviewing proposals, collecting bids and sending them to HQ, etc. Should a higher involvement of the FOs be desired or foreseen, it would be necessary to adjust FO resources accordingly.

Agresso and the imprest account, on the whole, are considered as good and useful tools, though administrative burden increases. At the same time, some FOs find their usage complex and not very user-friendly. The need for further Agresso and imprest account-related training was also expressed.

Funds mobilization varies from one FO to the other. Some FOs have mobilized funds directly; others contribute to funds mobilization (indirectly) in different ways, *inter alia*, building relations, maintaining contact and dialogue with potential donors, negotiating with national counterparts and bilateral and multilateral donors/donor institutions.

Regarding possible alternative usage of FO resources, many FOs expressed the need for enhancing their human resource capacity; some would like to use resources to formulate new projects with counterparts, and yet others would like to assign more funds for advocacy. Above all, they would like to have more flexibility to use the budgetary resources allocated to them.

Referring to UNIDO desks, in some cases, the office consists of no staff other than the HUO. As it was pointed out in the survey responses, some have received inadequate or no training on UNIDO rules, procedures and software. It was also pointed out that their roles and responsibilities may not be clearly defined, and at times, their role is limited to support tasks.

UNIDO desks consider it crucial that they also receive appropriate training to enable them to be familiar with UNIDO rules and procedures. Knowledge sharing with HQ and other FOs would enable them to cope better with the requirements of their work. For this, a regular [regional] meeting, for example, once or twice a year, with other URs, and UNIDO desks/FPs in their region, was mentioned as a possible solution.

Last but not least, to enhance efficiency of FO work, which contributes to efficiency of UNIDO's work, the significance of effective communication between HQ and FO, higher and early involvement of the FOs in projects, and more HQ support for the FOs were mentioned recurrently.

Bibliography

Field Office Generic Assessment Framework 2010
IDB. 37/6/Add. I, dated 20 April 2010
UNIDO/DGB/(0).95/Add7, dated 26 February 2010
UNIDO's TC Guidelines from 2006

ANNEX B - Field Office Generic Assessment Framework

UNIDO Field Office Performance:
Generic Assessment Framework

Contents

1. Introduction

1.1 This document outlines a generic framework for the evaluation of UNIDO field office performance in the context of comprehensive country evaluations that also cover technical cooperation (TC) projects/ programmes and Global Forum activities. Adjusted to the requirements of a particular country evaluation, it can be incorporated with the TOR for that evaluation. A generic TOR for UNIDO country evaluations can be downloaded from the ODG/EVA intranet page.

1.2. Field office performance assessments are integral parts of country evaluations. Embedded in evaluations that also assess TC projects/programmes and Global Forum activities, they examine the role and contribution of the field office in a wider perspective but also more specifically in relation to TC delivery and management and Global Forum activities.

2. Background

2.1 UNIDO's field representation has been progressively transformed and strengthened since UNIDO was first established in 1966. Originally integrated with the field representation of UNDP and in part financed by UNDP, it now, in 2010, consists of 10 regional offices, 19 country offices, 18 UNIDO desks in UNDP offices, five UNIDO focal points operating from a counterpart institution, and one centre for regional cooperation. Altogether, UNIDO is represented in more than 50 countries around the world. Since the late 1990's, the field organization has been fully financed from UNIDO regular budgets, with some cost sharing and contributions by host governments.

The gradual expansion of UNIDO's field organization reflects changes within the UN-system towards closer cooperation of agencies at country level as well as a more general shift of development cooperation management and decision-making towards the country level. Field offices/desks are intended to make UNIDO more accessible to partner country clients and stakeholders, while helping UNIDO itself to ensure that its services are well tailored to partner country

needs and priorities. They are also intended to facilitate interaction with the UN country-level teams and bilateral and multilateral donors. Field presence is regarded as a precondition for efficient participation in joint UNCT planning and programming, and is normally required for leading a joint UN programme initiative. In some cases it is also required by donors.

However, the expected returns on investments in UNIDO's field representation do not come by themselves. Some field offices turn out to be more useful to UNIDO and partner countries than others, and some field offices are more efficient in, for instance funds mobilization, than others. An assessment conducted by the Office of the Comptroller General of UNIDO in 2004 found that field offices generally spent relatively little time and effort on coordination with the local UN team, although UN country level integration was already at that time a UN priority issue.[18] It also found that while field offices gave much importance to supporting TC activities, they were often more concerned with the administration and monitoring of ongoing TC activities than with the development of new ones. Since identification and formulation were activities for which field offices were considered particularly well positioned, this was not quite expected.

A more recent evaluation that deals with the performance of UNIDO desks confirms that it can be difficult for UNIDO's field representation to live up to headquarter expectations.[19] Although for the most part quite positive in its assessments, it notices that in some respects objectives are not fully achieved. With regard to facilitating access of stakeholders to UNIDO expertise, for example, the performance of the UNIDO desks is said to be uneven, and a similar assessment is made of desk contributions to the implementation of TC projects. According to the evaluation, these shortcomings in desk performance are to a large extent due to a mismatch between a very demanding set of responsibilities and the limited resources made available for their fulfillment.

What all this goes to show is that the performance of UNIDO field offices needs to be continuously monitored and periodically evaluated in greater depth. The performance assessments for which this document provides generic guidance are intended to fill this evaluation gap. Field office assessments are expected to be useful one by one, but will also serve as inputs to a thematic evaluation. A thematic evaluation of field office performance will be conducted in 2011.

3. Purpose

3.1. Field office assessments are assessment of the performance of field offices in conducting their mandated functions and achieving stated objectives. They are organizational or functional assessments as opposed to staff assessments focusing on individuals.

Like the comprehensive country evaluation of which it forms a part, a field office assessment serves purposes of both learning and accountability. It is intended to

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18   Report on the Assessment/Evaluation of UNIDO's Field Representation. Office of the Comptroller General. 2004. V.04-51638.

19   Joint Terminal Evaluation of the implementation of the cooperation agreement between the United Nations Industrial Development Organization and the United Nations Development Programme. UNIDO Evaluation Group/UNDP Evaluation Office, 2009.

be useful to managers and staff at UNIDO headquarters who call on field offices for services or inputs as well as to the field offices themselves. It is also expected to be useful to UNIDO's governing bodies and to external partners interested in UNIDO's field organization.

4. Scope and focus

4.1. A field office assessment covers the main functions of a UNIDO field office.

In case the field office is a regional office serving several countries, the assessment will not include all the activities for which it is responsible, but cover only those pertaining to the country in focus for the country evaluation.

The list of field office responsibilities presented below is based on UNIDO/DGB/(0).95/Add 7. dated 26 February 2010, IDB. 37/6/Add. I, dated 20 April, 2010, UNIDO's TC Guidelines of 2006, and other documents describing the responsibilities of UNIDO's field representation.

These are;

- Formally represent UNIDO among clients and stakeholders as appropriate.
- Help create/increase knowledge about UNIDO among potential clients and other interested groups in the country in order to stimulate demand for UNIDO services. This is an important marketing function. In UNIDO's standardized format for field office (FO) work plans it is referred to as 'enhancing the visibility' of UNIDO and is one of five main field office outcome areas.
- Promote and facilitate Global Forum activities. The role of the field office can be that of a knowledge broker facilitating exchange of information and knowledge between national counterparts and stakeholders and transnational UNIDO networks. On the one side, the field office helps national stakeholders to get access to transnational knowledge networks. On the other side, the field office makes national expertise and experience accessible to transnational networks.
- Provide advice to national stakeholders in UNIDO's areas of expertise as requested. To a large extent UNIDO advice flow through the channels of TC programmes/projects and specific Global Forum activities. However, advice can also be provided to national stakeholders, including the national government, through other types of contact and upon a direct request.
- Keep UNIDO headquarters informed of national developments in UNIDO's areas of specialization through continuous liaising with national counterparts and stakeholders as well as representatives of international development organizations.
- Contribute to the identification and formulation of new UNIDO TC projects/programmes. In cooperation with the Regional Programme, the field office gathers information relevant to the identification and formulation of new country programmes as well as of national or regional projects. It paves the way for the formulation mission both substantively and logistically. It is expected to play an important role in ensuring that the

programme to be proposed to the national government is aligned with national priorities and can be incorporated within the wider UN assistance frameworks.

- Help mobilize resources for TC interventions from the national government, international donors, and other interested actors. Conducted with support of UNIDO headquarters, the participation of field offices in resource mobilization is especially important in countries where there is a joint financing mechanism for the UN-system and/or donors have decentralized funding decisions to the country level.
- Contribute to ongoing UNIDO TC activities in the country/region through monitoring and support to implementation and evaluation. In the monitoring of programmes, field offices should regularly review implementation status with counterparts and stakeholders, brief and debrief experts and consultants, attend review meetings, and report back to the programme team on accomplishments and the possible need for remedial action. At project level, the main FO task is usually to provide administrative, technical and logistic support to project managers and experts based at UNIDO headquarters. In some cases, however, projects are directly managed by FO staff members who are then also allotment holders. Field offices also provide support to evaluation missions.
- Contribute to gender mainstreaming of TC activities at all stages.
- Support UN integration at country level through active participation in the United Nations Country Team (UNCT), and contribute as appropriate to joint UN country-level initiatives (Common Country Assessments (CCAs), United Nations Development Assistance Frameworks (UNDAFs), Delivering as One (DaO), etc.). Act as champion of UNIDO thematic interests and UNIDO itself in the UNCT.

4.2 Field office assessments do not replace the audits performed by UNIDO's Office of Internal Oversight Services (IOS). While internal audits tend to focus on compliance with UNIDO rules and regulations, the quality of systems of internal control, etc., field office assessments are more directly concerned with the contributions of field offices to development cooperation or in fulfilling UNIDO's mandate. Financial control, contracts, procurement, travel and general administration are matters that typically belong to auditing. Such matters may figure in field office assessments as variables influencing technical cooperation (TC) delivery (efficiency aspects) and results (effectiveness aspects), but would not be examined in their own right or in respect to adherence of rules and regulations.

4.3. Field office assessments are also not intended to replace the reporting by the field offices themselves on activities and results in accordance with their annual results-based management (RBM) work plans. While the RBM work plan and the monitoring of its implementation are integral elements of field office management, a field office assessment is an independent evaluation of field office functioning. In a field office assessment both the design and the implementation of the RBM work plan are assessed. The work plan's standardized causal logic of outputs and outcomes is regarded as a hypothesis to be interpreted and validated rather than as an established fact.

In the standard RBM work plan framework for UNIDO field offices the following are currently (2010) the main outcomes:

1. UNIDO visibility enhanced at global, regional/sub-regional and country levels.
2. Responsiveness of UNIDO to national/regional priorities:
-TC programme and project development
-Fund raising
3. Effective participation in UN initiatives at country level, including UNDAF, PRSP, UNDG, One UN, etc.
4. Promoting Global Forum activities with direct link to UNIDO priorities and to the potential increase of UNIDO portfolio in the region and worldwide.
5. Effective management of technical cooperation activities and the UNIDO office.

Field office assessments should review the appropriateness of this categorization of outcomes and the rest of the standard RBM work plan framework (outputs, indicators, etc.) for guiding the activities listed in section 4.1 above and reporting on their results. Questions regarding the appropriateness and actual and potential use of the work plan framework are included in the attached field office evaluation framework.

5. Criteria and issues

5.1 Field office performance is assessed in relation to three evaluation criteria:

- Relevance
- Effectiveness,
- Efficiency

The following paragraphs define these concepts and explain how they are intended to be applied in field office assessments. Standard evaluation questions relating to each of the criteria can be found in the attached field office evaluation matrix (Annex B).

5.2. **Relevance** is defined in much the same way as in the OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management. The main difference is that while the OECD/DAC definition refers to the relevance of a specific development intervention, a field office assessment is concerned with the relevance of a subdivision of a larger organization. In both the cases, however, relevance is a criterion for assessing the extent to which the evaluated unit matches the needs and priorities of its clients or target groups. Most of the questions about relevance in the attached evaluation matrix concern the extent to which field office services are consistent with needs and priorities formulated in the partner country PRSP and other national policy documents and are considered useful by national counterparts and stakeholders. There is also a question about the consistency of the field office work programme with UNIDO strategic priorities. Is the field office doing what it should, given UNIDO priorities in relation to the country in question?

5.3. **Effectiveness** is a criterion for assessing the extent to which an entity has achieved, or is likely to achieve, its objectives or fulfill its mandate. OECD/DAC defines it as 'the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.' In an assessment of field office performance, however, it is better understood as 'the extent to which an organization, or organizational unit, has achieved, or is expected to achieve its objectives or fulfill its responsibilities, taking into account their relative importance.' So defined, effectiveness refers to achievement of objectives and/or fulfillment of responsibilities in relation to most of the field office functions listed in section 4.1 above, including that of contributing to the effectiveness of TC projects/programmes.

Note that assessments of field office effectiveness should focus on the achievement of outcome-level results, rather than the performance of activities and the delivery of outputs. The key question is always the same: has delivered outputs been useful to clients or target groups as intended, and/or is it likely that they will achieve their intended effects in the future? In a field office assessment, the client or target group is in many cases another UNIDO functional unit for which the field office provides supportive services. In other cases, the client is a partner or stakeholder outside UNIDO.

In the attached evaluation matrix (Annex B) the effectiveness criterion is applied to all the field office functions listed in section 4.1 above one by one. With regard to each of the functions there is a package of questions covering the following points:

- Activities and outputs: What has the field office actually done in relation to the function in question during the assessment period? What were the activities? What were the outputs? Who were the target groups or clients?
- Gender mainstreaming: How were gender equality issues taken into account by the field office in these activities?
- Performance monitoring: How has the field office monitored and measured the implementation and results of its own activities in relation to this function during the assessment period?
- Observed/inferred outcomes of field office outputs: What have been, or seem to have been, the outcomes of field office services for clients and target groups?
- Achievement of objectives/fulfillment of responsibilities: How do the observed/inferred outcomes for clients and target groups compare to intended outcomes? Are outcome-level results satisfactory in relation to field office mandates, plans and expectations?
- Capacity to respond to Government expectations: Is the Field Office able to cope with the country's expectations and does it effectively and efficiently respond to Government priorities? What is the added value of UNIDO's field office for the Government?
- In case intended outcomes for clients and target groups were not achieved or mandates not fulfilled: What is the explanation for the gap between intended and achieved results?
- Ways by which the field office could make its operations pertaining to this function more effective, if required.
- Ways by which UNIDO head quarters could support field office efforts to make these operations more effective, if required.

An assessment of the overall effectiveness of a field office is a synthesis of function-by-function assessments that takes the relative importance of functions into account.

5.4. While effectiveness is about results, primarily outcomes, **efficiency** is about inputs and outputs and the relation between them. According to OECD/DAC, efficiency is 'a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.' As long as the word 'results' is taken to refer to outputs alone, this is an appropriate definition for field office assessments. Efficiency in this restricted sense is also known as input-output efficiency.

Since a field office provides a variety of services, most of which are non-standardized and difficult to measure, its efficiency in converting resources into outputs is not readily reduced to numbers and not easily compared to that of other field offices or other organizations. In large part, however, an assessment of field office efficiency is concerned with the quality of management systems and practices and the delivery of outputs according to plans, resources and budgets. It also covers efforts to achieve higher productivity, maintain or improve quality of outputs, and reduce the costs of resource inputs. The attached evaluation matrix includes standard questions (Annex B).

5.5. An assessment of field office performance must be grounded in an accurate appreciation of field office capacity in relation to its mandate and resource endowment and factors in the environment that may influence performance. The task of a field office assessment is not just to assess performance in relation to a set of standardized criteria, but to find explanations for differences in performance levels and constructively suggest remedies where performance seems to fall short of expectation and to identify good practices and benchmarks.

If a field office fails to achieve planned results, or does not achieve them well enough, it is perhaps because the objectives were unrealistic given the constraints of the local environment or the limitations of field office capacity. It may also be because the existing field office capacity is not well utilized, or it is perhaps due to a combination of all of these factors. Whatever the problem, it is the task of a field office assessment to come up with a useful and forward-looking diagnosis.

Similarly, when a field office is found to perform very well, a field office assessment should not be content with putting its achievements on record, but should try to identify factors explaining the good performance and draw conclusions that can be usefully applied elsewhere.

6. Approach and methodology

6.1. Field office assessments are part of country evaluations and should be planned and implemented accordingly. The evaluation team responsible for the country evaluation is usually also in charge of the field office assessment. Findings from assessments of TC project/programmes and activities pertaining to the Global Forum provide essential inputs to the field office assessment. Questions about field office contributions to TC interventions or Global Forum

initiatives cannot be adequately answered without prior assessments of these activities themselves.

6.2. Field office assessments are conducted with the active participation of field office staff. They begin with a self-evaluation where field office staff members are asked to describe the functioning of the field office and make their own assessments of results in relation to the evaluation criteria explained above. In a second step the results from the self-evaluation are used as a platform for discussions between the FO staff and the evaluation team.

6.3. Data for field office assessments are also collected from actual and potential recipients of field office services inside and outside UNIDO. Since field offices are service organizations, opinions regarding the usefulness of their services to clients, as well as information on actual client satisfaction with services rendered, are essential for assessments of field office performance.

6.4. The selection of clients or target group representatives to be interviewed in connection with a field office performance assessment is made by the evaluation team in accordance with the requirements of the case at hand. The evaluation team is also responsible for other aspects of the evaluation methodology. A description of the proposed methodology should be included in the country evaluation inception report.

ANNEX C - Field Office General Assessment Matrix

UNIDO Evaluation Group
2010-09-16

No	Evaluation issue	Functional area	Related FO Work Plan Outcome Variable	Evaluation questions	Indicators	Data sources
1	Relevance	Entire FO service package	Outcome 2: Responsiveness of UNIDO to national and regional priorities	To what extent is FO with its current range of services relevant to the needs and priorities formulated in the PRSP and other key national policy documents?		Interviews with indicated stakeholders

PRSP docs |
| 2 | Relevance | | Outcome 2: Responsiveness of UNIDO to national and regional priorities | To what extent is the FO relevant and useful to representatives of the national government and other actual and potential clients in the country? | | UNDAG doc

One UN doc |
| 3 | Relevance | | Outcome 3: Effective participation in UN initiatives at country level including UNDAF, PRSP-realted support, UNDG, One UN, etc. | To what extent is FO considered relevant and useful by representatives of other international development organizations including UNCT members? | | |
| 4 | Relevance | | | To what extent is the overall FO work programme relevant to UNIDO's own policies and priorities? | | |

5	Effectiveness	Enhanced UNIDO visibility and better knowledge about UNIDO in the country	Outcome 1: UNIDO visibility enhanced at global, regional, and country levels	• What has FO done to increase the visibility of UNIDO and provide better knowledge of UNIDO among national stakeholders? What were the outputs? What were the target groups? • How were gender issues taken into account in activities intended to inform about UNIDO and enhance UNIDO visibility? • How were results monitored? • What were the outcomes? • How do achieved outcomes and WP outputs compare to intended results? • In case intended outcomes were not achieved and outputs not delivered: What is the explanation? • If required, what could FO do to increase its effectiveness in this area? • If required, how could UNIDO HQ best assist FO in strengthening its performance?
6	Effectiveness	Contribution to UNIDO Global Forum activities	Outcome 4: Promoting Global Forum activities with direct link to UNIDO priorities and to the potential increase of UNIDO portfolio in the region and worldwide	• What were the planned outputs and to what extent were these outputs delivered? • Did the FO provide inputs to or facilitate participation of nationals in key GF events? • Did the FO ensure participation of UNIDO in country level events? • Did the FO promote South-South activities? • How were gender issues considered in Global Forum and South-South activities? • How were the results of GF activities monitored? • What were the main outcomes of these activities? Have FO activities in this area had any effects on UNIDO's portfolio nationally, regionally, or worldwide? • If required, how could FO increase the

#				effectiveness of activities related to UNIDO's Global Forum or be supported in this respect?
7	Effectiveness	Advisory services to the national government and other national stakeholders	Outcome 2: Responsiveness of UNIDO to national and regional priorities	• What advisory services to national stakeholders has the FO provided or been instrumental in providing? • How were gender issues taken into account in advisory activities? • How were the results of such activities monitored? • What were the outcomes? Was UNIDO advice useful to national stakeholders? How? • If required, how could UNIDO HQ assist FO efforts to strengthen its advisory services?
8	Effectiveness	Contribution to the UNCT and joint initiatives through the UNCT	Outcome 3: Effective participation in UN initiatives at country level including UNDAF, PRSP, UNDG, One UN, etc.	• What has FO done to strengthen UN integration through participation in the local UNCT? • In what ways has the FO contributed to joint UN initiatives through UNCT? What were the outputs? • To what extent were planned outputs and intended outcomes achieved? • How were gender issues taken into account? • How were results monitored? • If required, how could UNIDO HQ help strengthen FO input to the work of the local UNCT?
9	Effectiveness	Contribution to UNIDO participation in joint UN country-level initiatives	Outcome 3: Effective participation in UN initiatives at country level including UNDAF,	• What has FO done to champion UNIDO thematic interests and UNIDO itself in joint UN initiatives? • Does UNIDO play a role in the UNCT? • Inclusion of UNIDO and UNIDO mandated areas in UN Documents, programmes and plans? • Is UNIDO playing an active role in UN country

#				Questions
			PRSP, UNDG, One UN, etc. (CCA, UNDAF, Delivering as One, etc.) and in PRSP	• level mechanisms? Participation in UNDAFs and One UN? In drafting UNDAPs? • Participation in PRSP reviews and or providing inputs PRSP papers? • How were gender issues taken into account? • If required, how could FO become more effective in contributing to these joint UN initiatives?
10	Effectiveness	Input to UNIDO TC project and programme development	Outcome 2: Responsiveness of UNIDO to national and regional priorities	• How has FO participated in TC project/programme development? What were the activities and what were the outputs? • To what extent have contributions from FO served to make UNIDO projects/programmes relevant to partner country needs and priorities? • How were gender issues taken into account? • If required, how could the effectiveness of FO's contribution to the development of new TC projects/programmes be strengthened?
11	Effectiveness	Management and support to implementation of ongoing TC initiatives	Outcome 5: Effective management of technical cooperation activities and UNIDO office	• How has FO participated in TC project/programme implementation? In what projects/programmes was the FO actively involved and what was its role? • To what extent have management of TC projects been decentralized to the FO? • What is the total PAD held by field office staff? • Are FO monitoring, reporting and filing systems up to date? • Is UNIDO HQ staff timely and appropriately informed about of TC delivery or administrative matters? • Is the supervision of UNIDO desks appropriate and efficient? • How were gender issues considered in these

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				• activities? • If required, how could FO enhance the effectiveness of its contributions to project/programme implementation?
12	Effectiveness	Monitoring of TC projects and programmes	Outcome 5: Effective management of technical cooperation activities and UNIDO office	• To what extent and how does FO monitor TC projects/programmes? • How have gender issues been taken into account in FO monitoring of TC project/programmes? • How and when have the FO reported on results from TC monitoring? Have IP /CP progress reports been prepared? • To what extent have FO progress reports been regarded as useful by their intended users? • Have IP or country programme steering committee meetings been organized as planned. • If required, how could FO improve the quality of its monitoring services or in other ways make them more useful to stakeholders?
13	Effectiveness	Contribution to TC resource mobilization	Outcome 2: Responsiveness of UNIDO to national and regional priorities	• To what extent has the FO contributed to the mobilization of resources for TC activities? • What has been the development of the financial volume of the UNIDO national portfolio? • Number of TC funding agreements and their financial volume? • If required, how could FO become more effective in helping mobilize TC resources?
14		Contribution to UNIDO country analysis function	Outcome 2: Responsiveness of UNIDO to national and	• By what activities and outputs have FO supported UNIDO's country analysis function? • How were gender issues considered in these activities? • Did the Office carry out any country needs

No.	Category	Scope / Indicators	Questions
		through liaising with stakeholders and reporting on country developments	regional priorities	assessment exercise? • What was the outcome? How useful were FO's contributions to UNIDO? • If required, how could FO make its contributions to country analysis more effective?
15	Overall Effectiveness	Entire FO service package	All work plan outputs and outcomes	In view of the assessments above, how should the overall FO effectiveness be assessed? To what extent have work plan objectives regarding outputs and outcomes been achieved?
16	Efficiency	For the entire FO work programme as well as for each function separately as appropriate		• To what extent has the UNIDO RBM-based work plan system been implemented by the FO? Is it used as intended? • To what extent is it considered useful by FO staff? • Has is contributed to FO efficiency, and if so how?
17	Efficiency			Are there quality financial management systems in place to support efficient planning and production of services? Are implementation functions and tools sufficiently decentralized for FO to be able to operate efficiently? For instance, is there an imprest account?
18	Efficiency			Are FO staff members well trained in general UNIDO administrative routines?
19	Efficiency			Is FO sufficiently equipped with human and other resources, given its mandate, and are FO work plans realistic in view of the resources?

20	Efficiency	Outcome 5: Effective management of technical cooperation activities and UNIDO office	Are FO services to internal and external clients delivered on time and according to plans and budget?
21	Efficiency	Outcome 5: Effective management of technical cooperation activities and UNIDO office	Are FO resources used with due regard to economy?
22	Efficiency		Is the contribution by FO to efficient TC project and programme delivery adequate, given competing demands on FO's limited resources?
23	Efficiency		How should the overall efficiency of FO operations be assessed, taking all the partial efficiency assessments above into account?
24	Efficiency		If required, what could FO do differently to improve efficiency and provide more value for money?
25	Efficiency		How could UNIDO HQ best support efforts by FO to make its work processes more efficient?

ANNEX D - Documents Consulted

- Country Evaluations Burundi, China, India, Morocco, Mozambique, Nigeria, Rwanda, South Africa, Tanzania, Vietnam.
- Country-led Evaluation of Delivering as One United Nations in Cape Verde (2010)
- Dmitry Piskunov, Presentation to member states, 31 October 2012: The UNIDO Field Network and the Bureau for Regional Programmes.
- FO self assessments: Nigeria, Rwanda, China
- IDB. 37/6/Add. I, UNIDO's Field Representation, dated 20 April 2010
- Interoffice Memorandum, 13 June 2007: DGB(0). 95_Add.7 OrG 2010 March: IDB 38/9 and IDB 38/9 add. 2.)
- Interoffice Memorandum, dated 13 June 2007, Enhanced use of RBM Principles and methods in UNIDO activities
- Interoffice Memorandum, dated 5 February 2010, Work plans of RFO field units
- IP evaluations
- Joint Terminal Evaluation of the implementation of the cooperation agreement between the United Nations Industrial Development Organization and the United Nations Development Programme. UNIDO Evaluation Group/UNDP Evaluation Office, 2009.
- Meta Evaluation: UNIDO Integrated Programme 2007-2009
- Partner for Prosperity. "Field Reform: Decentralization and Delegation of Authority – UNIDOs unfinished agenda", Wilfried Luetkenhorst, BoD 2 November 2010.
- Process Evaluation: UNIDO's Field Mobility Policy (2010)
- PTC/OMD, PTC Staff Compact, dated December 2010
- Report on the Assessment/Evaluation of UNIDO's Field Representation. Office of the Comptroller General. 2004. V.04-51638.
- Thematic evaluation of UNIDO's Contribution to One UN Mechanisms (2012)
- UNIDO's TC Guidelines, 2006
- UNIDO Field Office Generic Assessment Framework
- UNIDO Field Office Assessment Matrix
- UNIDO Field Office Survey
- UNIDO, Guidelines on technical cooperation programmes and projects, dated August 2006
- UNIDO/DGB/(0).95/Add7, dated 26 February 2010 (UNIDO Secretariat Structure 2010)
- UNIDO/DBB/(P).120, dated 31 May 2010 (Revised system for the screening, appraisal and approval of technical cooperation programmes and projects)
- UNIDO/DGB/(O).122, dated 5 November 2010, Integration of field operations and offices in PTC
- Wilfried Luetkenhorst, BoD 2 November 2010. Partner for Prosperity. "Field Reform: Decentralization and Delegation of Authority – UNIDOs unfinished agenda"

ANNEX E - List of People Met

UNIDO HQ, Vienna

Mr. Akmel Akpa	Senior Adviser to the DG	ODG/ODG
Mr. Klaus Billand	Senior Coordinator for UN System Coherence	PTC/BRP/OD
Mr. Bashir Conde	Programme Officer	PTC/BRP/AFR
Ms. Margareta de Goys	Director	ODG/EVA
Mr. Victor Djemba	Consultant	PTC/BRP/OD
Mr. Johannes Dobinger	Evaluation Officer	ODG/EVA
Mr. Kay Lisengard	Programme Management Officer	PTC/OMD
Mr. Peter Loewe	Senior Evaluation Officer	ODG/EVA
Ms. Amita Misra	Director and Deputy to the Managing Director	PTC/BRP/OD
Mr. Philippe Scholtes	Director	PTC/AGR/OD
Ms. Nilguen Tas	Unit Chief	PTC/BIT/CUP
Mr. Peter Ulbrich	Director	PSM/FIN/OD

ANNEX F – UNIDO Survey: Assessment of Integration of RPs/FOs in PTC

Following a request of the DG, UNIDO's Evaluation Group (ODG/EVA) is currently carrying out an assessment of the outcome of the integration of the Regional Programmes (RPs) and the Field Offices (FOs) into PTC. The purpose of this exercise is to assess progress made and to identify possible areas for further development and improvement.

Completing the survey will take approximately 15 minutes.
This survey is fully confidential and the identification of respondents will not be disclosed to any third party.

Your feedback will be most valuable to this study and for the efficient operation of UNIDO.

Thank you in advance for your participation in the survey.
There are 31 questions in this survey

FO - Field Office
BRP - Bureau for Regional Programmes
RP - Regional Programmes
PTC - Programme Development and Technical Cooperation Division

1 [Q1] Which type of office do you belong to? *
Please choose only one of the following:
○ FO
○ BRP
○ Technical PTC Branch
○ Other

2 [Q1a] Which type of FO do you belong to? *
Only answer this question if the following conditions are met:
° Answer was 'FO' at question '1 [Q1]' (Which type of office do you belong to?)
Please choose only one of the following:
○ Regional Office (RO)
○ Country Office (CO)
○ Head of UNIDO Operations (HUO)
○ Centre for Regional Cooperation

3 [Q1b] Who is your first reporting officer? *
Only answer this question if the following conditions are met:
° Answer was 'FO' at question '1 [Q1]' (Which type of office do you belong to?)
Please write your answer here:

4 [Q1c] Who is your second reporting officer? *
Only answer this question if the following conditions are met:
° Answer was 'FO' at question '1 [Q1]' (Which type of office do you belong to?)
Please write your answer here:

5 [Q1d] What is the percentage of UNIDO TC implementation in 2012 by the FO in your host country? *
Only answer this question if the following conditions are met:
° Answer was 'FO' at question '1 [Q1]' (Which type of office do you belong to?)
Please write your answer here:

6 [Q1e] What is the percentage of UNIDO TC implemented in 2012 by the FO in other countries covered by your office? *
Only answer this question if the following conditions are met:
° Answer was 'FO' at question '1 [Q1]' (Which type of office do you belong to?)
Please write your answer here:

7 [Q2a] Are roles and functions of FOs clear and well understood? *
Please choose only one of the following:
◯Yes
◯No

8 [Q2a2] Please provide brief comments, if any:
Please write your answer here:

9 [Q2b] Are roles and functions of the RPs clear and well understood? *
Please choose only one of the following:
◯Yes
◯No

10 [Q2b2] Please provide brief comments, if any:
Please write your answer here:

11 [Q3a] In your view, is there today a good level of integration between RPs and FOs and the technical PTC branches? *
Please choose only one of the following:
◯Yes
◯No

12 [Q3a2] If no, what is hindering integration and effective cooperation? *
Only answer this question if the following conditions are met:
° Answer was 'No' at question '11 [Q3a]' (In your view, is there today a good level of integration between RPs and FOs and the technical PTC branches?)
Please write your answer here:

13 [Q3a1]If yes, in what way has this integration made a difference? *
Only answer this question if the following conditions are met:
° Answer was 'Yes' at question '11 [Q3a]' (In your view, is there today a good level of integration between RPs and FOs and the technical PTC branches?)
Please write your answer here:

14 [Q3b] How can a higher level of integration and cooperation be fostered? *
Please write your answer here:

15 [Q4] What is (presently) the role of FOs in the demand assessment process and initial appraisal? *
Please write your answer here:

16 [Q5] How are FOs conducting their monitoring role? *
Please write your answer here:

17 [Q6] How has the introduction of SAP changed the way FOs operate? *
Please write your answer here:

18 [Q7]How do you expect SAP to (further) change the way FOs operate? *
Please write your answer here:

19 [Q8a]Has the move to PTC changed the way the RPs operate? *
Please choose only one of the following:
○Yes
○No

20 [Q8a2]If no, in your view, why not? *
Only answer this question if the following conditions are met:
° Answer was 'No' at question '19 [Q8a]' (Has the move to PTC changed the way the RPs operate?)
Please write your answer here:

21 [Q8a1]If yes, in what way? *
Only answer this question if the following conditions are met:
° Answer was 'Yes' at question '19 [Q8a]' (Has the move to PTC changed the way the RPs operate?)
Please write your answer here:

22 [Q8b]Has the move to PTC changed the way the FOs operate? *
Please choose only one of the following:
○Yes
○No

23 [Q8b2]If no, in your view, why not? *
Only answer this question if the following conditions are met:
° Answer was 'No' at question '22 [Q8b]' (Has the move to PTC changed the way the FOs operate?)
Please write your answer here:

24 [Q8b1]If yes, in what way? *
Only answer this question if the following conditions are met:
° Answer was 'Yes' at question '22 [Q8b]' (Has the move to PTC changed the way the FOs operate?)
Please write your answer here:

25 [Q9]Has the integration of the RPs and the FOs into PTC strengthened the relations with Member States? *
Please choose only one of the following:

○Yes
○No

26 [Q9b]If no, in your view, why not? *
Only answer this question if the following conditions are met:
° Answer was 'No' at question '25 [Q9]' (Has the integration of the RPs and the FOs into PTC strengthened the relations with Member States?)
Please write your answer here:

27 [Q9a] If yes, how? *
Only answer this question if the following conditions are met:
° Answer was 'Yes' at question '25 [Q9]' (Has the integration of the RPs and the FOs into PTC strengthened the relations with Member States?)
Please write your answer here:

28 [Q10] Does SAP foster integration? *
Please choose only one of the following:
○Yes
○No

29 [Q10b] If no, in your view, why not? *
Only answer this question if the following conditions are met:
° Answer was 'No' at question '28 [Q10]' (Does SAP foster integration?)
Please write your answer here:

30 [Q10a] If yes, how? *
Only answer this question if the following conditions are met:
° Answer was 'Yes' at question '28 [Q10]' (Does SAP foster integration?)
Please write your answer here:

31 [Q11] Any other comments:
Please write your answer here:

Submit your survey.
Thank you for completing this survey.

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